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SUBJECT OF REQUEST FOR SERVICES:

**Ex-post evaluation of specific interventions
funded under the Sustainable Mobility Policy**

FINAL REPORT

**The European Commission
The Directorate-General for Energy & Transport
(DG TREN)**

Submitted by:
The European Evaluation Consortium (TEEC)

**The Evaluation Partnership Limited (UK)
Economisti Associati (Italy)
Particip GmbH (Germany)
Navreme knowledge development (Austria)**

Authorised Representative
The Evaluation Partnership Limited (TEP)
6 Cole Park Road
Twickenham
Middlesex TW1 1HW
United Kingdom

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Framework contract for Evaluation and Evaluation-related Services
Ex-post evaluation of specific projects funded under the
Sustainable Mobility Policy

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Submitted to:

**The European Commission
The Directorate-General for Energy & Transport
(DG TREN)**

Submitted by:

Mr. John P. WATSON, Managing Director TEP

Mr. Andres E. LARRIERA, Contract Manager TEP

Ms. Maria KATECHI, Junior Consultant TEP

Mr. Marco LORENZONI, Senior Associate

Mr. Angelo MARTINO, Associate Consultant

1 EXECUTIVE SUMMARY

1.1 OVERVIEW

This ex-post, external evaluation was commissioned by the Unit A1 of the Directorate General for Energy and Transport of the European Commission (DG TREN) to The European Evaluation Consortium (TEEC), under the Framework Contract BUDG-02-01 L2 for evaluation and evaluation-related services.

The evaluation aims to understand the value of ten projects financed during the period 1999 to 2003 under the (former) budget line B2-704, Sustainable Mobility Policy.

1.1.1 *The subject of the evaluation services*

The overall objective of the Sustainable Mobility Policy is to reconcile economic growth and social demands for mobility with environmental impact and other costs of traffic movements, while taking into account the international dimension of transports.

The European Union Sustainable Mobility Policy focuses on transport systems and patterns; and provides a means of meeting economic environmental and social needs, efficiently and equitably, while minimising unnecessary adverse effects and their related costs, over relevant space and time scales.

This policy was funded till the year 2003 on an annual basis under budget line B2-704 (from 2004 according to the new Activity Based Budgeting under the 06 02 04 01 and 06 02 04 02), in compliance with the general competencies granted upon the Commission under the Treaty. There is no other basic instrument for these interventions, for they are not part of a specific programme.

1.1.2 *The aim of the evaluation services*

According to the Financial Regulation, actions funded on an annual basis have to be subjected to evaluation every six years. The Financial Resources & Activity Based Management Unit (Unit A1) of the Directorate-General for Energy and Transport (DG TREN) commissioned the evaluation. The aim is to provide the European Commission with the results of its interventions in connection with this policy, as well as an overview of their overall effects in order to define future interventions.

Considering the large number of projects funded during the last three years and the implementation of some projects divided into different phases and funded on a multi-annual basis, a limited number of projects have been chosen by the European Commission for assessment. Selection was carried out based on their relevance, illustrating the specific objectives of the European Community (EC) Sustainable Mobility Policy.

1.1.3 The scope of the evaluation services

The following projects were selected by DG TREN for evaluation, and broken down into five different thematic clusters, reflecting different areas of the Sustainable Mobility Policy.

For the single transport market:

- 01 TACHONET – Phase 2, system planning and design
- 02 Coastal shipping – OSP rules – Little islands

For users' interests:

- 03 The European Short Sea Network
- 04 Good practice in contracts for public passenger transport

For intermodality and interoperability:

- 05 Study on freight integrator including questions about civil liability
- 06 Elaboration of interoperability technical specifications (STI) for railways

For the environmental aspects:

- 07 Modernisation of the European freight wagon fleet-noise impact standards
- 08 Study on current and future aircraft noise at and around community airports

For air traffic management:

- 09 Implementing rules on economic regulations for the single European Sky Initiative
- 10 Study on Air Traffic Management (ATM) market organisation

The ex-post evaluation aims to put forward a judgement of value of the selected projects in order to respond to eight evaluative questions¹.

The **main evaluative questions** are the following:

1. Relevance to the policy.
2. Effectiveness of the projects.
3. Impact of the projects.
4. Efficiency (or cost-effectiveness) of the projects.

Four further elements for analysis are included in the mandate; they can be considered as **derivative evaluative questions**, in the sense that their answer is largely based on the responses given to the previous evaluative questions.

5. Define indicators for the monitoring of current and future interventions.
6. Facilitate the Commission's judgement on the suitability of an extension and a future recurrence of similar activities.
7. Verify consistency among different objectives.
8. Facilitate the Commission's decision to take action, if necessary, to improve the added value of the funding.

¹ Rephrasing from the Terms of Reference.

1.2 MAIN EVALUATIVE CONCLUSIONS

1.2.1 Representativeness of the sample selected

Representativeness of the projects selected shall be analysed in regard to the areas of the policy implementation; and to the size of the sample.

- **Areas of the policy implementation**

Two projects were selected for evaluation from each of five thematic clusters. If each of the 258 projects financed over the period² can be included under one of these thematic clusters; then the projects selected are **representative of the thematic areas of activity financed to support the policy**.

The even representativeness of the selected projects (two projects for each policy area), is consistent with the small number of projects selected (no proportional representativeness was possible).

- **Size of the sample**

Over the years 1999 to 2003, budget line B2-704 financed 258 projects, with an overall budget of 37,362,035 €. The sample of projects selected for evaluation represents 3.88% of the total number of projects financed. Relating to the budget, the sample of projects selected represents 5.60% of the overall resources allocated over that period.

The size of the projects selected is **too small to be considered as a representative sample of the entire projects financed** under budget line B2-7040, over the period taken into consideration.

Evaluative conclusions therefore refer only to the sample of the projects selected, and cannot be generalised, to refer to the use made over the period of the whole of the funds available for financing the Sustainable Mobility Policy.

1.2.2 Overall assessment

- All the projects selected were **relevant to the policy** on Sustainable Mobility, to a different degree.
- **All the projects were relevant to the available financial instrument.**
- On average, the projects proved to be **effective in relation to their scope**, and of an **acceptable level of efficiency**.
- The **impact** of the projects on the areas analysed was **tangible and important**, and the **counterfactual analyses confirms the overall positive assessments made**.

² See next bullet point.

The following paragraphs provide more detail of these conclusions, against each of the evaluative questions.

1.2.3 Relevance

In regard to the objectives of the policy Sustainable Mobility, nine out of ten of the projects scrutinised are directly relevant, while the relevance of a further project (which was to a certain extent relevant to the policy on Transport Safety) was more indirect.

It is worth mentioning that in one case the administrative processes of the Commission were able to adapt to a changed legal environment with the required flexibility, modifying the terms of reference of the contract, so as to maintain its full relevance to the policy.

Regarding the available financial instrument (budget line B2-704), all the projects scrutinised are relevant. It is remarked, however, that one project seems also relevant to the financial instrument of the Transport Safety policy, i.e., budget line B2-702.

1.2.4 Effectiveness

In general, all the projects were effective in addressing their specific contractual obligations; some differences in the degree of effectiveness were remarked upon and are reported in the main text.

The analysis of effectiveness required evaluators to scrutinise all the terms of reference and the reports of the contracts. The feasibility of the assessment and the effectiveness of a project depend to a large extent on the availability and quality of these two key documents.

The vast majority of the terms of reference of the projects under assessment were clear and understandable, in setting the objectives of the contract. Project outputs were of a good quality level; even reports of a highly technical nature were written in clear and understandable terms. Only one case failed to meet these clarity requirements.

In their majority, the projects were also effective in addressing the policy goals to which they refer. Some best management practices adopted by DG TREN Officers had a positive impact on effectiveness. These are reported in the main text of the report. A wish was expressed by some of the interviewed Task Managers for a higher level of visibility for these experiences throughout DG TREN.

1.2.5 Impact

The main, positive evaluative conclusion regarding impact is that no negative impacts³ of the projects under scrutiny have been observed.

³ Negative impact (or perverse effect) is considered as an unexpected consequence of the project that negatively affects the beneficiary of the project, other addressees, or the broader project objectives.

Impact was analysed under seven common areas⁴. On average, a positive impact of every project was observed on 3.4 of the areas considered⁵.

- Impact on policymaking – Six projects had an impact on policymaking, and one of them is expected to produce an impact in the near future. This is confirmation that the projects launched to support the policymaking activities of DG TREN were successful in their main strategic objective.
- Secondary impact on other policies – Impact on other policies was fully unplanned, but was registered in three cases; while it is expected for the near future in a further three cases.
- Publicity given – Nine projects out of ten were the subject of some publicity, given typically through presentation to conferences, and publication on institutional websites.
- Communication and media – None of the projects was subject to a specific communication plan. However, four of the projects were quoted in the media (typically in specialised magazines) for their value.
- Impact on industry – A very large impact emerged from the analysis (eight projects out of ten). In both cases where impact was not observed, this was surely due to the fact that the reports from the studies had not yet been published. Should these reports be published, their impact on industry is likely to be noticeable.
- Impact on research – Impact on research carried by third entities was unplanned, but it was observed for three projects. Their reports were quoted in deliverables of research activities, and in one case in a publication by a University.
- Impact on national administrations and authorities – A positive impact was observed regarding one project, and it is expected for a further project.

The traditional impact analysis was complemented, at the request of DG TREN, with a policy-off (counterfactual) analysis of the selected projects. Due to the nature of the projects financed, a non-traditional evaluative instrument was used, borrowed from counterfactual historiographers. The technique is based on the “taking away” of one element of the history to develop a best estimate of what the situation could have been, in consideration of all the other known factors of the history. The exercise was carried out for all the projects financed, by homogeneous clusters. For each cluster, a best estimate was developed in order to understand what the situation could have been in the absence of the financed projects (the element of the history “taken away” for all the projects). All the counterfactual hypotheses confirmed (to a different degrees) the soundness of the financing of the projects selected.

1.2.6 Efficiency

Regarding the use of resources, no evidence of over-allocation of resources was identified. Professional fees, on average emerged as slightly higher than the fees that have been observed in other DGs of the European Commission. This appears in

⁴ They are: Policymaking; Secondary impact on policymaking; Publicity given; Communication and media; Industry; Research; National administrations and authorities.

⁵ Total number of areas where an impact was observed (34) / total number of projects (10).

the most of cases to be justified by the highly technical skills required to consultants working on DG TREN projects.

In terms of outputs and outcomes, the efficiency of the projects under scrutiny should be appreciated in light of their general high levels of effectiveness and impact. In these terms, the remarks developed regarding the high costs of some projects in terms of fees do not influence negatively their overall cost efficiency.

1.2.7 Indicators for the monitoring of interventions

No particular problems emerged which can be related to poor management practices. From this we can derive the conclusion that the monitoring activity carried out by Task Managers throughout the life of the projects assessed, combined with a good selection of consultants in the tendering phase, and was sufficient to the scope.

Some suggestions are made to set up a monitoring plan of the projects financed under Sustainable Mobility. They take into consideration different elements, such as: the tendering phase; frequency and content of the reports; additional reporting; and formal and informal contacts with Task Managers.

1.2.8 Suitability of extensions and future similar activities

Specific, detailed conclusions are formulated in the main text for each of the projects evaluated, and for clusters of them. They provide indications regarding the suitability of an extension of the financing, and regarding the suitability of the recurrence of future similar activities.

- Suitability of an extension. Only three projects, possessing a recurrent nature, can be taken into consideration for extension. The other seven projects, are “one-off” contracts, and as such cannot be extended. The extension is highly recommended for one of these projects; and recommended, subject to conditions, for the other one. The extension of the activities of one last project cannot be recommended, because they will be soon carried out by the European Railway Agency.
- Suitability of future similar activities. The financing of targeted “one-off” activities, aimed to support the institutional work of the Commission is highly suitable. The financing of activities similar in nature to the three evaluated contracts that do not possess a “one-off” nature is suitable.

1.2.9 Consistency among different objectives

A thorough analysis of the objectives of each of the projects was carried out. As a result of the evaluation activities, an articulated project clustering was attempted in order to answer the present question.

Seven different clusters of projects were identified and are proposed in the main text. They are: sea transport; train transport; air transport; intermodality / interoperability; environmental aspects; single transport market; public transport.

From the analysis undertaken, no inconsistencies were identified among the objectives of the different projects in each cluster, and across clusters. Here again, it is unknown whether the results obtained from this assessment actually correspond to the universe of the projects financed.

1.2.10 Possible improvements in the added value of the funding

Based on the evaluation findings, no major measures are deemed necessary to improve the added value from funding. Once again, this refers to the sample of the projects selected.

In particular:

- All the projects evaluated had a clear and visible European dimension, so that no opportunities emerge for increasing their European added value.
- All the projects evaluated possess a transnational dimension. Their individual geographic coverage was fully justified by their specific scope. No opportunities emerged to strengthen this dimension for the projects selected.
- All the projects evaluated contributed –directly or indirectly- to the European policy on Sustainable Mobility, so that no need emerges for strategies to increase their contribution to European policies.
- In general, methodologies adopted (when described) were consistent with the projects' objectives. The adoption of different methodologies would not have increased their added value.
- None of the projects selected was a research activity. Therefore, considerations cannot be developed regarding scientific added value and innovative approaches.
- None of the projects evaluated have aspects to be assessed regarding gender dimensions or the representation of minorities; therefore, no remarks can be developed regarding possible increases of added value from these viewpoints.

Some additional actions can be easily undertaken, and they can have a beneficial impact both on the added value of the funding, and on the effectiveness of the projects financed. Some of the actions proposed will facilitate the assessment of the impact of the projects, as well. The proposals made relate to the involvement of stakeholders; dissemination of projects results; and inter-service circulation of the project reports.

1.3 RECOMMENDATIONS

On the basis of the findings and the conclusions formulated, the following recommendations are presented.

- Recommendation 1** The evaluation undertaken on a sample of selected projects provides indications that are deemed useful for the future European Commission's activities under Sustainable Mobility. However, the ten projects selected represent only 3.88% of the overall number of projects financed, and 5.60% in terms of budget allocated to projects over the period 1999 to 2003.
This does not allow for the formulation of evaluative conclusions and recommendations on the overall use made of the funds allocated to the policy.
It is strongly recommended to follow-up this first evaluation with a second, wider exercise, aimed at evaluating a significant sample of the projects financed over the period; suggestions for the required size the sample are provided in the main text. This second exercise could build on the results and experiences of this first evaluation in terms of methodology and evaluative tools.
- Recommendation 2** An analysis of the professional fees paid to consultants on budget line B2-704, per professional profile, and their seniority of experience, should be undertaken. On the basis of this analysis, tariffs of reference can be used as a benchmark during future tendering.
- Recommendation 3** A collection of best management practices, applied by Task Managers in their work of coordination and following of "their" projects should be compiled, and a large dissemination of this collection to all the Officers inside DG TREN ensured. The diffusion of this collection should be accompanied by specific training sessions.
- Recommendation 4** Applicants for subsidies should be required to describe clearly and in unambiguous terms the objectives of their requests, and to include in their application a detailed work plan for the planned activities.
- Recommendation 5** Contractors and beneficiaries should be instructed that their intermediate reports include a brief description of the results achieved to date; and analysis of the adherence to the agreed time plan, with a focus on delays, their reasons, and corrective actions taken / proposed.
- Recommendation 6** Contractors and beneficiaries of funds should be requested that their final reports include an Executive Summary; and a description of the methodology followed (if relevant).
- Recommendation 7** Contractors and beneficiaries should be requested to report immediately to Task Managers, in writing, of any event occurring during the life of the project that could adversely

affect the achievement of its planned objectives; and to propose corrective actions.

Recommendation 8

Publication on the website of DG TREN of the reports from the financed studies should be considered as a rule; unless there are doubts as to their soundness. The publication should be integrated with direct mailing to interested stakeholders of the weblinks to the reports. Address lists for possible future evaluation activities should be established.

Recommendation 9

Reports of studies should be circulated to other services of the European Commission that might be interested in them due to their mandate.

2 INTRODUCTION

The contract on the ex-post evaluation of specific interventions funded under the Sustainable Mobility Policy was signed between The European Evaluation Consortium (TEEC) and the Directorate-General for Energy & Transport (DG TREN) on 29 December 2003.

Both the **inception report** and the **draft final report** were submitted in due time, and approved following meetings with the Steering Group of the evaluation. This **final report** addresses all the comments received on the draft final report. It presents the findings obtained from the evaluation and draws the evaluative conclusions and recommendations.

The report is organised as follows:

| | |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section 1 | Executive Summary, which contains the objectives of the evaluation (including the evaluative questions), the main conclusions and a summary of the recommendations. |
| Section 2 | Introduction. |
| Section 3 | Methodology. This Section details the methodology followed in answering the evaluative questions. |
| Section 4 | Evaluation findings. This Section contains the findings from the evaluation activities. Due to space considerations, the project evaluation grids are reported in Annex A. |
| Section 5 | Conclusions. This Section contains the conclusions, organised by the evaluative questions. |
| Section 6 | Recommendations. This Section contains the recommendations from the evaluation. |
| Annex A | The evaluation grids of all the projects assessed (the main findings of the evaluation) are contained in this Annex. |
| Annex B | This annex describes the European Union Transport Policy and Sustainable Mobility, in an historical context. |
| Annex C | List of the contacts. |

The evaluation team was composed by John P Watson (Managing Director), Andres E Larriera (Contract Manager), Marco Lorenzoni (Project Manager), Angelo Martino (Consultant), and Maria Katechi (Junior Consultant).

3 METHODOLOGY

The evaluation followed three sequential stages: briefing and preparation; field work and draft final reporting. As planned, the activities of the final stage are concluded upon delivery of this Final Report to DG TREN on 30th June 2004.

This section details the methodology followed during the evaluation.

3.1 PROJECT IDENTIFICATION AND DATA COLLECTION

During the briefing and preparation phase, the basic project documents that were required to carry out the evaluation were collected, in collaboration with the Evaluation Cell and the relevant Task Managers⁶ at DG TREN. The contractor traced the following documents/information:

- Formal identification of the projects (contract number; year of contract; nature of financing⁷; percentage of European Commission's financing⁸).
- Terms of reference of the projects.
- Final Reports of activity.
- Basic budget figures (overall budget, and overall budget financed by the European Commission; overall budget for fees, and overall budget for fees financed by the European Commission; number of the overall working days of the contractor).

Further substantial research was carried out to assess the impact of the projects on media, research, and industry. This included research carried out at the library of the London School of Economics, and searches on the archives of "The Independent" and "The Financial Times". Internet-based research was also carried out, with use of two primary search engines⁹.

3.2 ANALYTICAL TOOL: THE PROJECT EVALUATION GRID

The project documents were examined in order to adjust and test the methodology proposed, and to make it fully consistent with the evaluation objectives.

Key concepts were extracted from the log frame approach to customise a more specific, project-oriented analytical tool, called "Project evaluation grid". The purpose of the grid is to present the basic information and the evaluation findings of each project in a standardised format. The four evaluative areas mentioned in the terms of reference (Relevance¹⁰; Effectiveness; Impact; and Efficiency) were considered for every project under evaluation.

⁶ Task Manager is throughout the text used as a synonym of Project Officer, both terms being in use at the European Commission.

⁷ I.e. Study or Subvention. For a definition of "Subvention" see footnote 19.

⁸ In case of Subventions.

⁹ Google (www.google.com) and Mamma (www.mamma.com) were used for this research.

¹⁰ Although Relevance was not explicitly mentioned in the mandate, it is implicitly described in the first evaluative question: "identify their results and impacts with respect to the objectives and the rationale of the policy itself".

The completion of the grids for each project was carried out gradually throughout the first two stages of the evaluation. Some descriptive sections were completed during the initial desk-based activity, while others were gradually completed following the interviews conducted with the Task Managers and external Stakeholders. Further bibliographic research was conducted for all the projects towards the end of the evaluation, and its results reported in the grids. Before their finalisation, the relevant Task Managers validated the evaluation grids.

The grid methodology was used to design the outline of the interviews and surveys that were carried out, as questions were drafted in order to collect the information needed for each section of the grid. The standard project evaluation grid is presented here below, with some explanatory notes, to make clear its use for the evaluation.

| | | | |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <i>The main elements for the identification of the project.</i> | |
| Project title and number | | | |
| Type of funding | | % of financing | |
| Overall EC budget € | | | Contract: year |
| Budget for fees € | | N. person/days | |
| <i>Policy background of the project under assessment.</i> | Background and genesis | | |
| | | | |
| Typology of project | | | |
| The role of the project in the policymaking process | <i>Role: pre-legislative study; study for the assessment of legislation; preparation of technical specifications ...</i> <i>Methodology: the one adopted by the contractor</i> <i>Geographic coverage: of the contract under assessment</i> | | |
| The methodology adopted | | | |
| Geographical coverage | | | |
| <i>Reformulation from the ToR.</i> | Specific project objectives | | |
| Possibilities and limits of evaluating the project | | | <i>Were any limits to the possibility to assess the project experienced during the evaluation? (Missing info, stakeholders non available ...)</i> |
| | | | |
| <i>Desk-study, interviews, visits...</i> | Activities undertaken during the evaluation | | |
| | | | |
| Opportunities for further analysis | | | <i>Other instruments that have not been used because of limited resources, but could be of further help for the analysis of the project.</i> |
| | | | |
| Relevance | | | |
| How was the project evaluated relevant to the policy goals? | <i>Relevance is defined, as the adequacy of the objectives of each project to (some of) the objectives of the EU Sustainable Mobility policy. Relevance is moreover assessed against the Budget line B2-704.</i> <i>The following question is furthermore answered: "Could a higher level of relevance have been obtained (were obtained) through adjustments of the project?"</i> <i>Further project specific remarks are added, if needed.</i> | | |
| How was the project evaluated relevant to the available financial instrument? | | | |
| How could the relevance of the project be improved / have been improved through adjustments at the margins? | | | |
| Further project-specific remarks | | | |

| Effectiveness | |
|-----------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Has the project evaluated been effective in addressing its specific objectives? | <p>Effectiveness is analysed in two ways:</p> <ol style="list-style-type: none"> 1. the capacity of the project to achieve its objectives; 2. the capacity of the project to address the specific policy goals. <p>The focus of the analysis of effectiveness is on project outputs.</p> <p>The following question is furthermore answered: "Could more effects have been obtained (were obtained) by organizing the implementation differently from what originally planned?"</p> <p>Further project specific remarks are added, if needed.</p> |
| Have the outputs been effective in addressing the policy goals? | |
| How could the effectiveness of the project be improved / have been improved through adjustments at the margins? | |
| Further project-specific remarks | |

| Impact | |
|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Impact on policy making | <p>Impact refers to the ultimate planned and unplanned consequences of the projects. It is here analysed in different areas that are both common and specific to each project.</p> <p>In order to be observed, the majority of possible impacts require a considerable elapse of time after the end of the project activities.</p> |
| Secondary impacts on other policies | |
| Publicity given | |
| Communication and media | |
| Impact on industry | |

| Efficiency | |
|---------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Efficiency in the use of resources | <p>Efficiency is defined as the capacity to obtain the (planned) effects at a reasonable cost. Efficiency is here assessed both at inputs level (use of resources) and at outputs/outcomes level (in terms of results and impact).</p> |
| Cost effectiveness in terms of results and impact | |

| Ways of increasing value added from the funding | |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| | <p>The same project might yield greater value added for the same amount of money through appropriate adjustments at the margin.</p> |

| Specific features affecting the project | |
|-----------------------------------------|---------------------------------------------------------------------------------|
| | <p>Management context, or processes that affected the value of the project.</p> |

3.3 INTERVIEWS, SURVEYS AND WRITTEN CONTRIBUTIONS

Following the collection of the required project documents and the insertion of initial information into the project evaluation grids, further evidence was collected through interviews, surveys, and analysis of written contributions.

Interviews were conducted with Task Managers and external stakeholders. Initial contacts were made with 265 persons, leading to 99 interviews in total, with individuals from 19 different European countries¹¹. A semi-structured interview technique was adopted for all the interviews, and all the interviews covered common issues, while maintaining a flexible and project-oriented approach.

3.3.1 Interviews with Task Managers

Task Managers possess a first-hand knowledge of the projects selected for assessment, because of their involvement in the monitoring of the project activities and the use they made of the project outputs. They are therefore owners of information that is extremely important for the evaluation. All the Task Managers (or the former Task Managers) of the projects selected were therefore interviewed. Interviews were carried out either face to face or by phone.

These interviews included the following topics:

- Validation of the background and genesis of the project.
- History of the project, its management, obstacles and solutions adopted (including any factor that affected the project).
- Adjustments of the project (contractual/extra-contractual).
- Satisfaction with the achievements of the project.
- Effectiveness in relation to the project objectives.
- Effectiveness in relation to the policy objectives.
- Impact of the project under the relevant areas.
- Publicity given to the project and its outputs.
- Actions/activities/further projects undertaken/launched/planned after the project.
- Support in the identification of stakeholders.
- Further project-specific issues.

Furthermore, Task Managers validated the evaluation grids of the projects under scrutiny, before finalisation.

3.3.2 Interviews with external stakeholders

Stakeholders are “*individuals, groups or organisations with an interest in the evaluated intervention or in the evaluation itself*”¹². Interviews with stakeholders are considered to be indispensable in order to properly assess impact and (to a lesser extent) the effectiveness of the projects.

A critical stage in the assessment of each project was the identification of the most appropriate stakeholders. Deciding upon the relevant stakeholders to be interviewed for each project was undertaken on a case-by-case basis, taking into consideration the specific characteristics of each study/subsidy, and with the support of the Task Managers.

¹¹ Fifteen EC Officers were interviewed, and the opinions of 84 external stakeholders were collected.

¹² EC Structural funds – Evaluating socio-economic programmes; MEANS collection, vol. 6. CX-10-99-006-EN-C

For some projects the identification of relevant stakeholders was a challenging process. This was a result of the characteristics of the project, or because individuals had changed occupations or because of an unwillingness to participate. The evaluation grids report these particular cases. As a result, the number of stakeholders interviewed for each project is not consistent.

Interviews were carried out via phone and/or email. Interviews with external stakeholders were in general carried out after interviews with the Task Managers. These interviews were targeted to acquire information for the assessment of the following evaluative issues:

- Impact of the project under the relevant areas.
- Effectiveness in relation to the policy objectives.

3.3.3 Surveys and questionnaires

Whilst the use of surveys and questionnaires was not part of the initial methodology, some projects had a potentially large stakeholder community that could be contacted by means of these tools. This was done in the four following cases, via email.

| | | |
|---|--------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | Tachonet - Phase 2 | A questionnaire was sent to participants at a UNECE workshop of a presentation of the digital tachograph system. Forty-six participants were contacted; four of them answered. |
| 3 | The European Short Sea Network | A mini-survey was addressed to all of users of the ESN services, whose contact details were provided to the evaluators. Nine questionnaires were sent, and four responses were received. |
| 4 | Good practice in contracts for public passenger transport | A questionnaire was sent to 35 stakeholders that received the reports from the study from DG TREN. Ten answers were received. |
| 7 | Modernisation of the European freight wagon fleet-noise impact standards | A questionnaire was sent to participants at a workshop, where the results of the study were presented. Overall 125 participants were contacted; 41 answered. |

3.3.4 Analysis of written contributions

In one case, external stakeholders sent to DG TREN written comments on the Final Report of one contract¹³. These comments contained several elements of interest for the evaluation, which were analysed.

3.3.5 Contacts with Contractors

Contacts with Contractors were established in a limited number of cases (projects 1, *Tachonet*, and 3, *The European Short Sea Network*). In both cases, this was done for the purpose of acquiring additional information not included in the reports.

¹³ Project 9, *Implementing rules on economic regulations for the Single European Sky Initiative*.

4 EVALUATION FINDINGS

4.1 THE EUROPEAN UNION POLICY ON SUSTAINABLE MOBILITY

The aim of this section is to provide the reader with an understanding of the essential elements of the present European Union policy on Sustainable Mobility. The text below is a summary of the policy of Sustainable Mobility and its historical context¹⁴. The summary focuses only on the 2001 White Paper and the full text is reported in Annex B.

In September 2001, the European Commission published a White Paper entitled “European Transport Policy for 2010: Time to Decide”¹⁵. According to the White Paper the objective of the Common Transport Policy (CTP) until 2010 is to **gradually break the link between transport growth and economic growth**, in order to **reduce the pressure on the environment and prevent congestion** while **preserving the European Union’s economic competitiveness**.

The White Paper followed the conclusions of the European Council at Gothenburg (June 2001), which called for a sustainable transport policy within the context of a broader strategy for sustainable development. The Council noted that a core element of this policy should be to generate a shift in the balance between modes of transport. This shift should be accomplished by means of an infrastructure investment policy in favour of railways, inland waterways, short sea shipping and intermodal operations.

The White Paper notes that the lack of harmonious development of the Common Transport Policy (CTP) accounts for major problems such as congestion imbalances between modes of transport, and harmful effects on the environment and public health. The problem of congestion is identified as a major threat to Europe’s economic competitiveness. One of the main causes for congestion is that transport users do not always cover the costs they generate in terms of infrastructure, congestion, environmental damage and accidents. Other factors identified as major causes are, delays in completing trans-European network infrastructure, the poor organisation of Europe’s transport system and the failure to make optimum use of means of transport and new technologies.

Two key factors are recognised as being behind the continuous growth in the demand for transport. Regarding passenger transport, the determining factor is the growth in car use. The number of cars has tripled over the last 30 years. As far as goods transport is concerned, growth is thought to be due to a large extent to the fact that the European economy has shifted in the last 20 years, from a “stock” economy to a “flow” economy. Unless major measures are taken, by 2010 heavy

¹⁴ It is difficult and maybe arbitrary to extrapolate the present policy on Sustainable Mobility from the Treaty; from the historical developments of the Common Transport Policy; and the first emerging of the idea of sustainability. For this reason the text in Annex B puts the policy of reference in its historical context.

¹⁵ COM(2001)0370

goods vehicle traffic alone is forecasted to increase by nearly 50% over its 1998 level.

Transport flows will also increase as a result of the significant economic growth expected in the new Member States. The White Paper notes that although the new Member States have inherited a transport system that encourages rail, (from their history of planned economies), since the 1990's, the distribution between modes has tipped sharply in favour of road transport. Integrating the transport systems of these countries will be a big challenge, and one to which the CTP has to provide an answer.

Following the Gothenburg European Council's conclusions, the White Paper places the **shifting of balance between modes of transport at the heart of the sustainable development strategy**. This balance is at present markedly in favour of air and road transport. The effects of the unequal growth in the different modes of transport can be seen in the fact that 44% of the goods transport market consists of road transport, 41% of short sea shipping, 8% rail and 4% inland waterway. Regarding passenger transport, road transport accounts for 79% of the market, rail for 6% and air for 5%¹⁶.

The White Paper explains that in the near future, economic growth will automatically generate greater need for mobility. Furthermore, enlargement will generate a significant increase in transport flows within the new Member States. Moreover, saturation of the major arteries, combined with the accessibility of very remote areas and infrastructure upgrading in the new Member States will in turn require massive investment. Thus, as a solution to these problems, the document proposes to gradually break the link between economic growth and transport growth.

The White Paper identifies 60 measures ranging from pricing, to revitalising modes of transport alternative to road, and targeted investment in the trans-European network. These measures are presented as a '...first essential step towards a sustainable transport system that will ideally be in place in 30 years' time'. The thirteen basic guidelines presented for the CTP until 2010 were:

1. To revitalise the railways.
2. To improve quality in the road transport sector.
3. To promote short sea shipping and inland waterway transport.
4. To strike a balance between growth in air transport and the environment.
5. To turn intermodality into reality.
6. To continue the building of the trans-European transport.
7. To improve road safety.
8. To adopt a policy on effective charging for transport.
9. To recognise the rights and obligations of users.
10. To develop high quality urban transport.

¹⁶ These figures are taken from the Section "Policy guidelines" of the White Paper, Paragraph I

11. To put research and technology at the service of clean and efficient transport.
12. To manage the effects of globalisation.
13. To develop medium and long-term environmental objectives for a sustainable transport system.

The White Paper concludes that the CTP on its own will not achieve sustainable mobility. As Commissioner Loyola de Palacio explains in the Foreword to the White Paper *“To meet our objectives, it will inevitably be necessary to take additional measures in other areas, e.g. budget policy, industrial policy, regional policy, social policy and the organisation of working time”*.

The White Paper also includes an action programme extending until 2010, with periodic milestones. In 2005, the Commission will make an overall assessment of the implementation of the measures advocated in this document. Taking into account economic, social and environmental consequences of the proposed measures, this review will check whether the precise targets are being attained or whether adjustments are needed.

4.2 REPRESENTATIVENESS OF THE PROJECTS SELECTED

The representativeness of the projects selected is analysed both in regard to the areas of the policy implementation; and to the size of the sample. The following paragraphs discuss both these aspects.

4.2.1 Representativeness regarding the areas of policy implementation

DG TREN selected for evaluation two projects for each of five thematic clusters. They are:

- Single Transport Market
- Users' interests
- Intermodality and Interoperability
- Environmental aspects
- Air Traffic Management

If each of the 258 projects financed over the period¹⁷ can be included under one of these thematic clusters; then the projects selected are **representative of the thematic areas of activity financed as to support the policy**.

The even representativeness of the selected projects (two projects for each policy area), is consistent with the small number of projects selected (no proportional representativeness was possible).

4.2.2 Representativeness regarding the size of the sample

The projects selected by DG TREN for assessment were financed during the period 1999 to 2003, under the (former) budget line B2-7040¹⁸, entitled Sustainable Mobility

¹⁷ See next paragraph.

¹⁸ Since 2004 a new Activity Based Budget has been adopted in substitution of the previous one. None of the projects selected falls therefore under the new budget.

Policy. Seven of them are studies (contracts for services), while three of them are subventions (also called grants, or subsidies)¹⁹. Their individual budgets span from about 54,000 to about 511,000 €, with an average budget of about 209,000 €.

The following table reports the list of the projects selected, per year by contract, and with an indication of the budget. As far as grants are concerned, only the portion of the overall budget financed by the European Commission is considered²⁰. As is evident from the following table, the bulk of the projects under assessment (five) were financed in 2002; two in 2003; and one each in the years 1999 to 2001.

| | | Nature of financing | | Contract year | EC budget (€) |
|--------------------------|-------------------------------------------------------------------------------|---------------------|------------|---------------|------------------|
| | | Study | Subvention | | |
| 6 | Elaboration of interoperability technical specifications (STI) for railways | | XXX | 1999 | 511,539 |
| 10 | Study on air traffic management (ATM) market organisation | XXX | | 2000 | 247,500 |
| 4 | Good practice in contracts for public passenger transport | XXX | | 2001 | 149,116 |
| 1 | Tachonet - Phase 2 | XXX | | 2002 | 214,500 |
| 2 | Coastal shipping - OSP rules - small islands | XXX | | 2002 | 69,560 |
| 3 | The European Short Sea Network | | XXX | 2002 | 54,773 |
| 8 | Study on current and future aircraft noise exposure in the EU | XXX | | 2002 | 198,950 |
| 9 | Implementing rules on economic regulations for Single European Sky Initiative | XXX | | 2002 | 243,500 |
| 5 | Study on freight integrator including questions about civil liability | XXX | | 2003 | 229,000 |
| 7 | Modernisation of the European freight wagon fleet-impact norms bruit | | XXX | 2003 | 174,920 |
| TOTAL BUDGET: € | | | | | 2,093,358 |
| AVERAGE BUDGET: € | | | | | 209,336 |

Figure 1 – List of projects selected for evaluation, per contract year

During the period 1999 to 2003, budget line B2-704 financed a considerable number of projects – 258 in total - for an overall budget of 37,362,035 €. The sample of contracts selected represents 3.88% of the overall number of projects financed. In terms of budget, the sample of projects selected represents 5.60% of the overall budget committed to projects over the period.

¹⁹ Subventions are co-financing of activities of the Beneficiary that contribute directly or indirectly to the attainment of one or other of the objectives of the European Union. With the words of the Council Regulation No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities (Article 108), “Grants are direct financial contributions, by way of donation, from the budget in order to finance: (a) either an action intended to help achieve an objective forming part of a European Union policy; (b) or the functioning of a body which pursues an aim of general European interest or has an objective forming part of a European Union policy.” Since the present Financial Regulation, grants are subject to an annual programme, to be published at the beginning of each year.

²⁰ In two of the cases under assessment (projects 3 and 7) the contribution of the European Commission was 50% on the overall budget; while in one case it was 31.6% (project 6).

| Budget line B2-7040 - Overall projects financed, per year | | | | Budget line B2-7040 - Projects selected for evaluation, per year | | | |
|-----------------------------------------------------------|----------------------|-------------------|-------------------|------------------------------------------------------------------|----------------------|----------------------|-------------------|
| Year | N. projects financed | Overall budget: € | Average budget: € | Year | N. projects selected | Cumulative budget: € | Average budget: € |
| 1999 | 82 | 7,678,353 | 93,638 | 1999 | 1 | 511,539 | 511,539 |
| 2000 | 37 | 5,558,764 | 150,237 | 2000 | 1 | 247,500 | 247,500 |
| 2001 | 48 | 8,298,278 | 172,881 | 2001 | 1 | 149,116 | 149,116 |
| 2002 | 54 | 10,095,457 | 186,953 | 2002 | 5 | 781,283 | 156,257 |
| 2003 | 37 | 5,731,183 | 154,897 | 2003 | 2 | 403,920 | 201,960 |
| | 258 | 37,362,035 | 144,814 | | 10 | 2,093,358 | 209,336 |

| Sample of projects selected / overall projects financed (in percentage, per year) | | |
|-----------------------------------------------------------------------------------|--------------------------------|--------------------|
| Year | In terms of number of projects | In terms of budget |
| 1999 | 1.22% | 6.66% |
| 2000 | 2.70% | 4.45% |
| 2001 | 2.08% | 1.80% |
| 2002 | 9.26% | 7.74% |
| 2003 | 5.41% | 7.05% |
| | 3.88% | 5.60% |

Figure 2 – Projects selected versus overall projects financed during the period.

