



EUROPEAN COMMISSION

Brussels, 23.11.2011  
SEC(2011) 1402 final

Volume 1

**COMMISSION STAFF WORKING PAPER**

**IMPACT ASSESSMENT**

*Accompanying the document*

**Proposal for a Regulation of the European Parliament and of the Council  
establishing "ERASMUS FOR ALL"  
The Union Programme for Education, Training, Youth and Sport**

{COM(2011) 788}  
{SEC(2011) 1403}

## **PART I: EDUCATION AND TRAINING**

**Lead DG:** DG Education and Culture supported by the Education, Audiovisual and Culture Executive Agency (EACEA)

**Other involved services:** DG BUDG, DG ELARG, DG EMPL, DG ENTR, DG REGIO, DG RTD, DG ECFIN, SJ and Secretariat General

**Agenda planning identification number:** CWP 2011/EAC/001

**Disclaimer:** This report commits only the Commission's services involved in its preparation and does not prejudge the final form of any decision to be taken by the Commission.

## **PART II: YOUTH**

**Lead Service:** DG Education and Culture (EAC) supported by the Education, Audiovisual and Culture Executive Agency (EACEA)

**Other involved services:** DG BUDG, DG COMM, DG DEVCO, EEAS, DG ESTAT, DG ELARG, DG EMPL, DG ENV, DG INFSO, DG RTD, DG SANCO, SJ and Secretariat General

**Agenda planning or WP reference:** 2011/EAC/001

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## **PART III: INTERNATIONAL COOPERATION IN HIGHER EDUCATION**

**Lead DG:** DG Education and Culture

**Other involved services:** DG DEVCO, DG BUDG, DG EMPL, DG ELARG, DG ENTR, DG INFSO, DG RTD, SG, SJ, EEAS, EACEA

**Agenda planning identification number:** CWP 2011/EAC/001

Final version: 9/11/2011

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## **PART IV: SPORT**

**Lead DG:** DG Education and Culture

**Other involved services:** SG, SJ, DG BUDG, DG COMM, DG COMP, DG DEVCO, DG ECFIN, DG ELARG, DG EMPL, DG ENTR, DG ENV, DG ESTAT, DG HOME, DG INFSO, DG JUST, DG MARKT, DG REGIO, DG RTD, DG SANCO, DG TAXUD, EEAS

**Agenda planning identification number:** 2011/EAC/001

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EUROPEAN COMMISSION

Brussels, 23.11.2011  
SEC(2011) 1402 final

Volume 2

**COMMISSION STAFF WORKING PAPER**

**IMPACT ASSESSMENT ON EDUCATION AND TRAINING ACTIONS**

*Accompanying the document*

**Proposal for a**

**REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**establishing a single Education, Training, Youth and Sport Programme for the period  
2014-2020**

{COM(2011) 788}  
{SEC(2011) 1403}

## **PART I: EDUCATION AND TRAINING**

**Lead DG:** DG Education and Culture supported by the Education, Audiovisual and Culture Executive Agency (EACEA)

**Other involved services:** DG BUDG, DG ELARG, DG EMPL, DG ENTR, DG REGIO, DG RTD, DG ECFIN, SJ and Secretariat General

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## **1. PROCEDURAL ISSUES AND CONSULTATION OF INTERESTED PARTIES**

### **1.1. Purpose of the impact assessment report**

This report is part of an overall analysis of the current EU programmes in the field of education and training and youth managed by DG EAC, with a view to establishing options for the future Multilateral Financial Framework 2014-2020. This report contributes to this overall exercise by presenting exclusively the impact assessment for the future actions of the current Lifelong Learning Programme (LLP).

A list of acronyms used in this document is to be found in Annex 11.

### **1.2. Organisation and timing**

This impact assessment has been prepared between mid-2010 and June 2011. A roadmap was approved in July 2010 and published together with the launch of public consultation in September 2010:

[http://ec.europa.eu/governance/impact/planned\\_ia/docs/423\\_eac\\_lifelong\\_learning\\_en.pdf](http://ec.europa.eu/governance/impact/planned_ia/docs/423_eac_lifelong_learning_en.pdf)).

The consultation was carried out through an inter-service steering group composed of DG Education and Culture, DG BUDG, DG ELARG, DG EMPL, DG ENTR, DG REGIO, DG RTD, SJ, Secretariat General and the Education, Audiovisual and Culture Executive Agency. Set up in May 2010, the group met six times in order to provide contributions during the impact assessment preparation. In addition, written contacts and consultations on ad hoc issues were held by DG EAC with steering group members.

### **1.3. Impact Assessment Board**

On 3 August 2011, DG EAC submitted to the Impact Assessment Board (IAB) four Impact Assessment (IA) reports relating to the single Education, Training, Youth and Sport Programme for the period 2014-2020. With regard to the Education and Training strand of the single programme, the IAB noted in its Opinion of 9 September 2011 the need to strengthen and focus the problem definition, building in particular on concrete evaluation results and statistics. The IAB also recommended having more specific objectives for the programme. As regards policy options, the board asked to consider alternative options in terms of policy content and priorities. Efficiency gains of presenting a Single programme should be better corroborated and finally the Board asked to clarify the rationale for the Student Loan Guarantee Facility.

As a consequence, building on the substantial amount of preparatory work already carried out as underlined by the IAB, this IA report has been modified as follows:

Section 2 on problem definition has been improved by adding a presentation of the structure, main actions and priorities of current LLP, complemented by a new annex on outcomes and results in the period 2007-2010. More evidence based elements from the results of the consultation and interim evaluation have been added, and the problem definition has been re-focused. In section 3, operational objectives have been put in closer relation with the

identified problems and a fourth specific objective dedicated to management issues has been inserted. The section on options (section 4) has been revised and complemented by the identification of alternatives regarding the content of the future programme. The main element will be to concentrate the EU support on fewer education sectors or to concentrate on a single type of actions, notably mobility. The criteria explaining the budget allocation foreseen have been introduced and show where the possible options would be. They are in all cases closely linked to the policy content of the programme detailed in the section. Finally, section 6 on preferred options has been strengthened by illustrating the types of actions that will be prioritised regarding the policy content and applied regarding management simplification. A further explanation of the efficiency gains has been introduced.

Regarding the European Student Loan Facility, the requested elements to clarify the rationale of this new instrument have been inserted both in Section 1 on consultations and expertise, section 2 on EU added value, section 5 on impacts of the new instruments as well as in Annex I (list of studies).

#### **1.4. Consultation and expertise, main sources of information**

For the establishment of this impact assessment, the Commission was assisted mainly by the report provided by the external consultant (GHK Consulting Ltd); the report on the interim evaluation of the Lifelong Learning Programme (the Public Policy and Management Institute<sup>1</sup>; the Commission's own findings; and by the results and feedback from the public consultation (the report on this public consultation can be found at [http://ec.europa.eu/education/more-information/moreinformation139\\_en.htm](http://ec.europa.eu/education/more-information/moreinformation139_en.htm)).

In the context of the public consultation, the Commission services consulted both the stakeholders of the current LLP as well as general public as follows:

- The consultation process was launched at the annual LLP conference in May 2010 in Barcelona/Spain. 4 working groups of the LLP Committee and National Agencies were created in order to advise the Commission in areas of policy cooperation, mobility, partnerships and management simplification. Recommendations of these working groups were delivered in December 2010 and their conclusions used in the analysis of the public consultation and for the Commission preparation of the future programme.
- More than 120 participants covering youth, international cooperation and education and training made recommendations on both policy objectives and management issues at the Stakeholders' Forum conference, which was organised by the Commission in October 2010 in Brussels.<sup>2</sup> Online public consultation open to stakeholders and public in general took place between 15 September - 30 November 2010 and a total of 1 390 responses were received in it.
- In addition, 110 position papers and other written contributions were also submitted to the Commission by various E&T associations, interest groups, NGOs, as well as from 13 National Authorities (AT, CZ, DE, EE, FI, FR, NL, CZ, NL, SE, SK, Serbia, Switzerland) and individuals.

**The main challenges** of the current LLP mentioned in the public consultation were:

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<sup>1</sup> [http://ec.europa.eu/dgs/education\\_culture/evalreports/index\\_en.htm#postsoc2](http://ec.europa.eu/dgs/education_culture/evalreports/index_en.htm#postsoc2)

<sup>2</sup> <http://www.eucis-lll.eu/pages/stakeholders-forum-info.html>.

- There are still too few learning opportunities in the workplace, mobility is not sufficient, and the participation of adults in formal education is still the exception. The quality of education is also not sufficient, which partly derives from structural problems in the academic profession (e.g. low attractiveness, lack of career opportunities).
- There are still obstacles in the validation of qualifications and competencies obtained through higher education and vocational training mobility, as the basis for admission to awarding of credit and to the future career in general.
- There are inequalities in education which need to be addressed so that individuals from all backgrounds can acquire the high levels of competence they need to contribute to and benefit from a knowledge society. Financial difficulties create inequalities in accessing higher levels of education.

An overwhelming majority of the consultation participants consider that the **objectives** of the future programme should focus on the priorities of the Europe 2020 strategy<sup>3</sup>. It should focus in particular on supporting Europeans to acquire the skills they need for their professional and personal development. Given the current high rate of unemployment of young people, the programme should provide additional support to prepare them for their professional career. In this respect the enhancement of skills of creativity and innovation, entrepreneurship, self-management and multilingualism were identified. The programme should further promote the equal opportunities in E&T and deal with early school leaving.

Several position papers expressed the view that the future LLP programme should have an integrated structure, and should cover the whole spectrum of lifelong learning. The learning mobility of individuals should remain the main priority for the future and more support should be given to the staff and teacher mobility. More than in the current LLP, the future programme should encourage partnerships between the education and the world of work, regional and local authorities and NGOs. It should also further enlarge the possibilities of cooperation with non-EU countries. Support in the area of policy developments activities should pay more attention to transversal actions. New impetus should contribute to solving the current information, financial and credit recognition problems.

Proposals also strongly emphasized the need for further simplification - both in the area of programme management and through further synergies, and for streamlining, development and testing of policy cooperation tools.

Finally, the Commission takes note that most answers and feedbacks received come from current beneficiaries of the Lifelong Learning Programme and reflect the quite usual tendency to ask for continuity and stability.

## **1.5. Consultation and research on a European Student Loan Guarantee Facility**

A possibility of introducing a European student loan guarantee facility (*as outlined under subsection 4.5*) has been explored and makes part of the preferred option as identified in this IA. As part of the preparations, the following research was carried out to identify the needs for, and define such an instrument.

### ***Consultation with experts and stakeholders***

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<sup>3</sup> Europe 2020. A strategy for smart, sustainable and inclusive growth. COM(2010) 2020.

- **Peer Learning Activity on funding models to expand learning mobility in higher education** (October 2008) within the Framework of the Education and Training 2010 Open Method of Co-ordination (cooperation group between Member States on good practices). Full report of the peer learning is available at: [http://www.kslll.net/Documents/PLA\\_Ways%20to%20increase%20mobility\\_final%20report\\_Oct.%2008.pdf](http://www.kslll.net/Documents/PLA_Ways%20to%20increase%20mobility_final%20report_Oct.%2008.pdf)
- **International Policy Conference on Student Lending** (January 2009) organised by the European Investment Bank and the European Commission DG EAC. This conference brought together key experts in the field of student lending, including governmental participants from across Europe and beyond and confirmed a need to facilitate access to loan facilities for students wishing undertake part of their studies in another country, and welcomed the proposals to explore the viability of a pan-European scheme to enhance mobility at EU-level.

The conference included a specific session *'Roundtable to brainstorm possibilities for collaboration at an EU level to facilitate access to loan facilities for students wishing undertake part of their studies in another country, inter alia, the viability of a pan-European scheme to enhance mobility at EU-level'*

All conference materials (programme, participants, presentations and conclusions) can be found on the EIB website at: <http://www.eib.org/about/events/international-policy-conference-on-student-loans.htm>

- A detailed feasibility study carried out by a Consortium led by the London School of Economics which analysed the demand for such an initiative and proposed possible ways of implementing it (NB the proposals on the implementation model have not been subsequently followed – see below).
- **Conference to test the need for EU intervention and examine options for the creation of a scheme.** Held (January 2011) with student loan experts, academics, governments and stakeholders, including students as part of the Feasibility Study. This revealed a strong agreement from all participants on the analysis of need and on the key features of a potential scheme, with the exception of the role of the Commission as a central body to run the scheme directly.

### *Development of technical aspects of the proposal*

Following the completion of the feasibility study, intense cooperation has taken place with the EIB Group and DG Economic and Financial Affairs also involving DG Employment and Social Affairs and the Legal Service. This resulted in an agreed product development fiche, setting out the main criteria and implementation mode.

### *Pre-Market testing with potential financial intermediaries* (August-October 2011)

These tests have explored possible technical parameters including key elements (eligibility criteria etc) management arrangements and level of risk sharing. This will allow the Commission to fine-tune the specific criteria and implementation mode before putting the

scheme into practice. A number of banks have already been interviewed<sup>4</sup> and have highlighted which aspects of the design are attractive or acceptable to administer (eg. positive on payment holidays and grace periods in the scheme) and which will need further discussion (e.g. risk sharing level).

## **1.6. Respect of the Commission's minimum standards on consultation**

The consultation on the future E&T programme was in line with the General principles and minimum standards for consultation of interested parties by the Commission<sup>5</sup>. The online questionnaire contained both closed as well as open questions. With almost 1 400 responses (874 from individuals and 516 from organisations and public authorities or bodies) this represented a good sample for the future analysis.

Adequate time was provided for preparation and planning of responses. The online consultation period was open for 75 days, stakeholders' consultations lasted almost 9 months. The volume of responses received and the wide range of stakeholders participating are proof of the success of this consultation and the effectiveness of the approach chosen. The proposals were thoroughly considered by the Commission and used for the preparation of both this impact assessment report and of the future programme design.

In addition, this report was inspired by the results and recommendations from various studies and reports prepared for the purposes of the E&T policy and of the Lifelong Learning Programme namely in the years 2008-2010 (for the list of studies see Annex 1).

## **2. CONTEXT SETTING AND PROBLEM DEFINITION**

### **2.1. General policy context and links to the Commission priorities**

Education and training are at the core of Europe 2020 Strategy for smart, sustainable and inclusive growth, and of the Integrated guidelines for the economic and employment policies of the Member States<sup>6</sup>. Arguably none of the Europe 2020 objectives and headline targets will be reached without a strong investment in human capital; five of the Europe 2020 flagships depend on the modernization of education and training: Youth on the Move, Agenda for New Skills and Jobs, as well as the Digital Agenda, Innovation Union and the Platform Against Poverty.

In its Communication "A budget for Europe 2020"<sup>7</sup>, relating to the next Multiannual Financial Framework 2014 – 2020, the Commission proposes to extend the EU education and training programmes in order to raise skills and help tackling the high levels of youth unemployment in many Member States. In this context, the Commission proposes to allocate 15.2 billion Euros over that 7 year period to a single, integrated programme on Education, Training, Youth and Sport.

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4 Banks participating in the market testing: KFW; Caixa Geral de Depositos; Société Générale; Oseo; la Caixa; Banca Intesa SanPaolo; DIAKHITEL; SPGM; AECM; UK Student Loan Company

<sup>5</sup> Towards a reinforced culture of consultation and dialogue - General principles and minimum standards for consultation of interested parties by the Commission. COM(2002) 704 final.

<sup>6</sup> Europe 2020 - Integrated guidelines for the economic and employment policies of the Member States. SEC(2010) 488 final.

<sup>7</sup> COM(2011) 500final

## 2.2. Specific policy context

### 2.2.1. *The Lifelong Learning Programme 2007 – 2013*

With an overall budget of EUR 6.9 billions, the current Lifelong Learning Programme (LLP) was established for the years 2007-2013 with the aim to ensure that the EU education and training policies would contribute to the objectives of the Lisbon strategy and of the Strategic Framework for European Cooperation in Education and Training (ET 2020)<sup>8</sup>, meaning more specifically, making lifelong learning and mobility for all a reality; improving the quality and efficiency of education and training; promoting equity, social cohesion and active citizenship, and enhancing creativity and innovation, including entrepreneurship.

Regarding its scope, the LLP supports all levels of formal education and training as well as informal and non-formal education and training activities. It is composed of 4 sectoral sub-programmes – Comenius for school education, Erasmus for higher education, Leonardo da Vinci for vocational training and Grundtvig for adult learning. Under a Transversal programme, the LLP further covers transversal activities supporting policy cooperation and innovation in lifelong learning, language learning, innovative use of ICT in education and training and activities promoting dissemination and exploitation of LLP results. Finally, within the LLP, the Jean Monnet Programme supports teaching, research and excellence in European integration.

The LLP supports eight different categories of action: mobility (during 2007-2010, almost 1,3 million students and teachers from all sectors have received a grant for mobility), bilateral and multilateral partnerships (almost 60.000 institutions involved since 2007), multilateral projects, multilateral networks, unilateral or national projects, observation and analysis of policies and systems in the field of lifelong learning and related activities, operating grants and various accompanying measures. All action categories are not applicable to each sub-programmes.

In terms of financing, Erasmus and Leonardo da Vinci are the largest sub-programmes (represent respectively 50% and 29% of budget), with the successful mobility of students, being for studies or developing a work experience. In 2009/2010 academic year, around 215.000 HE students went abroad, whereas 55.000 initial VET students undertook a placement abroad.

In terms of management, more than three quarters of the LLP budget (around 1 billion euro per year, representing nearly 45.000 contracts) is managed by a network of 40 National Agencies in 33 countries, which are in charge of the smaller scale mobility and partnerships "decentralised" actions at national level. Larger-scale international cooperation "centralised" projects and networks, and actions of the Jean Monnet Programme, are managed by the EACEA.

(For a detailed summary of main activities and main challenges observed for the LLP sub-programme and main outcomes of LLP, see Annexes 2 and 3.)

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<sup>8</sup> Council Conclusions of 12 of May 2009 on a Strategic Framework for European Cooperation in Education and Training ("ET 2020"). OJ C 119, 28.5.2009, p. 2.

### 2.2.2. Related current EU initiatives

The EU, and funding from EU education instruments in particular, cannot address alone all needs in the area of education and training. These broad challenges require the concerted effort of Member States, regional and local authorities as well as education and training organisations. Actions in favour of education require a broad policy mix including various policies and programmes.

Other EU programmes and initiatives also operate, although in different ways, with different objectives, identities and geographical scope, in the field of education and training. These are:

- *Youth in Action (YiA)* (managed by EAC): YiA supports non-formal learning focusing on young people. The objectives and targets of this programme are closely linked to those of the current LLP: YiA seeks to promote active citizenship, youth work development, European cooperation and mobility (**NOTE: for a discussion of Youth in Action, see separate Impact Assessment Report**).
- *International cooperation in education*. A number of EU programmes share the same broad objectives of the Erasmus programme while focussing on cooperation with non-EU countries and institutions:
  - **Erasmus Mundus (EM)** supports mobility in higher education to and from third countries and the development of joint degrees. It thus complements the current Erasmus/LLP by contributing to the accessibility and mobility, convergence of degree structures and attractiveness of European higher education world-wide;
  - **Bilateral programmes** for cooperation in higher education with third countries (Atlantis – with USA, EU-Canada Agreement, EU-ICI-ECP): focus on curriculum development and development of student exchanges outside the EU. Their results contribute to the achievement of a number of LLP objectives (e.g. in intra-EU Erasmus mobility), have similar objectives regarding the promotion of quality of higher education, recognition of qualifications and accreditation system etc.;
  - **Tempus** (funded by DGs ELARG / DEVCO): aims to modernise higher education institutions and systems in neighbouring countries, to enhance their quality and attractiveness. Although it is not focused primarily to the mobility actions (only some small-scale ones are funded as a part of joint projects), it complements the current Erasmus by e.g. helping pre-accession countries preparing for their future participation in the LLP.

**(NOTE: for a discussion of international cooperation actions, see separate Impact Assessment Report).**

- *Marie-Curie actions* (funded by DG RTD/FP7): focuses on the potential of mobility in a lifelong learning perspective for researchers. It has potential synergies with the current LLP, as the participation in Erasmus actions could motivate individuals to later take part in initiatives such as Marie Curie. (**NOTE: Marie Curie is discussed separately, as a part of the Common strategic Framework for Research and Innovation**).
- *The European Social Fund*: (managed by DG EMPL). The ESF supports EU MS and regions in the development of a range of actions including design, introduction and

implementation of reforms in E&T systems and the strengthening of innovation and research. **The LLP and the ESF have a different overall focus and priority target groups.** The ESF focuses on the labour market, and supports a Member State's own national employment and training programme(s), e.g. activities generally linked to the provision of individual assistance (through training, re-training, counselling, guidance etc.), for vulnerable groups (systematically not engaged in education), with a focus on a labour market integration of participants and on labour market requirements.

- *The European Regional Development Fund (ERDF - REGIO):* The ERDF can currently be mobilised to finance **infrastructures** for education or training, as well as training services related to business support or to foster cooperation between universities and enterprises.
- *The Erasmus for Young Entrepreneurs programme ("EYE" - DG ENTR)* offers a European exchange programme with a possibility for recently established and would-be entrepreneurs to learn by experience the necessary skills to run their enterprise/SME. EYE differs from the current LLP-Leonardo da Vinci actions in the field of VET in that the EYE work experience is strictly focused on acquiring the skills needed to successfully manage a SME and launch and grow an entrepreneurial venture, rather than build skills for future employees. Both programmes can be thus seen as complementary.

## 2.3. Problem definition

### 2.3.1. General problems in the policy area

1. The main challenge of the European education and training systems nowadays is **to equip citizens with the skills and competences** that will prepare them for a demanding and rapidly changing labour market, as well as for an increasingly diverse and knowledge-based society. Demand for highly qualified people in the EU is increasing, and will be particularly strong over the next decade: it is projected to rise by almost 16 million, whereas demand for people with medium level qualifications is projected to rise by 3.5 million up to 2020<sup>9</sup>. At the same time, only slightly over 30% of EU employers consider that the sector-specific skills of today's graduates are adapted to the actual needs of the economy<sup>10</sup>.

Within this global challenge, lack of **basic competences** (defined here as numeracy, literacy, science, ICT skills and competence in a foreign language) is a major problem in Europe. Nearly one third of the European population aged 25-64 - almost 80 million people - has no, or only low, formal qualifications. They face higher risks of unemployment and social exclusion. It is estimated that by 2020 demand for low skilled workers in Europe will decrease by 12 million compared to current levels<sup>11</sup>.

Even if "school-based learning" is no longer sufficient to last the whole life and needs to be completed by non formal, lifelong learning (see specific development in Youth in Action report), Education and training sector remains at the core of the challenges to be tackled.

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<sup>9</sup> Skills supply and demand in Europe. Medium terms forecast up to 2020. CEDEFOP 2009.

<sup>10</sup> Employers perceptions of graduate employability. Analytical report. Flash Eurobarometer Series 304, 2010.

<sup>11</sup> CEDEFOP (2009) *Skills supply and demand in Europe. Medium terms forecast up to 2020.* Luxembourg, Office for Official Publications of the European Union.

2. The persistently high levels of unemployment and underemployment in the EU, particularly amongst young people, and regular surveys<sup>12</sup> illustrate that **EU education and training systems still need to improve their quality and relevance.**

The quality of an education and training system cannot exceed the **quality of its staff.** Roughly between 10 % and 25 % of school principals report that instruction at age 15 is hindered by lack of qualified teachers depending on the subject<sup>13</sup>. Teachers have to have access themselves to the right kinds of support and training to build appropriate curricula and deliver these curricula in a way that is conducive to learning. Teacher education is a prerequisite for high-quality education and training<sup>14</sup>.

In higher education, high research quality also feeds into high quality teaching. Yet the number of European Universities in the Shanghai global ranking top 500 has declined from 210 universities in 2008 to 205 in 2010; whereas the Asian/Pacific region increased its number of universities in the top 500 from 100 to 106 in the same period<sup>15</sup>.

An excellent delivery in education and training requires specialisation. Specialisation, in turn, increases the requirement for **collaboration.** While international research collaboration is better established, European **education and training institutions** are not always able to support collaborative projects for curriculum development, teaching and learning, in particular at the international level.<sup>16</sup> This is often because of insufficient funding and institutional capacity, in particular in the case of smaller institutions<sup>17</sup>.

Moreover, collaboration **with industry** is still limited, which hampers the potential of European systems to provide relevant professional skills. Cooperation levels are very unequal across countries, levels of education and academic disciplines. A culture of collaboration has not been developed across lifelong learning sectors. For instance, few universities have an institution-wide strategy for cooperation with enterprise<sup>18</sup>.

## 2.2.1 Specific problems to be addressed by EU support

### *Lessons learnt from current implementation*

During its first three years, the Programme has financed, with almost EUR 3 billion, trans-national education and training activities promoting the modernisation of education systems in 31 European countries. It has catered for 900 000 learning mobility periods of European

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<sup>12</sup> Less than 1/3 of employers satisfied with graduates' soft skills  
More than 50 % of Europeans believe that their school education does not prepare them to run a business

<sup>13</sup> European Commission (2011) Progress towards the common European objectives in education and training 2010/2011. Indicators and benchmarks. European Commission, Brussels.

<sup>14</sup> Council Conclusions (2007), Improving the quality of teacher education, Council of the 15th November 2007; European Commission (2008) Communication *New skills for new jobs* 16 December 2008.

<sup>15</sup> <http://www.arwu.org/>

<sup>16</sup> Vossenstein, H., Lazendorf, U. and Souto-Otero, M. (eds.) (2008) *The impact of ERASMUS on European Higher Education: Quality, openness and Internationalisation*, Final report to the European Commission.

<sup>17</sup> Ibid.

<sup>18</sup> European Commission (2009) A new partnership for the modernization of universities: the EU forum for University Business Dialogue. COM(2009), 158 Final.

citizens, of which more than 720 000 by students, trainees and pupils and almost 180 000 by teachers/trainers/staff. More than 50 000 European organisations have taken part in various forms of co-operation activities.

In 2010 in terms of budget allocation, around 78% of the total LLP budget supported transnational mobility experiences for education and training. Universities through Erasmus absorb about 50% of the funds, followed by vocational training in Leonardo da Vinci with 29% of the funds, schools in Comenius with 17% whereas adult learning in Grundtvig receives 4% of the funds. Transversal activities and Jean Monnet programmes get a stable percentage of the funds, representing around 5% and 2% respectively. It should be noted that around 80% of the budget is allocated by Member States on an annual basis, corresponding to the actions managed at national level (mainly mobility and small partnerships between schools. The remaining budget is managed at EU level.

Findings from the evaluation and the on line consultation show that LLP is highly popular (in particular the Erasmus brand), considered as user friendly and addresses the needs of its various target communities. With a relative small budget (representing **around 1% of the public money spent in education in Europe**), LLP acts as a catalyst for structural change through support to policy development, cooperation and mobility.

- LLP supported mobility can be considered as a real success story. A study on a value of Erasmus Mobility of students and teachers indicated that a period of study in another European country helped to enhance international competences, facilitated access to the labour market and contributed to placing former Erasmus students in international professional positions. Mobility within the LLP also contributed to the development of European identity and such values as combating racism, prejudice, xenophobia and discrimination.
- In the absence of the LLP, developments in education would be highly fragmented in the Member States, activities would be carried out on a smaller scale and less extensively, and a number of important results would not have been achieved at all.
- It improves policy-making by providing quality tools, analysis and research as well as fora for exchanging information on best practices through the Open Method of Coordination (OMC).

Furthermore, the management system organised through a triangle between the member states, the European Commission and the National Agencies is considered as efficient:

- The National Agencies effectively used the earmarked funds in the first 3 years of implementation.
- Extensive use of lump sum grants and of electronic forms was instrumental both for achieving a high level of satisfaction among beneficiaries and cost efficiency.
- Financial audits of National Agencies also show sound management practice with very low error rates (<2%).

However, not all the potential of the Programme has been realised. The remaining key problems pointed out in particular in the evaluation and various consultations and studies are the following:

⇒ **A very significant demand for more available finance to support mobility:**

In a recent European Parliament study<sup>19</sup>, financial constraints were identified as the most important factor that restricts Erasmus participation. 57% of non-mobile students say that studying abroad is too expensive to consider and 29% of students reject Erasmus after consideration because the grant provided is insufficient to cover their costs. The study concludes that *"although it is difficult to offer a reliable estimate on the number of potential mobile students who do not study abroad because of financial constraints, we estimate this number between 980,000 and 1.5 million students"* [NB this figure includes students at Bachelor and Masters levels].

A **Eurobarometer study**<sup>20</sup> asked 15,000 higher education students about their desires to study abroad. The most frequently mentioned obstacle was a lack of funds: 61% said lack of funds had been a very big or big obstacle to their ambition to pursue part of their higher education in another country.

A second **Eurobarometer Study**<sup>21</sup> interviewed 30,000 young people (not restricted to higher education), 4,200 of whom had stayed abroad (almost half as part of part of their higher education studies). Roughly two-thirds of these needed to use private funds or savings to finance their stay (and only 23% had received financial support from national or European sources). Of the remainder, 8,500 said that said lack of funding had prevented them from pursuing their desire to study abroad. On this basis, **potential demand appears to be three times the current level of mobility.**

⇒ **Prevailing obstacles to learning mobility**

**Restrictions on the portability of loans:** Students are often faced with difficulties when moving between countries to benefit from loans, especially as concerns support for living costs, with accessibility a particular issue and substantial differences in residency requirements between Member States.

**Linguistic preparation** remains an important factor for mobility. In the current LLP there is a transversal action dedicated to languages that combines with the possibility within the mobility actions to include a linguistic dimension for some sectors like Higher Education. This complexity should be removed while the languages action should be more focused and more directly linked to the need of the mobile students/teachers;

**Recognition and transparency of skills and qualifications:** Recognition is one of the most frequently cited difficulties by young people engaging in mobility; and is especially problematic as concerns non formal and informal learning. The existence of European-level tools and frameworks to facilitate the recognition of formal academic study, in particular the ECTS (European Credit Transfer and Accumulation System), and the 'Diploma Supplement' in higher education, which makes the content of individual

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<sup>19</sup> European parliament: Improving the participation in the Erasmus programme (July 2010)

<sup>20</sup> Eurobarometer special target survey 260 (2009)

<sup>21</sup> Eurobarometer 319b (2011) for the Youth on the Move flagship initiative

qualifications more transparent, has done much to stimulate progress. However, there is still a great potential for improvement in all phases of lifelong learning, particularly on recognition and validation of informal and non-formal learning.

⇒ **The direct influence of LLP actions on the modernization of education and training systems is still hard to observe and estimate**

If benefits on individuals regarding both personal and professional competences and skills are highly visible and underlined in the results of the evaluation, more systemic impact is less obvious. Indeed mobility actions need a critical mass to have an impact. The demand-driven effect of mobility on the education systems can be observed in particular in the higher education area, where moderate levels of mobility have already contributed to support several systemic reforms and policy developments: the Bologna process towards a generalised 3+2 curricula, the adoption of transparency and recognition of European tools, the emergence of copycat support schemes at national/multinational level.

- The LLP implementation shows that this minimum level of people concerned has not always been reached. This is in particular the case in adult education due to the segmentation of the sector. In the case of people on the labour market, critical mass has not been reached because other EU instrument better answered to the concern (In that case, ESF where training within Member States remain more strategic and necessary than a transnational training period).
- A stronger involvement of teachers and trainers would ensure a multiplier effect, benefitting to more learners and ensuring more systemic impacts. Currently, only 2.1 % of teachers are mobile in the EU. There is scope for improvements for staff from all sectors, being for teaching or to be trained abroad. Current implementation as well as national reports shows that the longer the mobility is, the more impact it has. Therefore, long term staff mobility actions, as they already exist for adult and school education should be further supported and extended. On the contrary, Comenius/schools assistantships action should be discontinued given its high rate of cancellation and its overlap with Erasmus
- The collection of data, their analysis and their use – including within the Open Method of Coordination and the governance of Europe 2020 – for evidence-based policy making and reform are insufficient at European level and vary between Member States. This is one of the elements to be included in the Early School Leaving strategy but it can be extended to other topics as well. For instance, the provision of policy tools and peer comparison/pressure could contribute to smarter investments in the area of education and training.

⇒ **Variations in performance and the quality of education and training as well as its relevance for the labour market are pronounced in Europe**

As stressed in the interim evaluation, the European added value of the programme is derived from its transnationality, the innovative character of the activities undertaken and of the products and partnerships it helps to develop. Encouraging successful cooperation between Member States' education and training systems would help to identify and implement policies and practices that work and encourage learning from each other.

- Stakeholders stressed that quality of the projects linked to more specific European priorities should be given a greater emphasis in the future. Any cooperation projects between E&T should be able to illustrate, on top of its transnational character, that it will bring an added value, being at individual levels when class exchanges are foreseen, or at institutions level when exchanging pedagogical material, or even more strategically when involving enterprises to define core requirements for training courses.
- Linked of course to the objective of reducing unemployment but also to provide all citizen with the skills required for its personal and professional developments, the online consultation as well as evaluation recommend to open up the partnership actions to "external actors", i.e. the world of work and regional and local authorities.

Actions like the Comenius Regio Partnerships received a positive feedback and would benefit to be extended to all sectors, in particular to adult education and VET. Stronger and more strategic links with enterprises would be of particular relevance in HE and VET for curriculum development, but also for providing more placement opportunities.

- All these elements give support for discontinuing actions that are too vague and not focused enough, like multilateral projects and multilateral networks- as they currently exist. Of course, there is an obvious need to support networks and large cooperation projects (with several partners) but within a clear perspective and with closer links to political agendas.
- Given the marked differences in country performance, there are also substantial benefits to be derived from transnational initiatives supporting policy developments. For instance in 2009, rates of early school leaving varied between less than 5 % and more than 30 % in Member States . However, there is currently little transnational collaboration, in particular at the institutional level, in relation to the identified problem areas due to financial barriers and lack of institutional capacity

#### ⇒ **Fragmentation and complexity of the current programme architecture**

While the current management system organised around the National Agencies, the Commission and the Executive Agency is considered as highly relevant by the evaluators, and well perceived in general by the beneficiaries of the programme, the main weaknesses to be addressed by the future programme relates mostly to the design of the programme.

- An excessive number of objectives set for the Programme have translated into a large number of specific actions by sector resulting in limited progress towards a lifelong learning approach as opposed to one based on educational sectors.
- The evaluation suggests that "the large number and the wide variety of the Programme actions complicated its administration processes. They should be further simplified by unifying the requirements for similar types of actions (mobility or different types of partnerships) across the different sectors. IT systems, management rules, reporting principles and requirements could be harmonised. This would decrease the overall number of Programme actions and administrative burden both at the project applicant/beneficiary and national Agency level and would increase the clarity and consistency of the administrative arrangements". (For detailed description of current and potential future actions – see Annex 5)

- It also stressed that the administrative arrangements of the Programme "highly benefited from a wide use of grants based on fixed costs (lump sums and flat rate grants) resulted in a decreased administrative workload both to the Programme managers and grant beneficiaries and contributed to the regularity of expenditure". It recommends therefore extending it to all possible actions.
- The evaluators, supported by many member States' positions asked for a further simplification to the system of secondary controls and declaration of assurance.

### 2.2.2 Who is affected?

Actors at all levels of education and training in the EU will be affected by the activities of the future E&T programme. **Young people** are a highly vulnerable population confronted with high levels of unemployment. They are the most affected by the quality content and methods of teaching, as well as by mobility experience, which equip them with the necessary basic and soft skills and competences needed for their future life. Adult learners are dependent on the availability of the retraining and on the quality trainers in order to be able to cope with the challenges of changing their professional career and labour markets' changes. However, although adults are a crucial resource for Europe, they are given different degrees of access to learning over the courses of their lives. For example, participation rates amongst those aged 45 and above represent only half of rates for those aged 25-34.<sup>22</sup>

Finally, **knowledge management and teacher education** are prerequisites for high-quality and efficient education and training systems. Education staff therefore needs to have possibility to participate in the regular updates of their professional competences in order to be able to provide quality teaching content and methods.

**E&T providers and related services** need regular exchange of experience in order to develop and introduce innovative teaching methods and content and make themselves attractive and competitive in the E&T systems. However, namely those working in deprived areas are more likely to be affected by the problems outlined – such as early school leaving or lack of exchanges of experience. Also, for educational institutions with large numbers of disadvantaged students it is difficult to retain the best quality teachers and thus to keep their own competitiveness.

**Enterprises** and social partners in many sectors are suffering from difficulties to find workers with the skills they need and are affected by the price of them, since the low level of supply of human capital increases its price.

**Third sector organisations** are key for the development of the skills and competences of Europeans. They have an important role to play namely in the development of “soft skills” that are crucial for active citizenship and for employability. The public consultation highlighted their particular role in the development of multicultural awareness, leadership and entrepreneurship.

**At national/policy level**, countries are affected differently by the problems outlined. Furthermore, each of these problems has different causes in each country. There are two aspects which the problem areas have in common: the strong variation in individual country

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<sup>22</sup> European Labour Force Survey.

performances and the high potential for institutional cooperation. There is thus great potential for mutual learning at both institutional and policy level. Yet, currently there is insufficient knowledge about effective practices to support the OMC process and there are insufficient structures in place for the transnational development of innovation and sharing of know-how amongst practitioners.

**Candidate and non-EU countries** are important potential partners for closer cooperation, in particular in relation to mobility activities. Potential EU candidate countries should be allowed to participate in the programme and thereby to develop closer ties with participating countries. This would help them in preparing for EU membership.

## 2.4. Baseline trends

International data needed for trends analysis are difficult to quantify in exact terms. However, assuming that the present situation of the baseline would continue, the future trends reviewed for selected targets of the Europe 2020, ET 2020 and other EU strategies can be estimated as follows:

- *Student mobility*: Available data show that the proportion of students in higher education studying in another EU-27, EEA or candidate country, as a proportion of all students, increased from 2.1 % in 2000 to 2.8 % in 2007<sup>23</sup>. The continuation of a similar trend would imply that by 2020 the equivalent proportion would be just over 4 %. Although a direct link with the benchmark indicator is not possible, this would suggest that the target that at least 20 % of EU graduates from higher education should have had a study or a training period abroad by 2020 would not be met.
- *Early school leaving*: The rate of early school leaving was 17.6 % in 2000 and 14.9 % in 2008 (2.7 points lower). An equivalent rate of progress would not deliver the European target of less than 10 % in this area by 2020.
- *Basic skills*: From 2000 to 2006 the share of pupils who are low achievers in literacy increased from 21 % to 24 %. Trends in mathematic literacy are also negative for the 2000-2006 period<sup>24</sup>. The development in science and technology skills is somewhat more positive, although there is still a high proportion (20.6 %) of low achievers. Although the situation has improved slightly in the 2009 PISA wave, progress is clearly insufficient in order to achieve a target of less than 15 % low achievers in basic skills by 2020.
- *Lifelong learning participation*: the rate of participation in lifelong learning for the population 25-64 was 10.0 % in 2004 and 9.1 % in 2009. The rate of progress is negative and would not deliver the target of at least 15 % adults participating in lifelong learning by 2020.
- *International teacher mobility*: While general data on international teaching mobility could not be found, Eurostat data on outgoing Erasmus staff in the EU-27 show its low levels of 2.1 % in 2000 and 2.8 % in 2008.

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<sup>23</sup> Eurostat indicator educ\_thmob (available at: [http://appsso.eurostat.ec.europa.eu/nui/show.do?wai=true&dataset=educ\\_thmob](http://appsso.eurostat.ec.europa.eu/nui/show.do?wai=true&dataset=educ_thmob)).

<sup>24</sup> Eurobarometer survey num. 73.

It is reasonable to assume that the current economic crisis and low growth prospects will make it even more difficult to maintain the current level of progress without the EU intervention. In particular, it is expected that student mobility, participation in lifelong learning, as well as private investment in education, would decline although demand for post-compulsory education is increasing<sup>25</sup>.

Based on the above, it can be concluded that progress in education and training would be slow and that, at the current pace of development, it would not be possible to achieve the EU 2020 strategic targets. The programme would not reach the critical mass of beneficiaries within all its actions, and its value for money would thus be limited.

## 2.5. Justification for EU intervention

EU action in education and training has its legal base in Articles 165 and 166 of the Treaty on the Functioning of the European Union<sup>26</sup> which refer to the contribution of the EU to the development of quality education and implementation of vocational training through encouragement of cooperation and by supplementing the actions of Member States.

While Member States are fully responsible for the content of teaching and for the organisation of their national and sub-national education systems, the EU instrument will focus on the transnational mobility of students, teachers and staff; the development of exchanges of information and best practices among the Member States through the cooperation between their education and training institutions; and the support to the political agenda. EU will also propose a new financial instrument – loan guarantee- dedicated specifically to Higher Education master students. The European added value of the future programme, as stated in the LLP evaluation is to act in areas where it can complement the initiatives of Member States.

The European added value of the new EU instrument supporting education and training rests on different aspects:

- **The transnational and innovative character of its activities and outputs** it helps to develop. The existing actions of Member States remain at national level. The EU added value lies in the way the LLP promotes and supports individual mobility, cooperation, collaboration and partnerships across participating countries, to enable learning and transfer of knowledge and innovation between education and training stakeholders, institutions and systems.
- **The way it supports the Open Method of Coordination.** EU supports the priorities outlined in EU strategies in order to help create a consensus among the various stakeholders on the role of education and training for economic and social development and to contribute to improvements in the knowledge of policy makers and education and training specialists regarding international good practices. With the aim to influence systemic changes in the field of education and training, the programme acts as a driving

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<sup>25</sup> For a review of the effects of the crisis in education systems see Van Damme, D. and Karkkainen, K.: The impact of the economic recession and fiscal crisis on education in OECD countries. OECD Education today crisis survey 2010, Paris 2011.

<sup>26</sup> OJ C 83, 30.03.2010, p. 47.

force for the implementation of general European tools for mobility and recognition of qualifications<sup>27</sup>.

- **The way it complements the similar national, international and EU programmes.** The specific added value of the current LLP, compared with other (national and international) programmes, lies also in the broader geographical coverage of its activities and in the fact that it promotes consistent cooperation, mobility and internationalisation of education and training at all levels. The initiatives of other EU programmes, mainly the structural funds in the area of education and training, are different. Activities of the European Social Fund are generally linked to the provision of assistance with a focus on jobs and the labour market integration of participants, whereas the LLP provides opportunities for mobility and for the development of new projects, ideas and techniques - which can subsequently be supported and mainstreamed by the ESF. The European Regional Development Fund can invest in educational infrastructure – which helps to strengthen communities and improve access. The Socio-economic science and humanities research programme (DG RTD – FP7) play an important role in supporting educational research, by funding research projects on lifelong learning, skills needs, education and social inclusion, involving the whole research community in Europe and beyond. At the same time there is thus a clear-cut distinction and scope for synergies and cooperation amongst these programmes.
- There is also **ample evidence of the added value of the current LLP at the level of individual education sectors.** Language learning is a crucial element and outcome of mobility in all LLP sub-programmes. The Comenius sub-programme for the school sector plays an important role in improving the quality of education and innovation. Vocational education and training (VET) under the Leonardo da Vinci sub-programme supports the development of the Copenhagen process and the implementation of quality systems for VET, and provides unique opportunities for internationalisation, mobility and innovation in VET. One of the main successes of the current LLP is the growth of transnational learning mobility. As outlined in the interim evaluation of the LLP, bi-lateral or multilateral agreements would be administratively more costly than EU action, which, in addition, can act as a catalyst to encourage and support Member States' activities. The LLP's transversal policy support engages all Member States in similar activities, steering the policy processes. The Grundtvig programme has significantly stimulated cooperation in adult learning. The Jean Monnet sub-programme has substantially developed research, teaching and learning about European integration.
- **The way it can create possibilities for portable student loans.** Regarding more specifically the European Student loan guarantee (*as outlined under sub-section 4.5*), the proposed facility would respond to a clearly identified market failure: on the one hand, encouraging learning mobility as a key priority of the EU, as reflected in the Bologna process agreement that 20% of HE students should be mobile by 2020. On the other hand, whilst Bologna reforms (introducing the BA/MA/PhD structure) create more opportunities for degree mobility, there is still very little degree mobility taking place. This can be explained by the fact that national loan schemes, where they exist, tend to be limited in scope, number and size and most importantly are in many instances not portable. Moreover, loans from private banks are difficult to obtain because students usually do not

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<sup>27</sup> For example the Europass, European Qualifications Framework (EQF) or European Credit System for vocational education and training (ECVET).

have collateral against which to secure a loan, making the risk premium prohibitive – particularly when the borrower proposes to study abroad because of the complication of securing repayment. The problem is particularly acute for Masters level students wishing to complete a full degree programme in another Member State (full programme, high tuition fees). This is why an EU wide scheme for cross-border learning mobility would have clear EU added value to address an identified market failure, as well as being a highly visible EU commitment to Europe’s students. Given the cross-border nature of the problem of portability of student loans, the issue can be more effectively addressed by the EU than by Member States acting independently. The objective of the Commission's proposal will be to provide a Europe-wide instrument, which conforms to the principle of proportionality established by the Treaty as it will not go beyond what is necessary to achieve the objectives pursued.

### 3. OBJECTIVES OF THE FUTURE PROGRAMME

Based on the above considerations and analysis, as well as on the results of the LLP interim evaluation, objectives have been defined with a view to concentrating future support on the actions offering maximum EU added value, while aiming at contributing the Europe 2020 strategy in the field of education and training. Against the current fragmentation of existing instruments serving similar purposes, the proposed objectives also aim at ensuring a more streamlined and simplified approach in future EU interventions and reinforcing the Lifelong Learning perspective.

The specific objectives are therefore reduced in number compared to current programme and related to indicators (detailed in Annex 10). They intend mainly to focus the programme on the key education challenges, i.e. increasing the competences and skills of the citizens and modernising the education and training systems.

The operational objectives are focussed on education and training issues (LLP related) while objectives focused on youth, international cooperation and sport are developed in their respective Impact Assessment reports. They are mainly the means by which EU will act to reach its specific objectives. Same operational objectives will answer different gaps. A table summarising the correspondence between performance gaps and operational objectives is attached in Annex 4.

Based on the above, the objectives (presented in the table below) will focus on a combination of:

- direct support to **individuals**, being students or staff (including teachers, trainers, school leaders, non educational staff) taking into account the need to ensure an even offer of transnational learning opportunities in all countries, in order to study or have a work experience regarding students, or to teach or be trained regarding staff.
- support to **education and training institutions and organisations**, taking into account their role in the quality of the systems and their impact as multiplier. Exchange of good practices and development of innovative and joint initiatives, extended involvement of the world of work and regional authorities should allow institutions to be more open and more attractive.

- support to **policy processes**, which contribute to achieving the common objectives of education and training policy through a systemic approach and which require concrete support to be more effective.

While setting specific objectives for the programme it is important to recognise how the EU mandate in the education and training area sets the scope for the intervention logic. According to the Treaty, EU intervention aims at supplementing Member States' actions and thus contributing to common overall objectives. This involves a challenge in terms of **attributing and quantifying** the specific effects of the EU intervention (considering the overwhelming dominance of the "external factor" of MS spending in the E&T area), a phenomenon that was recognised by a Commission study<sup>28</sup> in 2006 on cost-effectiveness analysis in the European Commission's evaluations, and that also limits the possibilities of setting measurable objectives. The study recommended the development of a *good professional practice* on how to deal with *multiple and complex interventions* in this context. As a follow-up to this, DG EAC is now launching a new study specifically aiming at developing a suitable model for tackling the challenge of quantifying and attributing effects of EAC's education and training actions, which is expected to provide important inputs for setting specific objectives in future as well as assessing cost-effectiveness.

Specific Objective 4 and its related operational objectives refer to the fragmentation problem referred to above, and express as well guiding principles for the design of the preferred option.