It emerges from this analysis that **in terms of its size, the sample of projects selected is too small to be considered representative of the whole of the projects financed** under budget line B2-7040, over the period taken into consideration.

This evaluation was requested, and carried out, to assess ten projects financed by budget line B2-7040 over the period 1999 to 2003. It cannot be considered as an exercise aiming to assess the whole of the actions financed under the Sustainable Mobility Policy, or a significant cluster thereof.

4.2.3 The opportunity to carry out a broader evaluation exercise

A recommendation is issued to follow-up this first evaluation with a second, broader exercise. This second evaluation should aim to assess a significant sample of the projects financed over a given period of time. This is deemed necessary to provide the Commission with a wider range of indications on the results of the overall use made of the funds targeted to finance the Sustainable Mobility Policy.

Evaluators were requested to provide some advice on the criteria to be used for the selection of the sample of projects to be included in this exercise. The following are suggestions on these aspects.

- Period of time to be considered. The practice of evaluating samples of projects financed over some years of time is a very effective one. In the presence of a significantly high number of projects, it allows for the identification of trends over the period, per each of the evaluative questions that are formulated.

The time that elapsed since the completion of the projects' activities is a critical factor for the assessment of their impact. It is difficult, and sometimes even impossible to observe the impact of an activity before some years from its completion have elapsed.

From an opposite perspective, the assessment of the effectiveness and the relevance of a project are sometimes made more complex when a considerable number of years passed after its completion: the difficulty of accessing written documents and in interviewing stakeholders tend to increase with the years.

In order to carry out evaluations aiming to provide indications under each of the traditional areas (relevance, effectiveness, efficiency, impact), a trade-off is therefore needed. The selection of a period of time, of five – six years prior to the last completed calendar year is considered to be appropriate for this scope.

It would be the task of the evaluator to provide readers with the necessary context to analyse if (and how) the accuracy of the findings on impact increases with the time that elapsed from the projects' completion; and conversely to explain if and how the accuracy of the findings on effectiveness and relevance decreased over the period.

- Sizing of the sample. Several simulations can be made to efficiently size a sample of projects for evaluation. The model that is proposed is based on the individual budget of the projects financed over the period.

In the period under consideration (1999 to 2003), 104 projects had a budget that was lower than 50,000 €. They are a significant number of projects (40.3 % of the total), however, they represent a small part of the overall budget spent over the period (less than 7%). We propose that these projects be excluded from the evaluation, and that all the other projects in the sample are assessed. This would allow a sample of 154 projects to be identified, representing 59.7% of the projects financed in terms of number; and 93.3% of the overall budget spent.

Should the selected sample appear to be too large in consideration of the budget allocated to the evaluation, a different sample could be adopted, based on the same proposed approach. For example, the evaluation of the projects with an individual budget higher or equal to 60,000 € would lead to a sample of 146 projects, representing 92.2% of the overall budget spent. The evaluation of the projects with an individual budget higher or equal to 80,000 € would lead to a sample of 129 projects, representing 88.9% of the overall budget spent.

The following figure reports the breakdown of the projects financed over the period, per clusters of project budget.

| | Projects financed | | Representativeness of | |
|--------------------|-------------------|--------------------|-----------------------|--------------------|
| | Number | Overall budget (€) | In terms of number | In terms of budget |
| Budget < € 50,000 | 104 | 2,486,706 | 40.3% | 6.7% |
| Budget => € 50,000 | 154 | 34,875,330 | 59.7% | 93.3% |
| | 258 | 37,362,036 | 100.0% | 100.0% |

| | Projects financed | | Representativeness of | |
|--------------------|-------------------|--------------------|-----------------------|--------------------|
| | Number | Overall budget (€) | In terms of number | In terms of budget |
| Budget < € 60,000 | 112 | 2,924,633 | 43.4% | 7.8% |
| Budget => € 60,000 | 146 | 34,437,403 | 56.6% | 92.2% |
| | 258 | 37,362,036 | 100.0% | 100.0% |

| | Projects financed | | Representativeness of | |
|--------------------|-------------------|--------------------|-----------------------|--------------------|
| | Number | Overall budget (€) | In terms of number | In terms of budget |
| Budget < € 80,000 | 129 | 4,151,570 | 50.0% | 11.1% |
| Budget => € 80,000 | 129 | 33,210,466 | 50.0% | 88.9% |
| | 258 | 37,362,036 | 100.0% | 100.0% |

Figure 3 - Breakdown of the projects financed over the period, per budget

4.3 THE EVALUATION GRIDS

As already stated, the evaluation of each project was reported in a separate and standardised project evaluation grid. Ideally, the evaluation grids should be included in the present section, for they contain all the main findings from this evaluation exercise. However, in consideration of their length and for the convenience of the reader, they are attached as Annex A of this report instead.

5 CONCLUSIONS

This section of the report provides conclusions, organised “horizontally”, per evaluative question. They are based on the evaluation findings, which are reported per each project assessed in a separate evaluation grid. The full “vertical” evaluation grids are reported in Annex A, for full reference and justification.

The following Figure 4 summarises the conclusions on the four main evaluative questions (Relevance²¹, Effectiveness, Impact, and Efficiency) that are discussed in the following paragraphs from 5.1 to 5.4. A score was attributed to each of the projects, under each of the four above areas. The possible scores were: very high; high; medium; low. No score was attributed where there was no basis for assessment.

| | | Relevance... | | Effectiveness | Impact | Efficiency |
|----|----------------------------------------------------|-----------------------|-------------------------------------|---------------|-----------|------------|
| | | ...against the policy | ...against the financial instrument | | | |
| 1 | Tachonet - phase 2 | Medium | Medium | High | Medium | Medium |
| 2 | Coastal shipping - OSP rules - small islands | High | High | High | Medium | Medium |
| 3 | The European Short Sea Network | Medium | High | Medium | Medium | --- |
| 4 | Good practice in contracts (...) | High | High | High | High | Medium |
| 5 | Study on freight integrator (...) | High | High | High | High | High |
| 6 | Elaboration of STI for railways | High | High | High | High | High |
| 7 | Modernisation of freight wagon fleet (...) | Very high | High | High | Very high | High |
| 8 | Study on (...) aircraft noise exposure | Very high | High | Very high | Medium | Medium |
| 9 | (...) economic regulations for Single European Sky | High | High | High | High | Very high |
| 10 | Study on ATM market organisation | High | High | Very high | Very high | Medium |

Figure 4 - Scores attributed under each of the main evaluative questions

5.1 CONCLUSIONS RELATING TO RELEVANCE

Relevance of the projects was considered from two concurrent viewpoints, and they are presented below:

5.1.1 Relevance against the EU policy on Sustainable Mobility - Background

While there is a shared understanding of the basic meaning of sustainable mobility among students, those involved in policymaking and implementation, and industry, there is no one commonly accepted definition: *“Despite the central role that concepts like ‘sustainable transport’ and ‘sustainable mobility’ play in contemporary transport policy formulation, (...) these concepts are by no means unambiguous. In contrast, there is no such thing as a generally accepted definition of ‘sustainable transport’, and it is doubtful whether one would – or could – ever exist.”*²²

²¹ Two different scores were attributed under Relevance; they refer to the Relevance against the policy on Sustainable Mobility; and to the Relevance against the available financial instrument.

²² See “Sustainable Mobility”, an undated paper of Peter Nijkamp, Erik Verhoef, Barry Ubbels and Caroline Rodenburg, Department of Spatial Economics, Free University Amsterdam, the Netherlands. <http://www.urban.uiuc.edu/courses/up330/UNESCO/6.40.4.1-Nijkamp.pdf>

The White Paper “European Transport Policy for 2010: time to decide”, which is the basic document of reference for the European Union Policy on Sustainable Mobility, does not back one among the many definitions that have been given for “Sustainable Mobility”.

Instead, the authors of the White Paper correctly opted for an operational approach: “*This sustainable transport system needs to be defined in operational terms in order to give the policymakers useful information to go on.*” And this operational definition is given in the opening: “**A modern transport system must be sustainable from an economic and social as well as an environmental viewpoint.**”

Maintaining the approach already utilised by the Gothenburg European Council, the White Paper placed the shifting in balance between modes of transport at the heart of the sustainable development strategy, and affirmed that “*in the new context of sustainable development, Community co-financing should be redirected to give priority to rail, sea and inland waterway transport.*”

5.1.2 Relevance against the available financial instrument - Background

Until the European Union budget year 2003, the instrument available to the European Commission to finance activities on Sustainable Mobility was budget line B2-704, titled “Sustainable Mobility Policy”. This was one of the six lines²³ of the European Union budget dedicated to transport, in 2003:

| | |
|--------|-------------------------------------------------------------|
| B2-700 | European Aviation Safety Agency |
| B2-701 | European Maritime Safety Agency |
| B2-702 | Transport Safety |
| B2-704 | Sustainable Mobility Policy |
| B2-706 | Action programme to promote the combined transport of goods |
| B2-707 | Marco Polo programme |

As known, the budget of the European Union contains several sets of comments, which, if formulated, are specific to each budget line. They are meant to provide guidance and explanatory indications on the use of the funds available under the specific budget lines. The comments to budget line B2-704 turned this line of budget into an extremely flexible tool, suitable to accommodate the largest part of the activities that were not covered under the further five lines of budget. The full set of comments to this budget line included in the budget 2003 is reported below.

This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community’s common transport policy; including its extension to third countries, technical assistance, specific training measures and promotion of the common transport policy, including the establishment and implementation of the guidelines for the trans-European transport network referred to in the Treaty.

The measures to be funded will concern:

²³ More properly, one of the six Articles of the Chapter B2-70 (Transport) of the Title B2-7 of the Budget of the European Union.

- Specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market, including extension thereof beyond the Community, with particular attention being paid to the removal of cross-border bottlenecks in areas in which natural barriers hamper the free movement of goods and persons.
- Preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers.
- Observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States.
- Preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes.
- Alignment and integration of the master plans for each mode of transport.
- Design and development of a citizens' network bringing together the services provided by different modes of transport, in particular public transport.
- Development of a fair and efficient pricing policy for transport, including road-user taxes.
- Increasing use of data transmission in connection with transport infrastructure, particularly in relation to management of air traffic, shipping and road traffic.
- Collection and publication of information on the quality of air services.
- Action to support representation of air passengers' interests.
- Development and promotion of intermodal transport and logistics.
- Promotion of Community approaches in international forums.
- Analysis of the environmental and socio-economic impact of the transport networks envisaged.
- Promotion of transport systems and legislation for people with reduced mobility.
- Analysis needed in order to identify and develop projects of common interest in the context of the trans-European transport network.
- Promotion of sustainable mobility in the Community and of effective cooperation between the different transport modes.
- Consistency between the Community's trans-European networks and the networks of the European Free Trade Area countries, the candidate countries and the member countries of the pan-European partnership for the transport networks.
- Awareness-raising and communication activities to promote the global approach advocated by the Community and publicise the trans-European networks in the Community and in Europe.
- Standardisation mandates issued to European standardisation bodies or other bodies in all sectors of transport.
- Analysis of the economic viability of intelligent transport systems (ITS) applications and intermodal applications to evaluate the impact on the environment and on safety, including the demands of logistics centres.
- Development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport.

Figure 5 - Budget of the European Union 2003 - comments to budget line B2-704

This budget line achieved its full legitimacy in the Treaty establishing the European Community, and in particular on Articles 71, 80 and 154 to 156. The Commission can finance operations on this budget line on the basis of its institutional prerogatives²⁴. However, this budget line is not ruled, yet, by a specific Regulation of Application (*"it does not have a legal base"*, in the European Commission's jargon).

²⁴ As ruled by the Article 49(2) of the Council Regulation 605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities. Before June 2002, in conformity with the provisions of the Interinstitutional Agreement of 6 May 1999 on budgetary discipline and improvement of the budgetary procedure.

In consideration of the absence of such a Regulation of Application, the detailed comments accompanying budget line B2-704 acquire, therefore, a particular importance of guidance.

5.1.3 Relevance against the policy on Sustainable Mobility – Conclusions

The tables below present assessments of the degree of relevance of the projects to the European Union Sustainable Mobility Policy. To summarise this analysis, nine out of ten of the projects scrutinised below are considered to be directly relevant, while in one case (project 1) this relevance appears to be indirect.

| | | |
|----|------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01 | TACHONET – Phase 2, system planning and design | <p>The relevance to the policy on Sustainable Mobility appears to be medium. The project is, however, fully relevant to the scope of the Council Regulations on tachographs. These regulations aim to provide instruments to improve road safety. Transport Safety Policy is funded on an annual basis under the different budget line B2-702.</p> <ul style="list-style-type: none"> • It can be argued that the putting in place of Tachonet will have a beneficial effect on the respect of regulatory driving times and rests. These are issues related with Sustainable Mobility. • It can also be argued that a higher level of respect for the regulations on driving times and rests would have the effect of decreasing illegitimate competition among transport companies due to the non compliance with these rules. This, in turn, could have an indirect positive impact on the shifting of balance between modes of transport in favour of sea and rail shipping, which is a primary objective of the Sustainable Mobility Policy. Therefore, it could lead to more sustainable development in road transport. • Moreover, it is possible that Tachonet could have a more long term impact. As a “pure” platform for data interchange, owned by the European Commission, Tachonet could serve as a pilot for subsequent data interchange among Member Countries, should the need emerge, in areas that are more directly relevant to the policy objectives under Sustainable Mobility. |
| 02 | Coastal shipping – OSP rules – Little islands | <p>The project is highly relevant to the Sustainable Mobility Policy goal.</p> <ul style="list-style-type: none"> • In fact, the opportunity for a simplification of the |

| | | |
|----|-----------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <p>rules on access to cabotage for little islands was explicitly mentioned in the 2001 White Paper. This study provided recommendations concerning thresholds to be defined for simplified rules to be applied among islands and long estuaries eligible for public service obligations.</p> |
| 03 | The European Short Sea Network | <p>This project is assessed to be relevant to the policy objectives.</p> <ul style="list-style-type: none"> • Short sea shipping is considered by the European Union policy on Sustainable Mobility as a method of transport that “<i>could take substantial volumes of goods traffic off Europe’s congested roads and ease major road and rail bottlenecks</i>”. Short sea shipping produces fewer polluting emissions than other means of transport, and has a death rate of passengers that is extremely low. It is therefore considered to contribute substantially to the development of a sustainable transport system. • The subvention aims to support further development of short sea shipping, through financing of institutional activities of the existing network of different national short sea promotion centres. |
| 04 | Good practice in contracts for public passenger transport | <p>The project is highly relevant to the European Union policy on Sustainable Mobility.</p> <ul style="list-style-type: none"> • The progressive decrease of private use cars, in favour of a larger use of public transport systems, is at the heart of the European Union policy on Sustainable Mobility. • The study aimed to support public transport authorities and operators by providing legal and management tools aimed to increase transparency and efficiency of their services is in the interest of both citizens and economic players. |
| 05 | Study on freight integrator including questions about civil liability | <p>The study was performed to provide recommendations for Community action for the development of an Action Plan and is highly relevant to the Sustainable Mobility Policy goals.</p> <ul style="list-style-type: none"> • Freight Integrators, defined in the ‘White Paper on |

| | | |
|----|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <p>the European Transport Policy until 2010' as organisers of intermodal full load transports face a complex and difficult task as they must master a range of legal, technical and commercial issues in order to arrange door to door shipments.</p> <ul style="list-style-type: none"> • In accordance with the European Common Transport Policy, which aims to rebalance the modal shift and to increase the environmentally friendly share of alternatives to road modes of transport, the Commission is examining ways to support such Freight Integrators and intends to produce an Action Plan in the near future. |
| 06 | Elaboration of interoperability technical specifications (STI) for railways | <p>This project, which defined one of the technical requisites for the actual interoperability implementation, was highly relevant to the policy goal above.</p> <ul style="list-style-type: none"> • Interoperability is a key component for the efficiency and competitiveness of rail transport. • The efficiency and competitiveness of the sector is a precondition for the far-reaching objective to shift the balance between modes of transport in favour to rail; the objective is one of the key elements of the Sustainable Mobility Policy. |
| 07 | Modernisation of the European freight wagon fleet-noise impact standards | <p>The project is part of a dialogue process between the European Commission and the rail sector (operators, industries, wagon owners, associations, etc.) with the aim to find feasible solutions for the reduction of rail freight noise emission levels and is highly relevant to the European Commission policy goals on Sustainable Mobility.</p> <ul style="list-style-type: none"> • One of the main objectives of the policy on Sustainable Mobility is the modal shift from road transport to rail. This can be achieved if the rail sector is capable of improving its performance, not only in terms of service and costs, but also in terms of environmental performance, like noise reduction. It provides technical and financial information needed for the political decisions to be taken by the European Commission for the freight wagons noise abatement. • Moreover, the project aims to reduce the level of noise of the wagon fleets, which is a measure that strongly addresses the overall objective to achieve |

| | | sustainability in transport. |
|----|-----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 08 | Study on current and future aircraft noise at and around community airports | <p>There is a direct link between the policy under Sustainable Mobility and the objectives being pursued with the legislation on noise reduction at airport level. The study, as an instrument for reporting the EP and the Council on the effectiveness of the Directive 2002/30, is relevant to the policy goals under Sustainable Mobility.</p> <ul style="list-style-type: none"> • One of the objectives of the EC Sustainable Mobility Policy is to improve quality of the transport systems. The goal was to achieve systems that are safe, environmentally and consumer friendly and quality driven. |
| 09 | Implementing rules on economic regulations for the single European Sky Initiative | <p>The Single European Sky initiative aims to increase mobility efficiency in the air transport sector, while minimising delays in flights. This objective is consistent with the Sustainable Mobility policy. As this study is instrumental to a specific aspect of the Single European Sky initiative, it is relevant to the European Commission's policy on Sustainable Mobility.</p> <ul style="list-style-type: none"> • The restructuring of the present charging mechanisms is instrumental to the Single European Sky initiative, and is being done to ensure full consistency with this initiative. |
| 10 | Study on Air Traffic Management (ATM) market organisation | <p>The Single European Sky initiative aims to increase mobility efficiency in the air transport sector, while minimising delays in flights, an objective consistent with the Sustainable Mobility Policy. As this study is instrumental to a specific aspect of the Single European Sky initiative, it is relevant to the European Commission's policy on Sustainable Mobility.</p> <ul style="list-style-type: none"> • The reduction of flight delays will have the effect of decreasing fuel consumption (flight delays are presently managed on the ground, with evident over-consumption of fuel). Due of the problems caused by flight delays, the more suitable routes, both in a vertical and in a horizontal sense, are under-used, and more and more flights are re-routed on sub-optimal routes, with consequent fuel over-consumption and wasting of passenger time. |

5.1.4 Relevance against the available financial instrument - Conclusions

The tables below present assessments of the degree of relevance of the projects to the available financial instrument²⁵. To summarise this analysis, all of the projects examined are relevant to the available financial instrument (budget line B2-704). It is however important to note that project 1 also seems to be relevant to the financial instrument of the policy Transport Safety, budget line B2-702.

| | | |
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| 01 | TACHONET – Phase 2, system planning and design | <p>The project is relevant to the financial instrument. By reason of its higher relevance to a different financial instrument, its relevance has been ranked as medium.</p> <ul style="list-style-type: none"> • Among the different measures to be funded with budget line B2-704 we quote <i>“increasing use of data transmission in connection with transport infrastructure (...)”</i>. A further specific measure aimed to the <i>“preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes.”</i> • However, it must be observed that this specific project could have been also considered relevant to budget line B2-702 (Transport safety), which – as one of its specific measures- foresees the financing of <i>“road accident avoidance measures, with the emphasis on the human factor.”</i> |
| 02 | Coastal shipping – OSP rules – Little islands | <p>The project is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • The justification of the financing of this activity is to be found in the heading of the comments to budget line B2-704, which says <i>“This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community’s common transport policy...”</i> • Moreover it is justified by the following comment, which includes among the activities to be financed <i>“preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers”</i>. • In addition, it is substantiated by the comment: <i>“observation of the market for the carriage of goods and passengers in all modes, including</i> |

²⁵ Words in italics are taken from the comments accompanying budget line B2-704.

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| | | <i>improved collection of statistics by Member States”.</i> |
| 03 | The European Short Sea Network | <p>The project is relevant to the available financial instrument; its justification is represented by two comments to budget line, which aims to finance:</p> <ul style="list-style-type: none"> • <i>“Specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market...”</i> • <i>“Promotion of sustainable mobility in the Community and of effective cooperation between the different transport modes”</i> |
| 04 | Good practice in contracts for public passenger transport | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • The funding under budget line B2-704 is justified by the following comment to the budget: the financial instrument can finance activities of <i>“observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States”.</i> |
| 05 | Study on freight integrator including questions about civil liability | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • The comments to budget line B2-704 explicitly foresee the financing of measures targeted to the <i>“development and promotion of intermodal transport and logistics”.</i> |
| 06 | Elaboration of interoperability technical specifications (STI) for railways | <p>The relevance to the available financial instrument is high, and finds its justification in the five following comments to budget line, which aims to finance:</p> <ul style="list-style-type: none"> • <i>“Specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market...”</i> • <i>“Preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers”</i> • <i>“Preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes”</i> |

| | | |
|----|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <ul style="list-style-type: none"> • <i>“Promotion of sustainable mobility in the Community...”</i> • <i>“Standardisation mandates issued to European standardisation bodies or other bodies in all sectors of transport”.</i> |
| 07 | Modernisation of the European freight wagon fleet-noise impact standards | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • Budget line B2-704 can finance activities of <i>“promotion of sustainable mobility in the Community...”</i> • Moreover, it can finance <i>“standardisation mandates issued to European standardisation bodies or other bodies in all sectors of transport”.</i> |
| 08 | Study on current and future aircraft noise at and around community airports | <p>The study is relevant to the available financial instrument.</p> <ul style="list-style-type: none"> • Its relevance is to be appreciated in relation to the following comments to the budget, which aims to finance <i>“analysis of the environmental and socio-economic impact of the transport networks envisaged”</i>, and activities of <i>“promotion of sustainable mobility in the Community...”</i> |
| 09 | Implementing rules on economic regulations for the single European Sky Initiative | <p>The study is highly relevant to the available financial instrument.</p> <ul style="list-style-type: none"> • The justification of the financing of this activity is to be found in the heading of the comments to budget line B2-704, which says <i>“This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community’s common transport policy...”</i> • More specifically, the last comment to budget line foresees the <i>“development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport”.</i> |
| 10 | Study on Air Traffic Management (ATM) market organisation | <p>The study is highly relevant to the available financial instrument.</p> <ul style="list-style-type: none"> • The justification of the financing of this activity is to be found in the heading of the comments to budget line B2-704, which says <i>“This appropriation is intended to cover expenditure on the gathering,</i> |

| | | |
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| | | <p><i>collation and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy...</i></p> <ul style="list-style-type: none"> • More specifically, the last comment to budget line foresees the <i>“development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport”</i>. |
|--|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

5.1.5 Further findings regarding relevance

It is worth mentioning the case of project 09 (a study commissioned as to prepare a specific regulation in the frame of the initiative Single European Sky). In this specific case, the legislative framework of reference regulating the area under analysis was changed after the execution of the contract. As a consequence, the implementation of a specific section of the study required by the terms of reference became redundant²⁶. In order to maintain the full relevance of the project, the contract with the consultant was amended²⁷, to exclude this redundant section of the study, which was replaced with a new, specific requirement²⁸.

This case is interesting, because it shows that, under certain conditions and if suitably directed, the administrative processes of the Commission are capable of adapting to a changing environment.

5.2 CONCLUSIONS RELATING TO EFFECTIVENESS

The effectiveness of each project was assessed with regard both to the contractual objectives, and the specific policy objectives.

5.2.1 Effectiveness in addressing the project objectives

The possibility of assessing the effectiveness of a project bears a direct relation to the performance of the contractor/beneficiary; the level of detail of its terms of reference; and the quality of the project outputs.

An unclear term of reference makes it more challenging to monitor a contract during its life, and to appreciate its effectiveness at the time of evaluation. This was experienced only in one case during the evaluation, meaning that for the majority, the terms of reference of the projects being assessed were clear and understandable, and set out precisely the objectives of the contract.

Project outputs were, in the main, of a general good quality, and fully allowed the evaluators to assess whether project objectives were achieved. This was not the

²⁶ It was the part of the study that was planned to deal with the issue of internalisation of external costs (incorporation of the external costs into air navigation charges).

²⁷ By agreement between the parties.

²⁸ A wider geographic coverage of the study.

case, however, for one project, and the evaluators were obliged to double check with external evidence, to verify if contractual activities were actually carried out. In a couple of cases, Task Managers reported that the finalisation of the reports was quite laborious, and some unplanned efforts of European Commission Officers were needed to support the consultants during this phase.

Generally speaking, reports, even those of a highly technical nature, were written in clear and understandable terms. Some possible areas of improvement were identified, however, in the structure of the reports. It would be rather unfeasible to impose a duty on contractors and beneficiaries to utilise a standard reporting structure when it comes to projects of a largely dissimilar nature. However, contractors and beneficiaries should be asked to include two basic elements in their reports, which in spite of being essential were not always present in the reports consulted:

- An executive summary.
- The description of the methodology followed (if applicable).

In general, all the projects selected for evaluation were effective in addressing their specific contractual obligations; some differences in the degree of effectiveness were remarked in a few cases. Several specific comments were formulated, which are fully reported in each individual evaluation grid. The following table summarises the main findings from the assessment of effectiveness:

| | | |
|----|------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01 | TACHONET – Phase 2, system planning and design | <p>The project was highly effective in reaching its contractual objectives.</p> <ul style="list-style-type: none"> • The contractor produced all the expected deliverables. Effectiveness of the project in addressing its specific objectives was positively assessed by the internal services of the European Commission. • Further evaluative evidence collected at Member States level confirms the effectiveness of the project. |
| 02 | Coastal shipping – OSP rules – Little islands | <p>The project was very focused on specific statistic tasks, and was effective in reaching its objectives.</p> <ul style="list-style-type: none"> • The Final Report to the Commission contained all the elements required under the Terms of Reference. Effectiveness of the project in addressing its specific objectives was also positively assessed by the internal services of the European Commission. |
| 03 | The European Short Sea Network | <p>The project was reasonably effective in further developing the web-based services of the ESN; and in undertaking activities for the marketing of ESN, as well</p> |

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| | | <p>in investments made.</p> <ul style="list-style-type: none"> The contract did not set specific targets for the main activities; and the Final Report was affected by unclear exposure (few clear indications on the progresses achieved during the reporting period). The assessment of project effectiveness is therefore made more difficult. |
| 04 | Good practice in contracts for public passenger transport | <p>The project was effective in reaching its objectives.</p> <ul style="list-style-type: none"> While the specific content of the project outputs was of full satisfaction to the European Commission, some under-performance was noted concerning the presentation of the findings of the study (poor drafting, needing major reworking). All the required outputs were produced by the project. They assumed the form of two studies (Study of good practice in contracts for public passenger transport; and Guide to contracts and contracting in public transport), and an electronic collection of contracts. Criticism was raised during the evaluation by the transport company of an European Union Capital city, which considered that some of the data contained in the first of the two reports (Good practice in contracts...) were outdated at the time of writing. |
| 05 | Study on freight integrator including questions about civil liability | <p>The project was highly effective in reaching its objectives.</p> <ul style="list-style-type: none"> The technical report is of a good quality level; this assessment is shared by the European Commission services. |
| 06 | Elaboration of interoperability technical specifications (STI) for railways | <p>The project was effective in addressing its objective.</p> <ul style="list-style-type: none"> The technical specifications required for the interoperability of control/command and signalling high speed rail sub-systems were quickly approved by the Member States Committee and thus transformed into European legislation. |

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| 07 | Modernisation of the European freight wagon fleet-noise impact standards | <p>The project was effective in addressing its objective.</p> <ul style="list-style-type: none"> • The project reached its objectives and largely confirmed the conclusions of the “UIC/UIP/CER Action Program Noise reduction in freight traffic”, which puts forward the retro-fitting of the European Union-Railway-27 wagons as the most cost-effective solution for reducing rolling noise and provides an estimate of the size of the fleet to be renewed. • In addition, it analysed and evaluated different scenarios for the implementation of the retrofitting and outlines various funding options, like direct subsidies, EIB loans, early scrapping policies, tax exceptions and reduced track access charges. |
| 08 | Study on current and future aircraft noise at and around community airports | <p>The project was highly effective in reaching its specific objectives, and the produced outputs seem to the evaluators of an excellent qualitative level.</p> <ul style="list-style-type: none"> • Moreover, the contractor went beyond the Terms of Reference of the contract, undertaking further analysis that is beneficial to the final value of the project. |
| 09 | Implementing rules on economic regulations for the single European Sky Initiative | <p>From a comparison between the final deliverable of the study and the Terms of Reference, and notwithstanding a different opinion expressed by one of the stakeholders, it seems to the evaluators that all the objectives of the study were met. It is assessed therefore as effective in addressing its contractual objectives.</p> <ul style="list-style-type: none"> • This is confirmed also by the European Commission, which is overall satisfied with the study. • Some criticisms were raised by both the European Commission and (some) stakeholders, who consider that in some parts the report was affected by an approach that was too academic. A consequent need to “rework” some of the parts of the study for their use is underlined by the Task Manager. |

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| 10 | Study on Air Traffic Management (ATM) market organisation | <p>The project was highly effective in reaching its specific objectives</p> <ul style="list-style-type: none"> • All the project objectives were addressed by the study, which provided inputs in all the areas considered in the terms of reference. • Some elements going beyond the main “legislative purpose” of the European Commission at the time of the launching of the study were included in the final report, as well. DG TREN considers them as elements of interest, and of a possible future use. |
|----|-----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

5.2.2 Effectiveness in addressing the specific policy goals

In the majority, the projects were effective in addressing the policy goals to which they refer. Only two exceptions are noted:

- The case of project 1 (Tachonet) for which doubts about its direct relevance to Sustainable Mobility were raised. In this case, a full effectiveness is actually found if addressing the specific goals of a different policy (Transport Safety, and the legislation on digital tachographs).
- The case of project 03 (The European Short Sea Network), which was a cofinancing of some institutional activities of the Network. In this case, in reason of its small budget and its very narrow focus, the project cannot be realistically requested to be effective in addressing a much wider policy goal. The criterion of analysis is considered therefore as not relevant.

5.2.3 Further findings regarding effectiveness

Task Managers put a few innovative management tools in place and these had a beneficial impact on the effectiveness of some of the projects selected for assessment. Some of these measures have been adopted as standard procedures by some Units of DG TREN, while others are just applications of the ideas of individual Officers.

During interviews conducted in DG TREN, some Officers declared that they would like to be informed of best management practices adopted by their colleagues; and to have more guidance on these important aspects. Best practices identified during this part of the evaluation are presented here, alongside some additional comments. Background information is also reported when required to understand the reasons for the adoption of these management measures.

| | | |
|----|------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01 | TACHONET – Phase 2, system planning and design | <p>The project aimed at supporting the Member States in their application of a Council Regulation, by means of the development of a technical platform for data interchange. Once developed, the adoption of the platform will be done by Member States on a voluntary basis.</p> |
|----|------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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| | | <ul style="list-style-type: none"> • It was of primary importance for the success of the project to conduct a correct needs analysis, and to make any possible effort to give a strong motivation to Member States to adopt the technical platform. The solution found was to carry out the project in strict cooperation with a specific Working Group (CIWG), in which all Member States are represented. All the decisions of strategic importance were adopted there and it monitored progress of the project against its objective • There is a general consensus that this collaboration with Member States' representatives was extremely important for the project; and that this working methodology yielded positive effects, both regarding the appropriateness of user needs analysis, and the strengthening of the Member States' sense of ownership of the results of the project. |
| 04 | Good practice in contracts for public passenger transport | <p>One of the two objectives of this study was to provide the Commission with elements to be used by Member States' authorities and transport operators for public contract issuing and management.</p> <ul style="list-style-type: none"> • The effectiveness of the project in this regard would have been reached therefore by the publication of its reports. • The reports produced by the study were sent via email to about 600 selected addressees throughout Europe, including public authorities, transport operators and consulting firms. • The initiative was overall very well received, and there are signs that show that the reports were further disseminated by the recipients to other people and organisations. • The publication on the website of DG TREN of these reports could further add to the effectiveness of this project. |
| 09 | Implementing rules on economic regulations for the single European Sky Initiative | <p>Both studies aimed to provide the Commission with elements of use for the undertaking of legislative initiatives, and were managed by the same Unit.</p> |

| | | |
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| 10 | Study on Air Traffic Management (ATM) market organisation | <ul style="list-style-type: none"> • Pursuant to a procedure adopted by the Unit in charge of these two projects, the provisional and final results of these studies were presented to public workshops, open to stakeholders and operators of the sector. Participants were invited to present their positions on the issues covered by the studies, and several papers were received (this was particularly the case for project 09). These opportunities are unique in their value, for all those involved: the Commission, the contractor, and all of the stakeholders. They have the double effect of facilitating social dialogue; and also allowing the external consultant to test its findings and conclusions against the positions expressed by the participants. • The reports of both the studies were published on the website of DG TREN, a measure that further adds to their effectiveness. |
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5.3 CONCLUSIONS RELATING TO IMPACT

A largely accepted definition of impact, which is adopted in the present Report, is; *“The ultimate planned and unplanned consequences of a program; an expression of the changes actually produced as a result of the program, typically several years after the program has stabilised or been completed”²⁹.*

The short time that elapsed since the completion of (some of) the projects selected for this evaluation, emerged in some cases as a critical factor in assessing their impact. In order to observe both planned and unplanned effects of the projects, impact was analysed in 11 different areas; seven of these areas are common to all the projects³⁰, while four further areas³¹ are specific to project 1 only (Tachonet).

The several specific comments that were formulated can be fully understood in the context of each individual evaluation grid, where they are reported (please see Annex A). The scope of this Paragraph is to summarise the main findings from this analysis.

The main evaluative conclusion regarding impact is that no negative impacts³² of the projects under scrutiny have been observed. The following table shows the areas

²⁹ Organizational Assessment, A Framework for Improving Performance. Charles Lusthaus, Marie-Hélène Adrien, Gary Anderson, Fred Carden, and George Plinio Montalbán. IDRC/IDB 2002; ISBN 0-88936-998-4.

³⁰ They are: Policymaking; Secondary impact on policymaking; Publicity given; Communication and media; Industry; Research; National administrations and authorities.

³¹ They are: Transport market; Road safety; National legislations; Extra EU countries.

³² For a definition of “negative impact” please refer to footnote 3

where a positive impact was observed, per project. Only the seven areas that were taken into consideration for all the projects are reported in the table. At the crossings between rows (the projects under assessment) and columns, one of the three following values is reported:

- Yes - this means that a positive impact was observed.
- No - this means that no impact was observed.
- Expected - this means that a positive impact is likely to be produced in the near future.

| | | Policy making | Secondary impact on policy making | Publicity given | Communication - media | Industry | Research | National Administrations - Authorities | Totals per project | | |
|---------------|----------------------------------------------------|---------------|-----------------------------------|-----------------|-----------------------|----------|----------|----------------------------------------|--------------------|-----------|----------|
| | | | | | | | | | Yes | No | Expected |
| 1 | Tachonet - phase 2 | No | Expected | Yes | No | Yes | No | Expected | 2 | 3 | 2 |
| 2 | Coastal shipping - OSP rules - small islands | Yes | No | No | No | No | Yes | No | 2 | 5 | 0 |
| 3 | The European Short Sea Network | No | No | Yes | No | Yes | No | No | 2 | 5 | 0 |
| 4 | Good practice in contracts (...) | No | Yes | Yes | No | Yes | No | Yes | 4 | 3 | 0 |
| 5 | Study on freight integrator (...) | Yes | Expected | Yes | Yes | Yes | No | No | 4 | 2 | 1 |
| 6 | Elaboration of STI for railways | Yes | No | Yes | Yes | Yes | No | No | 4 | 3 | 0 |
| 7 | Modernisation of freight wagon fleet (...) | Yes | Yes | Yes | Yes | Yes | No | No | 5 | 2 | 0 |
| 8 | Study on (...) aircraft noise exposure | Expected | Yes | Yes | No | No | No | No | 2 | 4 | 1 |
| 9 | (...) economic regulations for Single European Sky | Yes | Expected | Yes | No | Yes | Yes | No | 4 | 2 | 1 |
| 10 | Study on ATM market organisation | Yes | Expected | Yes | Yes | Yes | Yes | No | 5 | 1 | 1 |
| TOTALS | | | | | | | | | 34 | 30 | 6 |

| Totals per area | | | | | | | | | TOTALS |
|-----------------|---|---|---|---|---|---|---|----|--------|
| Yes | 6 | 3 | 9 | 4 | 8 | 3 | 1 | 34 | |
| No | 3 | 3 | 1 | 6 | 2 | 7 | 8 | 30 | |
| Expected | 1 | 4 | 0 | 0 | 0 | 0 | 1 | 6 | |

Figure 6 - Impact of the projects on the seven common areas analysed

On average, every project under scrutiny had a positive impact on 3.4 of the 7 common areas considered³³. In consideration of the short time elapsed since the completion of (some of) the projects, this has to be regarded as a very conservative evaluative result. Some projects, in fact, are expected to produce their full impacts in a longer term perspective, and a later evaluation would better help to understand this aspect.

Some comments per area will help in better understanding the results of this part of the evaluation.

Impact on policymaking - Any direct impact on policy formulation that the project was expected to have (like support for the formulation of a legislative initiative) is considered here:

- Six projects had an impact on policymaking, and one of them is expected to produce a positive impact in the near future³⁴. This is a confirmation that the projects launched to support the policymaking activities of the Commission were successful in their main strategic objective. It is worth mentioning that among the three projects that did not have an impact on this area, two were not meant to produce such an impact due to their nature (projects 2 and 3); and one (project 4) could not deploy its potentialities in these terms because of some delays in the administrative process leading to its launching.

Secondary impact on other policies – We consider under this category any impact on formulation of policies different from the ones taken into consideration under the previous category, i.e. impact on policies that the project was not expected to have. These can be policies under the direct responsibility of DG TREN, or under the responsibility of other DGs of the European Commission.