General objective, Education, Training, Youth and Sport	The objective of the Programme is to contribute to the objectives of the EU 2020 strategy and of the Education and Training strategic framework 2020 (ET2020), including the corresponding targets, to the renewed framework for European Cooperation in Youth field (2010-2018), to the sustainable development of third countries in the field of higher education and to develop the European dimension in sport.			
General objective, Education & Training	To empower individuals of all ages and social backgrounds by contributing to the development of quality education and training systems, as part of the EU 2020 strategy of smart, inclusive and sustainable growth and of the ET 2020 strategic framework.			
Specific objectives	1. To improve the level of key competences and skills, including linguistic dimension through increased transnational learning mobility opportunities for learners and staff	2. To foster quality improvement, innovation and internationalisation in education and training institutions, through enhanced transnational cooperation and good practices;	3. To support the framework of European cooperation in the field of education and training	4. To simplify the administrative architecture of the programme

<sup>28</sup> Eureval-C3E [http://ec.europa.eu/dgs/secretariat\\_general/evaluation/docs/cea\\_finalreport\\_en.pdf](http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/cea_finalreport_en.pdf)

Operational objectives	<ol style="list-style-type: none"> <li>1. To support staff mobility, in particular for teachers, trainers, school leaders</li> <li>2. To increase HE and VET students learning mobility opportunities in order to study or have a work experience</li> <li>3. To develop Erasmus Masters for higher education students, through new loan guarantee mechanism</li> </ol>	<ol style="list-style-type: none"> <li>1. To support strategic partnerships between education and training organizations and with other relevant actors</li> <li>2. To support partnerships between education institutions and businesses</li> <li>3. To support IT support platforms, including e-Twinning</li> </ol>	<ol style="list-style-type: none"> <li>1. To promote teaching and research on European integration.</li> <li>2. To support introduction and use of tools for the recognition and transparency of skills and qualifications obtained through mobility;</li> <li>3. To strengthen the international exchange of good practices and the evidence base for effective and efficient policies, systems and practices in the field of education and training;</li> </ol>	<ol style="list-style-type: none"> <li>1. To reduce from 60 to 11 the number of activities supported</li> <li>2. To extend the use of lump sum</li> <li>3. To introduce a single audit principle</li> </ol>
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#### 4. POLICY OPTIONS

##### 4.1. Guiding principles for the identification of options

Although the current Lifelong Learning Programme is already contributing to the overarching Europe 2020 and ET 2020 goals, there is scope for improving its content and architecture, to increase the EU added value and to trigger broader systemic impacts in complementarity with other EU initiatives and MS efforts. In order to achieve the above specific and operational objectives, EU support can be improved mainly by:

- Concentrating on activities with the highest added value, where a critical mass can be mobilized, and on strong incentives to achieve the Union's policy objectives targeting systemic change. The research carried out in support of this impact assessment has enabled identifying "what works and what doesn't work" at the baseline. The results have been applied while defining the preferred option for the future, and thus guided the distribution of funding between the different actions covered on the basis of the Commission's proposal for a Multiannual Financial Framework 2014 – 2020.
- Reducing radically the complexity of the architecture of the current LLP programme, in order to diminish the administrative costs at EU, National Agencies and beneficiary level, and to increase programme user friendliness.
- Identifying those areas of activity where the programme has a competitive advantage as compared to other EU instruments or initiatives, and identifying and exploiting, already in the design phase, the opportunities for synergy and complementarity with them.

To this end, four options have been considered as described in the following. In line with the above listed guiding principles, there is a focus on identifying the option that in the best way builds on the strengths and eliminates the weaknesses at the baseline. Policy choices on content were explored (as described under sub-sections 4.4 and 4.5 below), but were rejected as they contradicted research findings and/or would not be in line with Member States and EU priorities. Then, options based on other policy instruments, and that could have had a certain impact on the general and specific objectives, could be theoretically envisaged - for instance, through EU regulation. However, such options would fall outside the mandate for EU action in the field of education, training and youth, and were thus discarded at an early stage. Similarly, given the target groups (mainly individuals and educational institutions) and the geographical scope of the programme, other forms of support such as cooperation through the OMC cannot be effectively applied without an EU funding allocation.

Regarding the scope of action, the objectives for the programme presented in this impact assessment refer to aspects that Member States would be unable to achieve on their own.

Lastly, it should be noted that, while the budget allocation for EU support should be commensurate with the objectives to be achieved, the experience of the LLP indicates that the current allocation is insufficient to achieve the objectives set out for the Programme.

#### **4.2. Policy option 1: Status quo – continuation of the LLP (baseline option)**

Under this option, EU support would continue to be implemented with the same instrument, same architecture and management system as the current Lifelong Learning Programme 2007-2013.

The future programme would be elaborated along the lines of the current LLP. It would again focus on the entire scope of lifelong learning. Under this option, the programme would keep objectives, structure and management system, as well as the approximate budget allocations and their principles, at the level of the current LLP. It would be composed of the four sectoral programmes focusing on school education (Comenius), higher education (Erasmus), vocational education and training (Leonardo da Vinci) and adult learning (Grundtvig).

The programme would again have also key activities for policy cooperation, languages, ICT and dissemination and exploitation of results under the Transversal Programme and would continue supporting studies and research on European integration under the Jean Monnet Programme.

Geographically, the programme would continue to be open to EU, EFTA and candidate countries and also to third countries for participation in cooperation activities with funds earmarked for this cooperation being kept at the current level (up to 1 % of the allocations of the programme).

The programme would thus continue to be very broad, with a large number of objectives and activities. This would be at the expense of a greater focus on key priorities highlighted by the EU 2020 and ET 2020 strategies.

There would be no attempt to seek synergies, complementarities or economies of scale between the current LLP and other programmes, in particular the current Youth in Action and Erasmus Mundus Programmes.

#### **4.3. Policy option 2: ‘No action’**

*Under this option, the LLP instrument would no longer exist. Policy coordination and mutual learning processes (Open Method of Coordination) would continue. The mobility of learners, volunteers and teachers would either disappear or would take place within the framework of bilateral or multilateral agreements and funding arrangements to be concluded between Member States or institutions.*

The EU would continue its obligations under Article 165 and Article 166, which would necessitate some expenditure on the provision of information and analysis, and human resources would be required to fulfil the mandate.

Otherwise, spending on education and training mobility and transnational cooperation activities would be entirely reliant on resources outside the EU budget (in particular from Member States).

#### **4.4. Policy option 3: Strengthening the objectives of the current programme**

*This option would consist of refocusing the objectives of the Lifelong Learning Programme to better support Europe 2020 and ET 2020 strategic framework. The administrative structures and architecture of the different (sub) programme would not be altered.*

The stronger focus of the programme would be ensured in two main ways:

##### *(1) Focusing on activities with European added value and impact*

As a first step for improvements, the activities supported by the current LLP would be screened to eliminate those:

- Not sufficiently linked to Europe 2020 and ET 2020 policy priorities;
- For which EAC programmes are not best placed to support them and for which other EU instruments would be more effective.
- Having too high management costs relative to their systemic impact;
- Presenting insufficient EU value added;
- Liable to be mainstreamed into more significant activities

The potential result of this approach would be that the budgetary equivalent of at least 15 % of current activities could be discontinued, for example,

- Leonardo actions addressing people already on the labour market have the potential to overlap with European Social Fund activities;
- Grundtvig volunteering could be covered by a Citizenship programme;
- Study visits of the Key activity 1 of the LLP Transversal Programme, which are rather expensive in comparison to their limited impact;

- Accompanying measures, currently activities per se, can be mainstreamed in the main actions i.e. strategic partnerships.

However on the simplification side this approach would lead to a much more significant gain with the number of actions reduced from 60 to 11, a reduction of 85% in the number of actions that reducing by a factor of 6 the inherent complexity of the programme.

As a second step, support for actions with a clear, demonstrable policy impact and EU added value would be strengthened.

- Mobility would place a particular emphasis on **mobility of multipliers** (staff, teachers, trainers through teaching and training periods and on Higher education and VET students, in particular through work experience opportunities in order to support the transition between education and work.
- **Transnational cooperation** within the participating countries, involving education and training institutions would be supported in so far that it would aim at developing, transferring and implementing innovative and effective education and training practices. Involvement of the world of work, regional and local authorities as well as any other relevant actors would be encouraged. To ensure EU added value, cooperation would focus on specific priority needs (e.g. curricula development in the field of entrepreneurship or creativity, financing resources or innovative methodologies). Practices and programmes which have demonstrated their impact would be expanded into all education sectors – for example, the eTwinning platform would be extended and the Joint Master and Doctoral courses could become a stronger vehicles to boost excellence and attractiveness of European higher education.
- **Support for policy reform** action would be based on excellence, including peer learning, analysis and expert meetings directly linked to the EU 2020, ET 2020 and Annual Growth Survey (AGS) priorities, as well as to the Bologna and Copenhagen processes. It should further focus on policy exchange between Education and Training authorities and other stakeholders on key issues of the political agenda, such as the Higher education modernisation agenda, literacy, ICT in schools, language learning. Incentives to reward excellence in innovation and entrepreneurship in education would be reinforced. In the area of programme support to OMC the focus would be on policy networks within Member States promoting a fact-based evidence approach for good investments.
- **Jean Monnet activities** on excellence in European research and integration will be maintained.

(2) Simplifying and rationalising the actions, while respecting different categories of beneficiaries

Based on Erasmus charter and Leonardo certificate, individual mobility should not be allowed anymore if not part of an institution's strategy. Learning agreement could be of course of different nature, depending on the education sector concerned. However, mobility opportunities should ensure quality of the learning, minimum recognition in order not to remain only an individual experience. And this can only be really ensured if an institution has to take responsibility for a certain mass of actions/people.

On a more economic point of view, as stressed by National Agencies directors in the consultation, management of individual applications is far from being cost effective.

The effect of mobility could also be leveraged through its stronger link with EU tools for transparency and recognition of qualifications. In Higher education and Vocational Education and Training sectors, increased use of tools like ECTS, ECVET should be targeted.

Rationalising the actions would mean mainstream all language preparatory activities within mobility activities themselves. Language is still one the main barriers of mobility and the fact that in the LLP 2007-2013, mobility actions can differ from language activities (meaning different deadline,s applications..) do not help to ensure efficient answer for students.

Further rationalisation would be possible by "merging" certain existing actions: for instance in LLP 2007-2013, a teacher has to apply to separate actions depending on the purpose of his mobility, meaning if he goes to another country to teach or to be trained.

The option would support the idea of having a single action, covering both purposes that would be included in a single application from a univiversity for instance that will cover both students and staff requests,under a single set of rules.

Programme would also develop joint testing of innovative policy approaches, e.g. on early school leaving and should mainstream transfer of mature innovations/best practices to the European Social Fund.

**Alternatives regarding policy content** could be to look for an even more focused programme and to concentrate the EU support on the headlines targets defined within the Europe 2020 strategy. This would mean reducing the scope of EU intervention to Higher Education and the schools sector in order to tackle the issue of HE attainment level and early school leaving. Mobility of HE students would be boosted even more and the level of grants could be increased. Mobility of staff would remain a priority, in particular regarding ESL challenges, and cooperation between institutions could be further developed within these two sectors.

The main drawback would be to completely abandon the idea of lifelong learning. While the LLP evaluation already stressed a lack of a cross-sectoral approach in the current programme (2007-2013), this would furthermore not be in line with the Member States' views on the VET sector, particularly concerning the Copenhagen process and the benchmark on VET mobility.

Another alternative would be to dedicate the EU programme on education to Higher Education only. This would allow supporting more strongly the Bologna process, initiated by the Member States, and concentrate on the international dimension of EU universities, which are the education institutions involved in the global race for talent. Such an option would involve the same drawbacks as mentioned above regarding the lifelong learning perspective and the need.

#### Delivery mechanisms

For all alternatives described above, the programme would be managed, as under the 2007-2013 period, with the support of the network of National Agencies and an Executive Agency. The National Agencies comply well with the EU management rules; financial audits of the EU contracts with National Agencies also show sound management practice with very low error rates (< 2 %).

Having said that, while there is still scope for simplification and mainstreaming within the current LLP structure, the architecture of the LLP is complex, and fragmented into a series of sub-programmes (Erasmus, Leonardo da Vinci, Comenius, Grundtvig, Jean Monnet, transversal programmes). The specific and diverse rules, deadlines, types of actions between these sub-programmes limit the scope for simplification of the current delivery mechanism and are reflected in the general stakeholders' requests for simplification.

#### **4.5. Policy option 4: A single programme for education, training, youth and sport: strengthening objectives and impact through concentration and streamlined architecture**

*This option is complementary with – and builds upon – option 3 as described in chapter 4.4. above. Bringing together the three current EU programmes for education, training and youth as well as the EU initiative in the area of sport support, the programme would identify and exploit their respective synergies and simplify the architecture and delivery mechanism of the current LLP.*

Following the general trend expressed in the Multiannual Financial Framework requesting a reduced number of programmes for the period 2014-2020 and a simplification of procedures, this option would exploit the scope for concentration and simplification within existing programmes (as concerns Youth, Sports as well as the international cooperation in higher education, see separate Impact Assessments), but also across the various programmes which share similar broad objectives, types of action and delivery mechanisms.

This option would merge into a single programme the following set of current programmes (NOTE: for a detailed analysis, see separate Impact assessments) :

- The current Lifelong Learning Programme (LLP) and its 6 sub-programmes – including Jean Monnet ;
- The Erasmus Mundus programme as well as the other EU programmes for cooperation in higher education, such as Tempus, Alfa and Edulink focussing on mobility and cooperation between non-EU and EU countries and on the development of joint degrees to foster excellence in higher education;
- The Youth in Action programme, a key instrument for the participation of young people, providing non-formal learning opportunities for them particularly in the context of volunteering, or traineeships abroad.
- Given the tasks defined by the Lisbon Treaty for sport<sup>29</sup>, under the same Article as education, the current policy initiative of DG EAC in the sports domain would be included to the new programme under as well.

#### (1) Exploit synergies and complementarities between different sectors and between policy fields

Screening of activities of the above mentioned programmes, including the subprogrammes within LLP has shown that they were all supporting the same types of actions that can be summarized as follows: ;

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<sup>29</sup> Article 165 of the Treaty on the Functioning of the European Union. OJ C 83, 30.03.2010, p. 47.

- learning mobility of individuals
- institutional cooperation for innovation and good practices;
- support for policy reform.

Jean Monnet activities would remain included in the Programme, with its own specificities and a separate chapter would be dedicated to sport. By presenting a programme structure built around these three types of key actions, this option would address the problem of the current fragmentation of sub-programmes within LLP, the overlaps between programmes (international mobility of students), and the remaining gap between formal and non formal education (LLP/Youth in Action).

It would therefore answer some of the stakeholders' concerns regarding in particular:

- the need for a continuum in the learning pathway;
- the extension of mobility to non EU countries, in particular for higher education
- the need for stronger integration of non formal learnings within education concerns;
- the need to strengthen EU action towards young people, in particular regarding Youth unemployment rates.

This simplification of the architecture would give scope for common modalities, rates, rules and IT instruments, while taking into account the specificities of the different types of beneficiaries. It would also simplify the communication, allowing new participants to benefit from the programme and support a more targeted dissemination of results of the programme that would support more systemic and sustainable impact of the supported projects. Simplification of rules would also mean higher cost effectiveness, reducing administrative burden and allowing managers and applicants to concentrate on the results of their activities rather than on the management rules.

Insertion of an international dimension within the Programme would strengthen Europe's will to support excellence and innovation, in particular in Higher education. More mobility opportunities, to and from non EU countries would increase Europe's visibility and role in the global race for talents. **An alternative option** would be to reduce the future programme to mobility actions, still covering student and staff mobility as well as volunteering. This would allow to increase the number of mobility opportunities offered at EU level but would reduce the impact of the programme on individuals, and to a certain extent on institutions that will be in charge of organising the mobility. Cooperation exchanges will be reduced to administrative arrangements and exchange of good practices and innovative methods will not be possible across Europe. As transnational activities are not at the core of other EU interventions (notable ESF), the networking and development of clusters of universities will not be possible. This alternative will not support the openness of the sectors to external actors, like enterprises and local authorities as suggested by evaluation and consultations. Jean Monnet programme will have to be redefined, keeping only the mobility part of it, which will reduce its impact at international level.

*(2) Rationalise the delivery mechanisms of current programmes*

Since the current LLP, YiA and Erasmus Mundus already use the same delivery mechanisms (National Agencies and/or the Education, Audiovisual and Culture Executive Agency), integration within a single programme would also allow for some significant **economies of scale, simplification of processes and rationalisation of reporting.**

#### Delivery mechanism: an EU mobility “one-stop shop”

Under this option, whatever its policy content, an integrated single programme would offer the opportunity to address the issue of the overlapping areas of intervention: within the sub-programmes of the current LLP; between the LLP and Youth in Action; and between Erasmus and its non-EU mirror programmes. The single programme also offers the opportunity of significant economies of scale and enhanced visibility of EU action.

The delivery mechanism under this option could aspire to become the EU “**mobility one stop shop**”. The existing system of delivery through National Agencies used by current programmes could become even more efficient, since further savings could be achieved by:

- Promoting a single National Agency per country to reap economies of scale;
- Combining a target public specific front office with a streamlined back office: same management rules per action, single IT tool for programme management, simple and single electronic forms for applications and reporting.

The programme would still be managed with the support of a network of National Agencies and an Executive Agency, and the choice for the one or other management body would depend on the priorities set for each of the three action types described above. Building on the current strengths, on the basis of the LLP experience and feedback from beneficiaries and other stakeholders, the National Agency system could be improved by:

- Concluding contracts only with organisations, instead of individuals, and reducing the complexity and total number of contracts.
- Using lump sum grants to the full, thus cutting down on grant management costs for beneficiaries and on control costs for National Agencies and the EC.
- Reducing control costs and audits through a clearer definition of the respective roles of Member States (which would be responsible for financial audits) and European Commission (which would be responsible for performance and compliance checks).
- Combining a target public specific front office (schools, universities, etc.) with a streamlined back office. This would allow significant scope for same management rules for the same types of action, same IT tools for programme management, simpler electronic forms for applications and reporting, etc.

To qualify for mobility grants, the education, training and youth organisations would have to prove that the conditions for high quality mobility are in place.

For mobility between education, training and youth institutions in a participating and in a third country, the grant would be managed by the E&T or Youth institution in the participating country for both incoming and outgoing mobility. No National Agencies would be set up in third countries.

(3) *Introduce a new financial instrument to boost mobility at Master's level*

In order to reinforce the impact of the programme and ensure a more integrated approach towards the different levels of Higher Education, it is proposed to introduce a new financial instrument. This new instrument will be dedicated to EU (or candidate country, EEA) mobile Master's students, undertaking a full Master's level degree programme in another EU Member State/EEA country.

It is necessary to avoid undue administrative burdens from the operation of a system of student loans to promote cross-border mobility. For that reason, although the (LSE) feasibility study provided a wealth of information on the needs for student support in this area, it is proposed **not** to follow the specific recommendation on the design of the administrative architecture. The feasibility study envisaged the direct provision of loans and the establishment of a European agency to administer loans and collect repayments. This has been rejected, in favour of a guarantee facility which will operate within the framework of the Debt Platform and which will limit the administrative burden for the Commission.

The Commission would therefore **not** be involved in direct lending under the Erasmus Masters Student Loan Guarantee, nor in collecting repayments or instituting recovery/follow-up of the loans: those aspects would be the responsibility of the individual participating banks which would have a contractual relationship only with the trustee chosen to administer the guarantee (most probably the EIF). Thus the proposal would avoid the ongoing administration challenges which have ensued from the offer of direct loans from the EU Budget to individuals in the past, such as those which were previously offered under the framework of the European Coal and Steel Community.

The EU intervention is to provide a **guarantee to financial intermediaries**. This EU guarantee will offset some of the risk of potential non-repayment by students and thus make lending viable to banks. The Erasmus Masters loan guarantee **complements the existing Erasmus Grants** which focus on 'credit' mobility (usually one academic semester) and provide approximately €1,000 per student

It will represent up to €2,000 for a one-year Master's programme and up to €8,000 for a two-year programme.

### **Demand for the product: attractiveness and market testing**

#### **i) Student need and attractiveness**

Students have expressed a clear need for more financial support for mobile studies, including the potential for more affordable finance in the form of loans:

Discussions with the European Students Union (representative body) have indicated that they are interested in the proposal. Ideally, students would of course prefer grants to loans. Grants to reach the same objective of funding 43.000 mobile masters students per year would cost an average of € 600 million per year, as opposed to the € 100 million for the loans. Given the leverage, loans are a far more efficient use of EU funds.

Students also stress that loans should be affordable – i.e. the benefits of the guarantee (and any low interest rate loans from the EIB) should be passed on to student, and that safeguards against payment hardship should be built in.

There are approximately 20 million students enrolled in tertiary education in the EU at any one time. On the basis of Eurostat data (which combines Bachelor and Master level students), the LSE estimates the number of Masters students at around 4.5 million people, of whom approximately 5% are taking their full programme abroad. They estimate that achieving the EU 20% mobility benchmark would require a further 318.000 students a year to study abroad.

## **ii) Attractiveness for banks/financial intermediaries**

Market-testing by the EIF with banks/potential financial intermediaries has shown a positive reaction and interest in the scheme. A number of banks have already been interviewed<sup>30</sup> and have highlighted which aspects of the design are attractive or acceptable to administer (eg. positive on payment holidays and grace periods in the scheme) and which might be a tipping point (eg. risk sharing level). Only the UK Student Loan Company has shown less enthusiasm as the scheme would not fund purely national studies.

### **Scaling the instrument**

Despite the estimate of considerable demand from students, support from Member States and higher education institutions and interest from financial intermediaries, the Commission is proposing a very conservative limit on the number of loans (the average of 43.000 per year mentioned above), taking account of the fact that a balance is also needed with the traditional Erasmus exchanges (which now support over 200.000 Erasmus credit exchanges a year, with demand far outstripping the budget available). The intention is not to finance all Masters students taking their degree abroad, or even to satisfy the full-demand. The scheme will incentivise mobility, but within the limits of the budgetary resources available for this action and taking account of the need to start modestly. The proposed budget for the scheme will be phased, limited in early years, rising in the latter stages of the programme period. This both accounts for a slower start in the beginning of the initiative and is in line with a lower initial need to draw upon the guarantee increases as the number of 'active' loans which enter repayment phase will lag behind loans disbursed.

A guarantee to share risk with loan providers (banks) offers the best potential to maximise the volume of loans whilst limiting exposure for the EU budget. The involvement of the EU would be limited to acting as a guarantor against part of the possible default on the loans disbursed by the financial intermediaries.

The EU exposure will be clearly defined and limited within the contracts negotiated with the trustee at European level (eg. EIF) and in the contracts (guarantee agreements) negotiated by the trustee with financial intermediaries in each participating country. EU funds will only be used to reimburse non repayment of loans up to a capped level and the guarantee to the banks will be time-limited. The length of the EU's involvement will be limited by the maximum guarantee period offered to the financial intermediaries.

Proposals for the level of risk sharing with participating financial intermediaries have been informed by detailed technical working with DG ECFIN and with the EIB Group based upon analysis of both existing debt guarantee instruments at EU level and upon experience of

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30 Banks participating in the market testing: KFW; Caixa Geral de Depositos; Société Générale; Oseo; la Caixa; Banca Intesa SanPaolo; DIAKHITEL; SPGM; AECM; UK Student Loan Company

domestic student loan provision (which covers non-mobile student loans). It has also been informed by the analysis of the target group undertaken by the LSE Feasibility study.

### **Management arrangements**

- The administrative burden associated with distributing loans – and collecting repayments – should not be borne by the Commission. Banks would build their portfolio of student loans using their own credit and underwriting procedures and keep a portion of risk, including all residual risk.
- EC-level administration would be confined to the development of the architecture and features of the scheme, negotiation of the contract with the managing authority (eg. EIF) and monitoring the managing authority to ensure that the product is being delivered in line with the contract e.g. via an annual report. In this way the key terms of a guarantee facility for loans provided by banks to students is no different from a guarantee on loans provided by banks to an SME in terms of the follow-up time involved for EC officials.
- While the feasibility study's analysis of the need is sound (stocktaking, market failure, target group and added value for EU intervention), the options presented for the establishment of a loan facility are not feasible on grounds of cost (both capital needed to provide direct loans and administrative cost to run the scheme on a centralised model) and political viability (no appetite to create a supra-national agency with co-ordination of taxation schemes to manage collection of loan repayments).
- The scheme would therefore be managed by an entrusted managing authority. Discussions have taken place with the European Investment Bank Group – the European Investment Fund already manages several EU guarantee schemes on behalf of the European Commission.
- **Loans would be disbursed and administered by Financial Intermediaries** (banks or student loan agencies) in Member States/EEA countries (estimated one per country selected following a call for expressions of interest conducted by the managing authority)
- An **EU level website** would be established as an entry portal for general information and to provide details of participating countries and banks. All correspondence with students/potential borrowers would take place at national level with participating banks/financial intermediaries.

### **Minimising the risks related to non-reimbursement**

- A guarantee to share risk with loan providers (banks) offers the best potential to maximise the volume of loans whilst limiting exposure for the EU budget. Furthermore, the administrative burden associated with distributing loans – and collecting repayments – is best handled at a local level.
- Target group - based upon earnings profiles, masters' level students are more likely to secure employment and salaries which will enable prompt reimbursement of the loan.
- The scheme would be governed by the Financial Regulation and operate within the framework of the Equity and Debt Platform Rules, currently being developed by the Commission.
- The involvement of the EU would be limited to acting as a guarantor against part of the possible default on the loans disbursed by the financial intermediaries. The EU exposure will be clearly defined and limited within the contracts negotiated with the managing authority at European level (e.g. EIF) and in the contracts negotiated with financial intermediaries in each participating country. EU funds will only be used to reimburse non repayment of loans up to a capped level.