- The three cases where impact was recorded (projects 4, 7, and 8), and the further three where a positive impact is now expected (projects 5, 9, and 10) are therefore to be regarded as a further sign of positive success of these projects:

Publicity given – We consider here any form of publicity given to the results of the projects that is not included under the following categories (presentation to conferences, publication on institutional websites...).

- Nine out of ten projects were the subject of some publicity.

Communication and media – Under this category we consider any visibility given to the results of the projects on media that we were able to trace.

- None of the projects was subject of a specific communication plan. However, four of the projects (5, 6, 7 and 10) were quoted on media (typically on specialised magazines) for their value.

Impact on industry – We consider under this category any impact on transport-related industries.

- The very large impact that emerged (eight projects out of ten) was not to anyone's surprise, in consideration of the nature of the majority of the projects assessed. In particular, legislative initiatives aimed to rule the policy on Sustainable Mobility of the European Union are of high interest for the transport

³³ Total number of areas where an impact was observed (34) / total number of projects (10).

³⁴ This is not due to any delay, but simply because its impact is rightly planned to take place as from the year 2008.

industry, for their possible industrial, commercial, or economic implications. Studies or subventions that are preparatory to these legislative initiatives are therefore closely monitored by the industry sectors that could be concerned by the legislation under preparation.

- In both cases where impact was not observed, this was surely due to the fact that the reports from the studies had not yet been published (projects 2 and 8). Should the reports be published, their impact on industry is likely to be observable.

Impact on research – Here we tried to trace the impact of the project reports on research carried out by third parties.

- This was another area where impact was unplanned, but was observed for projects 2, 9, and 10. Their reports were quoted in deliverables of research activities; the report of project 10 was furthermore quoted in a publication of a University.

Impact on national administrations and authorities.

- A positive impact was observed regarding project 4, and another is expected for project 1.

Impact on transport market, road safety, national legislations, extra-European Union countries.

- An impact of project 1 is expected under each of these areas, after full deployment of the system.

5.3.1 Policy-off situation

In the course of the evaluation, consultants were requested to provide, if feasible, some elements based on a policy-off (or counterfactual) hypothesis. In other words, to indicate, based on evaluative evidence, what would have happened if the projects under scrutiny had not been financed.

The construction of counterfactuals is a powerful tool that evaluators use to understand the impacts of interventions. However, some level of arbitrariness is always implicit in the construction of a counterfactual: one can never know with certainty how the counterfactual situation would have been in absence of the intervention under assessment.

A typical example of the application of this tool is the case of public interventions aiming to increase welfare (or employment rate, or education...) of the participants to a programme. A counterfactual is derived with analysis of a control group made of people who have not taken part in the intervention. This control group should possess characteristics as similar as possible to the group that participated in the intervention, before the intervention (at the baseline). The comparison between the counterfactual and the real situation helps to determine the net effects of the public intervention.

In order to construct proper counterfactual hypotheses, the nature of the projects under examination³⁵ makes compulsory the use of non-traditional evaluative tools,

³⁵ Counterfactual analyses cannot be performed for the projects under assessment with use of control groups.

borrowing a technique used by counterfactual historiographers. The technique is based on the “taking away” of one element of the history, to develop a best estimate of what the situation could have been, in consideration of all the other known factors of the history.

For all the activities under assessment the element that is “taken away” is their financing by the European Commission, under budget line B2-704. Clusters of projects report the results of this exercise.

Pre-legislative studies and initiatives

We consider under this cluster those studies that had as one of their purposes the scope to provide the European Commission with elements of use for the preparation of a legislative initiative. The following projects are included in this cluster:

- 2 Coastal shipping - OSP rules - small islands
- 5 Study on freight integrator including questions about civil liability
- 6 Elaboration of interoperability technical specifications (STI) for railways³⁶
- 9 Implementing rules on economic regulations for Single European Sky Initiative
- 10 Study on air traffic management (ATM) market organisation

As we saw, all of these projects had a direct impact on policymaking; therefore they were successful in this regard. However, this was just one (although, probably the most significant) was among all elements significant in supporting the Commission in the preparation of its legislative initiatives. Further elements include the personal knowledge of the Officers in charge of this task; exposure of the European Commission’s Officers to opinions and positions of external stakeholders; readings; contacts with policy players...

In absence of a financing of these projects, it is likely that less-scientifically based legislative initiatives would have been proposed. Without the support of independent studies, the European Commission Officers in charge of the preparation of the legislative initiatives would have been more exposed to lobbies, and to their personal and professional opinions. It is very likely that the legislative initiatives would have had to face stronger discussions and objections at the European Parliament and the Council.³⁷

With the 2001 White Paper on European Governance³⁸ the European Commission recognised the importance of the use of expertise in policymaking; and with its Communication “On the Collection and use of Expertise by the Commission:

³⁶ This Project is also considered under the cluster “Subsidies to industry”.

³⁷ The pure hypothetical nature of this counterfactual is the highest for the project 06. The elaboration of STIs in fact is given by law to an external entity, AEIF (Council Directive 96/48/EC).

³⁸ COM(2001)428.

Principles and Guidelines³⁹”, the EC reaffirmed and ruled that expertise forms an integral part of a dynamic knowledge-based society, and that *“As a condition for success, it is crucial that policy choices are based and updated on the best available knowledge. This requires access to the right expertise at the right time.”*

The counterfactual hypothesis debated here (the absence of independent studies to support preparation of the legislative initiative) is based on a practice that does not seem consistent with the present working methods of the Commission. These working methods are motivated by the objective of putting in place the best possible legislation.

As such, this academic counterfactual is an indirect confirmation of the validity of the method of work adopted by DG TREN when undertook to launch these pre-legislative studies⁴⁰.

Post-legislative studies

We define post-legislative studies, as the studies that the European Commission entrusts to external entities to meet its duty to report to the European Parliament (and the Council) on the state of implementation of a given Directive, after a period of time from its entry in force. One of the projects under scrutiny corresponds to this description:

- 8 Study on current and future aircraft noise exposure (...)

With this project, the European Commission entrusted to an external consultant the technical task of assessing the noise climate at and around European airports. The task was indispensable to report (in 2007) to the European Parliament and the Council on the effectiveness of the Directive. A second similar study would have to be launched in late 2005/early 2006, to allow for comparison between the two emerging situations.

In this case, the counterfactual is even more academic. Without this study the European Commission would have failed to accomplish its specific legal duty, because it does not possess the adequate internal resources to carry out the analyses that are indispensable to report to the EP and the Council.

This analysis therefore fully justifies the execution of this specific study.

Subsidies to industry

Subsidies to industry are defined as those projects that, through cofinancing of specific activities carried out by the industry, pursue objectives that are consistent with specific European Commission policies.

Three projects fall under this cluster:

³⁹ COM(2002)713.

⁴⁰ Method of work that was adopted in DG TREN even before the White Paper on European Governance: the study 10 was launched in fact the year before the publication of the White Paper.

- 3 The European Short Sea Network
- 6 Elaboration of STI for railways
- 7 Modernisation of freight wagon fleet (...)

Due to the highly specific characteristics of these projects, these are considered separately below:

The European Short Sea Network – with this subvention the European Commission co-financed some institutional activities of the European network that promotes short sea shipping⁴¹. The promotion of short sea shipping is a specific objective of the European Union policy under Sustainable Mobility⁴².

What would have happened, if the European Commission had not co-financed the project under analysis? At a time when it was not financially independent, the ESN would have been faced with two alternatives: either to renounce to the project, or to find alternative resources.

Very likely the ESN would have been able to find in the shipping communities the resources not available through European Commission financing, in the form of subsidies (about 54,000 €). More than 300 European ports are involved in short sea shipping, which is a modality of transport that in the year 2000 absorbed 41% of the all tonne-kilometres goods traffic in Europe (about 1,200 billions of tonnes per kilometre in year 1999). It is difficult to think that such a huge commercial system would not have been interested in making available to ESN such a small amount of money, to finance a service aimed to advertise the sector.

The most likely change in relation to the real situation would have related to the network's independence, which is presently independent from specific commercial and interest groups. A direct financing from the industry could have had negative repercussion in terms of loosing independency of the ESN.

The European institutions would probably have lost an independent counterpart that is presently important to the pursuing of their political objectives.

In case of the impossibility to find alternative budget contributions, ESN would have had to renounce to the project to ameliorate their search services. This is the worst scenario hypothesis; a crucial element supporting the efforts of the European Commission to promote short sea shipping would have never reached an acceptable quality level in terms of geographic and sector coverage. Thus, the "system" Short Sea Promotion Centres would have lost their public image, and the European

⁴¹ In particular, the EC financed the strengthening of the search services already available via the website of ESN, targeted to provide information on Liner services; Tramp vessels; Ports. Some residual financing went for investments in promotion and marketing.

⁴² The awarding of "*political, practical and financial support to the work of the Short- Sea Promotion Centres and their European network*" is one of the specific measures (action sheet 12) foreseen by the EC Communication "Programme for the promotion of Short SeaShortSea Shipping" . The counterfactual (no EC financing to the ESN) is once more a purely hypothetical one, because of the decision to finance the ESN ratified in the quoted Communication.

Commission would have indirectly suffered from this, because of its political support given to the network.

The discussed counterfactual confirms the validity of the financing in a period when the ESN was not self-sustainable in financial terms.

It is briefly reported that the above quoted action sheet 12 to the Communication (2003) 155 foresees as deadline for the public financial support “*Until the Centres reach self-sufficiency through membership fees and other private funding*”. This approach is fully coherent with a similar approach adopted by other DGs of the European Commission, which granted subsidies to selected organisations and entities till the reaching of their financial self-sustainability.

Elaboration of STI for railways – As known, the Council Directive 96/48/EC entrusted AEIF (European Association for Railway Interoperability) with the preparation of these (and other) Interoperability Technical Specifications. The adoption by the rail sector of STIs is essential in order to achieve standardisation and interoperability in rail transport, which is an objective of the European Common Transport Policy. Standardisation and interoperability would make it possible (for example) for a high-speed German passenger train to operate between Rome and Milan, in Italy.

With a specific Convention of Cooperation signed the 18/12/1997 that makes reference to the Directive, the European Commission accepted to co-finance the 95% of 1/3 of the total costs of the definition of each STI. The Convention had a five-year duration.

What would have happened if the AEIF had to self-finance its activities of STI preparation⁴³?

As known, AEIF brings together representatives of the infrastructure managers, railway companies and industry. It is co-founded by UIC (International Union of Railways), UNIFE (Union of the European Railway Industries) and UITP (International Association of Public Transport), and is supported by the European Commission. In other words, it can be said that AEIF is the expression of the interests of different sectors of the transport industry.

It is observed that national industries, rail operators and infrastructure managers tend to protect their domestic markets in agreement among them. It is not difficult to predict that in absence of a strong European Union policy in favour of liberalisation, they would tend to avoid standardisation (or to keep it to the minimum levels that are needed for the good functioning of the system), and maintain entrance barriers to their own markets.

This approach is coherent with the "classic" reaction of monopolies when faced with an attempt to liberalise their own markets. This reaction has been defined as the “rule of the three D”: Denial (refusal to take the problem into consideration); Delay

⁴³ A panel of three experts of the sector, who asked to remain anonymous, kindly assisted the evaluators with the discussion of this counterfactual scenario.

(introduction of any excuse with the aim to postpone the liberalisation process); Detail (add complexities to the technical problems with the aim to –once more- delay the process).

Given that, the European Commission's intervention - through the funding and the participation to the coordination of the definition of the STIs- has certainly contributed to facilitate the process, which would otherwise be extremely time consuming, uncertain in its results, and difficult. From a concurrent viewpoint the European Commission's co-funding could also be seen as the carrot in addition to the stick (the liberalisation Directive)⁴⁴. The proposed counterfactual seems to confirm the validity of the intervention.

Modernisation of freight wagon fleet (...) – The purpose of this study was to carry out an independent assessment of the positions that the rail industry already expressed in relation to the possibility to achieve a reduction of rail freight noise emissions; and to propose a set of possible intervention scenarios. The assessment was entrusted to an independent expert that was selected by a consortium of railway operators⁴⁵, and agreed by the European Commission.

On the basis of the outputs from the study, a road map for freight wagon noise reduction is being drawn up in the frame of the institutional activities of the Railway Noise Working Group.

The abatement of freight wagon noise is an objective that is instrumental to the European Union policy to shift the balance between modes of transport from road to rail and sea. In this context, the opening of a dialogue with the industry for getting to the approval of a plan (or road map) for its progressive reduction was an extremely important objective.

The industry had already prepared their proposals: they were formulated in the UIC/UIP/CER Noise Action Plan. In absence of the financing of the project under analysis, the European Commission would have had two alternatives: either to accept the positions of the industry⁴⁶ as a platform for the opening of a dialogue with them; or to ask UIC/UIP/CER to self-finance an independent assessment of their Action Plan.

The undertaking of the first possibility does not seem a realistic hypothesis, in consideration of the high levels of risk entailed (risk related to the European Commission *de facto* backing of a position expressed by industry without a critical analysis of it; risk to expose the European Commission to criticism for such a way to operate).

⁴⁴ The panel of experts was unanimous in commenting that the adoption of technical interoperability standards has to be followed-up by the completion of the services liberalisation. Without this further step, which at the moment seems to be quite far for passenger trains, the substantial efforts made risk to remain pure theory.

⁴⁵ The consortium of operators was the beneficiary of the subsidy, who co- financed the 50% of the costs of such operation.

⁴⁶ A third hypothesis (internal EC assessment of the Action Plan) is not realistic, because the EC does not possess internal resources for this task.

The second hypothesis (asking UIC/UIP/CER to self-finance an independent assessment) is more realistic, but presents some pitfalls: in so doing, the European Commission would have renounced to any power of control of the real independence of the expert selected and to the right to approve/reject/request modifications to the final report. This could have led to a situation similar to the one above prospected.

In conclusion, the discussed counterfactual seems to confirm the validity of the intervention. The principle of cost sharing seems moreover to better correspond to the logic of the intervention, i.e. agreeing on a platform for opening a discussion, in the common interest of both parties involved.

Activities aimed to support Member States authorities.

We include under this last cluster two projects of a different nature, but having as their scope the provision to Member State authorities of instruments of support in the application of a legal requirement, or a policy.

- 1 Tachonet – second phase
- 4 Good practice in contracts for public passenger transport

In reason of their specific nature, each project deserves a separate consideration.

Tachonet – The project aimed to support the Member States in their application of a Council Regulation, by means of the development of a technical platform for interchange of data on digital tachographs. Once developed, the adoption of the platform will be done on a voluntary basis by Member States.

In absence of the project Tachonet, Member States authorities would have been in any case under a legal duty to release a driver card only to those professional drivers that did not obtain the issuing of a similar card by the authority of another Member State.

This would have created a need to implement a mechanism of data sharing (very likely an on-line modality would have been adopted for its advantages), targeted to provide the different national authorities with the possibility to check whether the applicant driver was already in possession of a driver card released by the competent authority of any further MS. Very likely, some more proactive MS would have taken the initiative to build-up a first group of Member States willing to invest in this objective, which very likely would have applied for funds under the European Commission Framework Programme (FP) for Research and Development (R&D). If granting would have been given from the FP R&D, most likely, the European Commission's budget would have saved the 50% of the project costs, but the present situation –in comparison with the counterfactual hypothesis- presents some advantages:

- Control of the whole process. In the current system, the European Commission's keeps full control of the project activities. This includes both the technical decisions taken, and the decision to setup a forum of coordination with the Card Issuing Working Group. This last aspect could have been discarded by the beneficiary of a hypothetical R&D financing, because it is too

time consuming. As a result, effectiveness and impact of the counterfactual hypothesis could have been lower.

- The adoption of off-the-shelf solutions. It was deemed so important for the successful achievement of the objectives of the Tachonet system (a wide adoption of the system) that off-the-shelf solutions would have been preferred to proprietary software. This choice presents important advantages in terms of initial investments, working time, and maintenance costs. It cannot be taken for granted that the same approach would have been adopted in the policy-off hypothesis, because it would have been left to the autonomous decision of the applicant for funding.
- The ownership of the results. Within the present system the European Commission will hold ownership of results, while in the counterfactual hypothesis the ownership would have been with the beneficiaries of the funding. The ownership of results allows the European Commission to further exploit the platform being developed for any potential further need of data exchange arise.

In conclusion, the discussed counterfactual is realistic, but presents important disadvantages in relation to the real situation.

Good practice in contracts (...) – One of the two aims of the project was to support Member States authorities and transport operators with instruments of use for the issuing and managing of contracts for public services. This was supposed to help them in the application of a specific Regulation, which was expected to be approved before the finalisation of the study. In absence of the Regulation approval, the reports from the study were sent to their planned beneficiaries, who positively accepted them. Some local actions were undertaken based on the findings contained in the consultants' reports.

For the time being, Member States are not under the formal obligation to respect any requirement when contracting out the management of public transport services. The non-financing of the report would not have affected therefore their fulfilling of a legal obligation⁴⁷.

However, the study provides Member States with visibility of best practices around Europe in the ruling of contracts for public passenger transport. Even pending approval of the expected Regulation, this supported a wider spreading and adoption of these best practices. This could in turn be beneficial for the application of the Regulation at Member States level, once approved. Without the financing of the study, this would not have been possible.

The discussion of this counterfactual hypothesis indicates that the decision to finance the study, and the distribution of its deliverables, even pending approval of the Regulation was a wise choice, with present and future, predictable beneficial effects.

⁴⁷ Nor is the EC European Commission obliged to support MS's authorities in their application of European legislation with the issuing of independent advices

5.4 CONCLUSIONS RELATING TO EFFICIENCY

The analysis of efficiency was undertaken via an examination of inputs and outputs/outcomes. This analysis could not be undertaken, however, for the projects 01 (Tachonet) and 03 (The European Short Sea Network), in reason of their specific budget formulations⁴⁸.

5.4.1 Efficiency in the use of resources

From an analysis of the efforts allocation, there is no evidence of over-allocation of resources. In addition, all the efforts planned appear to be justified by the objectives of the projects, and the tasks to be carried out by the consultants/beneficiaries.

A basic fee analysis was carried out for the projects under evaluation, dividing the budget for fees of each specific project per the number of its working days. The resulting figures do not take into consideration the professional experience of the experts (senior consultant, expert, junior consultant), and correspond to the average daily costs of each project in terms of professional fees. The following table reports the results of this analysis, per project and contractual year:

| | | AVERAGE FEES (year of contract) | | | | |
|----|-------------------------------------------------------------------------------|---------------------------------|------|------|------|------|
| | | 1999 | 2000 | 2001 | 2002 | 2003 |
| 2 | Cabotage- règles OSP-Petites îles (Study on Small Islands and Estuaries) | | | | 745 | |
| 4 | Good practice in contracts for public passenger transport | | | 843 | | |
| 5 | Study on freight integrator including questions about civil liability | | | | | 700 |
| 6 | Elaboration of interoperability technical specifications (STI) for railways | 700 | | | | |
| 7 | Modernisation of the European freight wagon fleet-impact norms bruit | | | | | 700 |
| 8 | Study on current and future aircraft noise exposure in the EU | | | | 796 | |
| 9 | Implementing rules on economic regulations for Single European Sky Initiative | | | | 653 | |
| 10 | Study on air traffic management (ATM) market organisation | | 833 | | | |

Figure 7 - Average fees, per contract, per year

Irrespective of the year of financing (a factor that should be taken into consideration), the average person/day cost of the projects under consideration was of 746.25 €, with a variation of -12.5% and +13%.

Regarding professional fees, on average they emerge as slightly higher than the fees that have been observed by the evaluators in other DGs of the European Commission⁴⁹. The average fee of 746.25 € corresponds to a top-level fee accepted

⁴⁸ Project 1 was implemented under a framework contract, with no specification of working days. Project 3 covered mainly allowable costs. For a more accurate description, please refer to the evaluation grids of these two projects.

⁴⁹ The fees observed in other DGs of the European Commission during the same period⁴⁹ are in the following ranges:

by other services of the European Commission for senior experts. It would be aligned with standard fees of other services of the Commission, if all the activities assessed were carried out exclusively by senior consultants, which was not the case.

The reason for this rate of fees might be the highly technical skills generally required from consultants participating in projects launched by DG TREN⁵⁰. However, two projects are not aligned with this interpretation:

- Project 9, which is a project that required consultants with highly technical skills, but paid the lowest fees among those considered.
- Project 4, which is a project that did not require consultants with highly technical skills, but actually paid the highest fees among those considered.

Due to the small sample of projects selected for this evaluation, it is not possible to extrapolate this analysis further. More meaningful analysis could be conducted based on a larger sample of projects; targeted to identify the average costs per professional profile and seniority of the consultants engaged, as to conclude on standard fees accepted by DG TREN under this specific line of budget. This could form the basis of a benchmarking exercise for use during future project tendering.

5.4.2 Efficiency in attaining results and impacts

The sample of projects under consideration was too small to allow considerations based on average costs, per category of outcome. These considerations could be conducted based on a larger sample of projects; these would allow to identify average costs and to “position” each project in relation to these costs.

In general, it has been already commented that the projects selected for evaluation were successful in terms of effectiveness and impact. In absence of the possibility to develop meaningful considerations based on average costs, the cost efficiency of the projects under scrutiny in attaining results and impacts should be appreciated at the light of their generally high levels of effectiveness and impact. In these terms, also the remarks developed regarding the high costs of some projects in terms of resources do not have a negative impact on their cost efficiency in terms of results and impacts.

5.5 INDICATORS FOR THE MONITORING OF INTERVENTIONS

Consultants were required to provide indicators for the monitoring of the current and future interventions. Monitoring is considered an “*exhaustive and regular examination of the resources, outputs and results of public interventions*”⁵¹. Monitoring is considered as an activity to be carried out during the life of the project,

-
- Senior experts – from 550 to 750 €
 - Experts – from 400 to 500 €
 - Junior experts – from 300 to 450 €

⁵⁰ In general, consultants possessing highly-specific technical skills have a daily cost higher than “generalists”.

⁵¹ EC Structural Funds, Evaluating socio-economic programmes. European Commission, MEANS collection, vol. 6. CX-10-99-006-EN-C

or programme. In this, it differs from ex-post evaluation, which is conducted after the ending of the project/programme to be assessed⁵².

The results of this evaluation can facilitate the definition of indicators that can be recommended for inclusion into a future monitoring plan, and also the tools that will be most appropriate. In addition to this, the lack of implementation problems in relation to management practices can be perceived as an indication that current monitoring carried out by Task Managers is appropriate. This is not to say, however, that there is no room for improvement.

Based on the evaluation findings, the following elements should be taken into consideration when planning and implementing a Monitoring Plan for projects of the same nature of those assessed during this evaluation.

- **Elements to be taken into consideration during the bidding/application phase:**
 - For contracts for services
To clearly define in the Terms of Reference the objectives of the project put on tender. As stated above, in general, all the Terms of Reference that were consulted during this evaluation were clearly defined and are easily understandable. No suggestions for improvement are therefore made.
 - For subventions
Applications for funding not containing a clear, precise, and unambiguous indication of the project objectives should be rejected, or the applicant should be requested to resubmit. The following three-stage approach to the description of project objectives could help applicants: they can be informed that their application should contain a description of the present situation; a description of the situation sought after termination of the subvention; and a description of the activities to be carried out to reach the situation sought. Applicants should be informed that the description of the objectives of the project would be used during monitoring and evaluation of their project.
 - For contracts for services and subventions
Applicants should be instructed that their proposal/application should contain a clear description of the methodology that they purport to adopt (only when

⁵² Monitoring focuses on the outputs of projects/programmes, and their contribution to the planned outcome(s). It tracks and assesses performance through analysis and comparison of indicators over time. It is conducted by project managers, and the funding institutions; sometimes it is externalised to independent consultants. It aims to provide managers and other stakeholders with continuous feedback on implementation; it alerts them about problems in performance; and aims to provide options for corrective actions. For differences between monitoring and evaluation, see also the Monitoring and Evaluation Strategy of UNDP, published at <http://www.undp.org.in/MnE/outcome.htm>. For the externalisation of monitoring activities, see the experience acquired by the programme Tacis of the European Commission. Some useful bibliography includes European Commission, (former) DG XVI: The new programming period 2000-2006: methodological working papers; WP3 – Indicators for Monitoring and Evaluation: an indicative methodology (undated, likely year 1999). See also the issue N.8 of the series "Lessons and Practices" of the Operations Evaluations Department of the World Bank Group: <http://lnweb18.worldbank.org/oed/oeddoclib.nsf/DocUNIDViewForJavaSearch/770FD50EAE49C6CD852567F5005D80C7?opendocument>. Finally, refer to the issue 7/1996 of the TIPS series of the USAID Center for Development Information and Evaluation: <http://www.dec.org/partners/evalweb/resources/index.cfm>

this indication is relevant to the scope of the project to be financed). They should also be informed that their methodological approach is an important element for the evaluation of their proposal/application, and could be used during monitoring and evaluation of their project.

- For contracts for services and subventions

Applicants should be requested that their proposal/application contains a clear workplan, and be informed that this workplan will be used for monitoring and evaluation purposes.

- **Frequency and content of reporting.**

Reports from the contractors/beneficiary are indispensable elements for the monitoring of the progress of the project funded. However, they should not over-burden the contractors with the request of elements unnecessary to assess progress of the project against its objectives. Frequency of the intermediary reports shall be decided based on the project duration and on the difficulties that the contractor is expected to encounter during its task. In the case of one of the projects assessed, the Task Manager, because of the particular difficulties that were expected to be faced by the consultant, asked the contractor to report monthly on progresses against the plans. The project was very successful. This is an extreme situation that was decided upon consideration of some very peculiar conditions of a specific project. In most of the cases, one report every 3 – 4 months should be sufficient to assess the progresses of the contract against its objectives.

To ensure proper understanding of the progresses of the projects over time, contractors should be instructed to include in their intermediary reports the following elements:

- Brief description of the results achieved to date;
- Analysis of compliance with the agreed time plan, with a particular focus on delays, their reason, and corrective actions to ensure compliance with the contractual deadline;
- For projects of the same nature and entity of the ones assessed during the present evaluation, it is not advised that contractors and beneficiaries be asked to provide analysis of the use made of resources (both in terms of working days, and budget). This analysis will, on the contrary, be extremely valuable for the monitoring of particularly complex activities, broken down into several tasks and subtasks over a considerable period of time, involving a substantial budget.

- **Extra reporting**

A very effective management tool is the request made to contractors to report immediately in writing, at any time, the Task Manager of any event occurred during the execution of project activities that could have negative repercussions on the achievement of its objectives. In these extra-reports, contractors shall be requested to inform the Task Manager of the actions taken to minimise or eliminate the possible negative repercussions of the events being reported; and to report whether action is needed from the European Commission.

- **Formal and informal contacts with the Task Managers**

The effectiveness of a project tends to improve if there is close contact between the project management and the Task Manager. This is a general and very pragmatic rule, which is confirmed by the analysis of this set of projects. Task Managers that had the time (and the chance) to closely follow “their” contractors are the most satisfied with the final project effectiveness. This has inevitably a cost in terms of use of the time of the internal European Commission resources, but the advantages in terms of final effectiveness are tangible. Frequent contacts between Task Managers and Contractors are therefore to be encouraged, whenever needed.

5.6 THE SUITABILITY OF EXTENSIONS AND FUTURE SIMILAR ACTIVITIES

Consultants were requested to facilitate the Commission’s judgement on the suitability of an extension and a future recurrence of similar activities. Once again, it is important to note that the opinions that will be expressed are based only on a small sample of projects, which –in terms of its size- is not representative of the overall number of projects that were carried out for the implementation of the policy on Sustainable Mobility. Only a large evaluation of the whole of the projects financed under budget line B2-704⁵³ can provide the Commission with a sharp answer to this question.

The present evaluative question requires addressing two different issues. The two following paragraphs address them separately.

1. The **suitability of an extension**. The possibility of a contractual extension can be taken into consideration only for activities that are or can be of a recurrent nature. The answer will be given therefore only for projects presenting this characteristic. On the contrary, “one-off” contracts cannot be extended due to their specific nature, because their mandate finishes upon the achievement of their specific objectives (the final deliverables, or final reports).
2. The **suitability of a recurrence of similar activities**. All the contracts under assessment can be considered to present this characteristic.

5.6.1 The suitability of an extension

Seven of the projects selected for assessment can be defined as “one-off” contracts, and they achieved their objectives upon delivery of their final reports. In consideration of their specific nature, they cannot be “extended”, and are not therefore considered in this paragraph. An assessment about the suitability of their extension is expressed for the three contracts possessing a recurrent nature, and is formulated in the following table.

| | | |
|----|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01 | TACHONET – Phase 2, system planning and design | The project is the second phase of a series of four serial activities, ruled by different contracts (the wider Tachonet project). The third phase is under way at the time of writing. It is highly recommended to extend the financing of the project as to cover all of its four planned phases. |
|----|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

⁵³ Or of a significant sample of them.

| | | |
|----|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <ul style="list-style-type: none"> • The project proved to be effective in addressing its specific objectives, and of a good level of efficiency. Impact on the areas “Industry” and “Publicity given” is observable even before completion of the four different phases of the project, and is expected on six further areas. • Once completed, the wider Tachonet project will provide the European Commission with the ownership of a technical platform for data interchange, to be used by Member States. The non financing of all the four planned phases of the project will result in an incomplete system, as such not usable by the final beneficiaries of the system. • The doubts expressed on the relevance of the project to the objectives of the policy on Sustainable Mobility would advice to consider the opportunity to finance it with a different financial instrument. The solution adopted for the financing of its third phase (use of a framework contract concluded by DG ADMIN) seems to solve this aspect. |
| 03 | The European Short Sea Network | <p>The extension of the financing (more properly, the continuation of the financing) of the institutional activities of the ESN is recommended, subject to some conditions:</p> <ul style="list-style-type: none"> • The regrettable unclear definition of the project objectives, and imprecise reporting are obstacles to the sharp definition of the project effectiveness. The project seems anyhow to have been reasonably effective. A positive impact was observed regarding the areas “Publicity given” and “Industry”, and some stakeholders confirmed that they benefited from the use of the ESN services. • The continuation of the financing of the ESN shall be subject to a precise definition of the objectives of each financing period, to be included in the contract with the Beneficiary. Furthermore, the Beneficiary shall be required to report clearly and in unambiguous terms the results of its activity, per each financing period. • In view of the ending of the EC financial contribution to ESN, the Network should be supported in its search to reach its financial sustainability with adequate advice. This financial |

| | | |
|----|-----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | sustainability shall not be detrimental to its autonomy from commercial interests. |
| 06 | Elaboration of interoperability technical specifications (STI) for railways | This specific financing is destined to be discontinued, because this type of activities will be carried out by the European Railway Agency, which will be operational at the beginning of the year 2005. The continuation of the financing cannot be therefore recommended, because unrealistic. |

5.6.2 *The suitability of a recurrence of similar activities*

All the contracts under assessment are considered under this aspect. Because of the similar characteristic of these projects, the comments for the “one-off” contracts are common, and grouped in the second part of the following table. The numbering of the projects on the first column is not therefore progressive.

| | | |
|----|------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 01 | TACHONET – Phase 2, system planning and design | <p>Should a need emerge, there are no obstacles to consider activities of similar nature as suitable for financing. Some lessons from the Tachonet experience can serve as a guidance in this case:</p> <ul style="list-style-type: none"> • The break-down of the project into different and serial contracts presents two aspects that could be critical for the successful achievement of the project objectives, and for its overall efficiency. It is therefore suggested to include the development of projects of similar nature into a single, larger contract. <ul style="list-style-type: none"> ○ The first aspect is the possibility for each phase to be carried out by a different service provider. This could introduce delays in the starting up of each contract, and decrease the overall cost effectiveness of the project. Under-performances of one of the service providers could furthermore impact on the performances of the following providers. ○ The second aspect is that the internal (EC) management of four contracts costs about four times more than the management of just one contract, and it is largely more expensive in terms of time. • The involving of the final beneficiaries of the project since the early phases of the project, as |
|----|------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| | | |
|----|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | done during Tachonet, is to be highly recommended for future similar activities ⁵⁴ . |
| 03 | The European Short Sea Network | <p>The co-financing of organisations or activities that contribute directly or indirectly to the attainment of one of the objectives of the European Union is specifically foreseen by the Council Regulation No 1605/2002. The recurrence of similar activities is considered as suitable.</p> <ul style="list-style-type: none"> • Subsidies shall be granted subject to rules as similar as possible to those ruling the contracts with external providers, especially concerning the formulation of the objectives of the subsidy and the reporting obligation of the Beneficiary of a grant. • One of the aims of an institutional subsidy should be supporting the Beneficiary in reaching of financial sustainability, in view of the ending of the public subsidies. |
| 06 | Elaboration of interoperability technical specifications (STI) for railways | <p>The recurrence of activities of a similar nature is considered as suitable, unless they fall under the competency of different bodies.</p> <ul style="list-style-type: none"> • The analysis of the effectiveness, impact, and efficiency of the experiences made with the use of this formula confirms its validity. This seems to be also confirmed by the counterfactual analysis. • For the maximisation of the relevance and effectiveness of activities of this nature, it is of paramount importance that the European Commission holds the right to participate actively to the works of committees in charge of technical tasks. |
| 02 | Coastal shipping – OSP rules – Little islands | <p>The aim of all these projects was to support the European Commission with “one-off” activities. They provided different inputs, targeted to support legislative initiatives of the EC, or to support its duty to report the EP and the Council on the application of a Directive. Furthermore, in one case (project 04) the objective was also the provision of the European Commission with instruments of use for Member States’ authorities and transport operators. The financing of future similar activities is highly suitable.</p> |
| 04 | Good practice in contracts for public passenger transport | |
| 05 | Study on freight integrator including questions about civil liability | |

⁵⁴ For a description of this experience, please refer to Paragraph 5.2.3

⁵⁵ Please refer to Paragraph 5.3.1

| | | |
|----|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 06 | Elaboration of interoperability technical specifications (STI) for railways | <ul style="list-style-type: none"> • For the carrying out of its institutional activities, the European Commission strongly needs to acquire support from independent experts. This is recognised by the White Paper on Governance and the EC Communication “On the collection and use of expertise by the Commission.”⁵⁵ The launching of well-targeted contract for services is the instrument that is available to this scope. • In one case (project 06), the independent advice was acquired through cofinancing of an activity participated by the industry. This was a particular case, and it is unknown whether it can be generalised. There are no obstacles to consider as suitable also this kind of financing, given that the European Commission holds the right to select the consultant, and to approve/reject/request modifications to the deliverables of the activity. |
| 07 | Modernisation of the European freight wagon fleet-noise impact standards | |
| 08 | Study on current and future aircraft noise at and around community airports | |
| 09 | Implementing rules on economic regulations for the single European Sky Initiative | |
| 10 | Study on Air Traffic Management (ATM) market organisation | |

5.7 THE CONSISTENCY AMONG DIFFERENT OBJECTIVES

Because of its “horizontal nature”, the policy on Sustainable Mobility has a variety of facets. As we saw under the paragraph 4.1, the achievement of sustainability is at the same time the final objective of the Common Transport Policy, and a specific purpose of each of its thematic areas⁵⁶.

In the Terms of Reference of the evaluation, the projects selected were grouped into five clusters of two projects each, representing five of these facets of the policy on Sustainable Mobility. The identification of these five clusters of projects is the result of an effort made internally by DG TREN to logically organise the projects financed by homogeneous groups, not based on a specific policy document.

During the evaluation activities, a thoughtful analysis of the objectives of each of the projects was carried out. As a result of the evaluation activities, a more articulated project clustering was attempted for the sake of answering the present question. Seven different clusters of projects were identified. Whether a project belongs to one

⁵⁶ From this, its “horizontal” nature.

or cluster another is not exclusive, in the sense that the same project could have different aims, permitting classification under different clusters.

From the analysis undertaken, no inconsistencies were identified among the objectives of the different projects in each cluster, and across clusters. Once again, due to the small number of projects selected for evaluation, it cannot be determined whether this result is representative of the whole (or the majority) of the projects financed under budget line B2-704, or not.