- Proposals for the level of risk sharing with participating financial intermediaries have been informed by the analysis of the target group undertaken by the Feasibility study and by detailed technical working with DG ECFIN and with the EIB Group. The latter has based itself upon analysis of a combination of existing debt guarantee instruments (which focus most often on small business start-up and expansion) and upon experience of domestic loan provision (which covers non-mobile student loans). Information on risk levels and what portion could be shouldered by an EU budgetary contribution has not been published during the ongoing development phase as this is commercially sensitive material which could influence eventual negotiations.

#### **4.6. Indicative budget assumptions for the different options**

For the baseline scenario option, the overall budget as well as the allocation of funding among the programme's education sectors and actions would in real terms remain close to the current programme.

There would not be any specific budget allocation as such for option 2 – discontinuation of the programme. Spending on education and training mobility and transnational cooperation actions would be entirely reliant on non-EU resources, notably on funding by Member States and by individual learners themselves. The costs of the EU would be minimal, linked only to the necessary operational arrangements to be ensured by the EU in order to fulfill obligations under Article 165 and Article 166 - the provision of information and analysis.

Several elements point towards the opportunity of a substantial increase of the budget available for a future EU education and training programme, provided that it can ensure an efficient delivery of EU priorities in education and training: the overwhelming evidence of the link between education attainment, productivity and growth; the new, increased priority given to education and training by the EU, particularly within the Europe 2020 strategy and especially since the crisis; the increasing pressure towards the internationalisation of higher education, and the growing competition for talent; the excess demand for access to the current LLP, which cannot be met for lack of funding; the demonstrable impact of past and current EU programmes on Member States' systems and individuals; the absence of a credible alternative to EU funding.

Option 3 - and especially option 4 as described in chapter 4.5 - offer the possibility of achieving a significant critical mass of beneficiaries and systemic impacts through, on the one hand, a discontinuation of current actions with insufficient EU added value; and on the other hand, an overall increase of EU support for education, training and youth of **at least 70 %**.

While its architecture will be organized according to the three key actions, access to the Programme will be open to the main sectors now benefiting from the LLP and Youth in Action Programme.

It is however worth stressing that the innovative approach chosen lends itself to greater EU value added and very significant simplification. The price is a much reduced comparability with the existing generation of programmes. Simplification, concentration and value added do necessarily lead to architectural changes linked to a different intervention logic that to some extent breaks with the past.

On the basis of experience and on the enhanced emphasis on mobility, around two thirds of the budget will be allocated to learning mobility. Indeed as underlined in the analysis of performance gaps, mobility opportunities need a critical mass to have systemic impact.

Benchmarks on mobility (in particular in Higher Education and Vocational training) have been agreed at EU level and need as well some strong commitment in order to be reached by 2020. Co-operation, and especially policy reform, while critically important in terms of policy impact, will naturally have more limited budgetary implications because of the nature of the activities. For its international component, the Programme is in line with the priorities of the EU's external policy. Flexibility will be built in the annual budget allocation, so as to respond to events in the international context.

Support to policy reform by nature cannot absorb a lot more than foreseen. Under this action, EU intervention in education is indeed focused on networks and studies linked to political priorities which are identified and limited. Therefore the only possible alternative would be to dedicate most of the resources to cooperation activities. This would certainly not be in line with the MFF and jeopardize all the successes and positive effects attached to Erasmus actions. Catalyst effect of the EU programme will be lost. Indeed cooperation between institutions is fundamental to create long lasting networks and support exchange of best practices need time. They are as well more complex to settle and manage.

Implementing provisions will **enhance allocations of funds based on performance** for actions managed at national level: 25% of the funds will be allocated based on quantifiable principles such as budget implementation, number of realised mobilities and implementation of the National Agency work programmes. This is the share of the performance based allocation already applicable in Erasmus: it is proposed to build on this experience. The remaining budget foreseen for mobility actions (75%) will be allocated between participating countries on the basis of three criteria: population, cost of living and distance between capitals.

Implementation of the programme will ensure that the funding levels allocated to each of the five main broad sectors will not be reduced below the levels guaranteed by the programmes for the 2007-2013 period. These allocations have been derived from the present situation to ensure continuity in the minimum guarantee given to the main education sectors if the Commission's budget proposal for Heading 1 is confirmed. These minima leave a considerable unallocated margin, from which all sectors are likely to benefit: By way of illustration, in the LLP all education sectors absorb funds beyond their minimum guaranteed amount.

Whilst ensuring stability in funding level and avoiding a "stop-and-go" approach, the budget allocation as regards the international dimension of the new programme will follow the geographic and policy priorities established for external action spending under the next Multiannual Financial Framework.

A programme Committee will assist the Commission in budget allocation. In line with the current practice, after consultation of the Committee, more detailed calls for proposals will be issued specifying, to the extent applicable, the exact deliverables, targeted publics, planned budgets.

## 5. ANALYSIS OF IMPACTS

For the impact analysis of options, the evidence on the performance and impacts of the current LLP is provided by the interim evaluation and other sources. Given that the environmental impacts of options for the programme in education and training are negligible

or not relevant, they were not discussed in this impact assessment. Due to the EU mandate in the policy areas concerned and the intervention logic applied (more or less implied by the former), a qualitative approach has been used to analyse the type and magnitude of anticipated social and economic impacts and impacts on fundamental rights, taking into account:

- The type of impacts generated by the LLP: some of its indirect and systemic impacts cannot be estimated with precision, as their outcomes are not easily quantifiable; for example, the benefits from cooperation activities, multilateral projects and networks in education and training.
- The nature of the evidence/data available: For many impacts at the individual, institutional and systemic level, the evidence available on the current programme (providing the basis for the analysis of impacts of the post 2013-programme) comes from qualitative surveys on beneficiary satisfaction as quoted in activity, evaluation or assessment reports or in various studies.

The matrix hereafter compares the social and economic impacts and impacts on fundamental rights per option *vis-à-vis* the baseline/status quo activities. Detailed description of impacts of each option is available in Annex 7.

Legend:

++	+	0	-	--
<i>positive</i>	<i>slightly positive</i>	<i>Neutral</i>	<i>slightly negative</i>	<i>negative</i>

	Policy area	Specific dimension	Option 1: 'Status quo' (baseline)	Option 2: Discontinuation of the programme	Option 3: 'Strengthening of the objectives of the programme'	Option 4: 'A single programme for education, youth training, youth and sport'
				Type / magnitude of impact (compared to baseline)		
<b>Social impacts</b>	Education and training	Learners' mobility in HE	0	--	+	++
		Learners' mobility in VET	0	--	+	++
		Learners' mobility in adult education	0	---	+	++
		Participation of pupils in schools	0	--	+	+
		HE teachers mobility	0	--	+	++
		VET teachers' mobility	0	--	+	++
		Adult education teachers' mobility	0	--	+	++

	Policy area	Specific dimension	Option 1: 'Status quo' (baseline)	Option 2: Discontinuation of the programme	Option 3: 'Strengthening of the objectives of the programme'	Option 4: 'A single programme for education, training, youth and sport'
				Type / magnitude of impact (compared to baseline)		
		Reduction of early school leaving	0	N/A	++	++
		Participation in lifelong learning	0	-	++	++
		Internationalisation and transnational cooperation among education and training institutions and systems	0	--	+	++
		Cross-sector cooperation	0	-	++	++
		Quality of education and training	0	-	+	++
		Innovation	0	--	+	++
		Inclusion and equal opportunities in education	0	-	++	++
		Multilingualism	0	-	++	++
		European citizenship	0	--	+	++
		Cultural awareness and personal development	0	-	+	+
	Labour markets	Employability	0	-	+	++
		Workers' mobility within the EU	0	-	+	+
		Inclusion and equal opportunities	0	-	+	+
		Job quality	0	-	+	+
<b>Economic impacts</b>	Educational and other institutions	Administrative burdens	0	+	+	++
	Macro-economic environment	Economic growth and employment	0	-	+	+
<b>Impact on</b>		Free movement of persons	0	-	++	++

	Policy area	Specific dimension	Option 1: 'Status quo' (baseline)	Option 2: Discontinuation of the programme	Option 3: 'Strengthening of the objectives of the programme'	Option 4: 'A single programme for education, training, youth and sport'
			Type / magnitude of impact (compared to baseline)			
fundamental rights		Right to education	0	-	+	+

**Regarding the European loan guarantee, the expected impacts are the following::**

**Number of students** – Calculations of the expected financing need and the number of students able to be supported have been informed by the Feasibility Study which has examined the costs of mobile studies by country. The number of students that will actually be able to benefit from the scheme will be subject to the budget available. By way of illustration, € 100 million per year from the EU budget could generate loans totalling at least € 600 million per year<sup>31</sup> (i.e. **a leverage factor of at least 6**), supporting around **43,000 students based upon an average loan of €14,000** (50% following 1-year programmes, and 50% following 2-year programmes and all borrowing the maximum amount). **This leverage effect** has been calculated (by DG ECFIN) based upon comparable experience of other EU initiatives providing lending guarantees.

## 6. COMPARING THE OPTIONS AND IDENTIFYING THE PREFERRED OPTION

Each policy option was assessed against a set of criteria relating to different potential benefits and costs. Because of the non-availability of quantifiable data, it was not possible to provide the likely impact of each policy option in monetary terms. Similarly, the impact of any future programme would vary significantly depending on the global amounts available for funding.

Therefore, for each policy option, the impact has been assessed in qualitative terms, based on information collected through the IA consultation process, results from the interim LLP evaluation, two expert workshops organised during the impact assessment, success cases and anecdotal evidence, and interviews with key LLP stakeholders carried out by an external consultant.

<sup>31</sup> EU contribution + capital committed to student lending by participating financial intermediaries

## 6.1. Comparison of options

Legend:

	++	+	0	-	--
<i>Comparison to baseline scenario</i>	<i>positive</i>	<i>slightly positive</i>	<i>neutral</i>	<i>slightly negative</i>	<i>negative</i>

	Option 1 Status quo - Continuation of the current LLP	Option 2 Discontinuation of the programme	Option 3 Strengthening the objectives of the programme	Option 4 A single programme for education, training, youth and sport	Explanation of given ratings:
<b>Effectiveness in terms of achieving specific objectives:</b>					
Objective 1 – To support all European citizens in the acquisition of skills and competences through formal and non formal education and training	0	-	+	++	Under Option 2, the EU would not contribute directly to this objective. Some support would be given to Member States only in the form of provision of information and analysis. Both option 3 and option 4 would positively contribute to the objective. Option 4 would have a more positive effect, considering also the inclusion of activities of the current Youth in Action Programme in the non-formal education area.
Objective 2 – To foster cooperation, quality improvement and innovation in education and training institutions, through enhanced	0	--	+	++	Under option 2 the Member States would theoretically be able to promote quality and innovation in their E&T systems at national

	<b>Option 1</b> <b>Status quo - Continuation of the current LLP</b>	<b>Option 2</b> <b>Discontinuation of the programme</b>	<b>Option 3</b> <b>Strengthening the objectives of the programme</b>	<b>Option 4</b> <b>A single programme for education, training, youth and sport</b>	<b>Explanation of given ratings:</b>
transnational cooperation and spreading of good practices					level. However, cooperation would be very limited - depending only on bilateral and multilateral agreements between the EU MSs. Option 3 and 4 would positively contribute to this objective. Innovation would be even reinforced under option 4 by benefitting from the larger range of target groups and areas covered.
Objective 3 – To trigger policy reforms at national level and support the modernisation of education and training system through enhanced policy cooperation and better use of recognition and transparency tools	0	--	++	++	Under option 2, the recognition tools would be practically impossible to introduce without the contribution of the EU programme. Option 3 and 4 would both contribute to this objective.
<b>Efficiency/cost-effectiveness, in terms of:</b>					
Implementation costs (taking account of simplification measures);	0	++	+	++	Operational arrangements and to them linked costs would be minimal for option 2, reduced just to the management of obligations under Article 165 and Article 166 which would necessitate some expenditure on the provision of information, analysis and some human resources linked to them. Since the single programme (option 4) brings simplification and reduces fragmentation, the cost-effectiveness of its implementation would be

	<b>Option 1</b> <b>Status quo - Continuation of the current LLP</b>	<b>Option 2</b> <b>Discontinuation of the programme</b>	<b>Option 3</b> <b>Strengthening the objectives of the programme</b>	<b>Option 4</b> <b>A single programme for education, training, youth and sport</b>	<b>Explanation of given ratings:</b>
					significant. For option 3 the positive impact would be lower, since the activities of all separate sub-programmes would be maintained.
EU budget	0	++	+	++	There would be no EU budget allocation under option 2. Significant advantages in EU added value, outcomes and systemic impact from increasing overall budget levels would be linked to options 3 and especially option 4.
<b>Administrative burden</b>	0	++	+	++	Option 2 would of course eliminate the burden of managing the programme for MS, although their Treaty-based information obligations would remain. Option 3, and, more so option 4 through the “one stop shop”, would represent a considerable reduction of administrative burden and an increase of value for money. The obligations related to the management of the programme would be reduced considerably under option 3 and especially 4 in comparison to the current programmes due to the simplification of management arrangements and the radical reduction in the number of actions.

	<b>Option 1</b> <b>Status quo - Continuation of the current LLP</b>	<b>Option 2</b> <b>Discontinuation of the programme</b>	<b>Option 3</b> <b>Strengthening the objectives of the programme</b>	<b>Option 4</b> <b>A single programme for education, training, youth and sport</b>	<b>Explanation of given ratings:</b>
<b>Coherence</b> (with strategic objectives, etc.):	0	--	+	++	Under option 2, coherence would suffer significantly: it would be left to MSs to decide how they implement the EU2020 and ET 2020 strategic objectives and priorities. Option 3 would allow for stronger coherence through a focus on EU priorities. Option 4 would add to option 3 a more integrated approach and a reduction of the fragmentation and overlaps between sub-programmes and different types of beneficiaries.

## 6.2. Preferred option: A single programme for education, training, youth and sport

The programme under this option would combine a focus on activities with high added value and impact on beneficiaries (mainly mobility and innovative cooperation projects), the scaling up of these activities (huge increase of VET/HE student mobility, real priority on staff mobility) a radical simplification of management (extended use of lump sum, reduction of number of objectives and actions), and a reduction of administrative costs through the merger of existing programmes for education, training and youth (LLP, Youth in Action and Erasmus Mundus) in a single programme extended to sport activities.

After a comparison of impacts of identified options it appears that option 4 – i.e. the integration of the current programmes active in the field of education and training, including international cooperation in higher education and youth, as well as sport activities - is the option providing the strongest positive economic and social impacts, and the highest relevance to the needs analysis.

As described in sub-section 4.5. above, option 4 combines the strong focus on EU policy priorities and added value of option 3, with a radical simplification of the delivery mechanism and implementation of EU programmes. It brings about more focused actions to generate significant impact on the problem areas addressed by the programme. Moreover, currently the different programmes fund activities which are similar in nature (mobility, traineeships etc.); EU support would gain in coherence and would be more visible and understandable to the target groups.

In comparison to the shortcomings identified in the existing programmes, and in particular in the current LLP and its sub-programmes, option 4 would:

- Create more systemic impacts on policy developments and implementation of the Europe 2020, Education and Training 2020 and EU Youth Strategy, by prioritising activities with greater impact and sustainability.

This is in particular the case for mobility of staff in all sectors (including youth workers) that will be boosted in order to give 1.000.000 individuals the opportunity to teach or be trained abroad, as well as giving HE and VET students the opportunity of getting a work experience or a study period within Europe or even in third countries. They are, as multipliers, one of the key of improvements of the systems;

- Achieve greater relevance and added value by focusing on a smaller set of priorities and problems of key importance for the EU, in particular emphasise the links between programme activities and the EU policy agenda; Cooperation projects and networks will have to answer to key EU issues, such as literacy, low achievers or recognition of non formal learning. A stronger link with labour market needs will be ensured by the increased participation of world of work as well as reinforced transfer of innovation activities;
- Put stronger focus on the crucial role of education and human capital for innovation by promoting education-business partnerships, targeting excellence in teaching and learning, employability and entrepreneurship;
- Help address some urgent priorities in Member States in the context of a decrease in financing in the education and training sector, and foster thematic networking at national and EU levels;
- Address the current fragmentation between existing programmes (streamlining the current structures, funding, bringing together all sectors, etc.) and exploit economies of scale;

By reducing the number of different deadlines in call, harmonising the application and reporting forms, extending the use of lump sum, supporting friendly IT tools, it will reduce the needs of training of managers in charge of the programme, simplify the communication and ensure a broader access to the programme at the end;

- Address the lack of synergies between current activities in different lifelong learning sectors and towards a genuine lifelong learning approach (taking into account both the role of formal and non-formal learning).

More emphasis will be put on the quality of projects. For mobility, institutions/organisations will have to present an integrated request on behalf of individuals – being students or staff. It will support the lifelong learning approach with in the same proposal from a university for instance the request for mobility of students within EU, training of school assistants, hosting of non EU teachers and/or students;

- Radically simplify the programme architecture, structuring support along three transversal types of activities: learning mobility, cooperation between institutions and organisations and mutual learning and policy development.

Monitoring and performance assessment will be easier to organise and allow for a more result-oriented approach. A clearer complementarity with other EU funds will be possible.

The establishment of a single Programme Committee will also contribute to more cost-effective and lean management. While this will require coordination among relevant departments within Member States, increased coordination can also lead to improved effectiveness based on stronger synergies among policies and sectors.

The aim will be to reach **a cumulative effect of these simplifications to a productivity increase of around 40%.**

The efficiency gain stems from the reduction of the inherent complexity of a programme based on much fewer objectives, concentration on key actions, mainstreaming of peripheral ones and discontinuation of overlapping, inefficient and micro-actions. The objective is a reduction by 85% in the number of actions compared to the present situation. It is estimated that this component would allow a gain of around 30% in the system through economies of scope.

A further 10% productivity gain could be expected from the adoption of common overhead tools following the merge of the programmes and the establishment of a single National Agency per country. The efficiency gain would stem from the commonality of overhead expenditure and the economies of scale linked to it: a single IT system to manage the funds entrusted to National Agencies, one set of rules, reduced number of financial transactions, etc.

Overall in terms of million € managed per FTE the combined effect would raise from 6 to 10 € Million the amount managed by each FTE.

Controls will be based on the single audit principle: the National Agency will be responsible to check the programme beneficiaries and the Commission will oversee and coordinate the control system and set minimum requirements to avoid overlaps. The checks will be largely risk based. These measures are starting to be implemented already in the current programmes. The Member State through the designated national authority will monitor and supervise at national level the activities related to the programme.

The resulting simplified and streamlined architecture would be easily scalable with low marginal costs and an increase of the budget in the order of 70%, as proposed by the MFF Communication, could be accommodated with the current level of resources. For the currently existing programmes, 1 FTE manages around EUR 6 millions. With the merge of the programmes and the envisaged improvements, it could manage 10 millions. (For detailed clarification of the cost effectiveness of the programme for education, training, youth, international cooperation in higher education and sport see Annex 8.)

The table below gives general assessment of the education, training, youth and sport activities of the new programme, and explains their contribution to overarching priorities. More detailed description of activities

specific for the youth, international cooperation in higher education and sports are available in separate impact assessment reports submitted for these parts of the proposed future programme.

Action	Contribution to overarching priorities
<p><b>Learning mobility of individuals</b></p>	<p><b>Learning mobility</b> (increased levels under the new programme): broader set of basic, professional and soft skills obtained as learning outcomes by mobility participants, including through activities to and from third countries in particular in higher education; acquisition of valuable life and professional experience, e.g. in the case of placements, voluntary service etc.; better employability of mobility participants; encouragement of further professional mobility; improved perspectives/clearer ideas for further education or career pathways; increased youth participation in society and democratic life.</p> <p><b>Teachers'/trainers'/staff/youth workers mobility</b> (increased levels under the new programme): development of innovative teaching methods, tools and institutional strategies to enhance skills acquisition; improved attractiveness of E&amp;T institutions with mobile teachers.</p>
<p><b>Cooperation for innovation and good practices</b></p>	<p><b>Innovative cooperation projects on key priorities:</b> the development of basic (e.g. literacy, numeracy, digital), professional and soft skills in the curricula and voluntary activities; new approaches that are enabled, developed or tested in the programme and benefit from international institutional collaboration; enhancement of outreach strategies, innovation and entrepreneurship through closer link with business, the promotion of non-formal learning and recognition of its outcomes</p> <p><b>Development of partnerships that continue through time and operate outside EU funding,</b> through the provision of seed-funding that enables initial institutional collaboration</p> <p><b>Joint /double curricula/programmes:</b> increased relevance of curricula to labour market needs, particularly in the context of the internationalisation of commercial exchanges.</p> <p><b>Partnerships between education providers and world of work</b> through the provision of seed-funding that enables initial institutional collaboration in this area; better matching between skills supply and labour market needs; development of common priorities.</p> <p><b>Cooperation with third countries:</b> through the exchange of information and good practice on education, training and youth strategies, partnerships aimed at enhancing quality education, attraction of top talent to Europe.</p> <p><b>Partnerships with European Youth NGOs:</b> to support the development of a European dimension in youth activities and in line with the objectives of the EU Youth Strategy.</p>
<p><b>Policy support</b></p>	<p><b>Support to EU policy agenda, in particular in the field of literacy, ICT in schools, languages learning</b></p> <p><b>Support OMC policy networks</b> (e.g. early school leaving) through the organisation, funding and dissemination of activities.</p> <p><b>Support to the EU structure dialogue in the youth field</b></p> <p><b>Enhance the international dimension in education and training</b> through targeted capacity building in non EU countries, in particular neighbourhood countries;</p> <p><b>Research, promotion and dissemination activities</b> that are linked to the outcomes of</p>

Action	Contribution to overarching priorities
	mobility and cooperation actions; activities for the monitoring of progress on common priority issues,  <b>Support to the implementation of EU tools:</b> Europass for the recognition of soft skills and better transparency of learning outcomes for employers; Youthpass for the recognition of non-formal learning outcomes; EQF, credit systems  <b>Joint testing of innovative approaches</b> in E&T and youth including with an international dimension
<b>Jean Monnet Activities</b>	The Jean Monnet programme of the current LLP would continue to feature as a small component of the single programme, with its specific objectives: it would continue stimulating teaching, research and reflection on European integration in higher education institutions worldwide.
<b>Sport</b>	Activities in the field of Sport would focus on the fight against doping, violence and racism and fostering transnational activities to promote good governance.

## 7. MONITORING AND EVALUATION

### 7.1. Monitoring and evaluation of the current LLP

A number of issues pertinent to the outline of future monitoring and evaluation arrangements have been identified in the course of the IA exercise. The current system for monitoring indicators (see Annex 9) was set in June 2010 in the middle of the programme implementation, taking into consideration also the quantified targets required in the LLP Decision<sup>32</sup> as to be achieved until the year 2012 (Erasmus) or by the end of the LLP in 2013. However, the agreed LLP indicators are primarily focused on measuring direct outputs of Programme's activities and do not capture wider range results and impacts of the programme. In particular, the projects/networks/partnerships/individuals should achieve various soft outcomes which cannot be measured in the same way as hard ones.

### 7.2. Framework for monitoring and evaluation of the future programme

The monitoring and evaluation of the future programme should contain both continuing monitoring to assess the progress towards achieving the objectives of the programme and the formal evaluation exercises as well.

*Continuous monitoring* could be based on the following approaches:

Collection of information on progress in relation to the quantitative outputs of the Programme via its dedicated IT system. Such potential output indicators would be reported in the regular annual programme activity reports.

<sup>32</sup> To increase volume of partnerships between schools in different Member States, so as to involve at least 3 million pupils in joint educational activities during the period of the programme; to reach at least 3 million individual participants in student mobility under the Erasmus programme and its predecessor programmes by 2012; to increase placements in enterprises to at least 80 000 per year by the end of the LLP in 2013 and to support at least 7 000 individuals per year in mobility actions for adult learners.

A regular assessment of qualitative outcomes, aimed at measuring impact on individual beneficiaries (young people, teachers, staff, youth workers) organisations and systems. Such indicators would be based on the intervention logic of the future programme and its general and specific policy objectives. The regular annual programme activity reports could make this information public. Such assessments could take place through the means of online survey(s), longitudinal studies on programme beneficiaries, ministries of education, teaching and training bodies, education think-tanks, employer organisations etc., and other source of verification such as the analysis of work plans and reports.

*Formal evaluation* procedures would include mid-term and ex-post evaluation to be contracted with the independent expert body. Mid-term evaluation would predominantly consider the results achieved in the first part of the implementation of the programme as well as the results of the ex post evaluations of the current programmes. It would recommend improvements for the continuation of the programme. It would also give recommendations for the preparation of the further programme. Final evaluation would focus on the impacts achieved by the Programme.