Cluster identification, and inter-cluster consistencies are represented in a logical map at the end of the present paragraph, while an analysis of the objectives of the projects, per cluster, is summarized in the following table:

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|----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Sea transport 02 – Coastal shipping 03 – ESN 05 – Freight integrators</p> | <p>This can be defined as a “thematic” cluster, in the sense that all the three projects relate to sea transport (in the case of project 05, this relation is not univocal⁵⁷).</p> <p>The three projects cover different aspects of sea transport (passengers and goods), which are complementary. They are:</p> <ul style="list-style-type: none"> • The ruling of Coastal shipping (02); • The promotion of Short Sea transport (03); • An integrated, multi-modal approach to goods transport (05). <p>The shifting of balance from road to sea transport is a specific objective of the policy on Sustainable Mobility. All of these projects are instrumental to this objective, and no inconsistencies emerge from the analysis.</p> |
| <p>Train transport 05 – Freight integrators 06 – STI railways 07 – Modernisation ...</p> | <p>Also this second group is a “thematic” cluster, in the sense that all three projects relate to train transport (in the case of project 05, this relation is not univocal).</p> <p>The three projects cover different aspects of train transport (passengers and goods), which are complementary. They are:</p> <ul style="list-style-type: none"> • The preparation of technical specification for railways (06); • The reduction of the noise caused by wagon fleets (07); • An integrated, multi-modal approach to goods transport (05). <p>The shifting of balance from road to train transport is a specific objective of the policy on Sustainable Mobility. All of these projects are instrumental to this objective. No inconsistencies emerge from the analysis.</p> |
| <p>Air transport 05 – Freight</p> | <p>This is the last of the three “thematic” clusters, relating to air transport.</p> |

⁵⁷ For their nature, Freight integrators deal with all the ways of transport.

| | |
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| <p>integrators 08 – Aircraft noise 09 – Economic reg. ... 10 – ATM organisation</p> | <p>The four projects cover different aspects of air transport (passengers and goods), which are complementary. They are:</p> <ul style="list-style-type: none"> • The reduction of noise at and around airports (05); • The restructuring of the present charging mechanisms (09); • The reorganisation of the Air Traffic Management organisation (10); • An integrated, multi-modal approach to goods transport (05). <p>The ruling of the air transport sector is considered as an objective that is strategic in order to achieve sustainability in transport. The different objectives of the projects are coherent.</p> <p>This cluster includes a sub-cluster devoted to the Single European Sky initiative, populated by projects 09 and 10. Both projects are instrumental to the objective to increase mobility efficiency in the air transport sector, while minimising delays in flights, an objective consistent with the Sustainable Mobility policy.</p> |
| <p>Intermodality - interoperability 05 – Freight integrators 06 – STI railways</p> | <p>These projects cover two different aspects of the Transport Policy. They are:</p> <ul style="list-style-type: none"> • An integrated approach to goods transport (05); • The preparation of technical specification for interoperability of the railways sector targeted to service liberalisation (06). <p>While there is not a direct link between the objectives of the two projects, these do not conflict each other, and are instrumental to the wider objective to achieve sustainability in the transport sector.</p> |
| <p>Single transport market 01 – Tachonet 02 - Coastal shipping 06 – STI railways</p> | <p>The three projects forming this cluster can be considered under the perspective of the single European transport market.</p> <p>The objectives of these projects are instrumental to this strategy. They are:</p> <ul style="list-style-type: none"> • Setting up a technical platform for data interchange on digital tachograph cards, which is strategic to the objective to ensure transport operators' possibility of offering their services in any EU country under similar safety conditions (01); • The revision of rules on public service in maritime transport, under a single market perspective (02); • The preparation of technical specification for interoperability of the railways sector targeted to service liberalisation (06). <p>Although there is no direct link among the objectives of</p> |

| | |
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| | <p>the three projects, these do not conflict each other, and are instrumental to the wider objective to achieve a single transport market.</p> |
| <p>Public transport 02 - Coastal shipping 04 – Good practices... 06 – STI railways</p> | <p>The three projects forming this cluster can be considered under the perspective of the public transport of passengers⁵⁸.</p> <p>The objectives of these projects cover three different facets of public transport. They are:</p> <ul style="list-style-type: none"> • The revision of rules on public transport services in maritime transport (02); • The analysis of best practices on public transport issuing and managing (04); • The preparation of technical specification for interoperability of the railways sector for passenger transport (06). <p>Although there is no direct link among the objectives of the three projects, these do not conflict each other, and are instrumental to the wider objective to foster public transport. This aspect is even stronger for projects 04 and 06, which are instrumental to the policy to discourage the private use of cars.</p> |
| <p>Environmental aspects 03 - ESN 04 – Good practices... 05 – Freight integrators 06 – STI railways 07 – Modernisation ... 08 – Aircraft noise</p> | <p>All of the projects under this cluster (the more densely populated) can be considered under an environmental perspective. From this viewpoint, their objectives are:</p> <ul style="list-style-type: none"> • To promote short sea transport of goods, which is a mode of transport more sustainable than road (03); • To give operators instruments for a more efficient ruling of contracts for public passengers transport, which is a way to promote public transport (04); • To promote an integrated and more efficient (even from the environmental point of view) use of modes of goods transport (05); • To set technical conditions to make the use of railways more competitive and therefore attractive to passengers, which are more sustainable than private road transport (06); • To reduce the noise of the wagon fleets, which is a measure destined to benefits inhabitants of areas surrounding railways and employees of railways operators (07); • To reduce the aircraft noise at and around airport, which is a measure destined to benefits inhabitants of the surrounding areas (08). <p>The consideration of environmental factors is a primary</p> |

⁵⁸ Even if this service is carried out by private operators.

| | |
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| | aspect of the objective to achieve sustainability in transport. For this reason, the fact that this cluster is the most populated is not a reason of surprise. The objectives of these projects are logically consistent among them and in relation to the policy on Sustainable Mobility. |
|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

An inter-cluster analysis of the project objectives can be attempted, as well. The consultation of the following logical map might help in the understanding of the analysis, while its results are summarised in the following tables. This exercise will result much more helpful if carried out on the universe of the projects financed under budget line B2-704.

| From cluster... | To clusters... |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| Environmental aspects | Sea transport Train transport Air transport Public transport |
| <p>(Comment) The integration of an environmental perspective into the transport policies is a specific European Union objective, stated by the Treaty, and reaffirmed by the White Paper. There is inter-cluster consistency among the objectives of the projects included in these groups. In particular, it is logical to assume that environmental factors should be taken into consideration in sea, train, and air transport systems. The shifting in balance in favour to sea and train transport is per se a measure destined to have positive environmental consequences. Air transport can be regulated as to achieve a higher respect of environment. The promotion of public transport to the detriment of private use of cars is another measure with a direct beneficial environmental impact.</p> | |

| From cluster... | To clusters... |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|
| Intermodality - Interoperability | Sea transport Train transport Air transport |
| <p>(Comment) Intermodality aims to promote an integrated approach to goods transport, increasing its overall efficiency while minimizing its costs. Under this perspective, there is consistency among the objectives of the cluster Intermodality-Interoperability and the clusters sea, air and train transport. Interoperability in the railway sector aims to ensure the possibility for trains of a given country to circulate in a different country without facing technical barriers. Also in this case, there is full inter-cluster consistency.</p> | |

| From cluster... | To clusters... |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| Single transport market | Sea transport Train transport |
| <p>(Comment) The achievement of a true single transport market requires action on different modes of transport. Two of them are present among the clusters of the projects selected for evaluation: sea and train transport. No inconsistencies were identified among the objectives of these clusters.</p> | |

| From cluster... | To clusters... |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| Public transport | Sea transport Train transport |
| (Comment) A larger use of public transport will have a positive impact on the policies of promotion of sea and train transport, helping the shifting in balance between road and alternative ways of transport. There is consistency among the objectives of the projects included in these clusters. | |

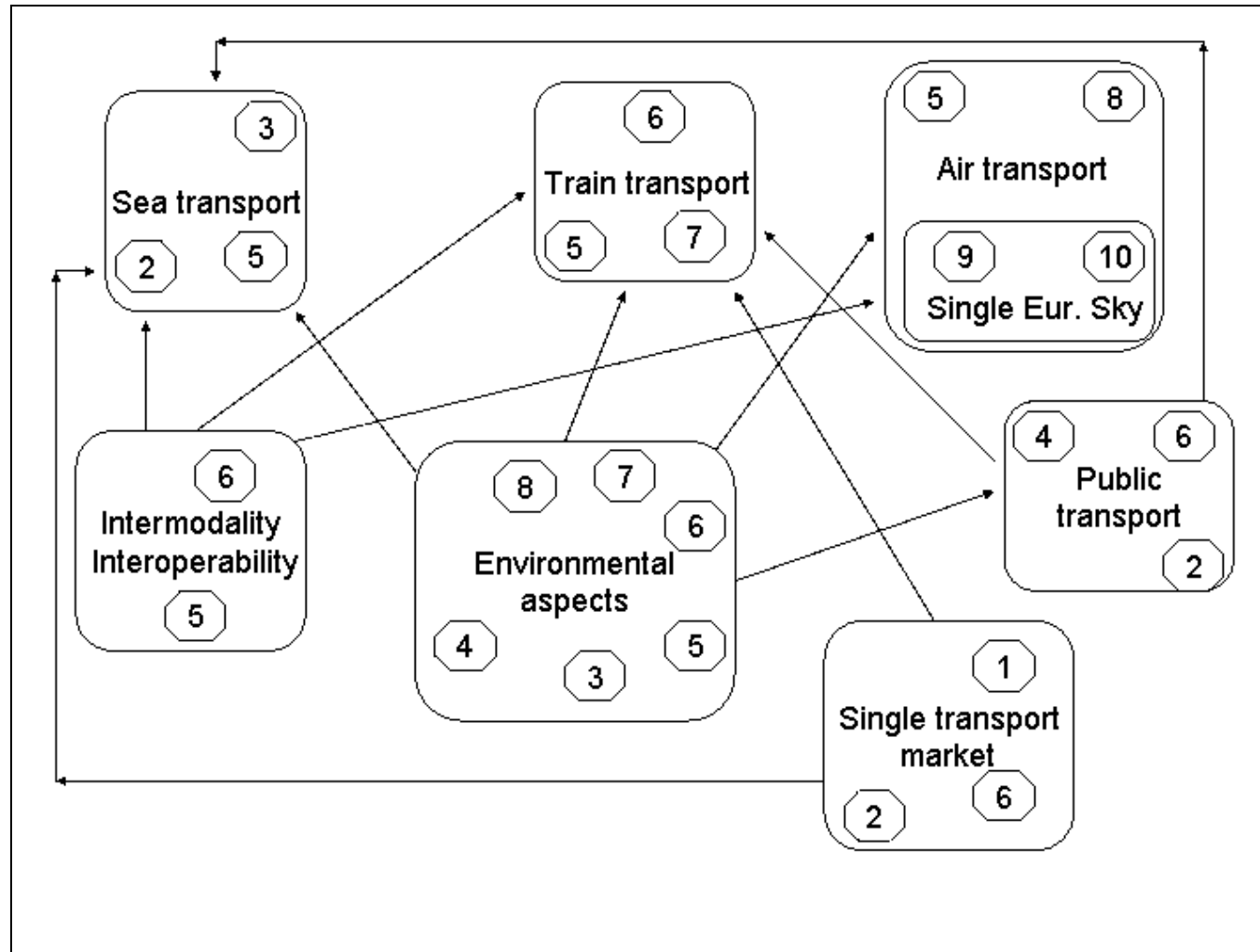


Figure 8 – Logical mapping of the inter-cluster consistency among projects' objectives

5.8 THE ADDED VALUE OF THE FUNDING

The evaluators were required to assess the need for strategies to improve the added value of the funding.

Based on the evaluation findings, no major measures are deemed necessary to improve the added value from funding. Once again, this refers to the sample of the projects selected.

In particular:

- All the projects evaluated had a clear and visible European dimension, so that no opportunities emerge for increasing their European added value.
- All the projects evaluated possess a transnational dimension. Their individual geographic coverage was fully justified by their specific scope. No opportunities emerged to strengthen this dimension for the projects selected.
- All the projects evaluated contributed –directly or indirectly- to the European policy on Sustainable Mobility, so that no need emerges for strategies to increase their contribution to European policies.
- In general, methodologies adopted (when described) were consistent with the projects' objectives. The adoption of different methodologies would not have increased their added value.
- None of the projects selected was a research activity. Therefore, considerations cannot be developed regarding scientific added value and innovative approaches.
- None of the projects evaluated have aspects to be assessed regarding gender dimensions or the representation of minorities; therefore, no remarks can be developed regarding possible increases of added value from these viewpoints.

There are, however, some additional actions which could be easily undertaken, and have a beneficial impact both on the added value of the funding, and on the effectiveness of the projects financed. Some of the actions suggested below will facilitate the assessment of the impact of the projects.

- **Involvement of stakeholders.**

DG TREN is one of the DGs of the European Commission that is more active in the undertaking of legislative initiatives. The contribution that the dialogue with stakeholders brings to the legislative activity of the EC is, therefore, significant. During the evaluation, three commendable cases were identified where this dialogue was active during the implementation of several projects. This was done with the involvement of stakeholders, either in the steering of a project, or in public workshops of presentation of the results of the study⁵⁹. This approach, that is deemed to have had a positive impact on the effectiveness of the projects, is one means to increase the added value of the funding. However, this operating methodology brings along inevitable drawbacks, which shall be taken into consideration if and when deciding to involve external stakeholders.

⁵⁹ Please, refer to Paragraph 5.2.3

- The involvement of external stakeholders in the steering of a project may entail risks of delay to the project plans; strategies to limit as much as possible this risk should be analysed in advance.
 - The involvement of external stakeholders, expressing different economic or social interests risks exposing the work of the consultant to a series of opposing pressures. The need for a strong chairperson emerges as essential, in order facilitate the consultants understanding of the needs of the client (the European Commission).
 - If the consultant is expected to negotiate among different stakeholders, or to report on these negotiations, this must be clearly stated in the terms of reference.
- **Dissemination of project results.**
Regulation 1049/2001⁶⁰ implements the Article 255 of the Treaty, providing for citizens' rights to access documents held by the Commission, the Parliament, and the Council. Every citizen has the right to access (among other documents) the Final Reports of the projects financed. The means of access to these documents are many, and the European Commission is surely one of the institutions mostly attentive to publishing on its web numerous documents of interest, worldwide.

In some cases, web publication of the project reports was delayed. Additionally, the evaluation has identified a few instances where the Task Managers decided not to publish the outputs of a project before undergoing a process of peer-review⁶¹.

Publication for downloading of the project reports, on specific pages of the website of the financing DG is an excellent way to disseminate the project results, and was adopted for a large number of the projects assessed. We suggest that the publication of project reports should be considered as a rule, not an exception. In the case of the project 9 (Economic regulation for the Single European Sky initiative), some further documents of interest were also made available through the same web page (comments received by interested stakeholders). However, a pure publication of the project reports on the web presents two pitfalls: 1) the knowledge of the availability of the reports can be acquired only following (regular) visits to the web page of publication, or when carrying out searches through search engines; 2) the reading of the project reports by external parties is an important event that can be exploited when assessing the impact of the project. However, the modalities of acquisition of the document (anonymous download) do not allow the exploitation of this opportunity.

The next bulleted point will attempt to address these pitfalls.

⁶⁰ Regulation (EC) No 1049/2001 of 30 May 2001 regarding public access to European Parliament, Council and Commission documents.

⁶¹ Even before publication, interested parties have anyhow the right to access the project documents. The critical factor is: how can a potential interested party know that a document is available, so that they can send a request for getting a copy thereof?

- *Sending the reports to potentially interested readers.* As already referred, in the case of project 04 (Good practice in contracts...) the reports were sent to a large number of potentially interested readers. This considerably added to the value and impact of the project. This modality of dissemination does not present the two pitfalls discussed above: a very large stakeholder community was informed and received the documents; and the address list is exploitable for evaluation. However, this modality of distribution presents two drawbacks: 1) if the sending is frequent and the documents are of a large size, recipients may prefer to receive web links instead of the full documents (opt-in solutions are suggested⁶²). 2) Only the recipients of the documents are informed of their existence. The next bulleted point will try to address this last aspect.
- *Sending and publishing.* In order to maximise the effects of these two modalities of dissemination, a combined “send and publish” strategy can be easily adopted. The reports can be published and advertised on the website of the EC, and sent to interested stakeholders. This approach will permit to address all of the pitfalls discussed above.
- **Inter-service circulation of project reports**

This point should be included under the previous bullet, but it is reported as a separate item due to its significance. The studies carried out by a specific Unit of a DG of the European Commission can also have a value for other services of the European Commission. This was the case with some of the projects that we assessed. 30% of them had some impact on other policies, and in 40% of them some impact on other policies is expected for the near future. Any possible effort should be made to include Officers of different services of the European Commission in the list of distribution of the project documents. The re-use by other Officers of the results of a study is an incredibly effective way to increase the value of the project.

⁶² There are several of interesting experiences made in connection with this matter. Just to quote two of them, see the Qlinks initiative of the European Commission (<http://www.qlinks.net/>); or the experience of OECDirect (<http://www.oecd.org>, follow the link to MyOECD).

6 RECOMMENDATIONS

On the basis of the findings and the conclusions formulated, the following recommendations are presented.

Recommendation 1 The evaluation undertaken on a sample of selected projects provides indications that are deemed useful for the future European Commission's activities under Sustainable Mobility. However, the ten projects selected represent only 3.88% of the overall number of projects financed, and 5.60% in terms of budget allocated to projects over the period 1999 to 2003.

This does not allow for the formulation of evaluative conclusions and recommendations on the overall use made of the funds allocated to the policy.

It is strongly recommended to follow-up this first evaluation with a second, wider exercise, aimed at evaluating a significant sample of the projects financed over the period; suggestions for the required size the sample are provided in the main text. This second exercise could build on the results and experiences of this first evaluation in terms of methodology and evaluative tools.

Recommendation 2 An analysis of the professional fees paid to consultants on budget line B2-704, per professional profile, and their seniority of experience, should be undertaken. On the basis of this analysis, tariffs of reference can be used as a benchmark during future tendering.

Recommendation 3 A collection of best management practices, applied by Task Managers in their work of coordination and following of "their" projects should be compiled, and a large dissemination of this collection to all the Officers inside DG TREN ensured. The diffusion of this collection should be accompanied by specific training sessions.

Recommendation 4 Applicants for subsidies should be required to describe clearly and in unambiguous terms the objectives of their requests, and to include in their application a detailed work plan for the planned activities.

Recommendation 5 Contractors and beneficiaries should be instructed that their intermediate reports include a brief description of the results achieved to date; and analysis of the adherence to the agreed time plan, with a focus on delays, their reasons, and corrective actions taken / proposed.

Recommendation 6 Contractors and beneficiaries of funds should be requested that their final reports include an Executive Summary; and a description of the methodology followed (if relevant).

Recommendation 7 Contractors and beneficiaries should be requested to report immediately to Task Managers, in writing, of any event occurring during the life of the project that could

- adversely affect the achievement of its planned objectives; and to propose corrective actions.
- Recommendation 8** Publication on the website of DG TREN of the reports from the financed studies should be considered as a rule; unless there are doubts as to their soundness. The publication should be integrated with direct mailing to interested stakeholders of the weblinks to the reports. Address lists for possible future evaluation activities should be established.
- Recommendation 9** Reports of studies should be circulated to other services of the European Commission that might be interested in them due to their mandate.

7 ANNEX A: PROJECTS EVALUATION GRIDS

All the main findings resulting from the evaluation of the selected projects are reported in the evaluation grids; therefore, they should ideally be included in Section 4 (EVALUATION FINDINGS) of this Final Report. However, in consideration of their length, and with a view to the reader's convenience, they are included in this Annex A.

7.1 Tachonet, Phase 2

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|--------------------------|-------------------------------------------------------------------------------------|-----------------------|--------------------------------------------|
| <i>Project title</i> | TACHONET – Phase 2, system planning and design - B 27040 B-E.1-S07.1407/2002 | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> EC | 214.500 € | Contract: year | 2002 |
| <i>Budget for fees</i> | Fixed price (not considered in the budget) | N. person/days | Fixed price (not considered in the budget) |

| Background and genesis |
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| <p>The 2001 White Paper⁶³ places the shifting of balance between modes of transport at the heart of the sustainable development strategy. At present, this balance is markedly shifted towards air and road transport.</p> <p>One of the greatest competitive advantages of road transport is its capacity to carry goods all over the European Union at a low price. According to the 2001 White Paper, this capacity has been built up in highly paradoxical circumstances. Transport companies compete fiercely against other modes of transport and against each other. With operating costs increasing, this has reached such a pitch that, in order to survive in this extremely competitive environment, undertakings are forced to side-step the rules on working hours and authorisations, and even the basic principles of road safety.</p> <p>Council Regulation (EEC) No 3821/85 provided for the installation and use of in-vehicle recording equipment (tachographs) for the enforcement of driving hours⁶⁴ in the field of carriage of goods and passengers by road. This Regulation was aimed to ensure fair competition among drivers, haulers and also among other transport modes; as well as to enhance road safety by avoiding driver fatigue and by verifying compliance with the legislation on speed limiters.</p> <p>Council Regulation 3821/85 was amended by Council Regulation (EC) No 2135/98, which introduced new digital recording equipment and personal smart cards for drivers to render more secure and more accurate recordings and storage of data on driving times, breaks, rest periods and other work. The driver card, which must be inserted into the tachograph by drivers when taking control of the vehicle, permits drivers' identification at the beginning of their journey which enables the production of records of their activities.</p> <p>An essential element of the Regulation is that each driver may be granted only one card. Thus, the individual Member States authorized to issue driver cards must be able to control that only one card be issued per driver. Moreover, to avoid a driver's holding a card issued by another Member State, the competent authorities of the other Member</p> |

⁶³ COMM/2001/370

⁶⁴ These periods of time were set by Council Regulation (EEC) No 3820/85.

States should also carry out such control. In order to guarantee a reliable system for the control of the issuing of unique driver cards among Member States, the national authorities felt that there was a need to organize an appropriate telematics network (TACHOnet) among them.

With a view to implementing a mid-term project aimed at the introduction of a European-wide digital tachograph system, the European Commission launched and financed **three related areas of activity**:

- 1) The creation and management of a **Card Issuing Working Group** (years 2000-2003) made up of representatives of Member States authorities. The contract was entrusted to an external consultant. The purpose of this contract (renewed once) was to support Member States in their efforts to issue tachograph cards. Part of these efforts consists in connecting the cards' issuing authorities to a network, called TACHOnet (see below).
- 2) The implementation of a **network for data interchange among Member States called TACHOnet**. This initiative is to be implemented in four consecutive steps, regulated under four consecutive contracts entered into with the same contractor:
 - 2a) A feasibility study of the project idea (December 2000 to September 2001), financed by the European Commission IDA programme (Interchange of Data between Administrations)⁶⁵.
 - 2b) A follow-up of the feasibility study, focusing on planning and designing the system. This is financed by DG TREN, under its Sustainable Mobility budget line. **This is the contract under evaluation.**
 - 2c) The implementation and deployment of TACHOnet (including assistance integration), under the charge of DG TREN, and financed under a framework contract entered into with DG ADMIN. This step is under way at the time of writing.
 - 2d) A final phase of the project, dealing with maintenance.
- 3) The financing of a further instrument to support Member States in the introduction of the digital tachograph system. The project, called IDT (under way since October 2002 for a 30-month period) has been executed with the Swedish National Road Administration. It addresses all aspects related to the digital tachograph, other than the issuing of cards and the implementation of TACHOnet. When the contract with the Card Issuing Working Group came to an end, the unfinished tasks were taken over by the IDT project, without making any amendments to the contract. EFTA Countries also take part in the project, but no financing is provided to them by the European Commission.

| Typology of project | |
|------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | <p>A contract for services aimed at supporting the Member States in the application of Council Regulations by developing a technical platform for data interchange.</p> <p>Once developed, the platform will be adopted on a voluntary basis by</p> |

⁶⁵ "IDA is a European Commission driven strategic initiative using in information and communications technology to support rapid electronic exchange of information between Member State administrations. The objective is to improve Community decision-making, facilitate operation of the internal market and accelerate policy implementation."
<http://europa.eu.int/ISPO/ida/jsps/index.jsp?fuseAction=missionStatement>

| | |
|------------------------------|----------------------------------------------------------------------------|
| | Member States. |
| <i>Methodology adopted</i> | Planning and design of a system (technical platform) for data interchange. |
| <i>Geographical coverage</i> | All the European Union Member States. |

| Specific project objectives |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The objective of the contract was to “carry out a detailed analysis and design (based on the results of the TACHOnet feasibility study), providing for structured user requirements, design specifications and the final version of the specifications in connection with the structure and flow of messages exchanged between the TACHOnet central system and Member State applications (submitted by card issuing and/or enforcement authorities)”.</p> <p>The consultant was also required to take into account the legal and operational framework applicable to this kind of interchange systems.</p> <p>The main tasks to be carried out by the study were:</p> <ul style="list-style-type: none"> • To produce an updated version of Global Business Analysis and Software Architecture documents (based on previous versions resulting from the feasibility study) • To produce a TACHOnet Messaging User Guide describing the final version of the specifications of the structure and flow of the messages exchanged between the central TACHOnet system and the different Member State applications • To produce a TACHOnet Security User Guide describing the security mechanisms and procedures that must be followed in order to deploy the necessary infrastructure on the basis of security requirements • To produce a Global Implementation Plan for the “Implementation & Deployment” phase at least containing the following information: <ul style="list-style-type: none"> ○ A description of the network or networks intended to be established under the project in terms of their objectives, functionalities, participants and technical approach; ○ The assignment of roles and tasks to the Community and to the Member States throughout the development, validation and implementation phases; and ○ A scheme for equitable sharing of the network’s operational and maintenance costs between the Community and the Member States, based on the conclusions of the implementation phase. |

| Possibilities and limits of evaluating the project |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> • As described under Background and Genesis, the project under evaluation is one of the many activities launched by the European Commission in order to introduce a European-wide digital tachograph system. These activities are intrinsically related to each other. Moreover, the contract is one of the four serial activities aimed at implementing a technical platform (TACHOnet) for data interchange among Member States, as well as at ensuring its maintenance. <p>Even though the project under evaluation has been completed, activities aimed at</p> |

the implementation and full deployment of TACHOnet are still under way – at an advanced stage, though. This situation does not permit full assessment of the project ex-post impact.

- The project was established as a fixed price contract under a framework contract, without any specification in connection with working days. Due to this specific budget provision, an accurate efficiency analysis cannot be carried out.

Activities undertaken during the evaluation

Examination of project documents; bibliographic research; interviews with Task Managers; contacts with the former Task Force 3 Chairperson (Tachonet) of the Card Issuing Working Group, and with a Task Force member; contacts with the project leader and the coordinator of the project “Implementation of the Digital Tachograph project”; contacts with the contractor of the project under evaluation; contacts with two Officers (Focal Points) of the UNECE Transport Division; survey among the participants in an Information Day organised by UNECE.

Opportunities for further analysis

The expected impact of the “Tachonet system” may be analysed by means of a specific ex-ante impact assessment, while ex-post impact can only be analysed a few years after the full deployment of the “Tachonet system”.

| Relevance to the policy | |
|-------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>How is the project evaluated relevant to the policy goals?</i> | <p>The relevance to the policy on Sustainable Mobility appears to be medium. The project is, however, fully relevant to the scope of the Council Regulations on tachographs. These regulations aim to provide instruments to improve road safety. Transport Safety Policy is funded on an annual basis under the different budget line B2-702.</p> <ul style="list-style-type: none"> • It can be argued that the putting in place of Tachonet will have a beneficial effect on the respect of the provisions on driving times and rests. These are issues related with Sustainable Mobility. • It can also be argued that a higher level of respect of the provisions on driving times and rests would have the effect of decreasing illegitimate competition among transport companies due to the non compliance with these rules. This, in turn, could have an indirect positive impact on the shifting of balance between modes of transport in favour of sea and rail shipping, which is a primary objective of the Sustainable Mobility Policy. Therefore, it could lead to a more sustainable development in road transport. • Moreover, it is possible that Tachonet could have a more long term impact. As a “pure” platform for data interchange, owned by the European Commission, Tachonet could serve as a pilot for subsequent data interchange among Member Countries, should the need emerge, in areas that are more directly relevant to the policy objectives under Sustainable Mobility. |
| <i>How is the</i> | The project is relevant to the available financial instrument. |

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| <p><i>project evaluated relevant to the available financial instrument?</i></p> | <ul style="list-style-type: none"> • Among the different measures to be funded out of budget line B2-704 we quote “<i>increasing use of data transmission in connection with transport infrastructure (...)</i>”. A further specific measure is aimed at the “<i>preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes.</i>” • However, it must be observed that this specific project could have also been considered relevant to budget line B2-702 (Transport safety), which, as one of its specific measures, provides for the financing of “<i>road accident avoidance measures, with the emphasis on the human factor.</i>” |
| <p><i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>No measures foreseeable.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>None.</p> |
| <p align="center">Overall degree of relevance against the policy: medium Overall degree of relevance against the financial instrument: medium</p> | |

| <p align="center">Effectiveness</p> | |
|-----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>Has the project evaluated been effective in addressing its specific objectives?</i></p> | <p>The project was highly effective in reaching its contractual objectives.</p> <ul style="list-style-type: none"> • The contractor fulfilled all the expected deliverables. The effectiveness of the project in addressing its specific objectives was positively assessed by the European Commission internal services. • Further evaluative evidence collected at Member-State level confirms the effectiveness of the project. |
| <p><i>Have the outputs been effective in addressing the policy goals?</i></p> | <p>They have effectively addressed the objectives stated under the Council Regulations on tachographs, through the planning and design of a platform for data interchange among Member States. This is critical in order to allow Member States’ card issuing and enforcement Authorities to control that a driver is not granted cards by other Member States.</p> <p>Regarding the effectiveness of the results in addressing the specific objectives of the Sustainable Mobility policy, please refer to the comments stated under Relevance.</p> |
| <p><i>How could the effectiveness of the project be improved/have</i></p> | <p>The project was carried out in strict cooperation with the Card Issuing Working Group (CIWG – a group in which all Member States are represented, see under Background and genesis).</p> |

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| <i>been improved through adjustments at the margins?</i> | <p>In particular, the contractor participated in some of the Working Group key meetings and presented the intermediate and final results of its work; and a collection of requests. Feedback and suggestions from the members of the Working Group were mainly provided through the European Commission Task Managers.</p> <p>Interviewees participating in the CIWG largely agreed that this collaboration with Member States representatives was extremely important for the TACHOnet project; and that this way of acting had positive effects.</p> <p>In particular, it facilitated a correct needs analysis (it consisted in an easier way to gather/define the functional requirements of the system); and strengthened the Member States' sense of ownership of the TACHOnet project results. However, others (still convinced of the positive aspects of this way of acting) point out that some CIWGs rules for participation and approval (unanimity was required), as well as some management aspects, had a negative impact on the timely development of the TACHOnet project; and that all the term of the process could have been reduced for the sake of its overall efficiency. Some interviewees suggest that a possible solution is to increase the use of small working groups.</p> <p>Unanimity rules were adopted on the grounds that the full effectiveness of the system depends on the participation of all Member States. Therefore, the need to gain unanimous consensus on issues of strategic relevance (like the type of messages sent over the system) was deemed to be of the utmost importance.</p> <p>Most interviewees point out the positive, collaborative attitude of the European Community as a factor that could be influential in the success of the project.</p> |
| <i>Further project-specific remarks</i> | None. |
| Overall Degree of Effectiveness: high | |

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| <p>Impact</p> <p><i>Please, see also the comments included under "Possibilities and limits of evaluating the project". Considerations under impact on Industry; on transport market; on national administrations; on road safety, and on national legislation. A clearer understanding of these expected impacts can only be achieved through a specific ex-ante impact assessment, while an ex-post impact assessment can be conducted a few years after the full deployment of the system.</i></p> | |
| <i>Impact on policymaking</i> | The project was not aimed at having an impact on policymaking, and no impact was observed. |
| <i>Secondary impacts on</i> | Once deployed, the Tachonet system is likely to serve as a reference model, basis, or benchmark for other data exchange processes (driving |

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| <i>other policies</i> | licenses, Galileo...). Therefore, a future secondary impact on other policies cannot be ruled out. |
| <i>Publicity given</i> | <ul style="list-style-type: none"> All the activities carried out to implement the “Tachonet system” were presented at the “Information Day on the Digital Tachograph”, held in Geneva by UNECE⁶⁶ on October 27, 2003. The presentation was made jointly by the European Commission and the management of the projects involved in the implementation of the “Tachonet system”. The initiative aimed “to assist competent authorities in non-European Union countries, in the inspection of European Union vehicles which will be equipped with digital tachographs from 2004.” Although the phase financed by the IDA Programme is now completed, the Tachonet project was cited in the IDA Work Programme for the year 2003 among the projects of common interest (horizontal actions and measures)⁶⁷, and is now included in the specific section of the IDA website among the projects of common interest⁶⁸. |
| <i>Communication and media</i> | No publicity has been given to the project through media. An information plan shall be drafted at a later stage of the implementation of the “Tachonet system”. |
| <i>Impact on industry</i> | <p>Council Regulation 2135/98 states that installation of digital tachographs shall only be compulsory in the case of new vehicles; no provision therein imposes a duty to fit them into existing vehicles (no retrofit). As a consequence, while the system will surely impact on industry, called to fit the new tachographs into new vehicles, it is reasonable to assume that the negative impact due to substitution of tachographs that are presently installed will tend to be extremely low.</p> <p>No major negative impact is expected in connection with tachographs manufacturers. They will be called to switch their production once the system is gradually implemented.</p> |
| <i>Impact on transport market</i> | <p>If numerous sources are correct, i.e. if some transport companies do resort to non-compliance with the provisions on driving times and rest as a competition tool, then the “Tachonet system” should have a positive impact on the compliance with legal requirements on the matter (it will enhance fair competition and improve enforcement).</p> <p>This, in turn, might have a negative impact on the tariffs applied by transport companies that presently do not comply with these legal provisions (it may result in the rising of prices). This possibility has not been assessed so far.</p> |
| <i>Impact on national Administrations</i> | <p>The deployment of the Tachonet system should have a positive impact on the efficiency and effectiveness of (at least) two categories of National Administrations:</p> <ul style="list-style-type: none"> Card Issuing Administrations. They are required to control that drivers applying for a digital card have not been previously |

⁶⁶ United Nations Economic Commission for Europe; presentation available here: <http://www.unece.org/trans/main/sc1/digitacho.ppt>

⁶⁷ http://www.food-mac.com/Doc/IDA/WorkProgramme/IDA_WP2003_part1_en_1496.pdf

⁶⁸ <http://europa.eu.int/ISPO/ida/jsps/index.jsp?fuseAction=showDocument&documentID=2283&parent=chapter&preChapterID=0-16-550-583>

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| | <p>granted further cards by other Member States. This task will be easier and quicker after the deployment of the system.</p> <ul style="list-style-type: none"> Enforcement authorities. At the request of the enforcement authorities participating in the IDT project, the scope of the Tachonet system was extended so as to include enforcement aspects as well. Thus, enforcement authorities will be able to use the system at roadside checks. Therefore, it may well be predicted that their tasks will be facilitated by the deployment of the system; this phenomenon may be more appropriately appreciated through a detailed impact analysis. |
| <i>Impact on road safety</i> | <p>Impacts on road safety shall be expected as a result of the deployment of the system. Such impacts should be considered (at least) from two concurrent viewpoints:</p> <ul style="list-style-type: none"> Impact on road accidents resulting from a higher compliance with legal provisions regarding rest times. Impact on road accidents as a result of the delta between the number of trucks circulating at present and the number of trucks circulating after the deployment of the system. This number may increase as the number of goods carried increases, due to a higher compliance with drivers' rest times. |
| <i>Impact on national legislation</i> | <p>The legislation of some Member States might require changes prior to the implementation of the Tachonet system. The areas where changes are more likely to be needed are the following:</p> <ul style="list-style-type: none"> Personal data protection Data exchange security Administrative procedures for the release of tachograph cards <p>The need for such changes depends entirely on the current legislation of the different Member States, and shall be evaluated at different national levels.</p> |
| <i>Impact on extra European Union Countries</i> | <p>There are clear indications that the Tachonet system will have an important impact on some extra-European Union Countries, as well as in (at least) one Country that joined the European Union in May 2004:</p> <ul style="list-style-type: none"> At the time of writing, Poland is conducting a nation-wide ex-ante evaluation to understand the impact that the introduction of the Tachonet system will have on the country The UNECE was requested to follow up the Information day held in 2003, with further initiatives. Specifically, its Transport Division has been requested by the Russian Federation to hold a seminar on the introduction of the digital tachograph in 2004 or 2005 in Russia or elsewhere in the region of the Community of Independent States. This interest in the possible implementation of the system in the country was also confirmed to the evaluators by the Russian Association of International Road Carriers (ASMAP) Croatia has already organised tachograph inspections and technical repairing workshops, and a private company has been already selected by the Ministry of Transport to provide technical support for the implementation of the system in the country |
| <p>Overall Degree of Impact: medium (some project activities are under way, however, indications of impact may be observed; a higher impact is expected as a result of the</p> | |

deployment of the system)

| Efficiency | |
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| <i>Efficiency in the use of resources</i> | <ul style="list-style-type: none"> • The contract under evaluation was granted to the same external consultant that developed the first phase of Tachonet. The same contractor is now working on the next phase of the Tachonet “system”, i.e., Deployment. This was done by drawing on the opportunities available through framework contracts in force in the European Commission, in consideration of the contractor’s previous performance, which was positively assessed. The combination of these two elements (the positive performance; and the fact that the contractor was the same throughout the different phases of the project) surely contributed to project efficiency, in terms of use of resources. • As regards the cost of resources, the budget formulation (no indication was made as to the working days assigned to the project⁶⁹) does not allow for a precise efficiency analysis. However, the following remarks can be made. The project (short in terms of duration) was planned to last 17 weeks, and three different professional profiles were involved: a Project Manager, some Senior Analysts, and some Analysts. It is logical to assume that the three different professional profiles entail different daily costs. If we estimate an average daily cost for the whole duration of the project ranging from 500 to 550 €⁷⁰, the budget was sufficient to cover from 390 to 429 working days, that is to say, approximately two working years. This would imply between 4.5 and 5 persons assigned to the project on a full time basis during its entire term. Lacking more specific figures, the budget does not seem to be over allocated, considering the far-reaching project objectives. |
| <i>Cost effectiveness in terms of results and impact</i> | <ul style="list-style-type: none"> • In terms of results, the projects produced 4 deliverables, which were positively assessed and serve as a key reference for the following deployment activities. The average cost per deliverable was of about €53,000, which seems fully justified. • In terms of impact, no remarks can be added due to the present, unfinished stage of the “Tachonet system”. |
| <p>Overall Degree of Efficiency: medium. However, basic figures are missing for the formulation of a sharp judgement.</p> | |

⁶⁹ See above, under *Possibilities and limits of evaluating the project*

⁷⁰ In line with the usual EC standards

Ways of improving value added from the funding

No method emerging from the evaluation.

Specific Features Affecting the Project

No particular facts affecting the project were identified in the evaluation.

Conclusions

Relevance against the policy: medium. The relevance of the Tachonet system against the Sustainable Mobility policy appears to be low, while its relevance against the scope of the Transport Safety policy is thorough.

Relevance against the financial instrument: medium. The financing of Tachonet under budget line B2-704 is justified by the comments made in connection with the budget; however, this project could have also been considered relevant to budget line B2-702 (Transport safety).

Effectiveness: high. All the expected project deliverables were issued, and they are being used as inputs for the following phases of the project.

Impact: medium. Given that some project activities are still under way, no impact could yet be observed in the several areas where such impact was expected. The project has impacted on two of the common areas observed, even pending completion of some of its activities.

Efficiency: medium. This Degree of Efficiency is largely based on assumptions, because basic budget figures are missing as a result of the specific nature of the contract.