Accordingly, the ex-post evaluation of the next programme would be included in the evaluation carried out mid-term for the programme coming after the next.

Member states, including the managing authorities, will be requested to contribute to the monitoring and evaluation process through national reports and analysis of the fibal beneficiaries feedback. The Commission Report on the mid-term evaluation of the programme would be submitted to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions in spring 2017.

It will also be important to better communicate the achievements of the programme. The programme statistics would thus be released on a more regular basis, for which full exploration of the potential of current IT management tools for a support of monitoring and reporting mechanism would be necessary. For a tentative list (still work in progress) of identified output, result and impact indicators for the new programme, see Annex 10.

## **8. ANNEXES**

- (1) Studies and reports used for the preparation of this IA report
- (2) LLP outcomes and results 2007-2010
- (3) Main activities of the current Lifelong Learning Programme, and main challenges identified in the LLP interim evaluation
- (4) Linking operational objectives to performance gaps identified in the Problem Description
- (5) How current LLP actions should be transformed into future actions
- (6) Detailed description of the EU loan guarantee
- (7) Detailed description of impacts of the four identified options
- (8) Tentative cost-effectiveness analysis of the four identified options
- (9) Current LLP monitoring indicators (2007-2013)
- (10) Tentative list of indicators for the monitoring and evaluation of the future programme

(11) List of acronyms

## Annex 1: Studies and reports used for the preparation of this IA report

Title of the study	Year of publication
Youth on the Move. Results of the consultation on the Green Paper on the learning mobility of Young people ( <a href="http://ec.europa.eu/education/yom/wpconsult_en.pdf">http://ec.europa.eu/education/yom/wpconsult_en.pdf</a> )	2010
Enabling the low skilled to take their qualifications “one step up” ( <a href="http://ec.europa.eu/education/more-information/doc/2010/lowskill.pdf">http://ec.europa.eu/education/more-information/doc/2010/lowskill.pdf</a> )	2010
Changing patterns of working, learning and career development across Europe ( <a href="http://ec.europa.eu/education/more-information/doc/2010/warwick_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/warwick_en.pdf</a> )	2010
Inclusion and education in European countries ( <a href="http://ec.europa.eu/education/more-information/moreinformation139_en.htm">http://ec.europa.eu/education/more-information/moreinformation139_en.htm</a> )	2009
Key competences in Europe: opening doors for lifelong learners ( <a href="http://ec.europa.eu/education/more-information/doc/keyreport_en.pdf">http://ec.europa.eu/education/more-information/doc/keyreport_en.pdf</a> )	2009
Study of the impact of Comenius In-Service Training activities ( <a href="http://ec.europa.eu/education/comenius/doc/istreport_en.pdf">http://ec.europa.eu/education/comenius/doc/istreport_en.pdf</a> )	2010
Study of the Impact of Comenius Assistantships ( <a href="http://ec.europa.eu/education/more-information/doc/2010/comeniusreport_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/comeniusreport_en.pdf</a> )	2010
Teachers’ Professional Development - Europe in international comparison ( <a href="http://ec.europa.eu/education/school-education/doc/talis/report_en.pdf">http://ec.europa.eu/education/school-education/doc/talis/report_en.pdf</a> )	2010
Key competences for adult learning professionals ( <a href="http://ec.europa.eu/education/more-information/doc/2010/keycomp.pdf">http://ec.europa.eu/education/more-information/doc/2010/keycomp.pdf</a> )	2010
Study on European Terminology in Adult Learning for a common language and common understanding and monitoring of the sector ( <a href="http://ec.europa.eu/education/more-information/doc/2010/adultreport_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/adultreport_en.pdf</a> )	2010
Assessment of the impact of ongoing reforms in education and training on adult learning ( <a href="http://ec.europa.eu/education/more-information/doc/2010/reforms.pdf">http://ec.europa.eu/education/more-information/doc/2010/reforms.pdf</a> )	2010
Update to the European Inventory on Validation of Non-formal and Informal Learning ( <a href="http://ec.europa.eu/education/more-information/doc/2010/inventory_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/inventory_en.pdf</a> )	2010
Adults in formal education: Policies and Practice in Europe ( <a href="http://eacea.ec.europa.eu/education/eurydice/documents/thematic_reports/128EN.pdf">http://eacea.ec.europa.eu/education/eurydice/documents/thematic_reports/128EN.pdf</a> )	2010
Impact of the Leonardo da Vinci programme on the quality of vocational education and training systems ( <a href="http://ec.europa.eu/education/more-information/doc/2010/vetpro_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/vetpro_en.pdf</a> )	2010
VET teachers and trainers: Key actors to make lifelong learning a reality in Europe ( <a href="http://ec.europa.eu/education/more-information/doc/2010/teatra_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/teatra_en.pdf</a> )	2009
Study of the impact of Leonardo da Vinci programme on the quality of vocational education and training systems ( <a href="http://ec.europa.eu/education/more-information/doc/2010/vetpro_en.pdf">http://ec.europa.eu/education/more-information/doc/2010/vetpro_en.pdf</a> )	2010
Promotion of multilingualism in the 31 countries of the LLP ( <a href="http://ec.europa.eu/education/languages/pdf/doc1631_en.pdf">http://ec.europa.eu/education/languages/pdf/doc1631_en.pdf</a> )	2008

Study on the contribution of multilingualism to creativity ( <a href="http://ec.europa.eu/education/languages/news/news3653/report_en.pdf">http://ec.europa.eu/education/languages/news/news3653/report_en.pdf</a> )	2009
Indicators on ICT in primary and secondary education ( <a href="http://ec.europa.eu/education/more-information/doc/ictindicrep_en.pdf">http://ec.europa.eu/education/more-information/doc/ictindicrep_en.pdf</a> )	2009
Study of the impact of technology in primary schools ( <a href="http://www.crie.min-edu.pt/files/@crie/1269619794_02_synthesis_report_steps_en.pdf">http://www.crie.min-edu.pt/files/@crie/1269619794_02_synthesis_report_steps_en.pdf</a> )	2009
<p><b>EAC 47/2009 Feasibility study to examine the potential need for a Student Lending Facility at European Level</b> was organised for a study to: <i>Make lifelong learning and mobility a reality, by reducing financial barriers. This Study will investigate options for the feasibility of establishing a pan-EU student lending scheme in support of learning mobility</i></p> <p>The winning contractant was the London School of Economics Enterprise. The final report was submitted in March 2011 and is available at: <a href="http://ec.europa.eu/education/higher-education/doc/lending_en.pdf">http://ec.europa.eu/education/higher-education/doc/lending_en.pdf</a></p> <p>The feasibility study identifies a clear <b>market gap</b> for students who wish to take a full programme of study at masters level outside their home country. These students are faced both with <u>higher costs</u> (due to the existence of higher tuition fees at masters level and the length of study which is on average 1-2 years), and they <u>have poor access to finance</u> (either grant or loan) in order to sustain these costs.</p>	November 2009

All reports and studies for education and training can be available at the following websites:

- [http://ec.europa.eu/education/more-information/moreinformation139\\_en.htm](http://ec.europa.eu/education/more-information/moreinformation139_en.htm)
- [http://ec.europa.eu/education/languages/eu-language-policy/doc126\\_en.htm](http://ec.europa.eu/education/languages/eu-language-policy/doc126_en.htm)
- [http://ec.europa.eu/education/lifelong-learning-policy/doc/mobility/com329\\_en.pdf](http://ec.europa.eu/education/lifelong-learning-policy/doc/mobility/com329_en.pdf)
- [http://ec.europa.eu/education/leonardo-da-vinci/doc1243\\_en.htm](http://ec.europa.eu/education/leonardo-da-vinci/doc1243_en.htm)
- [http://eacea.ec.europa.eu/education/eurydice/documents/thematic\\_reports/128EN.pdf](http://eacea.ec.europa.eu/education/eurydice/documents/thematic_reports/128EN.pdf)
- <http://www.eurydice.org>

## Annex 2: LLP Outcomes and Results 2007-2010

Lifelong Learning Programme – Sub-programmes 2007-2010 (figures rounded to 1% of their value)

		Target audience (b)	Sub Programme (a)	2007	2008	2009	2010	TOTAL-a	TOTAL-b	TOTAL-c
Decentralised actions	Mobility <sup>(2)</sup> (c)	Students (studies)	Comenius <sup>(1)</sup>	PM	PM	PM	PM		677.705	1.246.188
			Erasmus	159.000	163.000	168.000	177705	667.705		
		Training Placements	Erasmus	N/A	20.000	30.300	35561	85.861	233.000	
			Leonardo da Vinci	59.600	55.200	67.500	65942	248.242		
		Staff/teachers/trainers/education specialists/adult education staff	Comenius <sup>(1)</sup>	9.840	11.400	11.800	12972	46.012	176.000	
			Erasmus	25.800	31.400	36.400	37776	131.376		
			Leonardo da Vinci	13.900	12.500	12.800	12420	51.620		
	Grundtvig		1.300	1.780	2.480	2385	7.945			
	Study Visits			2.530	2.360	2537	7.427			
	Others (c)	Institutions involved	Erasmus	2.190	2.520	2.740	2655	10.105	17.400	
			Leonardo da Vinci <sup>(3)</sup>	3.490	3.030	3.440	3107	13.067		
		Partnership projects (organizations involved)	Comenius	7.890 <sup>(4)</sup>	5.640	6.010 <sup>(5)</sup>	5923	11.563	25.400	
			Leonardo da Vinci	N/A	810	946	1016	2.772		
			Grundtvig	1.440 <sup>(4)</sup>	1.240	1.460	1600	4.300		
Multilateral Projects	Leonardo da Vinci	315	330	307	284	1236				
Centralised actions (c)	Multilateral Projects	Comenius	36	44	39	33	152	737		
		Erasmus	50	43	43	50	186			
		Leonardo da Vinci	32	35	42	38	147			
		Grundtvig	77	69	56	50	252			
	Multilateral Networks	Comenius	5	3	5	7	20	91		
		Erasmus	8	8	13	8	37			
		Leonardo da Vinci	7	8	4	5	24			
		Grundtvig	2	2	3	3	10			
	Accompanying measures	Comenius	7	1	4	4	16	54		
		Erasmus	6	4	6	8	24			
		Leonardo da Vinci	1	2	2	2	7			

		Grundtvig	2	2	2	1	7		
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<sup>(1)</sup> Comenius mobility (2007: 120.000 pupils/40.000 staff) is only a part of the 3 million targets, which also includes pupils and staff participating in partnership projects (2007: 608.000/67.000).

<sup>(2)</sup> e-Twinning data are not included.

<sup>(3)</sup> The sum of coordinators and partners of Transfer of innovation projects and partners of Leonardo da Vinci partnerships

<sup>(4)</sup> 2007 was a transitional year for Comenius and Grundtvig Partnerships: these actions moved from one-year contracts renewable once, to two-year contracts. Hence column 2007 contains new 2-year contracts (Comenius: 5.095 – Grundtvig: 598) as well as renewed 1-year contracts and it is not comparable with the figures for 2008 onwards, which contain only new 2-year contracts.

<sup>(5)</sup> Grants awarded to institutions within Comenius School Partnerships (schools) and Comenius Regio Partnerships (local/regional authorities)

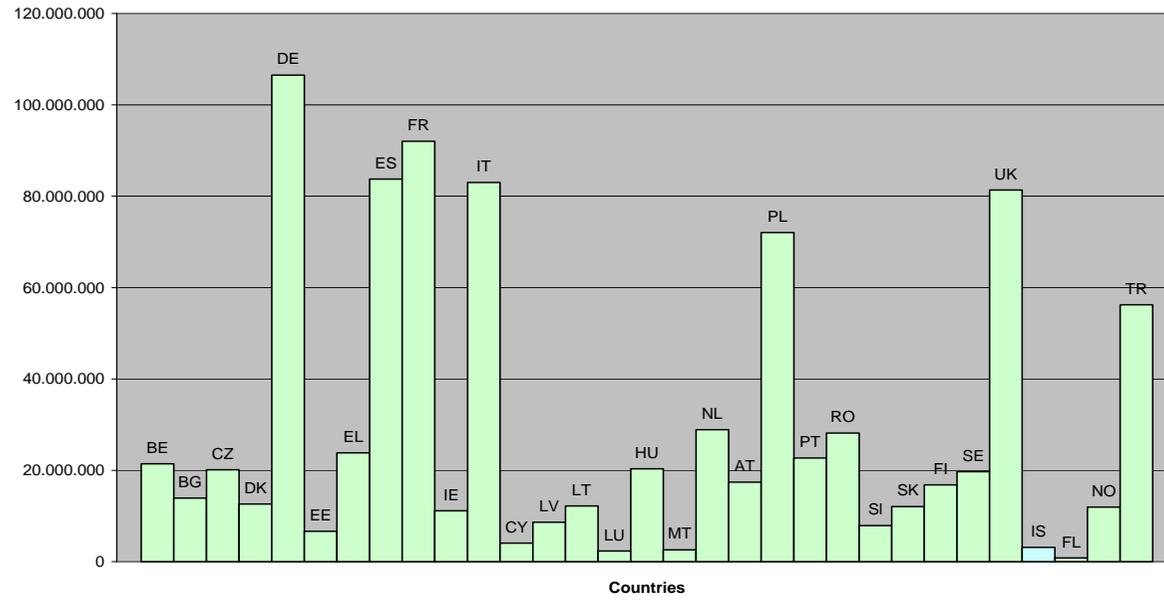
## Lifelong Learning Programme - Transversal Programme 2007-2010

			2007	2008	2009	2010
<b>KA1 Policy Cooperation/ Innovation in lifelong learning</b>	KA1 centralized total	Projects funded	6	7	6	6
		Organizations involved	143	186	71	41
<b>KA2 Languages</b>	Multilateral projects	Projects funded	21	20	21	24
		Organizations involved	158	138	159	129
	Multilateral networks	Projects funded	3	8	5	1
		Organizations involved	76	79	52	42
	Accompanying measures	Projects funded	1	2	3	2
		Organizations involved	3	8	11	9
<b>KA3 ICT</b>	Multilateral projects	Projects funded	21	15	25	24
		Organizations involved	160	127	184	170
	Multilateral networks	Projects funded	2	5	1	2
		Organizations involved	15	48	5	9
<b>KA4 Dissemination/ exploitation</b>	Multilateral projects	Projects funded	12	12	14	10
		Organizations involved	110	113	110	95

## Lifelong Learning Programme - Jean Monnet 2007-2010

	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
<b>Global presence (countries in the JM network)</b>	60	61	62	68
<b>Number of Jean Monnet teaching projects</b>	- 720 chairs - 1.936 modules and courses	- 757 chairs - 1.967 modules and courses	- 794 chairs - 1.998 modules and courses	- 837 chairs - 2.068 modules and courses
<b>Number of Jean Monnet Centres of Excellence</b>	112	134	145	155
<b>Number of student reached annually</b>	± 230.000	± 232.000	± 235.000	± 240.000

LLP Global Budget Received (2010)



### Annex 3: Main activities of the current Lifelong Learning Programme, and main challenges identified in the LLP interim evaluation

Main activities	Main challenges
<b>COMENIUS SUB-PROGRAMME</b>	
<p><i>Partnerships</i> are considered as one of the most successful Comenius actions in terms of the number of received applications, satisfaction of the beneficiaries and expected results, thanks to its flexibility and wide scope.</p>	<p>High participation <i>costs</i> for some schools (i.e. costs for finding and funding substitute teachers and in some cases allocation of own resources for successful implementation of the partnership).</p> <p>Lack of coordination among NAs in allocating the support for the partnerships. Since all partners need to apply for support in their own country, some partners might receive support, while the applications of other partners are rejected.</p>
<p><i>In-Service Training</i> has been praised due to its positive impact on the beneficiaries.</p>	<p>Uneven quality of the training provision is considered as an obstacle to higher satisfaction of institutional beneficiaries.</p>
<p><i>Assistantships</i> are regarded as successful with an increase of demand. Individual beneficiaries are overall satisfied with their participation. Improved linguistic and inter-cultural skills are commonly viewed as the key benefits for the assistants as well as for the students and the staff of the receiving school.</p> <p><i>Comenius Regio Partnerships</i> action presents high potential to complement the existing measures, broadening the target group to include regional authorities and removal of barriers between various sectors of education.</p>	<p>High rate of cancellations among the selected candidates. This is likely caused by the fact that the recent graduates experience radical changes in their personal and career plans, while lengthy selection procedures for assistantships require longer time commitments.</p> <p>Difficulty in organising assistantships in primary schools.</p>
<b>LEONARDO DA VINCI SUB-PROGRAMME</b>	
<p>The evaluation revealed a high value added in the provision of unique opportunities for internationalisation, widening of participation and support for innovations in VET. <i>Mobility actions</i> are considered as especially successful for their direct impact on the learners. The surveys of beneficiaries in several countries found that mobility has contributed to increased language skills, intercultural competences and professional development. There was some evidence that placements have directly contributed to enhanced employability of the trainees.</p>	<p>Lack of language skills prevents higher levels of mobility of learners and trainers.</p> <p>Difficulties in developing partnerships (with schools, but especially with host employers and SMEs in particular).</p> <p>Difficulties in securing adequate level of participation of the trainers in mobility actions.</p>
<p><i>Partnerships and innovation transfer</i> projects are seen as an important instrument for exchanges of best practice. Focus on the development of concrete products is considered to be one of the most important preconditions for the success of such projects.</p>	

Main activities	Main challenges
<b>ERASMUS SUB-PROGRAMME</b>	
<p><i>Students' mobility</i> considerably contributes to language learning, understanding of the diversity of cultures and personal development. <i>Teachers' and other educational staff's mobility</i> is seen as important for the professional development of the beneficiaries and has a positive impact on the students' motivation in the recipient higher education institutions (HEIs). In addition to individual-level benefits, mobility actions have also considerably contributed to the internationalisation of HEIs. For instance, attempts to facilitate students' mobility led to the establishment of offices for international affairs, which expanded their functions to encompass direct contacts with other HEIs. Furthermore, the development of intensive programmes, participation in networks and multilateral projects has contributed to higher intensity of cooperation between HEIs.</p> <p>It is likely that without the <i>Erasmus Intensive Language Courses (EILC)</i> action participants would not be able to learn the local language.</p>	<p>Numbers of outgoing students have not been rising as fast as expected or have been decreasing.</p> <p>Inadequately small grants for mobile students (and teachers) hinder more effective implementation of Erasmus. This poses an obstacle to further increases in the numbers of mobile students and it has a negative effect on equal opportunities: students from less well-off families face disincentives to participate in the programme.</p>
<b>GRUNDTVIG SUB-PROGRAMME</b>	
<p>The number of applications (particularly for mobility actions) has increased in the majority of the participating countries and it has increased access for a range of target groups, including those with special needs, immigrants and prisoners. Grundtvig complements national efforts at developing an adult learning community and facilitating cooperation. The <i>learning partnerships</i> have resulted in particularly high quality outcomes. <i>In-service training</i> has demonstrated considerable potential for enhancing the competences of the beneficiaries and increasing the overall quality of adult education.</p>	<p>The diversity of the adult education sector. The learning opportunities are provided by a diverse range of actors and the implementation of Grundtvig faces difficulties in involving them in the programme.</p> <p>The number of different actions, different rules and different application deadlines, and occasional uncertainty about the interpretation of the rules, made it difficult to clearly present the programme to interested stakeholders and has increased the management costs.</p>
<b>TRANSVERSAL SUB-PROGRAMME</b>	
	<p>It has been suggested that the Transversal programme's budget does not match the scale and scope of the programme objectives.</p> <p>Evidence from the interim evaluation suggests that the current structure of the Transversal programme does not reduce fragmentation in education policies and does not provide the best cost-effectiveness.</p> <p>The recommendation is to structure it along the lines of thematic cross-sectoral calls on languages, ICT, innovation etc. This would allow the expansion or</p>

Main activities	Main challenges
	integration of some themes, depending on the needs of the E&T community and budget availability.
<b><i>KA 1: Policy cooperation and innovation in LLP</i></b>	
<p>KA1 activities included study visits (involving more than 6 300 education and vocational training specialists and decision makers), grants for studies and comparative research and various policy cooperation activities, (Eurydice Network, Europass initiative, Euroguidance network, PLOTEUS portal, etc.), Presidency events, and specific calls for proposals.</p>	<p>For the activity ‘Studies and Comparative Research’ there is an implementation gap between the specific nature of this action, the quality of project proposals as well as their results, resulting in a limited utility for informing policy making.</p>
<b><i>KA 2: Languages</i></b>	
<p>KA2 creates a space for the development of high quality methodologies and materials, which would not be available in the absence of EU funding. The projects are felt to be higher quality in comparison to language projects funded by the LLP sectoral sub-programmes, due to a more specialist focus on high quality language learning methodologies.</p> <p>The programme actively stimulates cooperation which would otherwise be lost.</p> <p>Participation in both centralised and decentralised projects has an automatic impact on the participants’ foreign language skills.</p>	<p>Project success is strongly dependent on the management skills of the leading beneficiary - inexperienced project managers sometimes cannot cope with the high demands of managing a European project and some projects produce high quality results but fail to exploit them or add onto their success.</p> <p>To have a long-lasting impact on the status of multilingualism in Europe, structural changes in national systems are needed.</p> <p>The widespread dominance of the English language can make it hard for projects to generate sufficient support and interest for their projects.</p>
<b><i>KA 3: Development of ICT-based content</i></b>	
<p>KA 3 Multilateral Projects and Multilateral Networks encourage innovation and creativity in learning and teaching and links learning communities through the use of ICT.</p> <p>According to the statistical Report of 2009, KA 3 ICT activities are also complementary to other activities such as KA2 (language).</p> <p>The implementation of the KA3 is linked with the activities of DG Enterprise and Industry (e-Skills of professionals), DG Information Society and Media (e-inclusion and digital literacy) and DG Research (research and development in the area of technology-enhanced learning).</p>	<p>Insufficient resources/ high level of competition (1:13 success ratio).</p>
<b><i>KA 4: Dissemination and exploitation of results and exchange of good practice</i></b>	
<p>D&amp;E activities are important to support project</p>	<p>Expertise about dissemination and exploitation is not</p>

<b>Main activities</b>	<b>Main challenges</b>
<p>managers to exploit the outcomes and experience from their projects and to try to ensure sustainability of their work. D&amp;E are also necessary to ensure that stakeholders external to the LLP (e.g. policy makers) become aware of the results of LLP projects. Through large-scale D&amp;E activities, beneficiaries can learn from each other and use each others' networks to reach other actors, for example at policy level.</p> <p>The mandatory valorisation plan for project proposals has made stakeholders more aware of the need for D&amp;E.</p> <p>KA4 can lead to a closer connection of the different sub-programmes.</p>	<p>always equally present among beneficiaries and lack of it among individual beneficiaries is an obstacle to effective use of project results.</p> <p>It can be questioned whether the means provided for the KA4 and accompanying measures match the aspirations.</p> <p>The main barrier is the knowledge and expertise of the project team and the composition of the consortium.</p> <p>The general impression is that no lessons are drawn from the monitoring activities.</p>
<b>JEAN MONNET ACTIONS</b>	
<p>The Jean Monnet programme supports the development of specific actions (Jean Monnet Chairs, Ad Personam Chairs, Centre of Excellence, European Modules, Associations of Professors and Researchers, Information and Research activities, Multilateral Research groups), supports specified institutions dealing with issues relating to European integration and European associations active at European level in the field of education and training. It is considered that other mechanisms would not have provided better cost-effectiveness. This is due to the concentration of limited financial resources on institutions with a proven record of excellence and the establishment of a quality label that allows better targeting and dissemination.</p>	<p>Limited resources/high level of competition</p> <p>Small number of beneficiaries from non-EU countries</p>

#### ANNEX 4: Linking operational objectives to current performance gaps

Performance gaps of the current LLP	Operational objectives of the future programme
<b>A very significant demand for more available finance to support mobility</b>	<p>To increase HE and VET students learning mobility opportunities in order to study or have a work experience</p> <p>To support staff mobility, in particular for teachers, trainers, school leaders</p>
<b>Prevailing obstacles to learning mobility</b>	<p>To develop Erasmus Masters for higher education students, through new loan guarantee mechanism</p> <p>To support introduction and use of tools for the recognition and transparency of skills and qualifications obtained through mobility</p> <p>To increase HE and VET students learning mobility opportunities in order to study or have a work experience (<i>including linguistic preparation</i>)</p>
<b>The direct influence of LLP actions on the modernisation of education and training systems is still hard to observe and estimate.</b>	<p>To support staff mobility, in particular for teachers, trainers, school leaders</p> <p>To support strategic partnerships between education and training organizations and with other relevant actors</p> <p>To support partnerships between education institutions and businesses</p> <p>To support IT support platforms, including e-Twinning</p> <p>To strengthen the international exchange of good practices and the evidence base for effective and efficient policies, systems and practices in the field of education and training;</p>
<b>Variations in performance and the quality of education and training as well as its relevance for the labour market are pronounced in Europe</b>	<p>To support staff mobility, in particular for teachers, trainers, school leaders</p> <p>To increase HE and VET students learning mobility opportunities in order to study or have a work experience</p> <p>To support strategic partnerships between education and training organizations and with other relevant actors</p> <p>To support partnerships between education institutions and businesses</p> <p>To support IT support platforms, including e-Twinning</p> <p>To strengthen the international exchange of good practices and the evidence base for effective and efficient policies, systems and practices in the field of education and training;</p> <p>To promote teaching and research on European integration.</p>
<b>To simplify the administrative architecture of the programme</b>	<p>To reduce from 60 to 11 the number of activities supported</p> <p>To extend the use of lump sum</p> <p>To introduce a single audit principle</p>