Recommendations

Suitability of an extension. It is highly recommended to extend the financing so that it covers all of its four planned phases. The opportunity to finance the further phases of the project under a different budget line should be considered. The solution adopted to finance the activities that are still under way (use of a DG ADMIN framework contract) seems to have addressed this aspect already.

Recurrence of future similar activities. If there were a need to do so, there are no obstacles to considering activities of a similar nature suitable for financing. The financing of the different phases of a project of a similar nature, under the same contract, is highly advisable.

7.2 Coastal shipping – OSP rules – Little islands

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| <i>Project title</i> | COASTAL SHIPPING – OSP RULES – LITTLE ISLANDS Contract n° 2002/003/G1 under Framework Contract TREN/CC/03-2002 | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> | EC 69,560 € | <i>Contract: year</i> | 2002 |
| <i>Budget for fees</i> | 65,560 € | <i>N. person/days</i> | 88 |

| Background and genesis | |
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| <p>There are two significant aims in the Sustainable Mobility Policy that relate to increasing Europe's economic competitiveness by linking Member States' islands to central markets more effectively. This will also ensure a high-quality, affordable and continuous service throughout the community. Thus, one of the issues related to this policy is the set of rules governing market access and compensation for public service transport to islands.</p> <p>The 2001 White Paper⁷¹ noted that the European Commission would study ways to simplify the rules regarding the access to cabotage services to small islands. Moreover, according to this document, the European Commission would propose a relaxation of the procedures for notifying State aid, particularly in cases relating to compensation for public service obligations on links to the Community's outlying regions and small islands.</p> <p>The community Cabotage Regulation⁷² establishes three conditions for imposing public service obligations on the maritime transport sector. The first condition stated in the regulation is that such obligations must be <i>necessary</i> [Art 2(4)]. Therefore, public service obligations can only be imposed where the market does not satisfy the State's requirements per se. Moreover, according to this regulation, public service obligations can only be imposed on routes <i>to, from and between islands</i> [Article 4(1)]. Finally, the third condition is related to the principle of <i>non-discrimination</i> [Article 4(1)] upon completion of public service contracts or imposing public service obligations.</p> <p>As to the granting of subsidies to companies fulfilling public service obligations on routes that are commercially unviable, the former (1997) Community guidelines on State aid to maritime transport state⁷³ advocated the use of public tenders. No provisions were repealed by these guidelines in respect of services to small islands.</p> <p>The process by which cabotage and state aid rules were being implemented – in particular, the required periodic tendering procedure – was seen as too cumbersome to organise passenger ferry services to certain small islands, which in principle involved just a single operator. In addition, public services, which were only regulated in the case of island cabotage trades, were sometimes essential on cabotage routes. Indeed, in certain areas such as long estuaries⁷⁴, the geographical situation is such that there is no real land alternative to maritime transport.</p> | |

⁷¹ COMM/2001/370

⁷² OJ L 364, 12.12.1992, P.7.

⁷³ OJ C 205, 5.7.1997,P.5.

⁷⁴ Estuaries are understood to be not only areas where a river joins the sea but also fjords and other similar areas.

With a view to revising the legal framework in connection with public service to small islands, especially by laying down the Commission's interpretation of the cabotage regulation, the latter decided to simplify such legal framework and to explore the possibility of applying the same simplified rules to long estuaries.

| Typology of project | |
|------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | The study is aimed at supporting the European Commission in the revision of the Community rules applicable to maritime public services within the transport sector, to small islands. |
| <i>Methodology adopted</i> | Statistical analysis of passenger traffic and cargo volumes data. The consultant originally collected data and had access to the data collected in a previous European Commission study (Planistat) and to Eurostat databases (New Cronos and GISCO). |
| <i>Geographical coverage</i> | The study analysis was carried out in relation to the 23 coastal States, the members of the 15-nation European Union and the European Union candidate countries. Seven of these 23 coastal States – Belgium, Bulgaria, Latvia, Lithuania, Poland, Romania, and Slovenia – were found to have no islands falling within the criteria of this study. In addition, the island nation of Cyprus was excluded because it has no significant outlying islands. |

| Specific project objectives |
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| <p>The two main project objectives were:</p> <ol style="list-style-type: none"> 1. As far as islands are concerned, to identify a threshold X (annual number of passengers carried to/from the island) and Y (annual volume of cargo carried to/from the island) with a view to applying the simplified rule in cases where figures are below such thresholds. 2. As far as estuaries are concerned, to identify threshold Z (distance in km between the two main urban areas located at the mouth of the estuary) with a view to imposing public service obligations in cases where figures are above such threshold. <p>Regarding islands, consultants were asked to produce a full inventory of all the islands in Europe⁷⁵; to indicate, in relation to each of them, the annual number of passengers carried by sea to/from the island, to collect data on the number of ship owners operating on routes to/from a representative set of "small" islands, to collect data on the annual volume of cargo carried by sea to/from islands, (looking at how cargo volume is correlated with passenger traffic), and to suggest a threshold determining the cases where simplified rules could be applied to islands eligible for public services. Furthermore, in relation to estuaries, consultants were requested to produce a full inventory of all maritime estuaries in Europe, to indicate, in connection with each of them, the distance in km. between the two main urban areas located at the mouth of the estuary - or if this data was not available, the distance in km. of the estuary itself, to collect data related to the number of passengers/cargo carried between the two main urban areas located at the mouth of the estuary and to suggest a threshold determining the cases in which estuaries may be assimilated to islands because of their poor land connections.</p> |

Possibilities and limits of evaluating the project

⁷⁵ Member States and Candidate Countries at that time.

All the elements for the evaluation of the project were available.

Activities undertaken during the evaluation

Examination of project documents; bibliographic research; interviews with Task Managers; contact with the Danish Maritime Administration.

Opportunities for further analysis

None.

Relevance to the policy

How was the project evaluated relevant to the policy goals?

The project is highly relevant to the Sustainable Mobility policy goal.

- In fact, the opportunity to simplify the rules on access to cabotage services to small islands was explicitly mentioned in the 2001 White Paper⁷⁶. This study provided recommendations concerning thresholds that should be defined for simplified rules to be applied among islands and long estuaries eligible for public service obligations.
- DG TREN initially considered a set of criteria (such as number of passengers, amount of subsidy, cost of service, number of inhabitants, availability of infrastructure and volume of cargo) as potential factors that could be relevant for defining a threshold so that islands whose figures are below such threshold would be exempted from requirements applicable under the community guidelines on State aid to maritime transportation. Then it was concluded that “the most relevant criterion, given the goal pursued, is the total number of passengers carried to and from an island (...) Trades where only a few passengers are carried may be considered to be local trades that should be subject to less severe rules.” The scope of the study was then to select a threshold for the classification of “small islands” and of “long estuaries” on the basis of the total number of passengers carried by the existing services.

How was the project evaluated relevant to the available financial instrument?

The project is highly relevant to the financial instrument.

- The grounds for financing this activity are to be found in the heading of the comments to budget line B2-704, which reads: “*This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community’s common transport policy...*”
- Moreover, it is justified by the following comment, which includes, among the activities to be financed, “*preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers*”.

⁷⁶ COMM/2001/370

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| | <ul style="list-style-type: none"> In addition, it is confirmed by the comment: “<i>observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States</i>”. |
| <i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i> | No need for adjustments. |
| <i>Further project-specific remarks</i> | None. |
| Overall Degree of Relevance against the Policy: high Overall Degree of Relevance against the financial instrument: high | |

| Effectiveness | |
|----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>The project was strongly focused on specific statistic tasks, and was effective in reaching its objectives.</p> <ul style="list-style-type: none"> The Final Report to the Commission contained all the elements required under the Terms of Reference. The effectiveness of the project in achieving its specific objectives was also positively assessed by the European Commission internal services. |
| <i>Have the outputs been effective in addressing the policy goals?</i> | The results of the project have been effective (the identification of the yearly passenger traffic thresholds for small islands and long estuaries) and they have actually been applied straight away. |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | With reference to the second objective (definition of long estuaries that could be treated as small islands), in addition to the requirements stated in the Terms of Reference, the study discussed an alternative threshold that may better capture the important characteristics of these estuaries, by considering the around/across threshold as dependent on the distance around. |
| <i>Further project-specific remarks</i> | <p>The project was assigned to the consultant as part of a framework contract. The task was clearly identified and, through the framework contract, the assignment procedure was really fast.</p> <p>The information collected in connection with traffic levels, nature, and routes of ferries and other maritime cabotage services to islands, as well as the characteristics of the islands to which services were rendered, has been a major component of the study. The inconsistency among the various data sources and the lack of clarity in the definition of parameters within individual data sources, which were aggravated by delays in receiving the required database, have been problematic</p> |

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| | issues. Data from Eurostat, GISCO and Planistat were supplemented by an original collection of data, which naturally represented the bulk of the effort undertaken by the consultant. |
| Overall Degree of Effectiveness: high | |

| Impact | |
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| <i>Impact on policymaking</i> | DG TREN applied the conclusions arising from the study to the Communication of 22.12.2003 ⁷⁷ issued by the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, on the selection maritime transport services operators. The Communication draws on the experience gained during the ten years' practical enforcement of Council Regulation (EEC) No 3577/92 applying the principle of freedom to provide services to maritime transport within Member States (maritime cabotage), and it is presented for information purposes. In the next months, a further communication on public service compensation (state aid) is to be published, reusing the project results. |
| <i>Secondary impacts on other policies</i> | No secondary impacts were identified during the evaluation. |
| <i>Publicity given</i> | The Commission services decided not to make the report public. This was mainly due to the fact that there were gaps in the traffic figures used by the consultant (though the study report clearly showed that such gaps did not influence the statistical analysis). |
| <i>Communication and media</i> | No repercussion was observed on communication and media. |
| <i>Impact on industry</i> | No impacts were identified during the evaluation. |
| <i>Impact on research</i> | The study under evaluation was mentioned in the "Island transport and the European Union in 2003" ⁷⁸ , a study conducted by the Eurisles network on the initiative of CPMR Islands Commission. |
| Overall Degree of Impact: medium | |

| Efficiency | |
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| <i>Efficiency in the use of resources</i> | The cost of the study (€ 69,650) was based on 88 person-days at a daily fee of € 745 and was fully funded by the Commission, as part of a framework consultancy contract for the provision of economic assistance activities (contract n° TREN/CC/03-2002). The number of working days assigned to the task is consistent with its nature. |
| <i>Cost effectiveness in terms of results and impact</i> | It could be stated that the project was cost effective because it conducted the analysis required to support the preparation of the legislative actions by the Commission services. |
| Overall Degree of Efficiency: medium | |

⁷⁷ COM(2003) 595, Brussels, 22.12.2003

⁷⁸ http://www.think-net.org/documents/Islands_transport_report_%28Michel_Biggi%29.pdf

Ways of improving value added from the funding

No method emerging from the evaluation.

Specific features affecting the project

No features were mentioned by the Task Managers.

Conclusions

Relevance against the policy: high. The simplification of the rules on access to cabotage services to small islands was mentioned in the 2001 White Paper. The objective is fully consistent with the Sustainable Mobility policy.

Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by three comments to the budget.

Effectiveness: high. The project successfully delivered its planned outputs, which were effective in relation to the planned scope (the issuing of a Communication).

Impact: medium. Impact was observed under two of the common areas, and no further impact is expected. This is partly due to the grounded decision in the sense that the report should not be made public.

Efficiency: medium. Consultants were paid average fees in relation to the costs observed in this evaluation. As to the effectiveness of the results obtained, the study was cost-effective.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and its goals were achieved upon the delivery of its Final Report. This study is one of the projects aimed at supporting the institutional activities of the European Commission. It is highly recommended that the Commission continue to support its actions, if necessary, by supporting adequately targeted studies carried out by independent experts.

7.3 The European Short Sea Network

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| <i>Project title</i> | THE EUROPEAN SHORTSEA NETWORK - SUB/B2-7040B-S07.14490/2002/ESN | | |
| <i>Type of funding</i> | Subvention of institutional activities | <i>% of financing</i> | 50% |
| <i>Overall budget</i> | EC 54,773 € (overall budget: 109,546 €) | <i>Contract: year</i> | 2002-2003 |
| <i>Budget for fees</i> | Not financed | <i>N. person/days</i> | Not considered in the budget |

| Background and genesis | |
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| <p>The projects “raison d’être” is to ensure support by Short Sea shipping of an established European Union policy. Short Sea shipping is more frequently used as a factor supporting a move towards a more sustainable mobility of goods and passengers.</p> <p>This support has been a priority since the year 1995, when the European Commission issued a specific Communication on Short Sea shipping for the first time⁷⁹. The Council welcomed the Communication and adopted Resolution 96/C 99/01⁸⁰ on Short Sea shipping.</p> <p>The European Commission’s Communication was followed by a first progress report in 1997 and by a second one two years later⁸¹, “The development of Short Sea shipping in Europe: a dynamic alternative in a sustainable transport chain”.</p> <p>With its 2001’s White Paper “European Transport Policy for 2010”, the European Commission further emphasises the vital role of Short Sea shipping in relation to the maintenance and further development of an efficient and sustainable transport system in Europe.</p> <p>More recently, with the year 2003’s Communication “Programme for the promotion of Short Sea shipping”⁸² the Commission proposed to the EP and the Council the adoption of a Directive on Intermodal Loading Units.</p> <p>In order to support this policy the European Commission carried out some inter-linked initiatives.</p> <p>In a first stage it supported the creation of national Short Sea promotion centres at the national level, their start-up being co-financed.</p> <p>Then, from the year 2001 onwards, and as a result of the creation of the European Short Sea Network in the year 2000, funds were also allocated to co-finance the start-up (in a</p> | |

⁷⁹ 05.07.1995

⁸⁰ 11.03.1996

⁸¹ 29.06.1999 COM(1999) 317 final

⁸² 07.04.2003 COM(2003) 155 final

first phase) and then (in a second phase) some of the institutional activities of the network⁸³. In the years 2001 and 2002, the European Commission also supported two joint projects submitted by four national promotion centres (DK-D, year 2002; and F-I, year 2001), by means of specific subsidies.

The European Short Sea Network is a co-operation between different national Short Sea promotion centres in the form of an agreement among the members. It has no legal status. As a network of sector operators, its objectives are –whether directly or indirectly– market oriented.

In order to facilitate political dialogue with all the maritime Member States (plus Norway and Iceland), the European Commission is furthermore engaged in institutional consultation and cooperation with the Short Sea Shipping Focal Points. Focal Points Members are government officials with the specific duty to promote and develop Short Sea Shipping in their Member States.

Typology of project

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|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | A measure sustaining a specific and established European Union policy of promotion of Short Sea shipping, by co-financing some institutional activities of the European Short Sea Network. |
| <i>Methodology adopted</i> | Not applicable. |
| <i>Geographical coverage</i> | Belgium, Finland, France, Germany, Greece, Ireland, Italy, Poland, Portugal, Spain, Sweden, Denmark and The Netherlands |

Specific project objectives

The European Commission supports the European Short Sea Network, by granting recurrent subventions to its institutional activities on a yearly basis. The contract under evaluation is the second subvention granted to the Beneficiary in order of time; at the time of writing, a third contract covers the following period.

The main activities to be carried out by the beneficiary, within the framework of the present subvention, were:

- The strengthening of the search services already available via the website of the network <http://www.shortsea.info/front/frameset.asp>. No specific targets were set in the contract, which just states “*Besides sailing information other useful information about Short Sea will be provided on the website*”. This activity absorbed 79% of the allowable direct costs.
- Marketing of the ESN and its web services, including activities such as participation in fairs, conferences; and preparation of advertising material. This set of activities absorbed 21% of the allowable direct costs.

Possibilities and limits of evaluating the project

- The fact that the contract did not set specific targets for the main activities; coupled with a Final Report not clearly drafted (it provides few clear indications on the

⁸³ The financing of the ESN does not substitute the EC’s right to finance the start-up of new national promotion centres, which are entitled to apply for aids similar to those already received by the existing ones.

progress achieved during the reporting period); makes it difficult to produce an accurate assessment of the effectiveness of the project

- The subvention was requested and granted in order to cover mainly allowable direct costs (86% of the overall budget), and no funds were requested to pay the cost of staff. For this reason, it is almost impossible to conduct an analysis of the efficiency in the use of resources.
- Please, see also below, under *Opportunities for further analysis*.

Activities undertaken during the evaluation

Desk study of project documents; bibliographic research; interviews with the two DG TREN Task Managers; contacts with the Beneficiary; mini-survey among users of the services.

Opportunities for further analysis

It is strongly suggested that a structured survey of the level of satisfaction of the users of the services provided by the network be conducted, to further help in understanding the effectiveness of the project and its impact on the industry.

The survey should be addressed to a large number of service users, and it must contain very few questions (no more than 3 or 4 close-end or multi-selection questions) to be answered in a very limited period of time (a few minutes). Given the ways of accessing the services (open and free web-based services, with no user identification), a structured survey should use techniques such as interactive pop-up web menus appearing upon accessing the services area, with automatic data processing. Answering to the questionnaire shall not be compulsory, with a twofold purpose: a) so as not to upset clients that do not want to participate in the survey, and; b) to avoid double answers (by clients accessing the service more than once during the period of the survey, and answering every time).

The survey should be kept online for the period of time strictly needed to collect a significant number of answers (no more than 2 to 3 weeks). If necessary, the survey could be repeated after a while either: a) to check the changes in customer satisfaction after modifications made to the services, or; b) to pose a different set of questions.

The cost of such a survey will be extremely low, because the process can be fully engineered.

The structured survey is not conducted in the frame of the present evaluation because of budget and time constraints; instead, a mini-survey must be conducted on a narrow sample of users (see below, *Impact on Industry*).

| Relevance to the policy | |
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| <i>How is the project evaluated relevant to the policy goals?</i> | <p>This project is assessed to be relevant to the policy objectives.</p> <ul style="list-style-type: none"> • Short sea shipping is considered by the European Union Sustainable Mobility policy, as a method of transport that “<i>could take substantial volumes of goods traffic off Europe’s congested roads and ease major road and rail bottlenecks</i>”. Short sea shipping produces fewer polluting emissions than other means of transport, and its passenger death rate is extremely low. It is |

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| | <p>therefore considered to contribute substantially to the development of a sustainable transport system.</p> <p>The subvention aims to support the further development of short sea shipping, through financing institutional activities of the existing network comprising different national short sea promotion centres.</p> |
| <p><i>How is the project evaluated relevant to the available financial instrument?</i></p> | <p>The project is relevant to the available financial instrument; and it is justified by two comments made in relation to the budget line, which is aimed at financing:</p> <ul style="list-style-type: none"> • <i>“specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market...”</i> • <i>“promotion of sustainable mobility in the Community and of effective cooperation between the different transport modes”</i> |
| <p><i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>The relevance of the project was high, and could not have been improved through adjustments.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>None.</p> |
| <p>Overall Degree of Relevance against the Policy: medium Overall Degree of Relevance against the Financial Instrument: high</p> | |

| Effectiveness | |
|-----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>Has the project evaluated been effective in addressing its specific objectives?</i></p> | <p>(see also the comments given under “Possibilities and limits of evaluating the project”)</p> <p>The project was reasonably effective in further developing the ESN web-based services; and in undertaking activities for the marketing of ESN, as well in investments made.</p> <p>1. Concerning the ESN web-based services:</p> <ul style="list-style-type: none"> • Efforts were directed to enlarge the geographic coverage of the services (Belgium, Finland, Germany, Spain, and Sweden joined in the network during the period), and to start negotiations and preliminary operations for the following round of enlargement of the network (it was announced that six more countries were close to joining up). At the end of the term of the contract, search services were available for Liner services, Tramp vessels, and Port information. Furthermore, a back-end facility (intranet) was made accessible to members for direct data-entry on the database. Further efforts were directed to develop some |

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| | <p>pages relating to “News”.</p> <p>2. Concerning the marketing of ESN and its services:</p> <ul style="list-style-type: none"> • Activities were also undertaken in this area, and investments were made (institutional displays and documents), that can be re-used in relation to further initiatives, such as participation in fairs and workshops. |
| <p><i>Have the outputs been effective in addressing the policy goals?</i></p> | <p>Not relevant to the present project due to its narrow focus.</p> |
| <p><i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>The effectiveness of the project could have been made more easily understandable with a clear, contractual definition of the specific objectives of the subvention, which was not stated in the contract.</p> <p>In order to have full control of the money spent and of its effectiveness, the Public Administration should require the Beneficiary to submit –as an essential part of its request for a grant- a clear and detailed work plan of the activities to be carried out and the objectives to be achieved. Upon approval, the work plan should be attached to the contract so as to constitute an integral part thereof⁸⁴.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>There are clear indications to the effect that the ESN services are now undergoing a mature phase; that ESN is committed to their maintenance; and that the number of users of the services is increasing. The following statements arise out of an analysis conducted one year after the submission of the final report of the contract under evaluation:</p> <ul style="list-style-type: none"> • Further, work has made substantial progress over time, whilst in a non-homogeneous way. Four more countries (France, Ireland, Italy, and Portugal) are now accessible via the Liner Services search facility, and Norway is now a full member of the network. Meanwhile, no progress was made in relation to the access to the Tramp vessels service (only the same 2 countries are accessible, Greece and Ireland). It is suggested that an analysis of the interest of the users of the services in having access to the Tramp vessels service should be conducted before making further investments on this. • The liner services accessible via the website increased in number from 2,783 on 28.02.03 to 5,845 on 05.04.2004 (+ 110%). A wider coverage of these services has therefore been achieved. • The number of agents in each of the countries that were already included at the time of the Final Report did not change substantially over the following year. This seems to indicate that |

⁸⁴ In the specific case under assessment, the objectives of the contract could have included (as an example): 1) *geographic extension of ESN web services, so as to include the following Countries by the end of the present subvention:: xxx, zzz, yyy.* 2) *Opening of negotiation with approximately xx further countries, aimed at their inclusion in the network, in the next xx years.* 3) *Setting up of an intranet facility providing members with the following utilities and functions: xxx, xxx, xxx, 4)...*

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| | <p>ESN has already achieved almost full coverage of the universe of existing agents.</p> <ul style="list-style-type: none"> The number of unique visitors to the website, per day, increased by approximately 39% during the first quarter of the year 2004, compared to the same period of the previous year. |
| <p>Overall Degree of Effectiveness: medium (However, basic elements are missing for the formulation of a sharp judgement)</p> | |

| Impact | |
|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | The project was not aimed at producing an impact on policymaking; no indications of impact were observed. |
| <i>Secondary impacts on other policies</i> | The project was not aimed at producing an impact on policymaking; no indications of secondary impact were observed. |
| <i>Publicity given</i> | <p>There is some evidence of the publicity given to the Network and the services available via its website, even after the expiration of the contract.</p> <ul style="list-style-type: none"> Evidence of this is the participation to all the editions of the “Semaine Internationale du Transport et de la Logistique” (SITL), from 2002 to 2004, held in Paris. In particular, the participation to the 2004 edition of the fair was marked as the official launch of the Network’s web services. When making a search of “European Short Sea network” on the internet via Google⁸⁵, 347 occurrences are obtained. About 40% of these occurrences provide links to websites⁸⁶ that do not belong to the network, to members of the network, or to the European Commission. This evidences some visibility of the network among operators |
| <i>Communication and media</i> | On the basis of the findings of the evaluation, it cannot be said that the activity towards media was extremely developed. In this sense, the only two press releases present in the network website may be cited ⁸⁷ , one dated 24.06.2002 and the other undated although presumably issued in the year 2004. |
| <i>Impact on industry</i> | <p>To get some indications on the point, a mini-survey was needed among users of the service. Therefore, evaluators requested that the Presidency of ESN disclose a list of users of the service (if known). Contact details of nine companies (based on three different European Union countries) were disclosed, and evaluators sent a short questionnaire to all of them. Four answers were received.</p> <p>One contact⁸⁸ turned out to be unaware of the existence of the network and of the services provided.</p> <p>The profile of the responding users (three mid-to-large shipment companies) is the following:</p> |

⁸⁵ www.google.com

⁸⁶ Mainly maritime / transport operators websites, but some universities are included, as well.

⁸⁷ Viewed on 18.03.2004

⁸⁸ A major world producer of office machines and computers peripherals.

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| | <p>All the three respondents use the services with a weekly frequency, and “Liner services” is the service mostly used.</p> <p>As an average, their level of satisfaction with Liner services is rated at 3.66 in a scale from 1 (fully unsatisfied) to 5 (fully satisfied). This level decreases to 3 for Tramp vessels, and to 2.5 for Port info.</p> <p>The use of the ESN services benefited the three users: these benefits are rated at an average 3.33 over a scale from 1 (no benefits) to 5 (very large benefits).</p> |
| Overall Degree of Impact: medium | |

| Efficiency | |
|----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | Please, see the comments included under <i>Possibilities and limits of evaluating the project</i> . |
| <i>Cost effectiveness in terms of results and impact</i> | In very approximate terms due to the nature of the budget ⁸⁹ , the financing seems coherent with the project achievements. |
| Overall Degree of Efficiency: Judgement cannot be formulated due to the fact that basic elements are missing. | |

| Ways of improving value added from the funding |
|-------------------------------------------------------|
| No indications emerged to the point. |

| Specific features affecting the project |
|-----------------------------------------------------------------------|
| No particular facts affecting the project emerge from the evaluation. |

| Conclusions |
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| <p>Relevance against the policy: medium. The promotion of Short Sea Shipping is fully coherent with the objectives of the Sustainable Mobility policy. The subsidy is characterised by its narrow focus, evidenced by its very limited budget.</p> <p>Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is justified by two comments in relation to the budget.</p> <p>Effectiveness: medium. The scope of the project is not well defined and the report of activities is not clear. However, there is evidence of activities carried out by the Beneficiary during and after the financing that supports the positive assessment made.</p> <p>Impact: medium. Impact was observed under two of the common areas, and no further impact is expected. There is some evidence showing that the use of the ESN services is profitable for the users.</p> <p>Efficiency: not ranked. There is not enough information available to issue a judgement on the point. This is largely due to the specific nature of the financing (reimbursement of direct costs).</p> |

⁸⁹ See the comments included under *Possibilities and limits of evaluating the project*.

Recommendations

Suitability of an extension. It is recommended that the financing continue subject to two conditions:

- a precise definition of the project objectives, for each financing period; and the obligation for the contractor to report clearly on the its activity achievements against the planned objectives;
- support to the Beneficiary in achieving its financial sustainability, in view of the ending of the public subventions. This financial sustainability shall not be detrimental to the Beneficiary's autonomy regarding commercial interests.

Recurrence of future similar activities. The co-financing of organisations or activities that contribute directly or indirectly to the attainment of one of the objectives of the European Union is foreseen by the Council Regulation No 1605/2002. The recurrence of similar activities for a limited period of time is considered suitable.

7.4 Good practice in contracts for Public Passenger Transport

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| <i>Project title</i> | GOOD PRACTICE IN CONTRACTS FOR PUBLIC PASSENGER TRANSPORT - B2.704/STD/002/2001 | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> | EC 149,116 € | <i>Contract: year</i> | 2001-2002 |
| <i>Budget for fees</i> | 118,050 € | <i>N. person/days</i> | 140 |

Background and genesis

The 2001 White Paper identifies the problem of traffic congestion as a major threat to the European Union's economic competitiveness. One key factor recognised as being behind the continuous growth in congestion is the growth in car use. Thus, there is an interest in generating a shift towards public passenger transport by improving quality of these services and lowering their costs. Moreover, in accordance with the Sustainable Mobility Policy, there is a necessity of ensuring that these services are safe, efficient, competitive, and socially and environmentally friendly.

Public monopoly operators have historically supplied public passenger inland transport. However, in the European Union, this sector has experienced significant changes in recent years. By the year 2001, most Member States had begun to use contracts to regulate the relationship between operators and authorities. Most had also introduced 'regulated competition' into some of their services with the aim of improving quality and/or reducing costs.

Regulated competition refers to the awarding of an exclusive right to operate a route, or a network of routes, to an operator (or possibly a consortium) following a competitive process. Along with the exclusive right, the authority may also grant subsidies to the successful operator in compensation for the fulfilment of public service requirements.

The 26 July 2000 the European Commission introduced a proposal for a Regulation concerning Public Service Requirements in Public Passenger Transport (COM(2000)0007, Co-decision procedure). This proposal requires that public service contracts be concluded by authorities –in most cases via public tender- if they wish to award an exclusive right and/or an operating cost subsidy to an operator. The proposal therefore requires the opening of most remaining closed public transport markets to regulated competition. Following a discussion at the Council and a first reading at the EP, the European Commission accepted some requests for changes, and modified its proposal (COM(2002)0107), which is still pending. A common position of the Council is expected by December 2004.

In 2001, an internal study by the European Commission (EC) showed that cities using 'regulated competition' had experienced, on average, a 1.8% per annum increase in the number of passenger trips. While cities without competition in public transport had undergone an average 0.7% decrease and cities using deregulation –competition without significant control by public authorities- had suffered an average 3.1% decrease. Furthermore, the proportion of operating costs covered by fares increased by an average of 1.7% a year for cities using 'regulated competition' whilst cities without competition and cities using deregulation without significant control experienced an average 0.3% increase.

The change from direct provision by public authorities to the awarding of exclusive rights to

operators (public or private), together with the requirement that the relationship between authorities and the operator is on a transparent basis, places a great onus on the contractual relationship. Moreover, the contract must also guarantee that the public passenger transport service put in place is safe, efficient, competitive and socially and environmentally friendly.

A few months after the first version of the European Commission's Proposal (October-November 2000), the need to launch a study on contracts in public passenger transport firstly emerged at the Commission. As experience in awarding and managing contracts varies across Europe, the Commission intended -with the results shown by the study, to provide a practical information source for authorities and operators who are either facing the need to contract for the first time or are interested in improving the manner in which contracts are awarded and managed.

| Typology of project | |
|------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | A study aiming: <ol style="list-style-type: none"> 1. To provide the Commission with statistical evidence on public transport performance. 2. To provide the Commission with elements to be used by Member States' authorities and transport operators on the issuing and managing of public contracts. |
| <i>Methodology adopted</i> | Data collection and exploratory statistic analysis; contract collection, analysis, and classification; case studies, and interviews with operators, tendering authorities and other stakeholders. |
| <i>Geographical coverage</i> | <ul style="list-style-type: none"> • For statistics: Netherlands, Spain, Germany, Belgium, Ireland, Italy, Portugal, France, Austria, Finland, United Kingdom, and Sweden • For contract analysis: Germany, Ireland, France, Italy, China, Australia, Sweden, and United Kingdom |

| Specific project objectives |
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| <p>The main objective of the project was to build up a database of contracts and information on contracting and contract management in the public passenger transport field as a reference source for authorities, operators and others involved in concluding contracts for these services.</p> <p>The overall aims of this study were:</p> <ul style="list-style-type: none"> • To collect a sample of existing contracts (at least 60), to prepare standardised summaries of those contracts and to translate those summaries into English, German and French • To produce a summary description of the processes applied by 10 authorities in concluding contracts • To undertake interviews with 10 operators and user-groups associated with the authorities interviewed, so as to capture their views on how contracts have performed regarding the criteria of effectiveness, efficiency and transparency • To carry out interviews with appropriate personnel and study relevant documentation with the aim of providing descriptions of the processes applied by 10 authorities to manage contracts from their commencement date to the date of their termination |

- To place all this information on a database accessible via ELTIS; and
- To assess the impact resulting from the introduction of regulated competition, in a sample of European Union regions and cities that have introduced it, on: passenger numbers, fare levels, the balance of revenue fares and subsidies, investment, employee numbers and quality of service

Possibilities and limits of evaluating the project

No particular limits experienced.

Activities undertaken during the evaluation

Desk study of project documents; bibliographic research; interview with the DG TREN Task Manager; mini-survey among recipients of the project reports.

Opportunities for further analysis

An ex-post impact assessment could be made after approval of the pending European Commission's proposal for a regulation of the sector.

Relevance to the policy

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| <i>How is the project evaluated relevant to the policy goals?</i> | <p>The project is highly relevant to the European Union Sustainable Mobility policy.</p> <ul style="list-style-type: none"> • The progressive decrease of private use cars, in favour of a larger use of public transport systems, is at the heart of the European Union Sustainable Mobility policy. • The study aimed to support public transport authorities and operators with legal and management tools to increase transparency and efficiency of their services, is in the interest of both citizens and economic actors. |
| <i>How is the project evaluated relevant to the available financial instrument?</i> | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • The funding under budget line B2-704 is justified by the following comment to the budget: the financial instrument can finance activities of "observation of the market for the carriage of goods and passengers in all modes, including improved collection of statistics by Member States". |
| <i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i> | No need to improve the relevance of the project, which was full. |
| <i>Further project-specific</i> | None. |

| | |
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| <i>remarks</i> | |
| Overall Degree of Relevance against the Policy: high | |
| Overall Degree of Relevance against the financial instrument: high | |

| Effectiveness | |
|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>The project was effective in reaching its objectives.</p> <ul style="list-style-type: none"> • While the specific content of the project outputs was of full satisfaction to the European Commission, some under-performance was noted concerning the presentation of the findings of the study (poor drafting, needing major reworking). • All the required outputs were produced by the project. They assumed the form of two studies (Study of good practice in contracts for public passenger transport; and Guide to contracts and contracting in public transport), and an electronic collection of contracts. • Criticism was raised during the evaluation by the transport company of a European Union Capital city, which considers that some of the data contained in the first of the two reports (Good practice in contracts...) were outdated at the time of writing. |
| <i>Have the outputs been effective in addressing the policy goals?</i> | Yes, because of the full relevance to the policy objectives; and a wide circulation of the two studies produced by the project (about 600 selected addressees throughout Europe –public authorities, transport operators... received a copy of both reports via email, upon initiative of the Task Manager). |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | <p>Some unplanned extra-efforts were put-in by the European Commission, in order to support the work of the consultants during finalisation, as under-performances were noticed on the presentation of the findings of the study.</p> <p>This had a positive effect on the improvement of its effectiveness, even if it raised the overall project cost (allocation of more European Commission resources in terms of working time of one of its Officers).</p> |
| <i>Further project-specific remarks</i> | None. |
| Overall Degree of Effectiveness: high | |

| Impact | |
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| <i>Impact on policymaking</i> | <p>One of the objectives of the project was to provide background information of the technical nature of use during the debate leading to the expected approval of the European Commission initiative.</p> <p>In reality, the timeframe of the study and of the legislative initiative were not fully compatible, therefore the outputs of the study were received too late for having an impact on the reception of the European Union</p> |

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| | initiative, especially in the European Parliament. |
| <i>Secondary impacts on other policies</i> | Some of the statistics produced/collected during the contract were useful for DG TREN during inter-service consultations with DGs Internal Market and Environment. Therefore, some of the results of the study were reused. |
| <i>Publicity given</i> | <ul style="list-style-type: none"> • As said above, the outputs of the project were given widespread and well-targeted publicity. • There are clear indications that a secondary diffusion of the studies was made by an important number of recipients, thus widening the number of readers. <ul style="list-style-type: none"> ○ This emerges clearly from the results of the survey organised by evaluators. ○ It is also confirmed by the autonomous initiative undertaken by EMTA (European Metropolitan Transport Authorities) to advertise the availability of both reports produced by this study, in their issue of December 2003 EMTA NEWS. <p><i>See also below, under Impact on industry and public authorities.</i></p> |
| <i>Communication and media</i> | The project results' were not diffused in the media, as they were addressed to a more targeted audience. |
| <i>Impact on industry and public authorities</i> | <p>The expected approval of the mentioned European Commission initiative was due to have significant repercussions on the regulation of the public transport sector; and therefore, a significant impact on the work of all those involved in contracting. The study was launched to support their work with the use of technical instruments.</p> <p>Given that the proposed Regulation has not yet been approved, its effects will be deferred to a later time, if approved by the EP and the Council.</p> <p>However, in order to exploit the potential impact of the project to the largest possible extent, as reported, the European Commission distributed the studies produced to a widespread, well-targeted audience (about 600 addressees).</p> <p>The evaluators conducted a survey among 35 recipients of the studies (public authorities, transport operators); and 10 answers were received. In general, respondents considered both reports as useful for their institutional work. Respondents were requested to score the usefulness of both reports to their institutional work. An average score of 3.55 out of 5⁹⁰ was obtained by the study "Good practice in contracts...", while a score of 3.66 was obtained by the study "Guide to contracts..."</p> <p>90% of the respondents are planning to use (or have already used) some ideas contained in the report for their institutional work. The following contexts where the studies were used, were reported to the evaluators: the production of a (draft) UITP position paper, the International Association of Public Transport; the restructuring of the Innsbruck Public Transport Authority (A); the use of background</p> |

⁹⁰ Respondents were requested to rate the usefulness of the studies from 1 to 5, 5 being the highest positive score.

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| | <p>indications for the discussion of reforms of the Austrian public transport law; the analysis of proposals made by the Swiss government for the restructuring of the Railway operator; the making of the first tenders in relation to public transport in Hungary, and the definition of the strategy for the privatisation of state-owned bus companies; the drafting of a contract for public passenger transport between Geneva's municipality and its local transport company (I); the drafting of public service contracts to be entered by the British Department for Regional Development; the announced developments of the regulation of the sector in Prague (CZ).</p> <p>The usefulness of the reports for the readers is also evidenced by the fact that 80% of respondents passed the reports over to other people; thus, the diffusion of the report was even larger than the distribution that was initially planned.</p> |
| Overall Degree of Impact: high | |

| Efficiency | |
|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>With an average daily cost of 843 € for consultants, the European Commission paid the consultants at full market prices.</p> <p>However, the number of working days appears as reasonably low (140 days), thus the overall use of resources does not emerge as over allocated.</p> |
| <i>Cost effectiveness in terms of results and impact</i> | <p>The cost of the project, even pending the approval of the proposed European Commission regulation, is fully justified by the plurality of its impacts on industry and local authorities.</p> |
| Overall Degree of Efficiency: medium | |

| Ways of improving value added from the funding |
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| <p>The large and well-targeted diffusion of the project studies was an important means to improve the value added from funding.</p> |

| Specific features affecting the project |
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| <p>The process comprising the idea to contract-out the study, its approval, the calling for bids and the carrying out of the project is deemed to be too time consuming by the European Commission staff. This is deemed to have had negative repercussions on the full potential positive impact of the study on policymaking.</p> <p>The burden of administration before, during and after the study is reported as heavy, reducing the European Commission staff's available time to concentrate on managing the development of the project contents.</p> <p>A lengthy process was required to finalise the text of one of the reports (even requiring extra efforts by internal staff of the European Commission). This resulted in further delays in obtaining the final output of the activity.</p> <p>By applying DG TREN's rule, it was impossible to extend the contract beyond its originally planned duration. Such an extension would have enhanced the European Commission's bargaining power (relative to the contractor) in the contract under evaluation.</p> |

Conclusions

Relevance against the policy: high. The project was instrumental to the objective to promote the use of public transport while decreasing private use of cars, which is a key objective of the Sustainable Mobility policy.

Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by one comment to the budget.

Effectiveness: high. The project successfully delivered its planned outputs, and their large and well targeted diffusion increased its effectiveness. This counterbalanced the fact that, in reason of some delays in the project cycle, the project could not deploy its full effectiveness in terms of policymaking.

Impact: high. The impact was very large, and was observed under four of the common areas. No further impact is expected.

Efficiency: medium. Fees paid to consultants are the highest fees ever paid for the projects under evaluation, for a project of a scarcely technical nature. This would lead to a degree of “low”. However, overall budgeted efforts are justified by the tasks carried out by the consultant. Moreover, its overall efficiency is also influenced by the very large impact of the project on different users’ communities.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and it achieved most of its goals upon delivery of its Final Report. This study is one of the projects aiming to support the European Commission in its institutional activities. It is highly recommended that the Commission continue to support its actions through the support of well targeted studies carried out by independent experts, whenever they is needed.

7.5 Study on Freight Integrator including questions about civil liability

| | | | |
|------------------------|-------------------------------------------------------------------------------------------------------------------------|-----------------------|-------|
| <i>Project title</i> | STUDY ON FREIGHT INTEGRATOR INCLUDING QUESTIONS ABOUT CIVIL LIABILITY Contract n° ETU/B2-7040B-S07.18491/2002 | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100 % |
| <i>Overall budget</i> | EC 229,000 € | <i>Contract: year</i> | 2003 |
| <i>Budget for fees</i> | 203,000 € | <i>N. person/days</i> | 290 |

| Background and genesis | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p>Growing road traffic congestion, environmental concerns and dependence on imported fossil fuel threaten European freight transport, which, in turn, is heavily dependent on road transport and fossil fuels. Given the current trends, the use of road freight transport will continue to grow at a fast pace in the coming years, raising serious concerns about the capability of the system to deal with higher traffic levels.</p> <p>The need then emerges to make a better use of alternative modes of transport (rail, Short Sea shipping and inland waterway) that might have, according to circumstances, safety, efficiency, cost, energy and environmental benefits.</p> <p>Much has already been done to improve the supply of transport services, particularly the alternative modes by opening markets, laying down common technical rules and applying competition rules to the transport service sector. The Freight Integrator Action Plan aims at making full use of the potential of intermodal solutions. For this, Europe needs to develop the skills and tools of intermodal freight transport managers – “freight integrators”.</p> <p>The idea of freight integrators was first mentioned in the ‘White Paper on the European Transport policy until 2010’⁹¹ which referred to them as being organisers of intermodal full load transports. According to this document, freight integration should combine the strengths of different modes to offer the best service in all respects, make use of the most efficient modes of transport in the chain so that full loads can be ensured, and reduce the complexity of intermodal transport by providing customers with one stop-shops offering simple, reliable and understandable services.</p> <p>The White Paper also acknowledged that further integration of transport and logistics is needed to maintain the efficiency of the transport system.</p> <p>In between 1999 and 2000 the European Parliament⁹² asked the Commission to place a particular emphasis on door-to-door intermodality and called for a single, transparent scheme, easy to enforce, and with clear responsibilities all along the logistics chain.</p> <p>In 2001 the Council, through a Resolution⁹³ on the promotion of intermodality and intermodal freight transport in the European Union, invited the Commission to continue and intensify its work for the promotion of intermodal transport.</p> <p>Freight intermodality can be efficient only with a good integration of each transport mode in the supply chain. Integration is a crucial issue, not only between modes of transport, but also within transport services through a better understanding of current trends in logistics.</p> | |

⁹¹ [COMM/2001/370](#)



| Typology of project | |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | <p>The role of intermodality and logistics for the development of an efficient and sustainable transport system is clearly supported by the European transport policy. As highlighted in the White Paper on European transport policy for 2010, further integration of transport and logistics is needed to maintain the efficiency of the transport system and, to this end, a new concept of "freight integration" has emerged. "Freight integration" should combine the strengths of different modes to offer the best service in all respects, make use of the most efficient modes of transport in the chain so that full loads can be ensured, and reduce the complexity of intermodal transport by providing customers with one stop-shops offering simple, reliable and understandable services.</p> <p>The study was aimed at developing the concept of "freight integrations", starting from the specific suggestion of the White Paper, and producing appropriate recommendations for European and Member States' policy makers, as well as for industries.</p> <p>A Commission's Communication on the Freight Integrator Action Plan is in preparation, and will be published in the coming months. The study under evaluation was targeted to provide the Commission with factual data and independent views for the preparation of this Communication.</p> |
| <i>Methodology adopted</i> | <p>The study was carried out by a consortium supported by European logistic and intermodal associations and was mainly based on:</p> <ul style="list-style-type: none"> • Data collection through questionnaires and interviews; a sample of 50 companies was identified as the scope. • Analysis of the current market situation and trends on transport logistics and intermodal sectors. • Legislative analysis with reference to liability issues. |
| <i>Geographical coverage</i> | <p>The survey sample included companies from 15 European Union and (at that time) Accession countries.</p> |

| Specific project objectives |
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| <p>The overall aims of the study were:</p> <ul style="list-style-type: none"> • To define the notion of "freight integrator" in theoretical and practical terms, and to put forward a set of clear indicators against each company shipping or forwarding cargo can benchmark itself • To identify concepts and/or management practices applicable to larger consignments and to estimate whether a limitation of 5 tonnes is reasonable. If it is not, to make a proposal on whether a limit value for the weight and size of consignments is necessary. • To carry out a review and description of the functions, services and operations of existing door-to-door freight shipping/forwarding companies using the indicators elaborated, in order to identify companies integrating freight in Europe. The |

⁹² Reports by Mr U. Stockmann of 21.1.1999 and by Mrs A. Poli Bortone of 27.11.2000.

⁹³ OJ C 56,29.2.2000, p.1.

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| <p>description shall also contain the services that these companies provide to their customers on civil liability. A survey encompassing at least the opinion or comments of the companies reviewed should be made</p> <ul style="list-style-type: none"> • To analyse what is the added value that freight integration brings or can bring to intermodal freight transport in Europe and what type of services should the freight integrator provide to customers in monomodal and multimodal frameworks • To estimate the added value that can be expected from freight integration in terms of quality of service and the ways in which such added value could be obtained and increased. Moreover, the study had to assess whether there is a need for a special job description or statute for this profession and what are the financial and operational requirements as well as the training needs. • To analyse what should be the contribution of the European Union to favour the activity of freight integration. • To evaluate the potential contribution of freight integration for decoupling transport growth from economic growth, decreasing congestion on roads and rebalancing the modal split. • To put forward recommendations to the Commission and the industries regarding the actions they could take or avoid in relation to freight integrating operations |
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| Possibilities and limits of evaluating the project |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Because of the high qualitative level of the project evidence available, Relevance, Effectiveness, and Efficiency of the project can be assessed without particular obstacles. Regarding impact, refer to <i>Opportunities for further analysis</i>.</p> |

| Activities undertaken during the evaluation |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Desk study of project documents and bibliographic research; interview with the Task Manager at DG TREN and the president of FDT - Association of Danish Transport Centres.</p> |

| Opportunities for further analysis |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The impact of the project could be better assessed after the adoption and publication of the European Commission's Communication on the Freight Integrator Action Plan.</p> |

| Relevance to the policy | |
|---------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>How was the project evaluated relevant to the policy goals?</i></p> | <p>The study was performed to provide recommendations regarding Community action for the development of an Action Plan, and is highly relevant to the Sustainable Mobility Policy goals⁹⁴.</p> <ul style="list-style-type: none"> • Freight Integrators, defined in the 'White Paper on the European Transport policy until 2010' as organisers of intermodal full load transports, face a complex and difficult task as they must master a range of legal, technical and commercial issues in order to arrange door to door shipments. |

⁹⁴ It is important to mention that, according to the study, "the transport share of full load, the main market for Freight Integrators, was estimated at about 477 billion tkm per year in Europe, corresponding to about one fifth of European transport".

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| | <ul style="list-style-type: none"> In accordance with the European Common Transport Policy, which aims to rebalance the modal shift and to increase the ecological friendly share of alternatives to road modes of transport, the Commission is examining ways to support such Freight Integrators and intends to produce an Action Plan in the near future. |
| <i>How was the project evaluated relevant to the policy goals?</i> | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> The comments to budget line B2-704 explicitly foresee the financing of measures targeted to the “<i>development and promotion of intermodal transport and logistics</i>”. |
| <i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i> | No adjustment needed. |
| <i>Further project-specific remarks</i> | None. |
| <p>Overall Degree of Relevance against the Policy: high Overall Degree of Relevance against the financial instrument: high</p> | |

| Effectiveness | |
|----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>The project was highly effective in reaching its objectives.</p> <ul style="list-style-type: none"> The technical report was found to have a good quality level; this assessment is shared by the European Commission services. On the basis of statistics, authors' knowledge and especially first hand information collected through questionnaires and interviews to transport operators around Europe, the study provides: <ul style="list-style-type: none"> A definition of the freight integration concept A selection of ten indicators for the identification of a Freight Integrator A comprehensive picture of intermodal transport and logistic transport services in Europe A list of main problems and barriers and eventually A set of recommendations for short, medium and long term actions |
| <i>Have the outputs been effective in addressing the</i> | <p>The project was effective in addressing the Sustainable Mobility policy goals.</p> <p>The recommendations put forward by the project consortium give clear indications on the actions that could be taken in the short, medium and</p> |

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| <i>policy goals?</i> | long term by the European Commission. As an example, one of the outcomes of the study was an appropriate operational definition of “full load transport” based on the loading unit instead of weight (as proposed in the Terms of Reference) and thus giving more clear indications for the implementation of the following policy stages. |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | No need for adjustments |
| <i>Further project-specific remarks</i> | A clearer idea about the project effectiveness could be grasped upon the publication of the planned Communication from the Commission and after Member States and the relevant European industry associations put forward their reactions. |
| Overall Degree of Effectiveness: high | |

| Impact | |
|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | The main impact of the study on policymaking is its contribution to the Communication for the Freight Integrator Action Plan to be prepared by the Commission services in accordance with the indications of the White Paper on European transport policy. A consultation paper was released for comments on 01.10.2003 (http://europa.eu.int/comm/transport/logistics/freight_integrators/public_consultation_en.htm). The comments of the interested stakeholders will further help the finalisation of the Action Plan by the Commission services. |
| <i>Secondary impacts on other policies</i> | Dealing with long distance transport, the study has a potential impact on issues related to the harmonisation of rules and procedures among European countries in the insurance sector and the related legislation. |
| <i>Publicity given</i> | The study was made public through the DG TREN website (http://europa.eu.int/comm/transport/logistics/freight_integrators/study_en.htm) |
| <i>Communication and media</i> | Explicit references to the study and the consultation paper can be found on: <ul style="list-style-type: none"> • The ETF (European Transport Forum)⁹⁵ website. ETF is a free online information service devoted to European transport. An initiative promoted by Global Europe, a consulting organisation specialised in the fields of innovation and transport at the European and the international level. • The X-rail website⁹⁶. X-rail is an initiative managed by a team of European railway professionals, providing news and information from the European Railway Business |

⁹⁵ <http://www.transport-forum.com/content/general/detail/6307>

⁹⁶ <http://www.x-rail.net/render.asp?o=2973>

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| <i>Impact on industry</i> | The concept of Freight Integrator is of great interest for the sector industry: comments on the study and the consultation paper can be found on the websites of CELCAT (European association for forwarding, transport, logistics and customs services) ⁹⁷ , ESC (The European Shipper's Council) ⁹⁸ , UIC (International union of railways) ⁹⁹ , the EIA (European Intermodal Association) ¹⁰⁰ and of the National institute of Railway Transport of Portugal ¹⁰¹ . |
| Overall Degree of Impact: high | |

| Efficiency | |
|----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | The daily fee cost of the project is below the average observed for the projects under evaluation (700 € per day). This is remarkably important, in consideration of the technical nature of the study under evaluation. Efforts allocation (290 days) seems coherent with the challenging objectives of the project. |
| <i>Cost effectiveness in terms of results and impact</i> | The contribution of the study to the development of the Commission policy appears to be relevant and thus the study could be definitely considered cost effective. Moreover, the study had an important effect of catalysing a large debate among the interested parties on freight integration. This, in turn, is supporting the Commission policy initiative. |
| Overall Degree of Efficiency: high | |

| Ways of improving value added from the funding |
|------------------------------------------------------------------------------------------------|
| The publication of the study on the Commission website was a means to improve its added value. |

| Specific features affecting the project |
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| According to the European Commission Task Manager, the study had a very good technical approach, was very well managed and was kept perfectly on schedule. The main problem was observed in the finalisation of the project final report, which took time and required a lot of effort in order to improve the text readability and provide more explicit recommendations. |

| Conclusions |
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| Relevance against the policy: high. The project was instrumental to the objective to produce an Action Plan on Freight Integrators, which is instrumental to the Sustainable Mobility policy. |
| Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by one comment to the budget. |
| Effectiveness: high. The project successfully delivered its planned outputs, which are being exploited by the Commission, as planned. |

⁹⁷ <http://www.clecat.org/downloads/FreightIntegrator>

⁹⁸ <http://www.europeanshippers.com/Public/Statements/Archives/031107opinion.htm>

⁹⁹ http://www.uic.asso.fr/d_tc/presse/docs/ppgtcoct2003_en.html

¹⁰⁰ <http://www.eia-ngo.com/output.php?tid=2&menu=left&left=13>

¹⁰¹ <http://www.intf.pt/Uploads/%7BD655B576-F34B-4602-A4D6-151DA38D2FAB%7D.pdf>

Impact: high. Impact was observed under four of the common areas, and further impact is expected under a fifth area.

Efficiency: high. Fees paid to consultants are below the average costs of the projects under evaluation. Moreover, the project efficiency in relation to outputs is ranked positively in consideration of its effects and impacts.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and it achieved most of its goals upon delivery of its Final Report. This study is one of the projects aiming to support the European Commission institutional activities. It is highly recommended that the Commission continue to support its actions by supporting well targeted studies carried out by independent experts, whenever it is needed.

7.6 Elaboration of Interoperability Technical Specifications for railways

| <i>Project title</i> | ELABORATION OF INTEROPERABILITY TECHNICAL SPECIFICATIONS (TSI) FOR RAILWAYS | | |
|------------------------|------------------------------------------------------------------------------------|-----------------------|-----------------------------|
| | Contract n° B99-B57000-SI2.677282 | | |
| <i>Type of funding</i> | Subvention | | <i>% of financing</i> 31.6% |
| <i>Overall budget</i> | 511,539 € (overall: 1,615,385 €) | <i>Contract: year</i> | 1999 |
| <i>Budget for fees</i> | 1,274,700 € | <i>N. person/days</i> | 1,821 |

| Background and genesis | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p>Under the European Commission Treaty (Articles 154 and 155), the Community has the task of contributing to the establishment and development of trans-European networks in the area of transport. In order to achieve these objectives, the Community must take the necessary measures to ensure the interoperability of the networks, particularly in the field of technical standardisation.</p> <p>The Sustainable Mobility Policy gives priority to the revitalising of the railways as a way of shifting traffic between the different modes. Thus, one of the specific measures called for in the 2001 White Paper¹⁰² was the construction of an integrated European railway area.</p> <p>The setting-up of an integrated European railway area depends mostly on the progressive alignment of technical systems, in order to ensure their interoperability.</p> <p>The space between the rails (the gauge) is standard across most of Europe, but wagons and carriages may be taller or wider in some countries than in others. The platforms may be at different heights, and there are many differences between countries. Even within national systems in such matters as electricity supply, signalling systems and safety procedures, usually as a result of their origins in sub-national networks, which developed separately, these constraints have prevented the full development of international rail transport. Solving these problems requires the technical harmonisation of the different rail components used in the industry or the introduction of new technologies that can cope with the incompatibilities.</p> <p>In 1996 the Community adopted a Directive¹⁰³ to start work on developing technical specifications for interoperability for the trans-European high-speed network. According to the Directive 96/48/EC, Technical Specifications for Interoperability (TSIs) were drawn up by the European Association for Railway Interoperability (AEIF)¹⁰⁴, which acted as the joint representative body defined in the directive, bringing together representatives of the infrastructure managers, railway companies and industry. In May 2002 the Commission adopted the TSIs for 6 subsystems¹⁰⁵: maintenance, control/command and signalling, infrastructure, energy, operations and rolling stock.</p> <p>The contract under evaluation provided the Technical Specification for Interoperability concerning control/command and signalling subsystem (page 37 of the above mentioned Official Journal).</p> | |

¹⁰² COMM/2001/370

¹⁰³ Council Directive 96/48/EC

¹⁰⁴ <http://www.aeif.org/>

¹⁰⁵ The texts of the TSIs have been published in the Official Journal L245 of 12 September 2002.

In 2001 a Directive¹⁰⁶ on the interoperability of the conventional rail system was adopted. This Directive required a first group of priority TSIs to be adopted within three years (i.e. in 2004) in the following areas: control/command and signalling, telematics applications for freight services, traffic operation and management (including staff qualifications for cross-border services), freight wagons and noise problems deriving from rolling stock and infrastructure.

Typology of project

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|------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | The harmonisation activity produced the definition of the technical specifications required for the interoperability of control/command and signalling high-speed rail sub-systems to be adopted by the Commission. The project can therefore be classified as a subvention of a pre-legislative technical study. |
| <i>Methodology adopted</i> | Analysis of technical requirements. |
| <i>Geographical coverage</i> | The geographical scope is the trans-European high-speed rail system as described in Annex I to Directive 96/48/EC. |

Specific project objectives

The main task of the project was to develop the TSI for the area of control/command and signalling on the basis of the working programme presented by the AEIF. The harmonisation activity included a joint report comprising:

- An overall appraisal of results in the project compared with initial targets
- Essential information on the project's development and results including considered and rejected alternatives, and if applicable, information on the interaction with other TSI projects; and
- An assessment of the predictable costs and advantages of all the reviewed technical solutions, in accordance with article 6 paragraph 3 of Directive 96/48/EC

Possibilities and limits of evaluating the project

All the information required for the evaluation was available.

Activities undertaken during the evaluation

Desk study of project documents, legislation and bibliographic research.

Interviews with the DG TREN Task Managers, representatives of the Member States in the "Committee on the interoperability of the trans-European rail system", and rail operators.

Opportunities for further analysis

No opportunities for further analysis.

¹⁰⁶ Directive 2001/16/EC

| Relevance to the policy | |
|------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>How was the project evaluated relevant to the policy goals?</i> | <p>This project, which defined one of the technical requisites for the actual interoperability implementation, was highly relevant to the above policy goal.</p> <ul style="list-style-type: none"> • Interoperability is a key component for the efficiency and competitiveness of rail transport. • The efficiency and competitiveness of the sector is a precondition for the ambitious objective to shift the balance between modes of transport in favour of rail; the objective is one of the key elements of the Sustainable Mobility Policy. |
| <i>How was the project evaluated relevant to the available financial instrument?</i> | <p>The relevance to the available financial instrument is high, and found its justification in the five following comments to the budget line, which aims to finance:</p> <ul style="list-style-type: none"> • <i>“specific studies and grants for the preparation and evaluation of measures aiming at completion, management and development of the single transport market...”</i> • <i>“preparation of the legislation required for each mode of transport, both on access to the market and on the technical, social and fiscal rules, and for the carriage of goods and passengers”</i> • <i>“preparation and implementation of measures to ensure fair conditions of competition between operators both within the same mode and between different modes”</i> • <i>“promotion of sustainable mobility in the Community...”</i> • <i>“standardisation mandates issued to European standardisation bodies or other bodies in all sectors of transport”.</i> |
| <i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i> | <p>No need to improve the project relevance</p> |
| <i>Further project-specific remarks</i> | <p>There is a need to update the TSIs in the future, as well as to take into account the technical progress and the experience gained after the approval of these TSIs.</p> <p>AEIF is the joint representative body mandated by the European Union Commission to lay down the Technical Specifications for Interoperability (TSIs). The association brings together representatives of the infrastructure managers, railway companies and industry.</p> <p>Since 1999, AEIF was engaged in the development of the TSIs required by the Directive 96/48 (Interoperability of the Trans-European high speed railway system) and has also been entrusted with the task of setting up the TSIs for conventional rail according to the approved Directive on Interoperability of Conventional Rail.</p> |

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| | <p>In the future this type of task will be carried out by the European Railway Agency. According to the Proposal for a Regulation of the European Parliament and of the Council establishing a European Railway Agency [COM(2002) 23 final], the Agency will be responsible for formulating common solutions on matters concerning safety and interoperability, in order to help create a safe, integrated and competitive railway area without frontiers.</p> <p>This solution has been under consideration since 1996 with the Commission White Paper "A strategy for revitalising the Community's railways", and was confirmed in 2001 by the latest White Paper "European transport policy for 2010: time to decide".</p> <p>The Agency is planned to be operational by the beginning of the year 2005 and will formally take the place of AEIF. It will include representatives of the rail industry, operators, rail infrastructure managers, users, trade unions and Member States representatives. The last point appears to be the main difference in comparison to the current AEIF structure: together with the Agency, Member States are expected to play a major role.</p> |
| <p align="center">Overall Degree of Relevance against the Policy: high Overall Degree of Relevance against the financial instrument: high</p> | |

| <p align="center">Effectiveness</p> | |
|-----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>Has the project evaluated been effective in addressing its specific objectives?</i></p> | <p>The project was effective in addressing its objective.</p> <ul style="list-style-type: none"> The technical specifications required for the interoperability of control/command and signalling high speed rail sub-systems were quickly approved by the Member States Committee and thus transformed into European legislation. |
| <p><i>Have the outputs been effective in addressing the policy goals?</i></p> | <p>Among the six interoperability High Speed Rail sub-systems, the TSI for control/command and signalling was the one with the smoothest approval procedure and implementation phase. In fact, the report produced by AEIF very quickly received the approval of the Member States Committee, so that it could be submitted to the high level decision board of the Commission and soon published as a Commission Decision.</p> |
| <p><i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>No need to improve the effectiveness of the project.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>The project relied on the work of the permanent technical structure set up by AEIF in Brussels and on the experience in cooperation with the Commission services gained in previous projects since 1995-96. This was surely one element influencing the overall effectiveness of the project.</p> |

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|----------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | The technical work of the project relied on existing research and demonstration projects on ERTMS (European Rail Traffic Management System), the new signalling and management system for Europe, enabling interoperability throughout the European Rail Network ¹⁰⁷ . |
| Overall Degree of Effectiveness: high | |

| Impact | |
|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | <p>The outputs of this harmonisation activity were submitted to the Committee of the Member States, who gave their approval; then, they were transformed into the “Commission Decision of 30 May 2002 concerning the technical specification for interoperability relating to the control-command and signalling subsystem of the trans-European high-speed rail system referred to in Article 6(1) of Council Directive 96/48/EC”¹⁰⁸.</p> <p>The project provides the technical requisites for the high-speed rail interoperability and of course its impact could be greatly increased as soon as rail passenger services liberalisation among European Union is applied. In the current situation there are no clues of rail passenger services cabotage liberalisation in the short term (only international rail passenger services will be liberalised since 2010).</p> |
| <i>Secondary impacts on other policies</i> | No impacts emerge from the evaluation. |
| <i>Publicity given</i> | The final report presented the same layout as the Commission Decision, which was published on the Official Journal of the European Communities upon approval of the Member States. |
| <i>Communication and media</i> | The communication and diffusion of the Commission Decision followed the standard procedures. |
| <i>Impact on industry</i> | <p>The industry was directly involved in the harmonisation activity.</p> <p>Its impact is significant as the national implementation plans of the TSI, required by the Decision of the Commission, introduces rules and recommendations in relation to the upgrading (major work to modify a subsystem or part of a subsystem which changes the performance of the subsystem), renewal (major work to replace a subsystem or part of a subsystem which does not change the performance of the subsystem) and maintenance-related replacement (replacement of components by parts of identical function and performances in the context of predictive or corrective maintenance).</p> <p>Member States and industry have applied or will be applying very soon the technical requirements described in the Communication and there are examples of High Speed Rail projects, which followed the specifications after a few months of the Decision publication (i.e. before</p> |

¹⁰⁷ Research for a common signalling system started in the early nineties, with a common effort of the industry, the operators and the European Union Commission. The new system is currently being tested in different projects in European Union countries (there are ERTMS/ETCS commercial projects in ten countries already). From the technical point of view, ERTMS is composed by the ETCS control-command system and the GSMR radio system for voice and data communication. (<http://www.ertms.com>)

¹⁰⁸ OJ L 245/37, 12.9.2002

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| the end of the year 2002). |
| Overall Degree of Impact: high |

| Efficiency | |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>The total cost of the harmonisation activity was 1,615,385 €, which included:</p> <ul style="list-style-type: none"> • 1,380,500 € corresponding to 1,821 days of the consortium staff assigned to the project based on an average fee of 700 € per day + 4.3% administration expenses and + 4% general expenses. • 234,885 € for travels of the consortium staff. <p>According to the Convention of Cooperation signed by the European Commission and AEIF, the Commission and EFTA paid one third of the total cost, 538,462 €; the contribution was split as follows: 95% by European Commission (511,539 €) and 5% by EFTA (26,923 €).</p> <p>The daily cost of 700 € has been largely discussed in the context of the framework contract with the Commission. It is justified by the specialised technical skills required by people participating in the harmonisation activity¹⁰⁹. Participants in the AEIR working groups (composed of around 30 persons, including representatives from the rail signalling industries, rail operators, rail infrastructure managers, etc) are moreover mandated by their organisations with specific decisional powers.</p> <p>The overall cost of the harmonisation activity is in line with the TSI studies for the infrastructure and rolling stock sub-systems.</p> <p>The impressively high number of working days (1,821) is motivated by the complexity of the tasks, the number of people involved, and the geographic coverage of the activity.</p> |
| <i>Cost effectiveness in terms of results and impact</i> | <p>The technical specifications defined were quickly approved and transformed into a Commission Decision.</p> <p>Moreover, they have been already applied in the new High Speed Rail projects (Spain is one of the examples), even before the deadlines foreseen by the Commission Decision.</p> <p>The cost effectiveness of the project in terms of results and impacts shall be assessed against these facts, as well as against the financing sharing among the different interested parties.</p> |
| Overall Degree of Efficiency: high | |

| Ways of improving value added from the funding |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The involvement of the different components of the industry in the preparation of the technical specifications was a way to improve its added value considerably. |

¹⁰⁹ Something similar happens in the case of the standardisation activities entrusted to CEN, CENELEC or ETSI.

Specific features affecting the project

According to the interviews carried out, no major problems occurred during the project life.

Conclusions

Relevance against the policy: high. The activity is instrumental to the objective to shift the balance in modes of transport in favour of rail. This objective is one of the key goals of the Sustainable Mobility policy.

Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is justified by five comments to the budget.

Effectiveness: high. The project deployed all of its effects; the specifications were quickly approved, and transformed into legislation.

Impact: high. Impact was observed under four of the common areas (no further impact is expected).

Efficiency: high. Fees paid to consultants are below the average costs of the projects under evaluation. Moreover, the project efficiency in relation to outputs is ranked positively in consideration of its effects and impacts.

Recommendations

Suitability of an extension. This specific financing is destined to be discontinued, because this type of activities will be carried out by the European Railway Agency, which will be operational at the beginning of the year 2005. Therefore, it cannot be recommended that the financing be continued, because it would not be realistic.

Recurrence of future similar activities. The recurrence of activities of a similar nature is considered suitable, if not falling under the competency of different bodies. For the maximisation of the relevance and effectiveness of activities of this nature, it is of paramount importance that the European Commission holds the right to take an active part in the works of committees in charge of technical tasks.

7.7 Modernisation of the European freight wagon fleet - impact norms noise

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|------------------------|-------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------|
| <i>Project title</i> | MODERNISATION OF THE EUROPEAN FREIGHT WAGON FLEET- NOISE IMPACT STANDARDS Contract n° SUB/B27040B/E2/S07.16889/2002 | | |
| <i>Type of funding</i> | Subvention | <i>% of financing</i> | 50% |
| <i>Overall budget</i> | EC 174,920 | <i>Contract: year</i> | 2003 |
| <i>Budget for fees</i> | 124,000 € + subcontract of 219,840 € | <i>N. person/days</i> | 178 + subcontract |

Background and genesis

The 2001 White Paper¹¹⁰ places the shifting of balance between modes of transport at the heart of the sustainable development strategy. Nowadays, this balance is markedly inclined in favour of road transport. In Europe, rail freight transport has been declining for several decades: its market share decreased from 11% in 1990 to 8% in 1998. It is a joint challenge – for the enterprises involved as well as for the authorities and legislators both at a European and at the national level – to create conditions and reshape the system so that the market share of the rail freight transport reaches 15% in 2020: this would actually mean tripling the current business.

Rail transport is generally considered an environmentally friendly mode of transport. The consumption of energy and space as well as the gaseous emissions are lower than in road and air transport. Likewise, safety performance (passenger casualties and external hazard) is much better than competing modes of transport, but noise performance of rail freight certainly needs to be improved. Whereas good results have been achieved regarding passenger trains, there have been very little changes regarding freight trains for many years. It is worth mentioning that, due to the growing capacity demand for passenger transport, freight trains run mainly at night and existing track lines run through densely populated urban areas, where noise limits are more restricted.

Noise reduction of freight wagons has been studied by the UIC¹¹¹, which in 1998 set up a Noise Action Plan with the cooperation of major associations like CER¹¹², UNIFE¹¹³, UIP¹¹⁴ and UIRR¹¹⁵. The key objective put forward by the Action Plan was the retrofitting of existing cast-iron braked wagons with composite brake blocks, reducing noise levels by about 10dB(A).

The European Commission co-funded the study at issue in order to perform a third party assessment of the UIC/UIP/CER Noise Action Plan and to analyse its implementation scenarios and funding mechanisms, in the context of a constructive dialogue with the rail industry and operators.

¹¹⁰ COMM/2001/370

¹¹¹ UIC: International Union of Railways, Paris

¹¹² CER: Community of European Railways

¹¹³ UNIFE: Union of European Railway Industries

¹¹⁴ UIP: International union of private wagons

¹¹⁵ UIRR: International Union of Combined Rail-Road Transport Companies

| Typology of project | |
|------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | The study was aimed at providing the Commission with: a) an independent assessment of the rail industry position regarding the reduction of rail freight noise emission levels, and b) the proposition of a set of intervention scenarios, taking into consideration their financial implications and funding options. |
| <i>The methodology adopted</i> | The study was carried out by an independent consultant coordinated by a consortium of railways operators, wagon owners and manufacturers (the Beneficiary of the Subsidy). The independent consultant was selected by the Beneficiary by means of a tender procedure. The study consisted of desk research and interviews with competent Officers of the national railway operating companies, wagon owners, legislators and suppliers. |
| <i>Geographic coverage</i> | The study covered the so-called European Union-Railway-27 area: the former European Union 15 countries + Switzerland and Norway + 8 former Accession Countries (Estonia, Hungary, Latvia, Lithuania, Poland, Czech Republic, Slovakia, Slovenia) + Romania and Bulgaria. |

| Specific project objectives |
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| <p>The objective of the study consisted in assessing the progress and results of the “UIC/UIP/CER Action Program Noise reduction in freight traffic”. The independent consultants were asked to evaluate the work done by the railway sector in finding technical solutions for retrofitting and to analyse the information provided by the railways on the number of wagons that would need retrofitting, as well as the financial implications of the operation.</p> <p>Moreover, based on the findings and in agreement with the Steering Committee of the “UIC/UIP/CER Action Program Noise reduction in freight traffic”, the Consultants were requested to develop additional retrofitting scenarios and to analyse the financial implications and the corresponding funding options, taking into account future developments of the freight market and placing special emphasis on the situation and on the development in the accession countries.</p> |

| Possibilities and limits of evaluating the project |
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| <p>The final report of the study provides enough information for the assessment of relevance, effectiveness and efficiency of the project.</p> <p>Difficulties were encountered in identifying external stakeholders for the assessment of project impact. All the relevant stakeholders representing the rail industry (operators, industries, wagon owners, associations, etc.) were in fact members of the Consortium that managed the project. As such, they could not be considered “external” to this effect.</p> |

| Activities undertaken during the evaluation |
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| <p>Desk study of project documents and bibliographic research.</p> <p>Interviews with the Task Manager of DG TREN and with an Officer of DG ENV, representative of the WG 6 Railway Noise (see below, under <i>Relevance</i>). Questionnaire sent to the 125 participants in a workshop, in which the study results were presented. 41</p> |

answers were received.

Opportunities for further analysis

Project Impact could be better explored after the publication of the Final Report.

Relevance to the policy

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| <p><i>How was the project evaluated relevant to the policy goals?</i></p> | <p>The project is part of a dialogue process between the European Commission and the rail sector (operators, industries, wagon owners, associations, etc.) with the aim to identify feasible solutions for the reduction of rail freight noise emission levels and is highly relevant to the European Commission policy goals on Sustainable Mobility. It provides technical and financial information needed for the political decisions to be taken by the European Commission for freight wagons noise abatement.</p> <ul style="list-style-type: none"> • One of the main objectives of the policy on Sustainable Mobility consists in the modal shift from road transport to rail. In order for this objective to be achieved, the rail sector must be capable of improving its performances, not only in terms of service and costs but also in terms of environmental performances, such as noise reduction. It provides technical and financial information required for the political decisions to be taken by the European Commission regarding the freight wagons noise abatement. |
| <p><i>How was the project evaluated relevant to the available financial instrument?</i></p> | <p>The study is highly relevant to the financial instrument.</p> <ul style="list-style-type: none"> • Budget line B2-704 can finance activities of “<i>promotion of sustainable mobility in the Community...</i>” • Moreover, it can finance “<i>standardisation mandates issued to European standardisation bodies or other bodies in all sectors of transport</i>”. |
| <p><i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>No needs for adjustment.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>There are two main users of this project:</p> <p>a) the European Union Noise Steering Group, which is managed by DG ENV and has a specific working group dedicated to this subject (the Railway Noise Working Group), and makes reference to the Directive on the Assessment and Management of environmental noise¹¹⁶. The Directive imposes noise creation limits on various noise sources, such as railways systems; therefore, it sets an essential condition for the desired growth of rail traffic, and</p> |

¹¹⁶ 2002/49/EC

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| | <p>b) the Interoperability Committee, set up in the framework of the implementation of the Directive on interoperability of the conventional trans-European railway system¹¹⁷.</p> <p>With reference to a), the Railway Noise Working Group, composed of twenty members and two observers (with the railway sector representing a majority) has recently issued a position paper which considered noise reduction of freight vehicles at the source, and its economically feasible implementation as the main priority¹¹⁸.</p> <p>With reference to b), the European Association for Rail Interoperability (AEIF) has worked out interoperability technical specifications fixing profitable but ambitious limit values of noise level of the new conventional rolling stock and of the suitable rules on maintenance. A draft text has been submitted for new and existing rail freight vehicles by AEIF, also on the basis of the results of this study.</p> |
| <p>Overall ranking on relevance against the policy: very high Overall ranking on relevance against the financial instrument: high</p> | |

| Effectiveness | |
|----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>The project was effective in addressing its objective.</p> <ul style="list-style-type: none"> The project achieved its objectives and largely confirmed the conclusions of the “UIC/UIP/CER Action Program Noise reduction in freight traffic”, which puts forward the retro-fitting of the European Union-Railway-27 wagons as the most cost-effective solution for reducing rolling noise and provides an estimate of the size of the fleet to be renewed. In addition, it analysed and evaluated different scenarios for implementing the retrofitting and outlined various funding options, such as direct subsidies, EIB loans, early scrapping policies, tax exemptions and reduced track access charges. |
| <i>Have the outputs been effective in addressing the policy goals?</i> | <p>The project provides a clear picture of the different issues related to the problem of noise emissions from rail freight wagons: the technical aspects (the retrofitting), the financial costs (cost per wagon and the estimate of the total fleet) and funding options available.</p> <p>Thus, this constitutes the basis for the next step to be taken by the European Commission, i.e. the choice of the appropriate policy actions.</p> |
| <i>How could the effectiveness of the project be improved/have</i> | <p>The effectiveness of the project has been enhanced through a continuous process of interaction with the European Commission task manager and the Railway Noise Working Group.</p> |

¹¹⁷ 2001/16/ EC

¹¹⁸ European Commission -Working Group Railway Noise of the European Commission. Position Paper on the European strategies and priorities for railway noise abatement - Luxembourg: Office for Official Publications of the European Communities - ISBN 92-894-6055-5
http://europa.eu.int/comm/environment/noise/railway_noise_en.pdf

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| <i>been improved through adjustments at the margins?</i> | |
| <i>Further project-specific remarks</i> | A specific point of interest in the study was the estimate of the size of the wagons fleet and its composition (age of wagons, average use, technical characteristics, etc.). This is an important issue as the Commission is keen on introducing efficiency criteria in the funding of the wagons retrofitting. The outcome of the study in this respect was less satisfying than the rest of the project. |
| Overall ranking on effectiveness: high | |

| Impact | |
|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | <p>The outputs produced, thanks to the Subvention, will constitute the basis to draw the Road Map for freight wagons noise reduction to be discussed by the Railway Noise Working Group next June 2004.</p> <p>The final report of the study is currently (April-May 2004) being assessed by the Railway Noise Working Group, with special focus on technical solutions, plan schedule, cost of intervention (retrofitting + life cycle), scenarios, institutional approaches, economic instruments and funding source.</p> |
| <i>Secondary impacts on other policies</i> | The Report on the Subvention will provide information for the Interoperability Committee (STI) managed by DG TREN and the European Union Noise Steering Group managed by DG ENV. |
| <i>Publicity given</i> | <p>The study was presented during the workshop "Railway Noise Abatement in Europe" on 29th October 2003 in Brussels with attendance of local authorities, Member States, sector operators, etc.</p> <p>The conference was a major event, and was adequately publicised by specialist media; among others:</p> <ul style="list-style-type: none"> • The EPHA (European Public Health Alliance)¹¹⁹ website. The EPHA represents over 90 non-governmental and other not-for-profit organisations working to promote health in Europe. • The X-rail website¹²⁰. X-rail is an initiative managed by a team of European railway professionals, providing news and information from the European Railway Business. • The UNIFE¹²¹ magazine 4, 2003. UNIFE is the Union of the European Railway Industries. <p><i>See also below, under Impact on industry, operators and national authorities.</i></p> |
| <i>Communication and media</i> | The final report will be published shortly at the DG TREN website (http://europa.eu.int/comm/transport/rail/environment/noise_en.htm). |
| <i>Impact on</i> | Rail industry interest in the solution of rail wagon noise problem is very |

¹¹⁹ www.epha.org

¹²⁰ <http://www.x-rail.com/render.asp?o=2755>

¹²¹ http://www.unife.org/documents/UnifeMagazine2003_4.pdf

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| <i>industry, operators and national authorities</i> | <p>strong, as there are significant investments at stake. The rail manufacturers association (UNIFE) was directly involved in funding and coordinating the project, which can in fact be seen as a good step towards a fruitful dialogue between the Commission and the rail sector (industries as well as operators and wagon owners).</p> <p>The agreement reached on key issues such as the technical alternatives to solve the problem and the estimate of the total wagons fleet and of the cost of the intervention, provides a starting point for the development of the discussion between the legislator (the European Union Commission and the Member States) and the sector.</p> <p>The evaluators undertook a survey among 120 participants in the conference; 40 answers were received. 37 respondents had listened to the presentation of the study at the conference and 28 had read the study report, and most of them (80%) had in turned shared it with other people. In general, respondents considered the report as useful for their institutional and technical work (with an average score of 3.55 out of 5¹²²).</p> <p>It is worth mentioning that in general, respondents who did not read the report at the time of its publication show a great interest in reading it, now¹²³. Most of the respondents who read the report are planning to apply (or have already applied) some of the ideas contained therein in their own work.</p> <p>As an example, it was stated that the principles of the final report were included in the Portugal railway network company's noise abatement program, or they provided valuable inputs for strategic evaluation/planning for Freight rail Traffic in Austria, or they were used for the design and evaluation of national and European retrofit programmes by the German Federal Environmental Agency, or they contributed in preparing voluntary agreements with Commissions and/or Member States for implementing the program in the Swiss railways. Positive comments were also made by the New Member States representatives, like Czech Republic or Poland.</p> <p>In one case it was stated that the study "was presented as an independent report, but the content was clearly 'the voice of the sector'".</p> |
| Overall ranking on impact: very high | |

| Efficiency | |
|-------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>The total cost of the study was 349,840 € and was equally divided between the European Commission (50% 174,920 €) and the rail sector (50% 174,920 € which is the sum of 62,320 € of UIC, 10,000 € of CER, 51,800 € of UNIFE, 38,900 € of UIP and 12,900 € of UIRR).</p> |

¹²² Respondents were requested to rate from 1 to 5, being 5 the highest positive score, the usefulness of the studies

¹²³ In the "Comments" field of the questionnaire you can find answers like: "After the workshop I have not seen the final report. This evaluation makes me more interested in finding it" or "I cannot recall receiving any final report. I am interested in receiving one".