## ANNEX 5: HOW CURRENT LLP ACTIONS SHOULD BE TRANSFORMED INTO FUTURE ACTIONS

Current Actions	Future actions
<ol style="list-style-type: none"> <li>1. COMENIUS PREPARATORY VISITS → <b>to be mainstreamed in mobility action</b></li> <li>2. COMENIUS ASSISTANTSHIPS (ASSISTANTS) → <b>to be discontinued</b></li> <li>3. COMENIUS ASSISTANTSHIPS (HOST SCHOOLS) → <b>to be discontinued</b></li> <li>4. COMENIUS INDIVIDUAL PUPIL MOBILITY → <b>to be mainstreamed</b></li> <li>5. COMENIUS IN-SERVICE TRAINING FOR TEACHERS AND OTHER EDUCATIONAL STAFF (IST)</li> <li>6. ERASMUS PREPARATORY VISITS → <b>to be mainstreamed in mobility action</b></li> <li>7. ERASMUS ORGANISATION OF MOBILITY</li> <li>8. ERASMUS STUDENT MOBILITY FOR STUDIES</li> <li>9. ERASMUS STUDENT MOBILITY FOR PLACEMENTS</li> <li>10. ERASMUS STAFF MOBILITY – TEACHING ASSIGNMENTS BY HEI TEACHING STAFF AND BY INVITED STAFF FROM ENTERPRISES</li> <li>11. ERASMUS STAFF MOBILITY – TRAINING FOR HEI STAFF AT ENTERPRISES AND AT HEI</li> <li>12. ERASMUS INTENSIVE LANGUAGE COURSES - <b>to be discontinued/replaced by on-line language courses</b></li> <li>13. ERASMUS UNIVERSITY CHARTER</li> <li>14. ERASMUS CONSORTIUM PLACEMENT CERTIFICATE</li> <li>15. LEONARDO DA VINCI PREPARATORY VISITS → <b>to be mainstreamed in mobility action</b></li> <li>16. LEONARDO DA VINCI INITIAL VOCATIONAL TRAINING (IVT)</li> <li>17. LEONARDO DA VINCI PEOPLE IN THE LABOUR MARKET (PLM) - <b>to be discontinued</b></li> <li>18. LEONARDO DA VINCI VETPRO (VET PROFESSIONALS)</li> <li>19. LEONARDO DA VINCI MOBILITY CERTIFICATE</li> <li>20. GRUNDTVIG PREPARATORY VISITS → <b>to be mainstreamed in mobility action</b></li> <li>21. GRUNDTVIG VISITS AND EXCHANGES FOR ADULT EDUCATION STAFF (VIS)</li> <li>22. GRUNDTVIG ASSISTANTSHIPS (ASS) <b>to be discontinued</b></li> <li>23. GRUNDTVIG IN-SERVICE TRAINING FOR ADULT EDUCATION STAFF (IST)</li> <li>24. GRUNDTVIG WORKSHOPS <b>to be discontinued</b></li> <li>25. GRUNDTVIG LEARNING PARTNERSHIPS</li> <li>26. GRUNDTVIG SENIOR VOLUNTEERING PROJECTS <b>to be discontinued</b></li> <li>27. KA1 STUDY VISITS FOR EDUCATION AND VOCATIONAL TRAINING SPECIALISTS AND DECISION MAKERS <b>to be discontinued</b></li> </ol>	<p style="text-align: center;"><b>Transnational individual mobility</b></p> <ul style="list-style-type: none"> <li>- <i>staff mobility, in particular for teachers, trainers, school leaders and youth workers;</i></li> <li>- <i>mobility for higher education students (including joint/double degrees) and VET students;</i></li> <li>- <i>Erasmus Master for higher education students, with a new loan guarantee mechanism;</i></li> </ul>

<p>28. COMENIUS MULTILATERAL SCHOOL PARTNERSHIPS</p> <p>29. COMENIUS BILATERAL SCHOOL PARTNERSHIPS</p> <p>30. COMENIUS REGIO PARTNERSHIPS <b>to be extended to other sectors</b></p> <p>31. COMENIUS MULTILATERAL PROJECTS</p> <p>32. COMENIUS ACCOMPANYING MEASURES <b>to be mainstreamed</b></p> <p>33. eTWINNING</p> <p>34. ERASMUS INTENSIVE PROGRAMMES <b>to be discontinued/integrated in cooperation projects</b></p> <p>35. ERASMUS MULTILATERAL PROJECTS</p> <p>36. ERASMUS ACCOMPANYING MEASURES <b>to be mainstreamed</b></p> <p>37. LEONARDO DA VINCI PARTNERSHIPS</p> <p>38. LEONARDO DA VINCI TRANSFER OF INNOVATION</p> <p>39. LEONARDO DA VINCI DEVELOPMENT OF INNOVATION</p> <p>40. LEONARDO DA VINCI ACCOMPANYING MEASURES <b>to be mainstreamed</b></p> <p>41. GRUNDTVIG MULTILATERAL PROJECTS</p> <p>42. GRUNDTVIG ACCOMPANYING MEASURES <b>to be mainstreamed</b></p> <p>43. KA2 NEW MATERIALS / ONLINE COURSES / AWARENESS RAISING <b>to be mainstreamed</b></p> <p>44. KA2 ACCOMPANYING MEASURES <b>to be mainstreamed</b></p> <p>45. KA3 MULTILATERAL PROJECTS <b>to be mainstreamed</b></p> <p>46. KA4 MULTILATERAL PROJECTS <b>to be mainstreamed</b></p>	<p style="text-align: center;"><b>COOPERATION PROJECTS</b></p> <ul style="list-style-type: none"> <li>- <i>Strategic partnerships between education establishments/youth organisations and/or other relevant actors.</i></li> <li>- <i>Knowledge Alliances between higher education establishments and businesses .promoting innovation</i></li> <li>- <i>Sector skills alliances between education institutions and businesses promoting employability</i></li> <li>- <i>IT support platforms, including e-Twinning.</i></li> </ul>
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<p>47. COMENIUS MULTILATERAL NETWORKS<b>to be mainstreamed</b></p> <p>48. LEONARDO DA VINCI NETWORKS<b>to be mainstreamed</b></p> <p>49. ERASMUS ACADEMIC NETWORKS<b>to be mainstreamed</b></p> <p>50. GRUNDTVIG MULTILATERAL NETWORKS<b>to be mainstreamed</b></p> <p>51. KA1 STUDIES AND COMPARATIVE RESEARCH</p> <p>52. KA1 NETWORKS <b>to be mainstreamed</b></p> <p>53. KA2 MULTILATERAL NETWORKS <b>to be mainstreamed</b></p> <p>54. KA3 MULTILATERAL NETWORKS <b>to be mainstreamed</b></p>	<p style="text-align: center;"><b>SUPPORT FOR POLICY REFORM</b></p> <ul style="list-style-type: none"> <li>- <i>Support to open methods of coordination</i></li> <li>- <i>EU tools: valorisation and implementation.</i></li> <li>- <i>Policy dialogue</i></li> </ul>
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**Jean Monnet Activities**

## Annex 6: Detailed description of the EU loan guarantee

### How would an EU student loan guarantee operate?

Even with a closely defined target group such as mobile Masters<sup>33</sup>, providing the full capital for loans directly from the EU budget would be too onerous financially (involving a 'loan book' likely to be in the billions in the long term), and would require a high level of administration at the EU level/a new EU Agency.

It is more realistic for the **EU to act as a guarantor against the possible default on loans**, which would be disbursed by financial intermediaries, funded from private sources (essentially banks). In practice, the EU would shoulder an important part of the risk of default making loans possible at reasonable interest rates.

Proposals for an EU student loan should be built into the new financial instruments of the post-2013 Multiannual Financial Framework. The EU student loan guarantee fund would be established within the framework of the planned **EU Debt Platform**.

The underlying budget to establish the EU student loan guarantee fund would come from **EU education programmes**; the necessary provisions would be built into the Decision establishing the new Single Programme for education, training, youth and sport for 2014-2020.

**Capital for the loans would be leveraged from banks** (Financial Intermediaries). **Financial institutions at national/regional level would act as the direct contact point with potential borrowers**, disbursing loans and collecting repayments. These would be selected to participate following an expression of interest procedure by a nominated Managing body, possibly the European Investment Fund, based upon guidelines established by the EC and the EIB.

Given the cross-border nature of the initiative, **a limited number of common criteria should be set at EU level**, particularly for repayment mechanisms and administrative requirements (notably a common on-line application form, and common eligibility criteria, e.g.: student to be an EU (*or candidate country, EEA*) resident and have been accepted to attend a *nationally recognised study programme at Masters level in another country of the EU (+ candidate /EEA), no adverse information on the student in the banking system such as bankruptcy or default on other loans*).

**Students would be automatically directed to the appropriate Financial Intermediary in their chosen country from the European Commission's web pages**, possibly as part of Youth on the Move portal. This establishes a visible entry point to a branded 'EU Student Loan', including a presentation of basic information such as common eligibility criteria. All operational information and processing would take place at a local level (by the banks).

**Repayment of loans** would be via 'normal' bank loan mechanisms. During the repayment phase proof of income provided by the graduate or through official sources would allow the Financial Intermediary to establish whether the borrower qualifies for exemption from

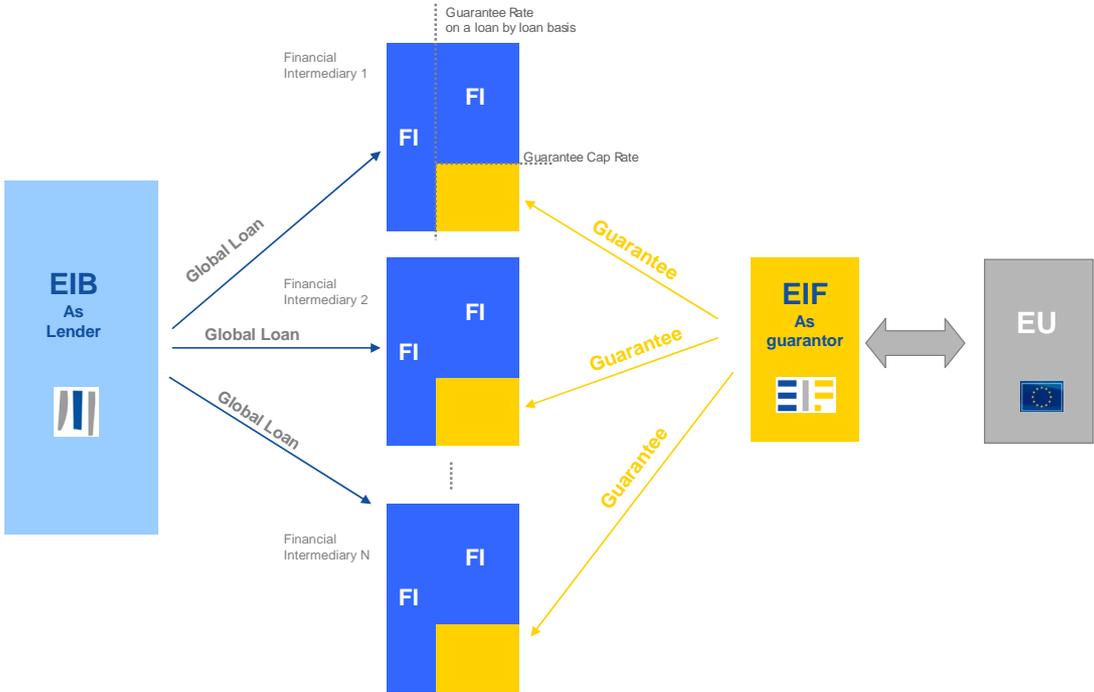
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<sup>33</sup> Estimated at more than 300 000 student per year by independent research on the potential for an EU student loan.

repayment (grace period) or for payment holiday (period where they could freeze repayments e.g. during a spell of unemployment or maternity).

If a graduate **defaults** on the loan, the Financial Intermediary would apply to the EU Student Loan fund for part-reimbursement. The cost of the default would be shared between the Financial Intermediary and the European Student Loan (EU contribution). The level of risk-sharing should be sufficiently attractive to the Financial Intermediary in order to secure their participation, but should not lead to moral hazard (i.e. Financial Intermediary should not find it easier to recover the money from the EU contribution than pursuing the graduate borrower to repay). An **appropriate risk sharing may be in the range of 60-70 % to be shouldered by the EU contribution.**

**European Student Loan architecture (EIB and EIF are provided as examples):**



## **Annex 7: Detailed description of impacts of the four identified options**

*N.B.:* given that the environmental impacts of options for the programme in education and training are negligible or not relevant, they were not taken into account for the purposes of this impact assessment

### **SOCIAL IMPACTS**

#### **Option 1 – "Status quo" - continuation of the current LLP (baseline option)**

Overall the new programme would only reach a limited number of participants from disadvantaged socio-economic groups, as the costs of mobility would prevent their participation in mobility experiences. The risks of social selectivity of the participants identified for HE student mobility<sup>34</sup> in the current programme would remain; similarly, in VET, some participants would still be prevented to participate because of a too small subsistence grant<sup>35</sup>.

Regarding the organisational and systemic level, the programme would still be a driving force for the implementation of European tools for mobility such as the ECTS, ECVET, Europass or the EQF and would continue to be a driver for the internationalisation of education and training. The continuation of the LLP would also contribute to support policy processes such as the Bologna and the Copenhagen process<sup>36</sup> and, to a lesser extent, the OMC.

The continuation of the LLP would facilitate access to the labour market of participants by having a significant positive impact on their skills and employability<sup>37</sup>. It could be expected that involvement in programme activities would still bring similar benefits to participants in this respect as in the current programming period. Mobility activities focused on teachers and trainers would continue to support their career development. Most of the staff mobility supported by the programme would take place in HE; with some staff mobility also happening in VET and schools.

The continuation of the LLP would make a significant contribution to the promotion of European citizenship similarly to the current LLP, which has strengthened sense of European citizenship for 91 % of Comenius and Grundtvig participants, 82 % of Erasmus participants and 83 % of Leonardo participants.

#### **Option 2 – No action**

With the discontinuation of the programme, future developments in the area of mobility, cooperation and policy development would be much more fragmented and bilateral, would

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<sup>34</sup> Souto-Otero, M. and McCoshan, A., The socio-economic background of Erasmus students. Final report to the European Commission. ECOTEC Research and Consulting, Birmingham 2006.

<sup>35</sup> LLP Interim evaluation report.

<sup>36</sup> LLP Interim evaluation report.

<sup>37</sup> Ibid.

take place at a smaller scale and would not develop as consistently across EU Member States, due to the diminution of available financial resources and the lack of consistent drive<sup>38</sup>.

Inequalities in access to mobility opportunities for learning would accentuate. Mobility to a smaller set of countries would prevail, leaving those countries where minority languages are spoken at disadvantage. There would also be greater social inequalities in mobility, as only people who can afford to participate in such activities without the funding of the LLP will continue to do so. Volunteering and youth activities would not be brought together with education.

Teacher and trainers<sup>39</sup> mobility would probably be limited to language teachers – except for higher education. The teachers with knowledge of other countries and systems in addition to their own, as well as examples of their good practices, would consequently be reduced.

The discontinuation of the programme and the significant decrease in cooperation activities which would result from it would also have negative impacts on the implementation of the OMC and related processes such as the Bologna and Copenhagen process. The OMC (through European benchmarking, peer learning activities and other fora of learning, etc) would still contribute to stimulate the development of national education and training policies. However, current weaknesses of the OMC, such as the insufficient involvement of various stakeholders in the process and the low level of ownership and visibility of its objectives, would be further aggravated.

The role filled by the LLP could not be assumed by any other EU programmes such as the European Social Fund (ESF). ESF supports LLL approaches but has different target groups and much lesser focus on actions to innovate the systems, structures or modes of delivery and spreading good practice through transnational cooperation and international mobility.

A negative impact on labour markets would be expected as the discontinuation of the programme. The current benefits in terms of skills improvements and attitudes of the LLP participants (about 300.000 participants per year) would be lost. The usage of the tools and structures that currently facilitate mobility – such international offices and transparency tools - would also suffer as a consequence.

The discontinuation of the programme would result in missed opportunities in terms of development of European citizenship and the understanding of European integration. As some of the most popular EU actions in the eyes of the citizens would disappear, this would create a negative image of the Union.

### **Option 3 – Strengthening the objectives of the programme**

In comparison to baseline scenario, the social impact would increase in relation to the most significant problems faced by Europe in its skills development. In terms of social cohesion, it is likely that the concentration of activities would favour those countries and groups that are worse-off in terms of skills development, in particular through the new emphasis on basic skills.

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<sup>38</sup> LLP Interim evaluation report, PPMI 2010 ([http://ec.europa.eu/dgs/education\\_culture/evalreports/index\\_en.htm#ccp08](http://ec.europa.eu/dgs/education_culture/evalreports/index_en.htm#ccp08)).

<sup>39</sup> For the purposes of this impact assessment report, 'teacher' covers both 'teachers and trainers'.

The future programme would achieve a more significant impact on a smaller set of priorities that count the most. This would increase the relevance of the programme impact in relation to wider policy developments and benchmarks. Greater partnership work with other organisations and sectors outside education – such as the productive and voluntary sector – would take place.

This option is expected to result in the improvement of the skills supply in the short-term through mobility and in the medium term through international learning at the practitioner and policy level. The future programme would be expected to facilitate the access to the labour market of participants by having a positive impact on their employability, and to also affect their type and quality of employment.

The future programme would considerably contribute to the promotion of European citizenship. It would enhance the perception of beneficiaries of being European citizens and empower them to contribute to economic and social life, in this sense not differing strongly from the baseline option. A focus on hard-to-reach and disadvantaged groups could also favour the development of European citizenship among those participants who are traditionally not engaging in any transnational activity.

#### **Option 4 – A single programme for education, training, youth and sport**

The integration and considerable simplification of the programme would generate a positive impact in terms of administrative expenditure and accessibility: more individuals and education and training institutions could be in a position to apply for funding, with the establishment of mobility ‘one stop shops’ (integrated NAs). The programme would also help promote the development of lifelong learning in a more efficient way.

Benefits in the promotion of European citizenship and multilingualism could be expected, with an even greater impact if the programme would be successful in stimulating a further development of individual learning mobility.

As in the case of option 3, the future programme would achieve a more significant impact on a smaller set of priorities that count the most. This would increase the relevance of the programme impact in relation to wider policy developments and benchmarks. The simplification of the programme would encourage more participation from education and training institutions and individuals, as well as cross-sectoral work, resulting in a greater social impact in terms of scale.

Compared to the current LLP, the new programme would contribute to addressing more effectively the most important problems faced by Europe in the development of the skills of its workforce. Strong positive social impacts could be expected, both at the micro level (in terms of individual skills development and socio-professional insertion) and macro level (performance of lifelong learning systems and of labour markets) from this option. In terms of social cohesion, it is likely that the concentration of activities would favour those countries and groups that are worse-off in terms of skills development, in particular through the new emphasis on basic skills.

Under this option, there would also be greater emphasis on internationalisation and cooperation with third countries, in particular those of strategic importance for Europe.

In addition, involvement in the new programme's activities would give participants a sense of being European citizens, empower them to contribute to economic and social life and contribute to the development of multilingualism. A greater focus on activities that focus on the hard-to-reach groups who traditionally do not engage in transnational processes could favour the development of European citizenship among specific disadvantaged groups of the population.

## ECONOMIC IMPACTS

### **Option 1 – "Status quo" - continuation of the current LLP (baseline option)**

The programme would improve to a limited extent the functioning of the single market by increasing the number of people willing to work abroad and obtaining jobs abroad. It would also facilitate the transparency of qualifications with a similar aim. Thus there would be a mid- and long-term positive impact on competitiveness at the European level, thanks to the improvement of the skills levels of the population and to a better allocation of human capital in Europe through mobility.

While there would be no transition costs, the costs to manage the high number of different activities and sub-programmes, with a certain degree of duplication, would remain. There are also dissemination and time costs involved in the need for potential beneficiaries to understand a complex programme and how they can benefit from it.

### **Option 2 – No action**

The discontinuation of the programme would entail an immediate reduction of costs associated to the management of the programme, but costs for related activities implemented at national levels would increase to support bilateral and multilateral agreements. Further negative impacts would be associated with the effects of discontinuation on skills formation levels and on the labour market, as described above. The discontinuation of the programme could aggravate future shortages of labour-market relevant skills such as linguistic skills, communication skills and technical skills resulting in loss of productivity and competitiveness.

### **Option 3 – Strengthening the objectives of the programme**

Economic impacts are likely to be positive as the future programme would tackle, in a more effective way, problems which generate huge costs in terms of unemployment benefits and active labour market measures, as well as hidden costs in terms of loss of productivity. Even with a moderate contribution to the reduction of these problems, the future programme would ensure significant savings and generate growth in the long-term. By improving its skills supply, Europe would become a more attractive business location, which has positive consequences for the smart growth of the European economy.

In terms of management costs, in the short term there would be a substantial reallocation of management and administrative staff thematically and into new priorities, which would generate a moderate increase in costs as a result of transition processes. However, in the medium term there would be a reduction of costs and an increase in efficiency. Costs would be lower and efficiency higher when the whole life of the programme is taken as the time-horizon for analysis.

### **Option 4 – A single programme for education, training, youth and sport**

By improving the quality of its skills supply and the performance of its lifelong learning systems and labour markets, the new programme would contribute to supporting productivity, competitiveness and growth in Europe and would thus achieve substantial positive economic impacts.

The new programme would contribute to improving the levels of competitiveness in Europe in a global perspective by placing greater emphasis on cooperation and mutual exchange with third countries in the higher education sector, which would strengthen the capacities of European universities to innovate and remain poles of excellence at the global level. Through its contribution to the improvements in the quality of skills the programme would also help make Europe a more attractive business location worldwide, which would have positive consequences for the smart growth of the European economy.

For national authorities, required changes due to the integration of different programmes would require initial adaptation of National Agencies. Such negative impacts would be relevant to the starting point of the programme, whereas there would be significant economies of scale in the long-term perspective, compared to the current management of the LLP, Erasmus Mundus and Youth in Action, linked to:

- The possible establishment of one single National Agency per country. As noted by the LLP interim evaluation report, in some countries, the establishment of a single National Agency improved co-ordination, made the use of administrative resources more efficient, reduced the duplication of administrative tasks and facilitated cross-sectoral integration at the national level. Having the same entry port to European programme would be beneficial for EU citizens and namely young people, even if just in terms of accessing information.
- Full standardisation of documents and procedures and streamlined back office.

**Option 1 – "Status quo" - continuation of the current LLP (baseline option)**

The programme would still have positive impacts in relation to a number of fundamental rights, such as the right to education and right to freedom of movement. Mobility flows would also consider linguistic diversity, as countries with less spoken languages are involved in mobility flows.

**Option 2 – No action**

The discontinuation of the programme would not contribute to the creation of the necessary conditions for European citizens to actively enjoy the right to move and work across the EU. Mobility flows would respect linguistic diversity to a lower extent, as countries with less spoken languages would be less involved in mobility flows.

**Option 3 – Strengthening the objectives of the programme**

This option would provide a positive impact on fundamental rights, as it would put greater emphasis on ensuring the right to education of all in the EU – in particular those more disadvantaged - than in the baseline scenario.

**Option 4 – A single programme for education, training, youth and sport**

This option would have a positive impact on fundamental rights, as it would put greater emphasis than the baseline scenario on ensuring the right to education of EU citizens – in particular those more disengaged with the education system. It would also have a positive impact on the right to freedom of movement and would address non-discrimination on the bases of gender and disability in the same way as the baseline. Mobility flows would also consider linguistic diversity, as countries with less spoken languages would be involved in mobility flows.

### Annex 8: Tentative cost-effectiveness analysis of the four identified options

	<b>Option 1</b> Status quo (baseline option)	<b>Option 2</b> No action	<b>Option 3</b> Strengthening the objectives of the programme	<b>Option 4</b> Single programme for education, training, youth and sports  (Preferred Option)	<b>MFF budget (annual)</b> Available resources
			<p>Due to refocusing on activities of maximum EU added value :</p> <ul style="list-style-type: none"> <li>- Reduction of budget (-16%)</li> <li>- Reduction of actions</li> </ul> <p>(15 % savings)</p>	<p>Due to refocusing on activities of maximum EU added value and to simplification of delivery mechanisms linked to the merge of programmes:</p> <ul style="list-style-type: none"> <li>- Reduction of budget (-16%)</li> <li>- Great reduction of actions</li> <li>- Economies of scope and scale in management delivery mechanisms</li> </ul> <p>(40% savings)</p>	<ul style="list-style-type: none"> <li>- Increase in budget (+70%)</li> <li>- Reduction of actions due to the refocused and simplified programme</li> <li>- Economies of scope and scales due to the merge of the current programmes</li> </ul>
<b>Human Resources</b>	<b>165FTE</b>	<b>0m€</b>	<p>165FTE - 15% = <b>140 FTE</b></p>	<p><i>Savings due to merge</i> (165FTE+Youth+EM+Sport) - 10% = (50 + 61) - 10% = <b>204 FTE</b></p> <p><i>Savings due to merge, refocusing and simplification</i> (165FTE + Youth+EM+Sport) - 40% = (165 + 61) - 40% = <b>136 FTE</b></p>	<p><b>204 FTE</b></p> <p><i>(Resources currently allocated to the existing programmes, including a 10% reduction due to programmes' merging)</i></p>

	<b>Option 1</b> Status quo (baseline option)	<b>Option 2</b> No action	<b>Option 3</b> Strengthening the objectives of the programme	<b>Option 4</b> Single programme for education, training, youth and sports  (Preferred Option)	<b>MFF budget (annual)</b> Available resources
<b>Operating grant (National Agencies)</b>	<b>50m€</b>	<b>0m€</b>	50m€-15%= <b>43m€</b>	<i>Savings due to merge, refocusing and simplification</i>  (50m€+Youth) -40% = (50m€+11m€) - 40% = <b>37m€</b>	<b>61 m€</b>
<b>Operating grant (Education, Audiovisual and Culture Executive Agency)</b>	<b>20m€</b>	<b>0m€</b>	20m€-15%= <b>17m€</b>	<i>Savings due to refocusing and simplification:</i>  (20m€+ Youth + EM) - 15% -15% = (20m€+ 3m€+ 3m€) - 30%= <b>18m€</b>	<b>To be further examined</b>
<b>PM yearly budget managed prices 2011</b>	<b>1 027m€</b>	<b>0m€</b>	<b>1 027m€-15% =</b> <b>873m€</b>	<i>Savings due to refocusing</i>  (1027m€+Youth+EM+Sport) - 15%=(1027+133+97+7)-15%= <b>1074m€</b>	<b>15.2m€7years=</b> <b>2 170m€</b>
<b>Labour intensity (Meuros/FTE)</b>	<b>6.22</b>	<b>0</b>	<b>6.23</b>	<b>7.89</b>	<b>10.63</b>

### Annex 9: Current LLP monitoring indicators (2007-2013)

Number	Indicator	Description
1	Grants by consortia	Number and size
2	Grants by partner	Number and size
3	Grants per participant	Number and size (number of staff, students, pupils, learners, per country)
4	Consortium composition and size (size, legal status and commercial orientation)	Type of partners, hosts and homes, per action, per country
5	Consortium composition and size, by type of institution	Type of participating institutions (institution type, sector), per country
6	Consortium composition and size, intensity of cooperation and country of coordinator	Number of consortia, number of partners per consortia, per coordinator country, per partner country
7	From/to mobility	Number students, pupils, learners, in-flows and out-flows matrix per country
8	Duration of mobility	Number of participant in-flows and out-flows durations, per country
9	Educational map of action	Subjects, educational areas (ISCED), of the project, per action
10	Social cohesion topics addressed by the projects	Social cohesion topics addressed by the project (cultural diversity, xenophobia, special needs, equal treatment, sexual discrimination, racial discrimination, age discrimination).

## Annex 10: Tentative list of indicators for the monitoring and evaluation of the future programme

*N.B. The targets identified in the table below are not those of the programme only. They are European targets including in particular national funding. They should be read as overall targets for which it is difficult to quantify the programme's own contribution.*

Indicators	Sources of data	Target	Related objective
<ul style="list-style-type: none"> <li>Tertiary level attainment</li> <li>Early school leavers</li> </ul>	EU 2020 ET2020 reports Eurostat	By 2020, at least 40% of 30-34 year olds should be higher education graduates.  By 2020, not more than 10% of 18-24-year-olds have only lower-secondary education and are not enrolled in education or training.	To empower individuals of all ages and social backgrounds by contributing to the development of quality education and training systems, as part of the EU 2020 strategy of smart, inclusive and sustainable growth and of the ET 2020 strategic framework. <i>(General E&amp;T objective)</i>
% of participants who have increased their key competences and/or their skills relevant for their employability	Eurostat Final report of beneficiary Surveys/Eurobarometer	By 2020, 95% of people who state having gained or improved key-competences through their participation in a programme project	To improve the level of key competences and skills, including linguistic dimension through increased transnational learning mobility opportunities for learners and staff <i>(Spec. obj. 1)</i>
% of organisations that have participated in the Programme and that have developed/adopted innovative methods	Surveys/Eurobarometer Final report	Yearly increase	To foster quality improvement, innovation and internationalisation in education and training institutions, through enhanced transnational cooperation and good practices <i>(Spec. obj. 2)</i>
Number of member states making use of the results of the Open method of coordination in their national policy development	ET 2020	All Member states take the relevant information/results available from the education and training OMC systematically into consideration by 2020	To support the framework of European cooperation in the field of education and training <i>(Spec. obj. 3)</i>
Number of non EU higher education institutions involved in the mobility and cooperation actions	Final report IT monitoring tool Surveys/Eurobarometer	Yearly increase	To enhance the international dimension of education, training and youth, notably in higher education, through international and regional cooperation for mutual learning and targeted capacity building in non EU countries <i>(Int. coop.)</i>
% of participants who have increased their language skills		By 2020, at least 80% of lower secondary pupils are taught two foreign languages or more	To improve the level of key competences and skills, including linguistic dimension through increased transnational learning mobility opportunities for learners and staff

			<i>(Spec. obj. 1)</i>
Number of students receiving training through Jean Monnet activities.	Final report IT monitoring tool Surveys/Eurobarometer	Yearly increase	To promote excellence in European integration through the Jean Monnet activities worldwide <i>(Spec. obj. Jean Monnet)</i>
% of participants who use the results of cross-border projects to fight against threats to sport.  % of participants who use the results of cross-border projects to improve good governance and dual careers  % of participants who use the results of cross-border projects to enhance social inclusion, equal opportunities and participation rates	Final report IT monitoring tool Surveys/Eurobarometer	Yearly increase	To promote good governance in sport in the EU, to sustain sport structures based on voluntary activity and to strengthen the knowledge base about sport in the EU;  To exploit the potential of sport to foster social inclusion, ensure equal opportunities for all and fight against violence, racism and other forms of intolerance;  To promote dual careers through the combined education and training of sports people;  To fight against doping in amateur and grassroots sport.  <i>(Spec. obj. Sport)</i>

Appropriate indicators will be defined and agreed within the specific rules for the Erasmus Masters Student Loan Guarantee instrument. These will include indicators gathered based upon the loan portfolio and characteristics of individual borrowers, such as: geographical coverage; average loan size; borrower characteristics eg. sex, geographic origin and destination, study field/discipline). Indicators should not represent an undue burden on the final and ultimate beneficiaries (banks and student borrowers) in their collection or on the Commission and/or managing authority in their evaluation and verification.

High level output indicators focusing on the numbers of mobile masters students are consistent with the approach for other actions foreseen by the programme.

## Annex 11: List of Acronyms

AGS	Annual Growth Survey
EACEA	Education, Audiovisual and Culture Executive Agency
EEA	European Economic Area
EM	Erasmus Mundus Programme
E&T	Education and training
ECTS	European Credit Transfer and Accumulation System (higher education)
ECVET	European Credit System for Vocational Education and Training
EQARF	European Quality Assurance Reference Framework for Vocational Education and Training
EQF	European Qualifications Framework
ERDF	European Regional Development Fund
ESF	European Social Fund
ESL	Early school leaving
HEI	Higher education institutions
ISCED	The International Standard Classification of Education – designed by UNESCO in the early 1970’s to serve as an instrument suitable for assembling, compiling and presenting statistics of education both within individual countries and internationally. ISCED levels of education scale is the following: 0 – pre-primary education; 1 – primary education / first stage of basic education; 2 – lower secondary education / second stage of basic education; 3/ (upper)secondary education; 4 – post-secondary non tertiary education; 5 – first stage of tertiary education (not leading directly to an advanced research qualification); 6 – second stage of tertiary education (leading to an advanced research qualification).
LdV	Leonardo da Vinci – sectoral sub-programme of the LLP
LLP	Lifelong Learning Programme 2007-2013
OMC	Open Method of Coordination
PISA	Programme for International Student Assessment – a programme for a worldwide evaluation of 15-year-old school pupils’ scholastic performance. It is coordinated by the OECD with a view to improving educational policies and outcomes.
VET	Vocational education and training
YiA	Youth in Action Programme



EUROPEAN COMMISSION

Brussels, 23.11.2011  
SEC(2011) 1402 final

Volume 3

**COMMISSION STAFF WORKING PAPER**

**IMPACT ASSESSMENT ON YOUTH ACTIONS**

*Accompanying the document*

**Proposal for a**

**REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**establishing a single Education, Training, Youth and Sport programme for the period  
2014-2020**

{COM(2011) 788}

{SEC(2011) 1403}

## **PART 2: YOUTH**

**Lead Service:** DG Education and Culture (EAC) supported by the Education, Audiovisual and Culture Executive Agency (EACEA)

**Other involved services:** DG BUDG, DG COMM, DG DEVCO, EEAS, DG ESTAT, DG ELARG, DG EMPL, DG ENV, DG INFSO, DG RTD, DG SANCO, SJ and Secretariat General

**Agenda planning or WP reference:** 2011/EAC/001

**Disclaimer:** This report commits only the Commission's services involved in its preparation and does not prejudge the final form of any decision to be taken by the Commission.

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## **1. PROCEDURAL ISSUES AND CONSULTATION OF INTERESTED PARTIES**

### **1.1. Identification**

#### **Lead DG: Education and Culture (EAC)**

#### **Agenda planning or WP reference: 2011/EAC/001**

This Impact Assessment (IA) report is part of an overall analysis of the current Community programmes in the field of education and training and youth managed by DG EAC, with a view to establishing options for the future Multiannual Financial Framework 2014-2020. This report focuses on the youth-related activities in the area of **non-formal learning** and **youth work**, as part of a broader proposal for a single Education, Training, Youth and Sport programme, bringing together the current Lifelong Learning (LLP) and Youth in Action (YiA) programmes as well as programmes in the field of international cooperation in higher education, and integrating a new EU Sport sub-programme. This IA is therefore complementary to the specific IAs carried out in parallel for the other areas (lifelong learning, international cooperation in higher education, and sport), which will be part of the proposed single programme.

### **1.2. Organisation and timing**

This IA was launched in June 2010 and was completed in the 2<sup>nd</sup> half of 2011. A roadmap was published in July 2010<sup>1</sup>. The work related to the IA was carried out by DG EAC, with the support of the Education, Audiovisual and Culture Executive Agency (EACEA). An Impact Assessment Steering Group (IASG) was set up at the launch of the IA work and included the following services: DG BUDG, DG COMM, DG DEVCO, EEAS, DG ESTAT, DG ELARG, DG EMPL, DG ENV, DG INFSO, DG RTD, DG SANCO, SJ and Secretariat General. The IASG met three times over the period of preparation of this IA.

### **1.3. Impact Assessment Board**

A draft report was submitted to the Impact Assessment Board (IAB) on 3 August 2011 alongside the other IA reports related to the single Education, Training, Youth and Sport Programme for the period 2014-2020. The IAB met on 7 September 2011. No specific comment was made on Youth during that meeting.

The written comments received from the Board prior to the meeting as well as the global comments included in the Board's opinion of 9 September 2011 have been taken into consideration when finalizing this version of the report. They mainly concerned the following:

1. improvements suggested to the four reports covering the Single Education, Training, Youth and Sport programme, regarding the problem definition and objectives (notably in relation to the current programmes and their evaluations), and the description of options and impacts (notably as regards the priorities and budget allocation);
2. improvements suggested to the Youth report: introduce summaries of the main evaluations and studies and make a more thorough use of their results; relate the number

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<sup>1</sup> [http://ec.europa.eu/governance/impact/planned\\_ia/docs/424\\_eac\\_youth\\_programme\\_en.pdf](http://ec.europa.eu/governance/impact/planned_ia/docs/424_eac_youth_programme_en.pdf)

of beneficiaries to the whole population of young people; improve the impact analysis, better substantiate the choice of activities to be pursued/ discontinued/ streamlined under Options 3 and 4; present a stronger rationale for the advantages of option 4.

As a consequence, this IA report has been modified as follows: a description and assessment of the current YiA programme has been introduced in the problem definition section (section 2) including a summary of the main findings of the interim evaluation of the programme as well as relating the number of beneficiaries to the whole population of young people. A new annex has been added (Annex 2) presenting an overview of the outcomes of the programme over the period 2007-2010. Evidence stemming from the evaluation and other studies has been more systematically referenced throughout the report and a summary of the main studies has been included in Annex 6. A summary of the main outcomes of the public and stakeholders' consultations has also been added in a new Annex 7. The description of options has been improved, notably by clarifying the choice of activities to be pursued/ discontinued/ streamlined (section 4). This IA also builds on the revised IAs of the proposed package, notably the report on LLP, where option 4 is described more in detail (notably in chapter 6.1) to which this IA refers. Furthermore, the analysis of impacts has been further clarified, based on more precise budgetary assumptions (section 5).

## **1.4. Consultation and expertise**

### *1.4.1. Use of external expertise*

This IA has been prepared with the support of an external consultant (ECORYS), under a framework contract concluded with the Commission in 2006 following a call for tenders. This support was notably used for the identification of problems, objectives and evidence-based policy options as well as for the assessment of impacts for the retained options. The consultant's services were also used to prepare an analysis of the results of the online public consultation, which was launched in this context.

This IA also builds on the conclusions and recommendations of the interim evaluation of the current Youth in Action Programme running over the period 2007-2013. This evaluation was based on: 1) evaluation reports from the Member States and other participating countries (national reports); 2) a report<sup>2</sup> drawn up by an external independent evaluator which, in addition to the aforementioned national reports and the results of the permanent monitoring put in place by the Commission, used the results of its own research. This external evaluation was carried out by ECORYS, under a framework contract concluded with the Commission in 2006 following a call for tenders. The Commission Report on this interim evaluation was adopted on 20 April 2011<sup>3</sup>.

### *1.4.2. Consultation of stakeholders*

This IA has been informed by a wide-scale public and stakeholder consultation which took place from mid-2010 to mid-2011. This consultation process included an **online public consultation**, which gathered 6 787 contributions (of which 35% from organisations or public authorities/bodies), as well as various **targeted consultations** with different groups of

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<sup>2</sup> The external evaluation report is available at:

[http://ec.europa.eu/dgs/education\\_culture/evalreports/index\\_en.htm#youthHeader](http://ec.europa.eu/dgs/education_culture/evalreports/index_en.htm#youthHeader)

<sup>3</sup> COM(2011) 220 final

stakeholders (including National Authorities of the countries participating in the YiA programme, youth NGOs, youth researchers, National Agencies of the YiA programme, Youth Entrepreneurship and Employers organisations, etc.). Additionally, various **spontaneous contributions/official positions** were taken by some key stakeholders (e.g. at least 23 National Authorities expressed their views about the future of the programme).

A **strong convergence of viewpoints** could be noticed among the different groups of stakeholders consulted both as regards the problems to be addressed in the future (notably, social changes, youth unemployment, declining levels of youth participation, insufficient opportunities for non-formal learning, limited recognition of youth work) and as regards the need to ensure a **continuation of the support** provided by the EU to activities in favour of youth.

The problem definition, the identification of objectives and the policy options described in this IA report reflect the outcomes of the various consultations and positions expressed. A more detailed summary of the consultation process and outcomes can be found in Annex 7.

#### *1.4.3. Respect of the Commission's minimum standards for consultation*

The consultation process was fully in line with the Commission's General principles and minimum standards for consultation of interested parties<sup>4</sup>. Information provided in the on-line consultation was clear and concise and facilitating responses. The online consultation questionnaire included both open and closed questions. In addition, the possibility to submit additional comments was offered through the set-up of a dedicated mailbox, which was open throughout the consultation period.

The consultation was open to any interested parties and its publication was advertised through different channels and media, including a variety of websites, social media, newsletters, as well as at the occasion of all consultation meetings and other relevant events.

Adequate time was provided for the preparation and submission of responses. The online consultation was open for 75 days and the stakeholders' consultations lasted almost 10 months. The volume of responses received (almost 7 000 contributions) and the wide range of stakeholders involved in the process are a proof of a strong interest in the EU activities in the field of youth as well as of the success of this consultation and the effectiveness of the approach chosen.

## **2. CONTEXT SETTING AND PROBLEM DEFINITION**

### **2.1. Overall context**

The **Europe 2020 Strategy** sets ambitious objectives for smart, inclusive and sustainable growth with a view to delivering high levels of employment, productivity and social cohesion. To cope with the transformations and impact of the crisis as well as with intensifying global challenges, the Strategy acknowledges that Europe can count on a number of strengths, among which the "talent and creativity of [its] people<sup>5</sup>".

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<sup>4</sup> COM(2002)704

<sup>5</sup> COM(2010) 2020 final

Investing in **human and social capital** is an essential condition to achieve those ambitious growth targets. Such investments can yield even better returns when they are focused on the **young generation**, which has to be equipped with the skills it needs to succeed in an increasingly complex and fast-changing social and economic reality and which has to get the opportunity to share a feeling of appropriation and belonging to a common project to which it can contribute. "Countries that invest in their young people reap the benefits of that investment through greater growth and social well-being for generations to come"<sup>6</sup>.

The Europe 2020 Strategy acknowledges this, in particular with its "**Youth on the Move**" flagship initiative. Youth on the Move "puts young people at the centre of the EU's agenda to create an economy based on knowledge, research and innovation, high levels of education and skills in line with labour market needs, adaptability and creativity, inclusive labour markets and active participation in society. All these represent key components of Europe's future prosperity"<sup>7</sup>. Youth on the Move underlines that "smart and inclusive growth depends on actions throughout the lifelong learning system, to develop key competences and quality learning outcomes, in line with labour market needs. Europe needs to extend and broaden learning opportunities for young people as a whole, including supporting the acquisition of skills through **non-formal** educational activities". Youth on the Move also refers to the need for "strengthened provisions for the **recognition** and **validation** of such learning within national qualification frameworks". A proposal for a Council Recommendation in this area is planned to be adopted by the Commission by the end of 2011. Promoting non-formal learning and its validation is also part of the **Agenda for new skills and jobs** flagship initiative<sup>8</sup>.

Youth on the Move also underlines the importance of promoting **learning mobility** as a way in which young people can strengthen their future **employability** and acquire new professional competences, while enhancing their development as **active citizens**. This builds on the recommendations of the High Level Expert Forum on Mobility<sup>9</sup> according to which learning mobility should become a natural feature of being European and an opportunity provided to all young people in Europe through all forms of education, including non-formal education.

Furthermore, the **European Platform against Poverty and Social Exclusion**<sup>10</sup> stresses that "worrying trends in the number of young people who are neither in education nor in employment underline the need to step up the broader range of policies supporting young people as agreed in the European Youth Strategy 2010-2018".

Moreover, the Union aims at encouraging **people-to-people** contacts, in particular among the young generation, as an important dimension of its relations with Partner Countries. People-to-people contacts are important to promote mutual understanding as well as social, cultural and economic development. They are particularly important when promoted at an early stage so as to instil a culture of dialogue and understanding in the young generations. This has been

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<sup>6</sup> World Bank, *Child and Youth Development Notes*, August 2010

<sup>7</sup> COM(2010) 477 final

<sup>8</sup> COM(2010) 682 final

<sup>9</sup> A High Level Expert Forum on Mobility was established in 2007 by Commissioner Jan Figel' to undertake a reflection and to make recommendations with a view to promoting an expansion of mobility between Member States for students and young people. More information and the recommendations made by this Forum can be found at: [http://ec.europa.eu/education/doc/2008/mobilityreport\\_en.pdf](http://ec.europa.eu/education/doc/2008/mobilityreport_en.pdf)

<sup>10</sup> COM(2010) 758 final

reaffirmed in various documents and contexts with reference to relations with different partner regions and countries<sup>11</sup>.

In its Communication "A budget for Europe 2020"<sup>12</sup>, relating to the next **Multiannual Financial Framework** 2014 – 2020, the Commission has acknowledged the importance of a strong investment in human capital and has proposed to extend the EU education, training and youth programmes in order to raise skills and help tackling the high levels of youth unemployment in many Member States. In this context, the Commission has proposed to allocate EUR 15.2 billion to a single programme on Education, Training, Youth and Sport.

## 2.2. Specific context: European cooperation in the youth field

European cooperation in the youth field began in the late 1980s with the implementation of **funding schemes** aimed at supporting concrete projects. The first ever programme in the youth field at European level entered into force more than 20 years ago. Youth for Europe I (1989-1991) offered support to youth exchanges and to the training for youth workers. Since then the successive programmes have been covering a much wider range of activities; one major step, for instance, was the integration, in the YOUTH Programme (2000-2006), of the European Voluntary Service (EVS), which had been tested as a pilot action as of 1996.

Since 2007, the Youth in Action Programme (see chapter 2.3), which will run until the end of 2013, has been offering non-formal learning opportunities to young people, with a view to enhancing their skills and competences (employability) as well as their active citizenship (participation), as well as opportunities for training and cooperation to youth organisations and youth workers, with a view to enhancing the professionalism and the European dimension of youth work in Europe. Since 1989, over 1.9 million young people and youth workers have directly benefited from the opportunities offered by these programmes.

Cooperation in the youth policy field is more recent and has been in place for a decade. An **Open Method of Coordination** (OMC) focusing on four priorities (promoting youth participation, information, voluntary activities and better knowledge and understanding of youth) was developed on the basis of a 2001 European Commission White Paper<sup>13</sup> and was complemented by the European Youth Pact in 2005. In September 2007, the Commission Communication "*Promoting young people's full participation in education, employment and society*"<sup>14</sup> stressed the need for a cross-cutting approach to youth issues in order to enhance young people's active participation in education, employment and in society.

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<sup>11</sup> The recently adopted Partnership for Democracy and Shared Prosperity with the Southern Mediterranean (COM(2011) 200 final) advocates, for instance, for a "stronger partnership with the people, with specific emphasis on support to civil society and on enhanced opportunities for exchanges and people-to-people contacts with a particular focus on the young". Exchange programmes between youth and "people-to-people" activities are among the areas that "merit close consideration" within the European Neighbourhood Policy (COM(2003) 104 final). The Commission Communication on the Eastern Partnership (COM(2008) 823 final) also acknowledges that "interaction between EU and partner countries' citizens, in particular young people, needs to be recognised as a promoter and monitor of change and will be encouraged". The designation of 2011 as the EU-China Year of Youth (Joint Statement of the 12<sup>th</sup> EU-China Summit, 2009) is another example of this approach, which also responds to third countries' expectations in this respect.

<sup>12</sup> COM(2011) 500final

<sup>13</sup> COM (2001) 681

<sup>14</sup> COM (2007) 498

The Council Recommendation of 20 November 2008<sup>15</sup> on the mobility of young volunteers across the European Union was yet another step towards strengthening European cooperation in the youth field. It encouraged Member States to promote the mobility of young volunteers across Europe, to give more young people the opportunity to volunteer in another country.

The first cooperation framework came to an end in 2009. In November 2009, the Council of Ministers adopted a Resolution on a renewed framework for European cooperation in the youth field for the period 2010-2018<sup>16</sup>, based on the Commission's Communication of April 2009 "An **EU Youth Strategy**: Investing and Empowering"<sup>17</sup>. The EU Youth Strategy defines two overall objectives: 1) more and equal opportunities for young people in education and the labour market; 2) active citizenship, social inclusion and solidarity of young people.