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| | <p>The cost of the study included:</p> <ul style="list-style-type: none"> • 124,400 € corresponding to 178 days of the consortium associations staff assigned to the project (75 days of UIC, 6 of CER, 53 of UNIFE, 34 of UIP and 10 of UIRR) based on a fee of 700 € per day. This is consistent with the usual fees paid by DG TREN for other similar projects, • 5,600 € for travel expenses of the consortium staff, • 219,840 € for the external consultant: project management and technical work, <p>In addition to the budget allocated to the consortium staff (124,000 € + 5,600 €), the Commission paid approximately 80% of the independent study (174,920 € out of 219,840 €).</p> <p>With regard to the budget allocated to the independent consultant, there are no indications as to cost of resources (working days allotted to the project); therefore, it is not possible to make a precise efficiency analysis of this.</p> |
| <p><i>Cost effectiveness in terms of results and impact</i></p> | <p>In terms of results, the study produced a final deliverable, which was positively assessed and serves as a key reference for further planned activities.</p> <p>Its cost effectiveness is considered both in regards to its strong contribution to the planned regulatory exercise and to the involvement of the industry in its funding. As such, it is among the highest observed in the sample of the projects under assessment.</p> |
| <p>Overall ranking on efficiency: high</p> | |

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| <p>Ways of improving value added from the funding</p> | |
| <p>The publication of the final report will stimulate the debate and will further improve the value added of the study.</p> | |

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| <p>Specific features affecting the project</p> | |
| <p>No specific features affecting the project were reported by the Task Manager or identified during the evaluation.</p> | |

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| <p>Conclusions</p> | |
| <p>Relevance against the policy: very high. The activity is instrumental to the objective of shifting the balance between modes of transport in favour to rail. This objective is one of the key ones of the policy on Sustainable Mobility. Moreover, the study aims to decrease the noise level of wagon fleets, a measure that strongly addresses the overall objective to achieve sustainability in transport.</p> | |
| <p>Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by two comments to the budget.</p> | |
| <p>Effectiveness: high. The project successfully delivered its expected outputs, which will be exploited by the Commission, as planned.</p> | |
| <p>Impact: very high. Impact was observed under five of the common areas (one of the two highest impacts observed in the course of this evaluation).</p> | |
| <p>Efficiency: high. Both the cofinancing by the industry of a considerable part of the</p> | |

activities and their overall effectiveness and impact concur to the formulation of this positive assessment. Fees paid are below the average costs of the projects under assessment.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and achieved most of its goals with the delivery of its Final Report. This study is one of the projects aiming to support the European Commission in its institutional activities. It is highly recommended that the Commission continue to support its actions by supporting adequately targeted studies carried out by independent experts, whenever needed.

The external independent advice needed was acquired through cofinancing. This was a particular case, and it is unknown whether it can be generalised. There are no obstacles to consider this kind of financing as suitable, provided that the European Commission reserves itself the right to select the consultant, and to approve/reject/request modifications to the deliverables of the activity

7.8 Study on current and future aircraft noise at and around community airports

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|------------------------|-----------------------------------------------------------------------------------------------------|-----------------------|------|
| <i>Project title</i> | STUDY ON CURRENT AND FUTURE AIRCRAFT NOISE AT AND AROUND COMMUNITY AIRPORTS - B2002/B2-7040B | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> | EC 198,950 € | <i>Contract: year</i> | 2002 |
| <i>Budget for fees</i> | 198,950 € | <i>N. person/days</i> | 250 |

| Background and genesis | |
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| <p>The Community Directive 2002/30 EC of 26 March 2002 “on the establishment of rules and procedures with regard to the introduction of noise-related operating restrictions at Community airports”¹²⁴ has the following objectives (Art.1):</p> <ul style="list-style-type: none"> • To lay down rules for the Community to facilitate the introduction of noise operating restrictions in a consistent manner at airport level so as to limit or reduce the number of people significantly affected by the harmful effects of noise • To provide a framework which safeguards internal market requirements • To promote development of airport capacity in harmony with the environment • To facilitate the achievement of specific noise abatement objectives at the level of individual airports • To enable measures to be chosen from those available with the aim of achieving maximum environmental benefit in the most cost-effective manner and in full compatibility with international recommendations <p>No later than five years after the entry in force of the Directive, the European Commission is due to report to the European Parliament and the Council on the state of application of the legislation. If necessary, the report shall be accompanied by proposals for revision of the Directive.</p> <p>The study aimed to provide the Commission with a first set of data needed for assessing the effectiveness of the Directive. A second study, with similar or even identical terms of reference, will be very likely launched in late 2005/early 2006.</p> <p>A further study has been recently commissioned to a different contractor on the methodology to assess the economic importance for airports of night flights bans. This will provide the Commission with further elements for the assessment of the effectiveness of the Directive.</p> | |

| Typology of project | |
|------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | A study aimed to provide the Commission with factual elements needed for the assessment of the effectiveness of a Community Directive. |
| <i>The methodology</i> | <ul style="list-style-type: none"> • Execution of a baseline study (taking year 2002 as reference year) on the number of people affected by aircraft noise |

¹²⁴ The Commission under the initiative of DG Transport and Energy proposed the Directive.

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| <i>adopted</i> | <ul style="list-style-type: none"> • Calculation of a baseline trend for the hypothesis of non-application of the Directive. Several growth scenarios were determined for years 2007 and 2015. Three baseline scenarios were then considered • Use of a software model (SONDEO) for the production of noise maps of the airports considered after updating the software to the requirements of the Directive 2002/49 on noise management • Model validation by comparison with data from the International Civil Aviation Organisation (ICAO/CAEP- Magenta model) • Primary and secondary data gathering was carried out with recourse to a plurality of sources (Airport authorities; independent aviation sources) |
| <i>Geographic coverage</i> | All the Community airports subject to the Directive (with more than 50,000 movements of civil subsonic jet planes). |

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| Specific project objectives | |
| <p>To assess noise climate at and around Community Airports on a European scale. Four outputs were required:</p> <ul style="list-style-type: none"> • An assessment of the current total impact of aircraft noise within the European Union - this is the noise climate; • An inventory of current practice to mitigate that noise at and around Community airports; • An inventory of planned actions to mitigate aircraft noise after April 2002 and particularly of those airports which intend using the Directive with respect to gradual withdrawal of marginally compliant aircraft; and • A detailed analysis of the foregoing with a view to establishing how likely the Community is to achieve its objectives. <p>The study had to be supplemented by at least 4 case studies of different sized airports to illustrate best practice in the cases where the Directive is likely to be implemented (2 airports) and those where it is not (2 airports).</p> | |

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| Possibilities and limits of evaluating the project | |
| <p>Owing to the high qualitative level of the available project evidence, Relevance, Effectiveness, and Efficiency of the project can be assessed with no particular obstacles.</p> <p>Difficulties in the identification of some external stakeholders made the assessment of its impact under all the areas taken into consideration more problematic (or even impossible)..</p> | |

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| Activities undertaken during the evaluation | |
| <p>Desk study of project documents; bibliographic research; interviews with the Task Manager at DG TREN; and with the Officer at DG Environment in charge of Environmental Noise.</p> | |

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| Opportunities for further analysis | |
| <p>Project impact could be better explored after publication/sending out of its Final Report to</p> | |

external stakeholders, in case the Commission would decide to do so.

| Relevance to the policy | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>How is the project evaluated relevant to the policy goals?</i> | <p>There is a direct link between the policy under Sustainable Mobility and the objectives being pursued with the legislation on noise reduction at airport level. The study, as an instrument for reporting the EP and the Council on the effectiveness of the Directive 2002/30, is relevant to the policy goals under Sustainable Mobility.</p> <ul style="list-style-type: none"> • One of the objectives of the EC Sustainable Mobility Policy spelled out in its 1997's Communication¹²⁵ was to improve quality of the transport systems. The goal was to achieve systems that are safe, environmentally and consumer friendly and quality driven. In the aforementioned Communication, the European Commission stated its intention to "<i>present a comprehensive communication on air transport which will deal with noise and emission issues both at the local and the global level.</i>" • The Communication was then issued¹²⁶, and gave rise to the well known Directive 2002/30 EC "<i>On the establishment of rules and procedures with regard to the introduction of noise-related operating restrictions at Community airports</i>". |
| <i>How is the project evaluated relevant to the available financial instrument?</i> | <p>The study is relevant to the available financial instrument.</p> <ul style="list-style-type: none"> • Its relevance is to be appreciated in relation to the following comments to the budget, which aims to finance "<i>analysis of the environmental and socio-economic impact of the transport networks envisaged</i>", and activities of "<i>promotion of sustainable mobility in the Community...</i>" |
| <i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i> | No need for adjustments. |
| <i>Further project-specific remarks</i> | None. |
| <p>Overall ranking on relevance against the policy: very high Overall ranking on relevance against the financial instrument: high</p> | |

¹²⁵ See the Commission Communication "The Common Transport Policy – Sustainable mobility: perspectives for the future", COMM/97/243

¹²⁶ COM(2001) 695 final.

| Effectiveness | |
|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>The project was highly effective in reaching its specific objectives, and the outputs produced seem to the evaluators of an excellent qualitative level¹²⁷.</p> <ul style="list-style-type: none"> • Moreover, the contractor went beyond the Terms of Reference of the contract, undertaking further analysis that contributed to the final value of the project. <ul style="list-style-type: none"> ○ While terms of reference called for the inclusion of all the Community airports subject to the Directive (a total number of 135); the study also considered airports that are not subject to the Directive (a total number of 286), addressing them with the use of specific and different tools. ○ Additional unplanned efforts were put in forecasting |
| <i>Have the outputs been effective in addressing the policy goals?</i> | <p>The project was fully effective in addressing the specific policy goals. From the interview carried out at DG TREN, it arises that no further analysis on the issues investigated by the project is needed at the present stage.</p> |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | <p>The effectiveness of the project was improved by the Contractor –upon agreement by the EC- with the undertaking of the referred extra activities that were not required under the terms of reference.</p> |
| <i>Further project-specific remarks</i> | <p>As above mentioned, a second study on the same issues will be most likely launched in late 2005/early 2006. This will allow a comparison of results for 3 years as from the first study, in order to report to the European Parliament and the Council on the effectiveness of the Directive.</p> <p>Terms of reference of the second study are very likely to be similar or even identical to the ones of the project under assessment. This further element confirms the effectiveness of the project under examination.</p> |
| Overall ranking on effectiveness: very high | |

| Impact | |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | <p>It is too early to assess the impact on policymaking of the project under examination.</p> <p>Outputs of the study will be used by DG TREN in order to prepare the report to the European Parliament and the Council, which is due at the latest by March 2007. At the moment of writing, there are no elements that indicate that this impact will not be full.</p> |

¹²⁷ Please note that the present assessment is expressed on the basis of common evaluation practices, and does not represent a judgment of the scientific value of the project outputs.

| | |
|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Secondary impacts on other policies</i> | <p>At the initiative of DG Environment, the European Parliament and the Council adopted in the same year of the Directive on airport noise, Directive 2002/49/EC (25 June 2002) on the assessment and management of environmental noise. The Final Report of the present study was copied to DG ENV.</p> <p>DG ENV is bound to some noise maps prepare by the year 2007, for the assessment of the effectiveness of Directive 2002/49. At that time, the maps produced by the study under assessment will be most likely used for comparative analysis.</p> <p>The study is therefore likely to have a secondary impact also on the European Union policy on environmental noise control and reduction.</p> |
| <i>Publicity given</i> | <p>While there was some publicity given under initiative of the Contractor, no institutional publicity has been implemented so far by the European Commission.</p> <ul style="list-style-type: none"> • Because of the common interests on airport noise, in year 2003 DG TREN and DG ENV set-up a joint working group on the issue. The working group is co-chaired by both DGs, and its Members are external independent experts. <p>The Final Report of the study was forwarded to the Members of the Working Group, for scientific advice on its soundness. Pending this, the report has not yet been made publicly available.</p> <ul style="list-style-type: none"> • Short presentations of the study results were delivered by the Contractor in a couple of public targeted events, under previous authorisation of the European Commission. |
| <i>Communication and media</i> | Media were not informed of the study. |
| <i>Impact on industry</i> | The study results have not been publicised yet. Therefore, no impact on industry can be observed. |
| Overall ranking on impact: medium | |

| Efficiency | |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>The daily cost for fees (795.8 €) is higher than the average cost observed for the projects under assessment.</p> <p>However, the 250 working days that were budgeted are fully justified by the complexity of the tasks requested to the consultant.</p> <p>Finally, the further unplanned analysis undertaken by the consultant was not paid by the project; and this is an element that further adds to the cost effectiveness of the project.</p> |
| <i>Cost effectiveness in terms of results and impact</i> | The cost effectiveness of the project in terms of results and impacts will tend to increase, after publication of its results (if so decided by the European Commission). |
| Overall ranking on efficiency: medium | |

| Ways of improving value added from the funding |
|------------------------------------------------------------------------------------------|
| The inter-service circulation of the study and its consideration in the framework of the |

institutional activities of the joint Working Group on airport noise, both undertaken for this project, were ways to improve its value added.

Specific features affecting the project

No specific features arose that affected the project.

Conclusions

Relevance against the policy: very high. The project was instrumental to the objective to reduce noise in areas surrounding airports, this being fully instrumental to the objective to achieve transport sustainability.

Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by two comments to the budget.

Effectiveness: very high. The project successfully delivered its planned outputs, which will be exploited by the Commission, as planned. Moreover, the contractor undertook further unplanned analysis that benefited the overall effectiveness of the project.

Impact: high. Impact was observed under two of the common areas, and further impact is expected under a further area. In case of publication of the report, the impact is destined to increase further.

Efficiency: medium. Fees paid to consultants are higher than the average costs of the projects under assessment. However, effects and impacts of the study contribute to its positive ranking.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and achieved most of its goals with the delivery of its Final Report. This study is one of the projects aiming to support the European Commission in its institutional activities. It is highly recommended that the Commission continue to support its actions by supporting adequately targeted studies carried out by independent experts, whenever needed.

7.9 Implementing rules on economic regulations for the Single European Sky initiative

| | | | |
|------------------------|-----------------------------------------------------------------------------------------------------------------|-----------------------|-----------|
| <i>Project title</i> | IMPLEMENTING RULES ON ECONOMIC REGULATIONS FOR SINGLE EUROPEAN SKY INITIATIVE - B2002/B2-7040B/S07.17146 | | |
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> | EC 243,500 € | <i>Contract: year</i> | 2002-2003 |
| <i>Budget for fees</i> | 228,500 € | <i>N. person/days</i> | 350 |

Background and genesis

One of the most ambition objectives of the Sustainable Mobility Policy consists in preventing congestion while maintaining the European Union's economic competitiveness. In the area of air transport, one of the strategies applied to achieve this objective is to enhance the efficiency in the use of the European airspace.

The current en-route air navigation services charging system used by the fifteen Member States is a common system, managed by Eurocontrol and based on a multilateral agreement signed in 1981. This system applies the full cost recovery principle and average cost pricing. It provides no guarantee regarding cost control and does not encourage users or service providers to optimise their use of existing capacity or to create new capacity.

In 1999, the European Commission published a communication expressing its intention to introduce a package of measures aimed to reorganise the air navigation services sector, resulting in the creation of a 'Single European Sky'. The introduction of this communication was followed by the establishment in 2000 of a High Level Group (HLG) of senior civil and military air traffic control authorities of Member States plus Norway and Switzerland, charged with examining and proposing the key elements of the Single European Sky proposal.

In its final report submitted in November 2000, the group concluded that it was necessary to extend and strengthen European regulation on performances as well as in the field of air navigation charges. Furthermore, it noted that more elaborate principles of charging should be detailed to encourage cost effectiveness of the system as a whole through incentives promoting the adoption of practices aimed at increasing capacity.

The objective of the introduction of the "Single European Sky" was ratified by the White Paper "European transport policy for 2010: Time to Decide", which noted that the European Union suffered from overfragmentation of its air traffic management systems, which in addition to flight delays, caused fuel waste and put European airlines at a competitive disadvantage. The target date of year 2004 was set for the adoption of a series of specific proposals to reform the air traffic management system.

In order to make appropriate legislative proposals, in 2000 the Commission entrusted external consultants with the execution of several studies. Among those studies, one of them focused on economic air navigation service regulation, in order to analyse the extent and the application of such regulation in this sector, while the other focused on terminal air navigation charges.

The findings from these studies supported the legislative initiative of the Commission, which at the end of the year 2001, submitted four legislative proposals for regulations relating to the creation of the Single European Sky.

The proposed regulations have been recently adopted (10 March 2004), and are now:

- Regulation (EC) 549/2004 laying down the framework for the creation of the Single European Sky (the framework Regulation)
- Regulation (EC) 550/2004 on the provision of air navigation services in the Single European Sky
- Regulation (EC) 551/2004 on the organisation and use of the airspace in the Single European Sky
- Regulation (EC) 552/2004 on the interoperability of the European Air Traffic Management network

Chapter III of Regulation 550/2005 is the frame of reference for the definition of the economic regulations needed for the implementation of the Single European Sky. The study under assessment was launched in 2003 to provide the Commission with support in developing these specific economic regulations.

| Typology of project | |
|------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | A study aiming to provide the European Commission with factual data and external advice required to prepare a legislative proposal. |
| <i>The methodology adopted</i> | Not detailed in the Final Report. It seems, however, that it was mainly based on an analysis of the present situation and on bibliographic research, supplemented by some direct contacts with relevant stakeholders. |
| <i>Geographic coverage</i> | All the European Union-25 Member States. |

| Specific project objectives |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The main objective of this study was to define the rules required for the implementation of the major principles related to economic regulation and presented in the legislative package, to serve as a basis for drafting the necessary legislative measures.</p> <p>The consultants were requested to propose one or more consistent charging mechanisms enabling the enhancement of system effectiveness as a whole by introducing financial incentives for both service providers and airspace users. The objectives of these incentives should have been to encourage the increase in capacity while improving the use of the existing capacity, and to improve the sharing of risks between users and service providers while preserving necessary investments for the increase capacity.</p> <p>The consultants were also asked to take into account the introduction by the Commission of the concept of Functional Blocks of Airspace, and to base their work on Articles 14.2 and 14.3 of the draft Regulation concerning the provision of air navigation services.</p> |

| Possibilities and limits of evaluating the project |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> • The project evidence was exhaustive and there was no need for documental integration in order to assess the project. |

- Positions of stakeholders were examined through their written comments at the time of the presentation of the study results

Activities undertaken during the evaluation

Analysis of project evidence; interview with the Task Manager Officer at DG TREN; bibliographic research; analysis of written position papers provided by the French Ministry of Transport, General Direction Civil Aviation; the German Ministry of Transport; CANSO (Civil Air Navigation Services Organisation); Belgocontrol (the Belgian authority in charge of air traffic control services); AVINOR (the Norwegian authority for air traffic control services, and managing 45 airports); NATS (the UK authority in charge of air traffic control services); LVNL (the Dutch authority in charge of air traffic control services); Hungarocontrol (the Hungarian authority in charge of air traffic control services); EANS (the Estonian authority in charge of air traffic control services); Eurocontrol, Central Route Charges Office; IATA (International Air Transport Association); AEA (Association of European Airlines); ERA (European Regions Airline Association); Easy jet (a private European low-cost airline).

Opportunities for further analysis

No opportunities for further analysis.

The impact assessment of the study can be supplemented by an ex-post impact assessment of the economic regulations being prepared, a few years after their entry in force.

Relevance to the policy

How is the project evaluated relevant to the policy goals?

The Single European Sky initiative aims to increase mobility efficiency in the air transport sector, while minimising delays in flights. This objective is consistent with the Sustainable Mobility Policy. As this study is instrumental to a specific aspect of the Single European Sky initiative, it is relevant to the European Commission's policy on Sustainable Mobility.

- Restructuring current charging mechanisms is instrumental to the Single European Sky initiative, and is being done to ensure full consistency with this initiative.

How is the project evaluated relevant to the available financial instrument?

The study is highly relevant to the available financial instrument.

- The justification of the financing of this activity is to be found in the heading of the comments to budget line B2-704, which states: "*This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy...*"
- More specifically, the last comment to the budget line foresees the "*development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport*".

How could the relevance of the

The relevance was enhanced through the removal from the terms of reference of a specific requirement (study on possible internalisation of

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| <i>project be improved/have been improved through adjustments at the margins?</i> | <p>internal costs) that was initially included. Its removal was undertaken owing to an amendment to the legislative frame of reference implemented after the launching of the tender.</p> <p>A geographic extension, as to cover all the European Union-25 countries, was introduced in order to counterbalance the decreasing workload and ensure a broader geographic coverage.</p> <p>Both measures increased the relevance of the project, and the latter (geographic extension) had a positive impact on effectiveness as well.</p> |
| <i>Further project-specific remarks</i> | None. |
| <p>Overall ranking on relevance against the policy: high Overall ranking on relevance against the financial instrument: high</p> | |

| Effectiveness | |
|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Has the project evaluated been effective in addressing its specific objectives?</i> | <p>From a comparison between the final deliverable of the study and the Terms of Reference, and notwithstanding the opinion to the contrary expressed by one of the stakeholders, it seems to the evaluators that all the objectives of the study were met. It is assessed therefore as effective in addressing its contractual objectives.</p> <ul style="list-style-type: none"> • This is also confirmed by the European Commission, which is overall satisfied with the study. • Some criticisms were raised by both the European Commission and (some) stakeholders, who considered that some sections of the report were defined by an approach that was too academic. A consequent need to “rework” some of the sections of the study for their use was underlined by the Task Manager. |
| <i>Have the outputs been effective in addressing the policy goals?</i> | Yes, because it has provided useful elements for the preparation of a specific regulation. |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | <p>In consideration of the many criticisms expressed by some stakeholders (see below), ex post, it can be said that the consultant could have been asked to include in its report a section containing a summary of the key positions expressed by the principal stakeholders on the subjects covered by the study.</p> <p>This could have had facilitated the task of the Commission in the preparation of its legislative initiative, and could have contributed to the overall effectiveness of the study.</p> |
| <i>Further project-specific remarks</i> | The on-going activities of the project and its results were presented in two public workshops to stakeholders of the sector, attended by approximately 50 participants each. Several comments were made to the contractor on this occasion, as contributions to its activity. |

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| | <p>This is deemed to have had a positive impact on the effectiveness of the project.</p> <p>During its work, the consultant engaged in consultations with some of the most relevant stakeholders, and one of them acknowledged its effort to include some of the comments made during this phase in the final report.</p> <p>The largest number of them had words of appreciation for the work carried out by the consultant, and acknowledged its understanding of the economy of the sector, which is extremely specific.</p> <p>However, many stakeholders expressed several criticisms on some specific aspects of the report, and some of them were rather harsh comments.</p> <p>Stakeholders represent different economic and regulatory interests, and in some cases their interests are at odds, as clearly inferred from the different positions reflected by their comments. The consultant was called to an extremely challenging exercise in such a turbulent environment, which was to express autonomous, independent positions on the subjects covered by the study. It was not required to conciliate the positions of the different stakeholders. However, judging from the number of remarks expressed and their redundancy across different stakeholders, some more consultations with them during the execution of the study might have facilitated a more positive reception of the Final Report by a larger number of the players of the system.</p> |
| Overall ranking on effectiveness: high | |

| Impact | |
|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | <p>There is a direct impact on policymaking.</p> <p>The study provided the European Commission with useful elements to prepare the economic regulation according to Chapter III (Charging schemes) of the recently adopted Regulation 550/2004 on the provision of air navigation services in the Single European Sky.</p> <p>The target date for the presentation of this proposal of regulation is the end of year 2004.</p> |
| <i>Secondary impacts on other policies</i> | It is likely that a future proposal for airport charges regulation will take into consideration the results of the study under assessment, as well. |
| <i>Publicity given</i> | The project report is publicly available for download at DG TREN website. |
| <i>Communication and media</i> | The evaluators were unable to find media repercussions of the study. |
| <i>Impact on industry</i> | As it arises clearly from the number of participants to the public workshops, and the quantity and quality of the comments produced, the industry was extremely interested in the study. The interest was mainly motivated by the fact that it was known that the European Commission was preparing a legislative proposal on the issues covered by the study, which were extremely sensitive for all of the stakeholders. |

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| | <p>In their comments, stakeholders took position on different aspects of the study, but none of them was unfortunately in a position to quantify the economic impact of any of the alternatives under examination.</p> <p>There are signs indicating that the study is an important point of reference for the industry. In this sense, see the Consultation Paper launched in March 2004 by the UK Civil Aviation Authority (CAA) titled "NATS price control review"¹²⁸, which quotes the study.</p> |
| <i>Impact Research on</i> | <ul style="list-style-type: none"> • The Experimental Centre of Eurocontrol (author Phil Smith) issued in February 2004 a paper entitled "Barriers to Marginal Social Cost Pricing in the Air Transport Sector - A Guide for the Non-Economist", quoting the report produced by the study under analysis. The paper is available through the website of Imprint Europe¹²⁹. Imprint Europe is a European Commission R&D FP5-funded thematic network aimed at promoting the implementation of "fair and efficient transport prices". • The Research project "Innovative Route Charging Schemes" was launched and financed by Eurocontrol to "study the impact of changes in en-route charges with respect to the demand and supply sides of ATM in a view to improve the overall efficiency of the system." In its Final Report dated 10.03.2004, reference is made to the study under assessment¹³⁰. |
| Overall ranking on impact: high | |

| Efficiency | |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>With an average daily cost of € 653, the project was the less expensive among the ten taken into consideration for this evaluation. This is particularly remarkable in consideration of the highly technical nature of the study under assessment.</p> <p>The 350 person-days were not proposed by the bidder, but rather indicated by the European Commission in the terms of reference, and seemed perfectly justified by the complexity of the work assigned to the Consultant.</p> |
| <i>Cost effectiveness in terms of results and impact</i> | <p>The study under assessment has made a strong contribution to the preparation of a specific economic regulation in the frame of the Single European Sky initiative.</p> <p>Its cost effectiveness in terms of results and impacts must be appreciated in relation to its contribution to the objective of regulating this specific aspect of the initiative, which was reached at a reasonable cost.</p> <p>It shall also be appreciated in the light of its capacity to act as catalyser of a heated discussion among stakeholders, which in turn shall provide the Commission with further elements of use for its legislative initiative.</p> |
| Overall ranking on efficiency: very high | |

¹²⁸ http://www.caa.co.uk/erg/ergdocs/erg_ercp_natspricecapmarch04.pdf

¹²⁹ www.imprint-eu.org/public/Papers/IMPRINT%20final_phil%20smith.doc

¹³⁰ <http://www.eurocontrol.int/care/innovative/projects2002/ircs/ircs-wp0finalreport.pdf>

| Ways of improving value added from the funding |
|------------------------------------------------------------------------------------------------|
| The publication of the study on the Commission website further contributed to its value added. |

| Specific features affecting the project |
|------------------------------------------------|
| None identified. |

| Conclusions |
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| <p>Relevance against the policy: high. The project was instrumental to a specific aspect of the Single European Sky initiative, which is consistent with the policy on Sustainable Mobility.</p> <p>Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by two comments to the budget.</p> <p>Effectiveness: high. Notwithstanding some criticisms expressed, it is considered that the project successfully delivered its planned outputs, which will be exploited by the Commission, as planned.</p> <p>Impact: high. Impact was observed under four of the common areas, and further impact is expected under a further area.</p> <p>Efficiency: very high. Fees paid to consultants are the lowest paid by DG TREN for the projects under assessment. This is particularly remarkable in consideration of the highly technical nature of the study under assessment. The full achievement of the project objectives and its large impact further justify the assessment made.</p> |

| Recommendations |
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| <p>Recurrence of future similar activities. This project is a “one-off” activity, and achieved most of its goals with the delivery of its Final Report. This study is one of the projects aimed to support the European Commission in its institutional activities. It is highly recommended that the Commission continue to support its actions by supporting adequately targeted studies carried out by independent experts, whenever needed.</p> |

7.10 Study on Air Traffic Management (ATM) market organisation

| <i>Project title</i> | STUDY ON AIR TRAFFIC MANAGEMENT (ATM) MARKET ORGANISATION - B200/B2-7040/S12.260442 | | |
|------------------------|--------------------------------------------------------------------------------------------|-----------------------|------|
| <i>Type of funding</i> | Study | <i>% of financing</i> | 100% |
| <i>Overall budget</i> | EC € 247,500 | <i>Contract: year</i> | 2000 |
| <i>Budget for fees</i> | € 247,500 | <i>N. person/days</i> | 297 |

| Background and genesis |
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| <p>By constraining Europe’s economic growth and international competitiveness, jeopardising Europe’s world-class safety record and undermining efforts to reduce the greenhouse gas emissions of air transport, the inefficient use of the European airspace represents a challenge for the Sustainable Mobility Policy.</p> <p>Historically, in Europe, Air Traffic Management (ATM) services have been mainly organised as statutory monopolies at national level. For a long time, their provision on a country-by-country basis has resulted in fragmentation and has contributed to the lack of</p> |

capacity of the European ATM system.

In 1999, the European Commission published a communication expressing its intention to introduce a package of measures to reorganise the air navigation services sector, resulting in the creation of a 'Single European Sky'. The introduction of this communication was followed by the establishment in 2000 of a High Level Group (HLG) of senior civil and military air traffic control authorities of Member States plus Norway and Switzerland, charged with examining and proposing the key elements of the Single European Sky proposal.

In order to make appropriate legislative proposals concerning the reform of the ATM sector, in 2000 and 2001, the Commission launched several studies that were entrusted to external consultants. The contract under assessment is one among the studies launched in that period.

The objective of the introduction of the "Single European Sky" was reaffirmed by the White Paper "European transport policy for 2010: Time to Decide", which noted that the European Union suffered from over fragmentation of its air traffic management systems, which in addition to flight delays, caused fuel waste and put European airlines at a competitive disadvantage. The target date of year 2004 was set for the adoption of a series of specific proposals to reform the air traffic management system.

Consistently, at the end of the year 2001, the European Commission submitted four legislative proposals for regulations relating to the creation of the Single European Sky. The proposed regulations have been recently adopted (10 March 2004¹³¹), and are now:

- Regulation (EC) 549/2004 laying down the framework for the creation of the Single European Sky (the framework Regulation)
- Regulation (EC) 550/2004 on the provision of air navigation services in the Single European Sky
- Regulation (EC) 551/2004 on the organisation and use of the airspace in the Single European Sky
- Regulation (EC) 552/2004 on the interoperability of the European Air Traffic Management network

| Typology of project | |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>The Role of the project in the policymaking process</i> | A study aiming to provide the European Commission with factual data and external advice required to prepare a legislative proposal. |
| <i>The methodology adopted</i> | <p>For the analysis of the existing situation, a survey was carried out in 12 Countries (<i>see below, Geographic coverage</i>).</p> <p>The overall framework developed by the High Level Group drove the positive part of the study.</p> <p>Contacts were established and interviews carried out with a large number of national and international stakeholders for both parts of the</p> |

¹³¹ They are published on the OJ L96/31.03.2004

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| | study. |
| <i>Geographic coverage</i> | Austria, France, Germany, Italy, Sweden, UK, Hungary, Norway, Australia, Canada, New Zealand and the United States of America. |

| Specific project objectives |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The study on ATM market organisation was aimed at analysing the changes in corporate governance structures and related functions of service provision in the light of the current situation in the air transport sector, with a view to defining the future regulatory framework to be applied to ATM service provision.</p> <p>The overall objectives of this study were:</p> <ul style="list-style-type: none"> • To review and understand the characteristics and modalities of the provision of ATM related services, mainly in the Community but also accounting for other significant areas of the world. • To define potential opportunities for reorganisation of the sector in order to address the issues and requirements identified by the High level Group, learning the lessons from the reorganisation of other sectors, and assessing the impact on special or exclusive rights and obligations. • To identify the factors that prevent elements of ATM service provision from being organised as a market. • To devise the regulatory framework required at the European Community level in order to develop, facilitate and enable the process of reorganisation of the sector. |

| Possibilities and limits of evaluating the project |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> • The project evidence was full and there was no need for document collation in order to assess the project • Difficulties were encountered in finding external stakeholders able to comment on the impacts of the study; this was the main difficulty encountered in preparing this section. This was mainly due to important personnel restructuring undertaken by sector organisations after the publication of the study (post September 11 crisis). |

| Activities undertaken during the evaluation |
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| <p>Analysis of project evidence; interview with the Officer at DG TREN that acted as Task Manager at the time of the project; bibliographic research; contacts sought with IFATCA (International Federation of Air Traffic Controllers' Associations); IATA (International Air Transport Association); CANSO (Civil Air Navigation Services Organisation); interview with the Director of ATAG (Air Transport Action Group).</p> |

| Opportunities for further analysis |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>No opportunities for further analysis.</p> <p>The impact assessment of the study can be supplemented by an ex-post impact assessment of the "Single European Sky regulations" recently adopted, a few years after their entry in force.</p> |

| Relevance to the policy | |
|--------------------------------|----------------------------------------------------------------------------|
| <i>How is the</i> | The Single European Sky initiative aims to increase mobility efficiency in |

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| <p><i>project evaluated relevant to the policy goals?</i></p> | <p>the air transport sector, while minimising delays in flights, an objective consistent with the Sustainable Mobility Policy. As this study is instrumental to a specific aspect of the Single European Sky initiative, it is relevant to the European Commission's policy on Sustainable Mobility.</p> <ul style="list-style-type: none"> • The reduction of flight delays will have the effect of decreasing fuel consumption (flight delays are presently managed on the ground, with obvious fuel over-consumption). Due to the problems caused by flight delays, the more suitable routes, both in a vertical and in a horizontal sense, are underused, and more and more flights are re-routed on sub-optimal routes, with consequent fuel over-consumption and wasting passenger time. |
| <p><i>How is the project evaluated relevant to available financial instrument?</i></p> | <p>The study is highly relevant to the available financial instrument.</p> <ul style="list-style-type: none"> • The justification of the financing of this activity is to be found in the heading of the comments to budget line B2-704, which states: <i>"This appropriation is intended to cover expenditure on the gathering, collation and processing of all kinds of information necessary to the elaboration and development of the Community's common transport policy..."</i> • More specifically, the last comment to the budget line foresees the <i>"development of the Single European Sky programme aimed at increasing the performance, capacity and safety of air traffic control and improving the punctuality of air transport"</i>. |
| <p><i>How could the relevance of the project be improved/have been improved through adjustments at the margins?</i></p> | <p>No need for increasing the relevance of the project.</p> |
| <p><i>Further project-specific remarks</i></p> | <p>None.</p> |
| <p align="center">Overall ranking on relevance against the policy: high Overall ranking on relevance against the financial instrument: high</p> | |

| <p align="center">Effectiveness</p> | |
|-----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><i>Has the project evaluated been effective in addressing its specific objectives?</i></p> | <p>The project was highly effective in achieving its specific objectives.</p> <ul style="list-style-type: none"> • All the project objectives were addressed by the study, which provided inputs in all the areas considered in the terms of reference. • Some elements going beyond the main "legislative purpose" of the European Commission at the time of the launching of the study were included in the final report, as well. DG TREN |

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| | considered them as elements of interest, and of a possible future use. |
| <i>Have the outputs been effective in addressing the policy goals?</i> | Yes, because it has provided useful elements for the preparation of a specific regulation.. |
| <i>How could the effectiveness of the project be improved/have been improved through adjustments at the margins?</i> | No need to further improve the effectiveness with adjustments. |
| <i>Further project-specific remarks</i> | <ul style="list-style-type: none"> The on-going activities of the project and its results were presented in two public workshops to stakeholders of the sector. Several comments were made to the contractor on this occasion, as contributions to its activity This is deemed to have had a positive impact on the effectiveness of the project. In order to closely follow the project progresses against objectives, and prevent problems during its execution, the Contractor was due to report its on-going activities to the European Commission, on a monthly basis. |
| Overall ranking on effectiveness: very high | |

| Impact | |
|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Impact on policymaking</i> | The impact on policymaking was direct and substantial. The study provided the European Commission with elements of use for the preparation of the proposal of two Regulations recently adopted: 550/2004 on the provision of air navigation services in the Single European Sky; and 552/2004 on the interoperability of the European Air Traffic Management network. |
| <i>Secondary impacts on other policies</i> | The adoption of the Regulations may open the door to future debates on similar issues at WTO level. A secondary indirect impact of the study under assessment on other policies is therefore possible. |
| <i>Publicity given</i> | The project report is publicly available for download at DG TREN website. |
| <i>Communication and media</i> | <p>An echo of the study was found on an economic magazine:</p> <ul style="list-style-type: none"> Economic affairs, Volume 23 Issue 2 Page 45 - June 2003 published the article "Single sky and free market" (Peter Brooker). <p>The article provides a description of the European Air Traffic Control provision. The Single Sky initiative is considered to be "the best consensus available - the product of political decisions rather than economic analyses. Will the Single Sky offer sufficient incentive for providers to rationalise and co-operate? Indeed, will providers want to take up such challenges?" The article quotes the study under assessment.</p> |

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| | <p>Further repercussions are found on some bulletins of stakeholders of the sector.</p> <ul style="list-style-type: none"> • EUROCONTROL in its note 15/02 (November 2002) entitled “Giving substance to European functional airspace blocks” includes an abstract of the report of the study under assessment and extensive quotes. • Further stakeholders that quoted the study in their publications are an Italian trade union and two national air traffic authorities. |
| <p><i>Impact on industry</i></p> | <p>As referred to under <i>Possibilities and limits of evaluating the project</i>, it was extremely difficult to find external stakeholders, due to external constraints beyond evaluators’ control.</p> <p>From interviews it arises that the industry has used the study extensively as a benchmark for the fine-tuning of their strategies.</p> <p>The positive assessment of the study by an important sector of the industry reflects in the endorsement of the Commission’s legislative initiative. In particular, CANSO (Civil Air Navigation Services Organisation¹³²) supported the initiative with a well-targeted lobby before the European Parliament and the Council.</p> <p>ATAG (Air Transport Action Group¹³³) considers that the study under assessment constitutes an important milestone in the establishment of a European ATM regulatory framework, a measure aimed to ensure a higher level of safety, interoperability and efficiency of the air transport sector.</p> <p>An indirect positive impact of the study on safety, interoperability and efficiency is therefore acknowledged.</p> <p>The adoption of the four Regulations is considered as significant progress with respect to the present situation. Nevertheless, further efforts are requested in some fields, for example, in regulating civil-military cooperation, which was considered among the priorities of action in the study under assessment; or in defining the relations between Eurocontrol and the European Union.</p> |
| <p><i>Impact on Academy and Research</i></p> | <ul style="list-style-type: none"> • A paper entitled “Economic Benefits of Competition in European Air Traffic Management - Germany as an Example” was published in November 2002 by the Berlin University of Technology/Workgroup for Infrastructure Policy¹³⁴. Some criticisms are made to the study under assessment, which is considered to have underestimated the establishment of large organisational units (such as alliances) as elements that jeopardise competition between providers, with a potential |

¹³² CANSO is the trade association of the extra-governmental organisations providing air navigation services. www.canso.org

¹³³ The Air Transport Action Group (ATAG) “is an independent coalition of organisations and companies throughout the air transport industry that have united to drive aviation infrastructure improvements in an environmentally-responsible manner”. www.atag.org

¹³⁴ Prof. Dr. Hans-Jürgen Ewers and Dipl.-Volksw. Henning Tegner.

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| | <p>negative impact on the willingness to perform shown by ATM service providers¹³⁵.</p> <ul style="list-style-type: none"> • THENA (Thematic Network on Airport Activities¹³⁶) quoted the study in its 2002's "Final synthesis on policy and regulation". <p>Overall ranking on impact: very high</p> |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| Efficiency | |
|----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Efficiency in the use of resources</i> | <p>With an average daily cost of 833 €, the study was among the most expensive included in the sample of projects under assessment.</p> <p>The number of person-days allocated to the study appears justified by the complexity of the tasks assigned to the consultant.</p> |
| <i>Cost effectiveness in terms of results and impact</i> | <p>The study was instrumental to the ambitious European Commission objective of regulating the ATM sector in full alignment with the "Single European Sky" initiative, which aims to introduce a dramatic reform on the European air traffic control system to meet future capacity and safety needs; this will have dramatic repercussions on savings, and will yield direct benefits to the environment, operators, and passengers.</p> <p>The cost effectiveness of the study in terms of results and impacts must be appreciated in relation to its contribution to the objective, which was thorough.</p> <p>In relation to these factors, the relatively high cost of the study is not regarded negatively.</p> |
| Overall ranking on efficiency: medium | |

| Ways of improving value added from the funding |
|--------------------------------------------------------------------------------------------------|
| The publication of the study on the Commission website contributed to improving its value added. |

| Specific features affecting the project |
|------------------------------------------------|
| None emerging. |

| Conclusions |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Relevance against the policy: high. The project was instrumental to a specific aspect of the Single European Sky initiative, which is consistent with the policy on Sustainable |

¹³⁵ "The study proposes the introduction of standard European licensing procedures for ATM service providers, beginning in 2003/2004. In addition, economic regulation and performance regulation of the service providers should be introduced. Alliances between service providers should be authorized. The study thus contains important elements which have been introduced into the EU initiatives for the formation of a Single European Sky. However, it underestimates the fact that the establishment of large organisational units (such as alliances) may jeopardise competition between providers, with a potential adverse impact on the willingness to perform shown by ATM service providers. It is doubtful whether the proposed regulation mechanisms are adequate to offset this disadvantage." Paragraph 6.2, page 26.

¹³⁶ Thena is a network of fourteen partners from five European Union Countries involved and interested in research on air transport, providing access to research studies and facilitating debates. It was financed under the programme "Promoting competitive and sustainable growth" of the FP5 R&D of the EC. <http://www.thena.aena.es/>

Mobility.

Relevance against the financial instrument: high. The financing of the study under budget line B2-704 is fully justified by two comments to the budget.

Effectiveness: very high. The project successfully delivered its planned outputs, which will be exploited by the Commission, as planned. Moreover, it provided some additional elements which will likely be used in the future.

Impact: very high. Impact was observed under five of the common areas, and further impact is expected under a further area.

Efficiency: medium. Fees paid to consultants are among the highest paid by DG TREN for the projects under assessment. However, this is counterbalanced by the full achievement of the project objectives, and its large impact.

Recommendations

Recurrence of future similar activities. This project is a “one-off” activity, and achieved most of its goals with the delivery of its Final Report. This study is one of the projects aimed to support the European Commission in its institutional activities. It is highly recommended that the Commission continue to support its actions by supporting adequately targeted studies carried out by independent experts, whenever needed.

8 ANNEX B: THE EUROPEAN UNION TRANSPORT POLICY AND SUSTAINABLE MOBILITY

Transport was identified in the Treaty of Rome (1957) as one of the areas requiring development of a common policy. Nevertheless, for nearly thirty years after the signing of this treaty the Council of Ministers was unable to translate the Commission's proposals into legislation.

Substantial progress was finally made between 1986 and 1992 towards the establishment of a single market in each of the main transport modes, laying the foundations of a Common Transport Policy (CTP). This was mainly the result of a 1985 European Court of Justice ruling¹³⁷, the White Paper entitled "Completing the Internal Market" published that same year¹³⁸ and the signing of the Single European Act (SEA) in 1986¹³⁹.

In 1992 the Maastricht Treaty (Treaty on European Union) was signed¹⁴⁰. This treaty significantly strengthened the political institutional and budgetary foundations for transport policy. The Maastricht Treaty introduced the "co-decision procedure". This new legislative procedure replaced the need for unanimity in the Council with qualified majority, facilitating the enactment of legislation¹⁴¹. Additionally, the co-decision procedure increased the influence of the European Parliament in the decision-making process.

Under the Maastricht Treaty, the Commission gained new powers regarding transport safety and transport infrastructure. Moreover, the Treaty contained three articles providing for the development and financing of trans-European networks¹⁴².

Regarding environmental protection, the Maastricht Treaty stated that the Union aims to 'achieve balanced and sustainable development' (Art. 2) and that 'environmental protection requirements must be integrated into the definition and implementation of other Community policies' (Article 130r). As a consequence of this new imperative, the Commission changed its approach to transport, so that a CTP would be based on sustainable mobility.

In December 1992, the Commission published a White Paper entitled "The Future Development of the Common Transport Policy: A global approach to the construction of a community framework for sustainable mobility"¹⁴³. According to this document, the CTP should seek to reconcile the need for mobility with the imperatives of safety, respect for the environment and social responsibility, its ultimate objective being the achievement of sustainable mobility. The main guideline of the document was the opening of the transport market.

¹³⁷ The European Court of Justice ruled that the Council had failed to ensure freedom to provide international transport services within the Community and to lay down the conditions under which non-resident transport carriers may operate transport services in a Member State. ECJ Case 13/83, *Parliament v. Council*.

¹³⁸ This document set a series of targets for the period between 1986 and 1989 regarding the adoption of single-market measures by the Council in relation to all transport modes except rail. COM/85/310

¹³⁹ The Single European Act (SEA) amended the terms of the Treaty to facilitate the completion of a single internal market by 1992. The SEA introduced qualified majority voting in the Council for sea and air transport. The act also contained the first mention ever to environmental action.

¹⁴⁰ That same year, a global agreement was reached in Rio de Janeiro (signed by the EC and more than 178 governments), setting targets for carbon dioxide (CO₂) emissions. According to this agreement, CO₂ emissions should have been reduced to 1990 levels by the year 2000.

¹⁴¹ However, in practice, Council decisions on transport issues still tend to be unanimous.

¹⁴² Now Title XV, Articles 154-6.

¹⁴³ COM/92/494 and EC Bulletin Supplement 3/93.

Three years later, the Commission adopted an action programme for the period between 1995 and 2000¹⁴⁴. Although the main aims for the CTP established in 1992 were not changed in essence, greater emphasis was placed on safety, the environment, subsidiary and accession countries.

In 1997, the Treaty of Amsterdam was signed¹⁴⁵. This Treaty reformed and extended the co-decision procedure to most areas previously covered by the cooperation procedure. The newly reformed co-decision procedure strengthened the power of the European Parliament within the European Union legislative process.

Regarding the environment, this Treaty further emphasised the importance of environmental protection by promoting the requirement established under the Treaty of Maastricht (Article 130r) to Title One, Principles, article 6 – which expressly states its application to transport policies by reference to the policies and activities listed in Article 3.

In 1998, the Commission published a paper “On Transport and CO₂”¹⁴⁶, which shed light on the responsibility of transport for the rising level of carbon dioxide in the atmosphere¹⁴⁷. That same year, the Commission published a White Paper¹⁴⁸, which advocated the progressive application of marginal social cost-pricing principles to all commercial transport, in the interest of economic efficiency, fair competition and environmental sustainability.

Also in 1998, the Commission published a document entitled “The Common Transport Policy – Sustainable Mobility: Perspectives for the Future”¹⁴⁹. This paper notes that, although significant progress was made since the launching of the 1995 action programme, there still remained major challenges if the objective of a safe, efficient, competitive, socially and environmentally friendly CTP was to be realised. Additionally, this document set out an exhaustive list of the tasks to be accomplished during the 2000-2004 period, which included:

- Studying the feasibility of a European Transport Data System
- Clarifying the regulatory framework, including State aid guidelines
- Improving the interoperability of transport systems and deploying intelligent transport systems
- Considering the role of logistics in the transport economy
- Achieving greater convergence in standards for training and professional qualifications
- Examining problems and performance in different modes of transport
- Finding less environmentally-damaging energy alternatives for transport
- Putting in place a new regime for Alpine transit and
- Examining the role of international organisations responsible for transport in Europe and the transport implications of UN and WTO reports

¹⁴⁴ COM/95/302.

¹⁴⁵ Also in 1997, the agreement reached at Kyoto, which set specific targets for cutting the emission of greenhouse gases, continued the trend – started by the Rio agreement – on global policy on the environment. The Kyoto Protocol was signed (29/04/98) and ratified (31/05/02) by the European Union and the 15 member states.

¹⁴⁶ COM/98/204

¹⁴⁷ According to this document, while transport had been responsible for 19 per cent of emissions in 1985, this had risen to 26 per cent in 1995 and was set to rise to 40 per cent by 2010 on current trends. This document states that (par. 46) ‘Particular attention will need to be given to measures designed to reduce dependence of economic growth on increases in transport activity...’

¹⁴⁸ EU Bulletin Supplement 3/98.

¹⁴⁹ COMM/98/716.

In June 2001, the European Council at Gothenburg called for a sustainable transport policy within the context of a broader strategy for sustainable development. The Council noted that a core element of this policy should be to generate a shift in the balance between modes of transport. This shift should be accomplished by means of an infrastructure investment policy in favour of railways, inland waterways, Short Sea shipping and intermodal operations.

Later that year, the Commission published a White Paper entitled “European Transport Policy for 2010: Time to Decide”¹⁵⁰. According to this document, the ambitious objective of the CTP until 2010 will be to gradually break the link between transport growth and economic growth, in order to reduce the pressure on the environment and prevent congestion while maintaining the European Union’s economic competitiveness.

This document notes that the lack of harmonious development of the CTP accounts for major problems such as congestion, imbalances between modes of transport, and harmful effects on the environment and public health.

The problem of congestion is identified by the 2001 White Paper as a major threat to Europe’s economic competitiveness. As the European Union Commissioner Loyola de Palacio notes in the foreword to this document ‘if nothing is done, the cost of congestion will, on its own, account for 1% of the European Union’s gross domestic product in 2010 while, paradoxically, the outermost regions remain poorly connected to the central markets.’¹⁵¹

One of the main causes for congestion is bound to be that transport users do not always cover the costs they generate in terms of infrastructure, congestion, environmental damage and accidents. Other factors identified as major causes are delays in completing trans-European network infrastructure, the poor organisation of Europe’s transport system and the failure to make optimum use of means of transport and new technologies.

Two key factors are recognised as being behind the continuous growth in the demand for transport. Regarding passenger transport, the determining factor is the growth in car use. The number of cars has tripled in the last 30 years¹⁵². As far as goods transport is concerned, growth is thought to be due, to a large extent, to the fact that the European economy has moved in the last 20 years, from a “stock” economy to a “flow” economy. Unless major measures are taken, by 2010 heavy goods vehicle traffic alone is forecasted to increase by nearly 50% above its 1998 level.

Transport flows will also increase as a result of the significant economic growth expected in the new Member States. The 2001 White Paper notes that although from their planned economy days the new Member States have inherited a transport system that encourages rail, since the 1990s the distribution between modes has tipped sharply in favour of road transport. Integrating the transport systems of these countries will be a big challenge to which the CTP will be required to step up.

¹⁵⁰ COMM/2001/370

¹⁵¹ COMM/2001/370. The white paper makes this point even clearer by stating that ‘To paraphrase a famous saying on centralisation, it could be said that the European Union is threatened with apoplexy at the centre and paralysis at the extremities’.

¹⁵² The growth in number of cars is expected to slow down in many countries of the European Union, but not in the new members.

Following the Gothenburg European Council's conclusions, the 2001 White Paper places the shifting of balance between modes of transport at the heart of the sustainable development strategy. Nowadays, this balance is markedly inclined in favour of air and road transport. The effects of the unequal growth among different modes of transport can be seen in the fact that 44% of the goods transport market is made up by road transport, 41% by Short Sea shipping, 8% by rail and 4% by inland waterway¹⁵³. Regarding passenger transport, road accounts for 79% of the market, rail for 6% and air for 5%.

This document explains that in the near future, economic growth will automatically generate greater needs for mobility. Furthermore, enlargement will generate a significant increase in transport flows in the new Member States. Moreover, saturation of the major arteries combined with accessibility of outlying and very remote areas and infrastructure upgrading in the new Member States will in turn require massive investment. Thus, as a solution to these problems, the document proposes to gradually break the link between economic growth and transport growth.

The 2001 White paper proposes 60 measures ranging from pricing to revitalising alternative modes of transport to road and targeted investment in the trans-European network. These measures are presented as a '...first essential step towards a sustainable transport system that will ideally be in place in 30 years' time'¹⁵⁴. The thirteen basic guidelines presented by this document for the CTP until 2010 were:

- i. *To revitalise the railways:* The success of the efforts to shift the balance between modes of transport depends – particularly in the case of goods transport – on the rail sector. The objective of the CTP is to revitalise this sector through opening the markets¹⁵⁵, encouraging company restructuring that takes account of social aspects and work conditions, restoring the credibility of this sector in terms of punctuality and regularity, and gradually generating a network of railway lines which are exclusively dedicated to goods services.
- ii. *To improve quality in the road transport sector:* Margins are narrow in the road transport sector due to its fragmentation and to the pressure exerted on prices by consignors and the industry. Therefore, some road haulage companies resort to price dumping and to side step the social and safety legislation to make up for this handicap. Measures will be taken to harmonise and tighten up inspection procedures in order to put an end to the practices hindering fair competition. Moreover, The Commission will advocate for the harmonisation of certain clauses in contracts in order to protect carriers from consignors and enable them to revise their tariffs in the event of a sharp rise in fuel prices.
- iii. *To promote Short Sea shipping and inland waterway transport:* These two modes, which remain underused, are seen as a possible solution for dealing with the congestion of certain road infrastructure and the lack of railway infrastructure. The goal of the CTP is to revive Short Sea shipping by building veritable sea motorways within the framework of the master plan for the trans-European network¹⁵⁶. Regarding

¹⁵³ This is by no means inevitable in modern economies, since in the USA 40% of goods are carried by rail.

¹⁵⁴ COMM/2001/370

¹⁵⁵ This measure must be accompanied by further harmonisation in the fields of interoperability and safety.

¹⁵⁶ Also, the White Paper promotes the idea of establishing tougher rules on maritime safety, incorporating the minimum social rules to be observed in ship inspections and developing a genuine European maritime traffic management system.

inland waterway transport, 'waterway branches' must be established and transshipment facilities must be installed to allow a continuous service all year round¹⁵⁷.

- iv. *To strike a balance between growth in air transport and the environment:* The European Union suffers from over fragmentation of its air traffic management systems, which in addition to flight delays, causes fuel waste and affects the competitiveness of European airlines. Thus, it is the aim of the CTP to implement by 2004 a series of specific proposals establishing Community legislation on air traffic and introducing effective cooperation with the military authorities and with Eurocontrol¹⁵⁸.
- v. *To turn intermodality into reality:* Intermodality is essential for developing competitive alternatives to road transport. The CTP will give priority to the technical harmonisation and interoperability between systems (particularly for containers), and the new Community support programme "Marco Polo".
- vi. *To continue the building of the trans-European transport network:* The Commission will propose a revision of the guidelines adopted by the Council and the European Parliament. Following the Gothenburg European Council's conclusions, this revision will concentrate on removing the bottlenecks in the railway network, completing the routes identified as the priorities for absorbing the traffic flows generated by enlargement (particularly in frontier regions), and improving access to outlying areas¹⁵⁹.
- vii. *To improve road safety:* Every year there are 41,000 deaths on European roads. The White Paper notes that the Member States are very reluctant to take action at community level on this issue. Thus, until 2005 the CTP will prioritize exchanges of good practice¹⁶⁰.
- viii. *To adopt a policy on effective charging for transport:* Individual modes of transport do not always pay the costs they generate. Thus, there are no incentives to use the cleanest modes or the least congested networks. Therefore, the CTP will concentrate on the alignment of the principles for charging for infrastructure use and on the harmonisation of fuel taxation for commercial users – particularly in road transport.
- ix. *To recognise users' rights and obligations:* To reinforce European citizen's rights to have access to high quality services at affordable prices. The CTP will focus on transferring the ideas of the "air passenger rights charter" to other modes.
- x. *To develop high quality urban transport:* In order to achieve sustainable development, a better approach is needed from the local public authorities to reconcile modernisation of the public services and rational use of cars. Thus, the CTP will place the emphasis on exchanges of good practice aiming at making better use of public transport and existing infrastructure.

¹⁵⁷ Moreover, other measures to revive the sector include fuller harmonization of the technical requirements for inland waterway vessels, of boat masters' certificates and of the social conditions for crews.

¹⁵⁸ Furthermore, the inevitable expansion of airport capacity, linked with enlargement, should remain strictly subject to regulations for reducing aircraft's noise and pollution.

¹⁵⁹ Moreover, the Commission intends to make a proposal to amend the funding rules to allow the Community to make a maximum contribution (up to 20% of the total cost) to cross-border projects crossing natural barriers but offering insufficient return.

¹⁶⁰ However, the Commission reserves the right to propose legislation if the number of accidents is not significantly reduced.

- xi. *To put research and technology at the service of clean and efficient transport:* Crucial for the development of the sustainable mobility approach to transport has been the Commission's funding of research activities – under the Fourth (FP4) and Fifth Framework Programmes (FP5) of Research – in areas as varied as intermodality, clean vehicles and telematics applications in transport. Currently, under the Sixth Framework Programme (2002-2006), research focused on the objectives of this White Paper is being financed.
- xii. *To manage the effects of globalisation:* Since the main objective of international transport regulations is to facilitate trade and commerce, these rules often do not take account of environmental protection or security of supply concerns. As part of the negotiations within the World Trade Organisation, the European Union will continue to act as a channel for opening up the markets of the main modes of transport while maintaining, at the same time, the quality of transport services and the safety of users. The Commission also plans to propose the reinforcement of the position of the Community in several international organisations in order to safeguard Europe's interests at world level.¹⁶¹
- xiii. *To develop medium and long-term environmental objectives for a sustainable transport system:* The sustainable transport system needs to be defined in operational terms in order to provide the policy-makers with useful information to go on. Moreover, these objectives need to be quantified whenever possible.

This document concludes that the CTP, on its own, will not achieve sustainable mobility. As Commissioner Loyola de Palacio explains 'To meet our objectives, it will inevitably be necessary to take additional measures in other areas, e.g. budget policy, industrial policy, regional policy, social policy and the organisation of working time'¹⁶².

The White Paper also includes an action programme extending until 2010, with milestones along the way. In 2005, the Commission will make an overall assessment of the implementation of the measures advocated in this document. Taking into account economic, social and environmental consequences of the proposed measures, this review will check whether the precise targets are being attained or whether adjustments are needed¹⁶³.

¹⁶¹ In particular the International Maritime Organisation, the International Civil Aviation Organisation and the Danube Commission.

¹⁶² COMM/2001/370

¹⁶³ Sources:

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9 ANNEX C: LIST OF CONTACTS

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|----|-----------------------------------------------|-------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| -- | -- | Franc Antoine-Poirel | franc.antoine-poirel@cec.eu.int | Officer DG TREN - Financial Unit |
| 1 | Tachonet - 2nd phase | Leo Huberts | leo.huberts@cec.eu.int | Task Manager DG TREN |
| 1 | Tachonet - 2nd phase | Yves Hardy | yves.hardy@cec.eu.int | Task Manager DG TREN |
| 1 | Tachonet - 2nd phase | Franck Silvestre | franck.silvestre@getronics.com | Contractor |
| 1 | Tachonet - 2nd phase | Per-Arne Holm | per-arne@vv.se | Project Leader "Implementation of the Digital Tachograph". Swedish Road Administration |
| 1 | Tachonet - 2nd phase | Thierry Granturco | t.granturco@ga-avocats.be | Project Manager "Implementation of the Digital Tachograph". Lawyer |
| 1 | Tachonet - 2nd phase | Franck Ivens | fivens@rdw.nl | Chair of Task Force 3 (Tachonet) of the Card Issuing Working Group. Dutch Centre for Vehicle Technology and Information |
| 1 | Tachonet - 2nd phase | Hans van der Bruggen | hvanderbruggen@rdw.nl | Project Manager "Eucaris" |
| 1 | Tachonet - 2nd phase | Birgit Saav | birgit.saav@vv.se | Member of Task Force 3 (Tachonet) of the Card Issuing Working Group. Swedish Road Administration |
| 1 | Tachonet - 2nd phase | Christopher Smith | christopher.smith@unece.org | Focal Point of Transport Division of UNECE |
| 1 | Tachonet - 2nd phase | Mateusz Kielar | m.kielar@autoguard.pl | Participant in UNECE workshop. AutoGuard & Insurance, Poland (1) |
| 1 | Tachonet - 2nd phase | Alexander S. Pilipovich | pilipovich@asmmap.ru | Participant in UNECE workshop. Russian Association of International Road Carriers (ASMMap) (1) |
| 1 | Tachonet - 2nd phase | Denis Špac | denis@tahograf.hr | Participant in UNECE workshop. Tahograph ltd, Croatia (1) |
| 2 | Coastal shipping – OSP rules – Little islands | Giovanni Mendola | giovanni.mendola@cec.eu.int | Task Manager DG TREN |
| 2 | Coastal shipping – OSP rules – Little islands | Sophie MARIN-COMBEAUD | sophie.marin-combeaud@cec.eu.int | (Former) Task Manager DG TREN |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|-----------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 2 | Coastal shipping – OSP rules – Little islands | Mrs Ann Dilling | ad@dma.dk | Danish Maritime Administration |
| 3 | The European Short-Sea Network | Cristóbal Millan de la Lastra | cristobal.millan-de-la-lastra@cec.eu.int | Task Manager DG TREN |
| 3 | The European Short-Sea Network | Ismo Koskinen | ismo.koskinen@cec.eu.int | Task Manager DG TREN |
| 3 | The European Short Sea Network | Bridget Moncrieff | bridget.moncrieff@marine.ie | (Turning) President of the European Short Sea Network (Beneficiary) |
| 3 | The European Short Sea Network | Ingrid van Gelderen | shortsea@shortsea.nl | Short Sea Promotion Centre Netherlands - Member of the European Short Sea Network |
| 3 | The European Short Sea Network | Ger Hagens | ger.hagens@nld.xerox.com | Xerox Manufacturing Nederland - participant in the survey (2) |
| 3 | The European Short Sea Network | Patrick van der Poel | p.vanderpoel@tmi.nl | GlobePlanner BV - participant in the survey (2) |
| 3 | The European Short Sea Network | Ralf Boese | boe@spedition-herbst.com | Spedition Herbst GmbH & Co. - participant in the survey (2) |
| 3 | The European Short Sea Network | Knut Sander | k.sander@kukla-spedition.com | Robert Kukla GmbH Internationale Spedition - participant in the survey (2) |
| 4 | Good practice in contracts for public passenger transport | Paul Hodson | paul.hodson@cec.eu.int | Task Manager DG TREN |
| 4 | Good practice in contracts (...) | Gerhard Fritz | g.fritz@innconsult.at | Inn Consult GmbH Austria (consulting in transport) - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Rodney Dickinson | rodney.dickinson@firstgroup.com | First Group UK (public transport)- participant in the survey (3) |
| 4 | Good practice in contracts (...) | Zdenek Dosek | dosekz@dp-praha.cz | DP Prague Czech Rep (public transport) participant in the survey (3) |
| 4 | Good practice in contracts (...) | Ian Morton | ian.morton@uitp.com | International Union of Public Transport - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Sebastien Longchamp | sebastien.longchamp@sbb.ch | Swiss Railways - participant in the survey (3) |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|-----------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 4 | Good practice in contracts (...) | Janos Monigl | transman@transman.hu | Trasman Hungary (Consulting in transport) - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Laura Archetti | laura.archetti@amt.genova.it | Public Transport Company Genoa, Italy - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Märta-Lena Schwaiger | schwaiger@sltf.se | Swedish Public Transport Association - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Marc Girardot | m.girardot@rtm.fr | Public Transport Company Marseille, France - participant in the survey (3) |
| 4 | Good practice in contracts (...) | Keith Walsh | keith.walsh@drdni.gov.uk | Department for Regional Development UK - participant in the survey (3) |
| 4 | Good practice in contracts (...) | John Ryan | john.ryan@dublinbus.ie | Public Transport Company Dublin, Ireland - participant in the survey (3) |
| 5 | Study on freight integrator (...) | Mark Major | mark.major@cec.eu.int | Task Manager DG TREN |
| 5 | Study on freight integrator (...) | Kent Bentzen | fdt@ntu.dk | President of FDT (Association of Danish Transport Centres) and member of EuroPlatforms E.E.I.G. the European Network of Transport Centres. |
| 6 | Elaboration of STI for railways | Emmanuel Xenakis | emmanuel.xenakis@cec.eu.int | Task Manager DG TREN |
| 6 | Elaboration of STI for railways | Patrizio Grillo | patrizio.grillo@cec.eu.int | Task Manager DG TREN |
| 6 | Elaboration of STI for railways | NEBOT Fernando | f.nebot@ttu.es | Representative of SPAIN in the Member States Committee |
| 6 | Elaboration of STI for railways | Michele Elia | di.tec@flashnet.it | RFI - Representative of ITALY in the Member States Committee |
| 6 | Elaboration of STI for railways | Marco Ponti | marco.ponti@polimi.it | Politechnic of Milan - Professor of transport economics |
| 6 | Elaboration of STI for railways | D. Antonio Dominguez Chala | adchala@renfe.es | Renfe - Director de Seguridad en la Circulación |
| 6 | Elaboration of STI for railways | D. Jose Estrada Guijarro | jestrada@renfe.es | Renfe - Director de Gestión de Capacidades |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|-----------------------------------------|--------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 7 | Modernisation (...) freight wagon fleet | Catherine Proudhomme | catherine.proudhomme@cec.eu.int | Task Manager DG TREN |
| 7 | Modernisation (...) freight wagon fleet | Gilles Paque | gilles.paque@cec.eu.int | DG ENV, Working Group Railways Noise |
| 7 | Modernisation (...) freight wagon fleet | Stephanos Anastasiadis | stephanos.anastasiadis@t-e.eu | T&E Transport and Environment NGO-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Karin Blidberg | karin.blidberg@banverket.se | Banverket Environment. Sweden- participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Milos Liberko | mlliberko@volny.cz | Ministry of Environment-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Jaap Dijkstra | jaap.dijkstra@hslzuid.nl | Ministry of V&W-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Gianni Di Giangiacomo | g.digiangiaco@ferroviedellostato.it | Ferrovie Dello Stato SPA-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Ingo Anhorn | anhorn@bahnindustrie.info | Association of Railway Industry in Germany-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Christoph Preininger | christoph.preininger@gv.oebb.at | OBB Freight Traffic-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Paul van Wijngaarden | paul.vanwijngaarden@prorail.nl | PRORAIL-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Arto Hovi | arto.hovi@rhk.fi | Finnish Rail Administration-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Michael Dittrich | dittrich@tpd.tno.nl | TNO-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Bernard Alibert | bernard.alibert.aeif@b-rail.be | AEIF, Association Européenne pour L'Interopérabilité Ferroviaire-participant in the survey (6) |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|-----------------------------------------|--------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 7 | Modernisation (...) freight wagon fleet | Diogo Vasconcelos | jdvasconcelos@mail.refer.pt | Rede Ferroviária Nacional REFER, participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Michael Jaecker-Cueppers | michael.jaecker-cueppers@uba.de | German Federal Environmental Agency-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Ben Othman | yacin.benothman@tu-berlin.de | Technische Universität Berlin-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Peter Hübner | peter.ph.huebner@sbb.ch | UIC; SBB AG BERN; Bern BahnUmwelt-Center-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Veronica Valderhaug | veronica.valderhaug@jbv.no | Jernbaneverket-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Lars Deigaard | ld@trafikstyrelsen.dk | The Danish National Rail Authority-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Hanna Gwiazda | gwiazda@cntk.pl | Railway Scientific and Technical Centre-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Adam Osiak | a.osiak@pkp-cargo.pl | PKP CARGO SA.-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Philippe Boucheteil | philippe.boucheteil@vtg-rail.com | UIP -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Christian Coltelli | c.coltelli@trenitalia.it | Trenitalia -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Jan Hlavacek | hlavacekj@cdvuz.cz | Czech Railways, Railway Research Institute-participant to the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Viola Parászka | paraszka@mail.ktm.hu | Hungarian Ministry of Environment and Water-participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Andrew Foster | andrew.foster@be.transport.bombardier.com | Bombardier Transportation -participant in the survey (6) |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|--------------------------------------------------------------------|--------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 7 | Modernisation (...) freight wagon fleet | Bo Lönnemyr | bo.lonnemyr@sl.se | Stockholm Local Traffic Company; Civil, Track and Power Department -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Rudolf Sperlich | rudolf.sperlich@bav.admin.ch | Swiss Federal Office of Transport -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Joachim Braune | joachim.braune@railion.com | Railion Deutschland AG -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Milan Hala | hala@gr.pha.cd.cz | Czech Railways -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Lisa Johansson | lisa.johansson@wspgroup.se | WSP Akustik -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Kortbeek Boudewijn | boudewijn.kortbeek@minvrom.nl | Dutch Ministry of Environment -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Ion Constantinescu | ion.constantinescu@cfr.ro | CFR MARFA SA -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Kristophe Keseljevic | christophe.keseljevic@rff.fr | Reseau Ferre de France -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | JC Schaffner | jcs@speno.ch | SPENO International -participant in the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Jean-Marc Reynaud | jean-marc.reynaud@transport.alstom.com | Alstom Transport -participant to the survey (6) |
| 7 | Modernisation (...) freight wagon fleet | Siv Leth | siv.leth@se.transport.bombardier.com | Bombardier Transportation, CoC Acoustics -participant in the survey (6) |
| 8 | Study on (...) aircraft noise exposure | Ronny Rohart | ronny.rohart@cec.eu.int | Task Manager DG TREN |
| 8 | Study on (...) aircraft noise exposure | Gilles Paque | gilles.paques@cec.eu.int | Officer DG ENV |
| 9 | Implementing rules on economic regulations for Single European Sky | Denis Huet | denis.huet@cec.eu.int | Task Manager DG TREN |

| | | Contacts – stakeholders who answered/accepted an interview are recorded | | |
|---|--------------------------------------------------------------------|-------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 9 | Implementing rules on economic regulations for Single European Sky | | | Belgocontrol - Written comments to the Final Report of the project (4) |
| 9 | Implementing rules on economic regulations for Single European Sky | Frank Morisseau | jean-claude.gouhot@aviation-civile.gouv.fr | French Ministry of Transport, General Direction Civil Aviation - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | | | German Ministry of Transport - Written comments to the Final Report of the project (4) |
| 9 | Implementing rules on economic regulations for Single European Sky | Marie Desseaux | canso@skynet.be | CANSO - Civil Air Navigation Services Organisation - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | | | AVINOR - Written comments to the Final Report of the project (4) |
| 9 | Implementing rules on economic regulations for Single European Sky | | | NATS - Written comments to the Final Report of the project (4) |
| 9 | Implementing rules on economic regulations for Single European Sky | R.H.I. van Schoubroeck | r.vanschoubroeck@lvnl.nl | LVNL - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | Karoly Nemes | karoly.nemes@hungarocontrol.hu | Hungarocontrol - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | | | EANS - Written comments to the Final Report of the project (4) |
| 9 | Implementing rules on economic regulations for Single European Sky | | | IATA - International Air Transport Association - Written comments to the Final Report of the project (4) |

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|----|--------------------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| | | Name | E-mail | Identification contact |
| 9 | Implementing rules on economic regulations for Single European Sky | Horst Bittlinger | hort.bittlinger@aea.be | AEA - Association of European Airlines - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | Simon McNamara | info@eraa.org | ERA - European Regions Airline Association - Written comments to the Final Report of the project |
| 9 | Implementing rules on economic regulations for Single European Sky | | | EasyJet - Written comments to the Final Report of the project (4) |
| 10 | Study on ATM market organisation | Maurizio Castelletti | maurizio.castelletti@cec.eu.int | (Former) Task Manager DG TREN |
| 10 | Study on ATM market organisation | Martina Priebe | priebem@iata.org | Director ATAG (Air Transport Action Group) (5) |

Notes

- 1 All the 46 participants to the UNECE workshop mentioned in the evaluation report were contacted
- 2 All the nine users known the European Short Sea Network and communicated to the evaluators were requested to participate
- 3 The invitation to participate in the survey was sent to 35 receivers of the study
- 4 Name and email of the author unknown; comments are published at http://europa.eu.int/comm/transport/air/single_sky/studies_en.htm
- 5 Contacts sought also with IATA, IFATCA, CANSO
- 6 The invitation to participate in the survey was sent to the 125 receivers of the study