With eight fields of action<sup>18</sup>, the Strategy recognises the cross-sector nature of youth issues, which increasingly require cross-sector approaches. The Strategy also emphasises the important role of youth work in dealing with unemployment, school failure and social exclusion of young people as well as in improving their skills. The Strategy is also based on a structured dialogue with young people, which involves consultations with young people and youth organisations at all levels on jointly agreed themes in line with the priorities established by the successive EU Presidency trios.

Furthermore, following the entry into force of the **Lisbon Treaty**, the Union's competence has been extended to "*encouraging the participation of young people in democratic life in Europe*". The Treaty also introduced, for the first time, the mechanisms of a participatory democracy that could affect the relations of the EU institutions with youth organisations and, indirectly, could affect the future of an EU approach to youth<sup>19</sup>.

Throughout the years, developments in the youth policy and youth programme fields have been reinforcing and supporting each other. European youth programmes have been acting beyond their financial role as policy laboratories where concrete ways to mobilise young people through international projects have been experienced.

### **2.3. The Youth in Action programme (2007-2013)**

The YiA programme pursues the following **objectives**:

3. to promote young people's active citizenship in general and their European citizenship in particular;
4. to develop solidarity and promote tolerance among young people, in particular in order to reinforce social cohesion in the EU;
5. to foster mutual understanding between young people in different countries;

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<sup>15</sup> 2008/C 319/03

<sup>16</sup> 2009/C 311/01

<sup>17</sup> COM(2009) 200 final

<sup>18</sup> Education and training, employment and entrepreneurship, health and well-being, participation, voluntary activities, social inclusion, youth and the world, creativity and culture

<sup>19</sup> P. Ponzano (2010), *The impact of the new provisions of the Treaty of Lisbon on Youth*, study commissioned by the European Youth Forum, <http://issuu.com/yomag/docs/lisbontreatyyouth>

6. to contribute to developing the quality of support systems for youth activities and the capabilities of civil society organisations in the youth field;
7. to promote European cooperation in the youth field.

In order to achieve these objectives, the programme supports various **non-formal learning and youth work activities** (most of which have a transnational dimension, within and beyond the EU borders), notably **mobility** for young people (like youth exchanges or the EVS) or youth workers (like training and networking opportunities). An overview of the activities supported by the programme can be found in Annex 1. Youth in Action is open to **all** young people, independently from their educational, social or economic background and without any specific conditions for participation: this is a unique feature, which makes of YiA the only EU programme for all young people. In this context of openness, specific emphasis is placed on encouraging the participation of young people with fewer opportunities (currently one fourth of participants are young people with fewer opportunities; e.g. 75 projects targeted young Roma in 2010 alone...). The programme applies a funding mechanism that is largely based on lump sums and flat rate financing, which helps applicants to easily calculate the expected grant amount and facilitate the realistic planning of projects.

Given the high number of projects and the need for close proximity to the beneficiaries, YiA is largely (81% of the budget) managed in a "decentralised" manner by **National Agencies** (NAs) established in the participating countries<sup>20</sup>. The budget allocation to the NAs is based on objective indicators (e.g. target population) as well as on the past-performance of the NAs; therefore the "geographical distribution" is relatively consistent with the population of the various participating countries. Eight of these NAs, in addition to their mission as NAs in their countries, constitute SALTO (Support, Advanced Learning and Training Opportunities) Resource Centres, which provide support to all the NAs by developing special areas of geographic or thematic competence, for example as regards the inclusion of young people with fewer opportunities or cooperation with neighbouring regions. YiA also supports centres providing information on Europe-wide opportunities for young people (the Eurodesk network). Some strands of YiA, which require a "centralised" approach at European level, are managed by the **EACEA**.

With a **budget** of EUR 885 million for seven years, YiA (2007-2013) involves annually more than 100 000 young people aged 13-30, i.e. it reaches around 2% of the total EU youth population, thus contributing significantly to the global learning mobility supported by EU programmes. In addition, 30 000 youth workers participate annually in training and networking activities which have an impact on their work with young people in general (both in the context of a project supported by YiA and in other circumstances); their "multiplying effect" leads to many more young people *indirectly* benefiting from the Programme. Participants are involved in various activities supported through 7 800 projects implemented by around 20 000 promoters (youth organisations, public bodies...) every year. According to an analysis of 2009 data, the Programme shows a significant renewal rate from year to year in terms of promoters receiving financial support (only 28% of the 2009 beneficiaries were already beneficiaries of YiA in 2008). The programme is characterized by an **increasing demand rate**, which can only be partially met with the available resources: less than one out

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<sup>20</sup> YiA Programme Countries include the 27 EU Member States, the EFTA countries as well as Croatia and Turkey. NAs are established in each Programme Country. In addition, youth exchanges, EVS and training and networking projects are open to cooperation with partner countries.

of two projects submitted can be granted (the proportion of projects granted has fallen from 52% in 2007 to 42% in 2010). The operational appropriations allocated to YiA from 2007 to 2010 amounted to EUR 549 million and have been fully used. A general overview of the **outcomes** of the Programme over the four years 2007-2010 is presented in Annex 2.

In addition to the evaluation findings, two monitoring surveys on the **qualitative impact** of the programme on its beneficiaries carried out in 2010 and 2011<sup>21</sup> have shown that the programme has a strong effect on individuals' educational and professional development both as regards young people and youth workers, as well as on the development of youth organisations. The results of these surveys are confirmed by the findings of another series of surveys on project participants and leaders carried out in 2009/2010 and in 2010/2011 by the Institute of Educational Science of the University of Innsbruck in cooperation with the YiA NAs and their research partners in 15 countries, in the context of the "Research-based Analysis and Monitoring of the Youth in Action Programme" (RAY)<sup>22</sup>. These surveys have confirmed the contribution of the YiA programme to the development of all key competences for lifelong learning (e.g. 91% of YiA participants considered that having participated in a YiA project has increased their competences in a foreign language; over 80% that participation in the YiA programme had increased their sense of initiative and entrepreneurship...). The surveys have also indicated that involvement in the YiA programme stimulates both participants and project leaders to consider or actually plan further educational activities and their professional development. Moreover, they have underlined that the programme has considerable effect not only on the youth organisations involved by contributing to the development of structures in the youth sector, but also on the communities where the activities take place (e.g. 80% of youth organisations found in the programme increased opportunities for development and growth, compared to other similar projects carried out at national level; 79% stated that the local environment/community became more aware of the concerns and interests of young people...). Moreover, by supporting the priorities of the youth OMC, it is also a support tool for mutual policy learning in the youth field (see also chapter 2.7).

## 2.4. Problem definition

The main challenge of the European education and training systems nowadays is to equip citizens, and in particular young people, with the competences that will prepare them for a demanding and rapidly changing labour market, as well as for an increasingly diverse and ageing knowledge-based society. In this challenging social and economic context, young people are confronted with rising levels of knowledge and **multiple skills requirements**, a need that cannot be satisfied by the formal education sector alone. "School-based learning and apprenticeship are no longer sufficient to "last" the whole life-course. Human capital is more than ever before about learning to learn, social skills, adaptability, etc."<sup>23</sup> A recent survey<sup>24</sup> of more than 500 business leaders from across Europe found that most (54%) think young

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<sup>21</sup> 2010 and 2011 surveys on the qualitative impact of the Youth in Action Programme. Results available at: [http://ec.europa.eu/youth/focus/doc/monitoring\\_survey/report\\_monitoring\\_survey.pdf](http://ec.europa.eu/youth/focus/doc/monitoring_survey/report_monitoring_survey.pdf)  
[http://ec.europa.eu/youth/focus/doc/monitoring\\_survey/main\\_results\\_monitoring\\_survey\\_2011.pdf](http://ec.europa.eu/youth/focus/doc/monitoring_survey/main_results_monitoring_survey_2011.pdf)

<sup>22</sup> University of Innsbruck, Institute of Educational Science (2011), *Research-based Analysis of the Youth in Action Programme*, Transnational Analysis of Results from the surveys with project participants and project leaders between October 2009 and June 2010 and between November 2010 and May 2011.

<sup>23</sup> BEPA – Bureau of European Policy Advisors (2007), *Investing in youth: an empowerment strategy*

<sup>24</sup> <http://archive.ja-ye.org/Download/CEO%20Survey.pdf>

people lack 'soft skills' such as confidence, teamwork, self-motivation, networking and presentation skills. Furthermore, living in diverse and ageing societies requires more intercultural, inter-community and intergenerational dialogue as well as the development of a culture of solidarity, care and understanding among citizens, especially the youngest generations. Yet, the benefits of intercultural dialogue are challenged by one fourth of the youth population in the EU, as they consider that culture is not enriched by foreigners or immigrants<sup>25</sup>.

Another challenge relates to the development of social capital among youth, the empowerment of young people and their ability to participate actively in society, in line with the new provisions of the Treaty to "encourage the **participation** of young people in democratic life in Europe". Young people are much less likely to vote than adults, their voices are much less heard in political debates<sup>26</sup>. Insufficient opportunities for participation, limited awareness of the importance to participate, mistrust in the institutions, low interest in politics, insufficient youth-targeted information, inadequate tools to reach out to young people are among the causes of such disaffection and the significant decline in participation in society and democratic life observed mainly among young people since the late 1970s<sup>27</sup>. On the other hand, new forms of involvement are emerging through the new media and social networks, which young people have embraced in large numbers. However, not all young Europeans seem to fully grasp all the opportunities they could enjoy to actively shape the Union's future by being more aware of their role as active European citizens. The positive views about the EU tend to be concentrated among those who are better educated and who are also likely to take more advantage of the available opportunities. The turnout in the 2009 European elections was the lowest ever since direct elections for the European Parliament started, particularly among young people (29% vs. 43% general average).

Formal education systems address these issues (*NOTE: see IA report on the Lifelong Learning Programme, Chapter 2*), but they cannot tackle them alone: besides formal learning, **non-formal learning** has an important contribution to make<sup>28</sup>. A wide range of skills and attitudes, which are likely to increase young people's achievements in school settings as well as opportunities to find a job, can be developed through out-of-school activities, in non-formal learning settings. "Young people who experience a diverse range of educational relationships in different contexts develop a stronger sense of confidence in social interaction, and a better understanding of how relationships work<sup>29</sup>". "More flexible learning pathways can facilitate transitions between the phases of work and learning<sup>30</sup>" and can better

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<sup>25</sup> EU Youth Report (SEC(2009) 549 final)

<sup>26</sup> BEPA – Bureau of European Policy Advisors (2007), *Investing in youth: an empowerment strategy*

<sup>27</sup> Wattenberg, M. (2002), *Where Have All the Voters Gone?*, Cambridge, Mass.: Harvard University Press

<sup>28</sup> Non-formal learning refers to the learning which takes place outside formal educational curriculum. Non-formal learning activities involve people on a voluntary basis and are carefully planned, to foster the participants' personal and social development. Non-formal learning activities are complementary to the formal education and training system; they have a participative and learner-centred approach, are carried out on a voluntary basis and are therefore closely linked to young people's needs, aspirations and interests. By providing an additional source of learning and a route into formal education and training, these activities are particularly relevant to young people with fewer opportunities

<sup>29</sup> The National Youth Agency and the Fabian Society (2008), *The Contribution of Non-formal Learning to Young People's Life Chances, Learning from the Evidence*:  
[http://nya.org.uk/dynamic\\_files/research/Contribution%20of%20non-formal%20learning%20\(Exec%20Summary\).pdf](http://nya.org.uk/dynamic_files/research/Contribution%20of%20non-formal%20learning%20(Exec%20Summary).pdf)

<sup>30</sup> European Commission's Communication "An Agenda for new skills and jobs: A European contribution towards full employment", COM(2010) 682 final

suit the increasingly non-linear transitions that young people experience. They can also better suit the needs of those young people who are left behind or are not able to cope with the requirements of the formal education system. As a "third educational environment" after family and schools<sup>31</sup>, non-formal learning offers a space where young people are free to experiment, take initiative, and learn from their own mistakes. Involvement in such activities can also have a positive impact on participation: "those active in extracurricular activities during their school years are more likely to be more politically and civically active in their adult years<sup>32</sup>".

#### 2.4.1. *Specific problems to be covered by the EU support in the non-formal learning area*

It would be unrealistic to consider that a single initiative or programme could cover all of young people's problems and needs. Action in favour of youth requires a broad policy mix and a multi-dimensional approach, including policies and programmes. Coordinated actions both at the EU and Member States' level are required. The youth OMC contributes to promoting this coordination and a cross-sector approach to youth issues as acknowledged in the EU Youth Strategy. However, policy cooperation alone is not sufficient.

As recognised by Member States (e.g.: Council Resolution on a Renewed Framework for European cooperation in the youth field<sup>33</sup>), for the framework of cooperation to be effectively implemented there is a need for instruments to support it, including an effective use of relevant EU programmes and funds; however, **these instruments are currently fragmented, and the potential synergies among them are not fully exploited.**

The future programme for youth should be considered as only one of many EU instruments (e.g. the European Social Fund) contributing to Member States' efforts, aimed at addressing some of the complex problems young people face through non-formal learning methods. Given the competences, strengths and constraints of EU intervention in the youth field, and taking stock of the outcomes of the interim evaluation of the current YiA programme and of the formal consultation process, in the specific area of non-formal learning and youth work activities for young people, youth-related activities of the new initiative will tackle the following problems:

- **Fragmented and uneven provision of non-formal learning and youth work opportunities in Europe**

Although there is a range and diversity of non-formal learning and youth work experiences in European countries, national contexts differ considerably as regards the offer of available opportunities in this area. Opportunities are **not equally distributed** across Member States, to the point that, as confirmed by the interim evaluation of the YiA programme, in certain countries there are hardly any programmes directed at youth. Even in countries where there are already non-formal learning opportunities for young people there is a demand for more of such opportunities and a shared belief that a European programme in the field of youth can

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<sup>31</sup> Schild H., Senkute L, Vanhee J., *The right to play and to have fun in youth and community work*, in "Forum 21", European journal on child and youth policy, n. 15, 06/2010

<sup>32</sup> Kirlin M. (2003) in Taru M., *Youth work in Tallinn: the Positive Impact on Young People, Studies on Transition States and Societies*, Vol. 2, Issue 2: <http://www.tlu.ee/stss/wp-content/uploads/2010/11/Taru.pdf>

<sup>33</sup> 2002/C 168

contribute to addressing this need by providing more and better non-formal learning opportunities for young people<sup>34</sup>.

Moreover, in most countries the **resources are limited** and there are few possibilities for building networks, sharing practices and approaches<sup>35</sup>, which adds to the **fragmentation of the provision** of such opportunities and to the **fragility of the structures** that provide them, notably youth organisations. When and where opportunities are available, they are not equally accessible to all young people, notably those from the most disadvantaged backgrounds. Issues such as poor financial situation, disadvantaged family background, disability, lack of social networks, geographical distances, poor and costly transport, shortage of infrastructure, etc. often restrict young people from participating in non-formal activities, in particular when mobility is involved.

Lack of funding is often referred to by young people as another main reason for not having spent time abroad for education, training, working or volunteering purposes<sup>36</sup>. As a result, there is a risk that only those who are better-off take advantage of the available opportunities, thus leaving the most disadvantaged behind and deepening economic and social differences as well as their negative consequences in terms of social exclusion, poverty, risky behaviours, etc. Scarce information about available opportunities, their value and how to access them can also be considered as an additional obstacle to young people's involvement in such activities.

- **Limited recognition of non-formal learning and youth work activities and outcomes**

The very nature of "soft skills", which are less tangible and harder to measure than "hard skills", makes it more difficult to gauge and quantify non-formal learning outcomes than, for instance, in the case of formal education. Moreover, non-formal learning mainly contributes to the development of attitudes<sup>37</sup>, which often function on an unconscious level.

This implies that individual awareness of learning outcomes may be limited and/or be developed later in life. This, in turn, affects the understanding, appreciation and recognition of the value of non-formal learning activities and their outcomes. At the same time, the role of youth workers as co-educators involved in youth education, social and personal development is not always properly recognized, which can negatively impact the sustainability of youth work as a profession. Improving the quality of youth work is seen as a main problem and future challenge by Member States<sup>38</sup>, which directly reflects on the ability of youth organisations to deliver quality services.

- **Limited sharing of non-formal learning and youth work practices in Europe**

Youth work is organised and delivered in different ways in European countries, but there is a relatively thin knowledge base on youth work in Europe: specific information on the youth

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<sup>34</sup> Results of the online public consultation on the future European youth programme: [http://ec.europa.eu/dgs/education\\_culture/consult/yia/report\\_en.pdf](http://ec.europa.eu/dgs/education_culture/consult/yia/report_en.pdf)

<sup>35</sup> Hilverdink P., Meijer E., Bakker K., *Empowerment and repositioning youth work in a threesome of research, policy and practice*, in "Forum 21", European journal on child and youth policy, n. 15, 06/2010

<sup>36</sup> Flash Eurobarometer N. 319b, Youth on the Move, May 2011

<sup>37</sup> Attitudes are the competences that are based on an individual way of being and behaving. They encompass unconscious patterns of actions and values. (source: *The impact of Non-formal education on young people and society*: [http://intranet.aegee.org/group\\_file/download/3/2458](http://intranet.aegee.org/group_file/download/3/2458))

<sup>38</sup> Ecotec (2009), *Evaluation of the European Commission framework for cooperation in youth policy*

sector is still limited, existing data is scattered and unsatisfactory, resulting in the socio-economic importance of youth work being difficult to verify<sup>39</sup>.

Moreover, the variety of existing experiences is not sufficiently shared due to lack of networking between professionals. The YiA interim evaluation points out to the lack of opportunities for youth workers to gain skills and experience by learning from different youth work systems and approaches; experiencing high quality, specifically targeted and topical training; and direct peer-to-peer learning<sup>40</sup>. On the other hand, youth workers' competences must be constantly developed to keep up with the rapidly changing demands of young people, particularly to deal with the specific needs of disadvantaged and at-risk youth.

#### *2.4.2. Lessons learnt from the implementation and interim evaluation of the Youth in Action programme*

The YiA interim evaluation has confirmed the **relevance** of the programme to wider EU policies and objectives as well as to the needs of its target groups, while noting that employability needs are becoming more important and inviting to consider an increased focus on youth employability without losing sight of the participation and civil society objectives.

The evaluation has also noted the relevance of the programme for youth workers as it contributes to the quality of youth work and its recognition as well as to the quality of non-formal education. The programme is also relevant for youth organisations as it enables them to test innovative approaches and to build their capacities.

The evaluation has considered whether an increased focus on supporting youth organisations and youth workers given their potential as "multipliers" would make the programme more effective. It has come to the conclusion that the current mix of support to youth organisations and youth workers as well as to actions directly involving young people should be maintained.

The evaluation has confirmed the **effectiveness** of the programme in meeting its objectives related to young people. Although all Actions contribute significantly to the objectives, there are differences in the extent to which the various sub-Actions do so. Youth exchanges, in particular, contribute to the sense of belonging to the EU and participation in democratic life; the EVS has the highest contribution to employability, personal development, mobility and language skills and youth initiatives specifically contribute to encouraging entrepreneurial spirit and creativity. The evaluation has pointed out to a need to further clarify and strengthen the measures aimed at encouraging the participation of young people with fewer opportunities as well as to a need to better define this target group.

The evaluation had indicated that the Youthpass certificate (aimed at assessing the learning outcomes of the participation in a YiA project) is a useful tool for improving chances on the labour market, but has invited to further promote this tool.

It has noted that YiA has a sustainable impact on participants and youth workers in terms of participating in events after YiA, follow-up work for NGOs and increased subsequent

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<sup>39</sup> Institute for Social Work and Social Education (2008), *The Socio-Economic Scope of Youth Work in Europe*, study commissioned by the partnership between the European Commission and the Council of Europe in the field of youth

<sup>40</sup> Ecotec/Ecorys (2011), *Mid-term evaluation of the Youth in Action Programme 2007-2013 - Synthesis of national reports*

mobility. Sustainability in terms of partnerships and networks of organisations varies while being more consistent with regard to networks of young people. It has also come to the conclusion that YiA compares well with other schemes as regards the “client satisfaction” expressed by the participants. Participants in YiA projects are generally more satisfied with their experience than participants in non-YiA projects, who have been interviewed as a control group during the evaluation.

According to the evaluation, YiA is **complementary** to other EU programmes and national initiatives. With its focus on non-formal learning, it is complementary to the EU Programmes in the fields of education and training, in particular *Lifelong Learning (LLP)* and *Erasmus Mundus*. Although these operate in different ways, with different objectives, identities, target public and geographical scope, the three programmes share a strong focus on transnational learning mobility. YiA and LLP also share the same management mode, consisting in a large recourse, in both cases, to a network of National Agencies, some of which are common to the two programmes. However, the fragmentation among these instruments does not allow for potential synergies to be fully exploited.

The development of young people's skills and competences is also supported through the actions funded by the *European Social Fund (ESF)*. However, there are important differences in the concrete objectives and instruments: ESF programmes are mostly run within national or regional contexts, and lack a transnational dimension, which is a particular strength of YiA. Only limited attention within ESF is put on mobility and exchange, and hence the intercultural dimension. Furthermore, ESF targets more the unemployed and inactive and low-skilled, whereas the focus of YiA is on all young people in general.

As regards other EU programmes, the current *Europe for Citizens Programme* aims at promoting active European citizenship and making European citizens actively involved in the process of European integration, by developing a sense of belonging and a European identity. The specificity of YiA, compared to the Europe for Citizens Programme, relates to the target population (young people) and the nature of the activities (conceived as having a strong learning dimension).

As regards *national realities*, youth work is shaped by different traditions and by different legal and administrative frameworks, and the data available is still poor and scattered, which makes it nearly impossible to draw a clear picture of youth work in Europe and in each single country<sup>41</sup>. The interim evaluation has confirmed that "national realities differ considerably in terms of policies and programmes available". There are some countries that have national activities that are similar to YiA Actions, especially as regards youth initiatives and volunteering. However, when such opportunities exist, they mostly develop at national level (for example, the new French civic service scheme), with no transnational dimension and no dimension of participation in Europe-oriented activities. In some cases, transnational youth exchange programmes also exist, but they are generally limited in their geographic scope, usually based on bilateral cooperation (e.g. Franco-German, German-Polish or German-Czech youth exchanges), intra-regional or intra-community cooperation (e.g. among the Nordic Countries; among the three communities in Belgium). In another group of Member States, YiA is assessed as complementary to existing national initiatives, as it has a specific focus on

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<sup>41</sup> Institute for Social Work and Social Education (2008), *The Socio-Economic Scope of Youth Work in Europe*, study commissioned by the partnership between the Commission and the Council of Europe in the field of youth

non-formal learning, the EU dimension and civil society. The evaluation has confirmed that the Programme helps to support activities that would not be supported otherwise through alternative funding sources. In a third group of countries, "there are hardly any programmes directed at youth, and YiA compensates for the lack of funding for this target group", being "one of the main sources of funding for youth projects".

The evaluation has also confirmed the **efficiency** of the programme noting that it is on track in expenditure with a high absorption rate and strong increase in the number of grant requests stemming from a strong interest among stakeholders. It has considered the breakdown of the budget as appropriate and adapted to actual needs thanks to some flexibility for the NAs to shift budget between sub-Actions. It has noted that the division of tasks between the NAs and EACEA is generally clear, including in cases where an Action is implemented on both levels. Further decentralisation could nonetheless be helpful. The evaluation also includes a recommendation to balance management costs and administrative requirements for NAs and beneficiaries in relation to the budget and size of the grants, by considering a simplification of application and reporting requirements. It calls for further simplification, less jargon and the provision of electronic application and reporting tools. The request for further simplification has also been voiced by respondents in the online public consultation and by stakeholders during the consultation process (see Annex 7).

Furthermore, the evaluation has recommended improving and streamlining the programme rationale in the future, noting that the structure is still complex, with too many actions, sub-actions and priorities, thus affecting its readability and visibility. Despite the increasing interest in the programme among stakeholders, the evaluation has noted an insufficient overall visibility and has underlined in particular a need for better use of communication channels to reach the target audience (e.g. new media).

## 2.5. Affected groups

The following groups can be distinguished as the most affected groups:

- **young people** (and in particular the most disadvantaged ones): Youth is a period of transition, generally agreed as the passage from a dependent childhood to independent, autonomous adulthood. These transitions have lost their linear nature, are less predictable and more diversified, which reflects the diversity of opportunities available to youth today but also introduces new risks and challenges, especially for the most vulnerable. These challenges have been exacerbated by the recent economic crisis, which has strongly hit young people, as exemplified for instance by the high levels of youth unemployment. Close to 100 million young people aged 15-29 live in the European Union, which represents just under a fifth of the total EU population<sup>42</sup>. Not all young people are adequately equipped to deal with the rapid changes occurring in the European societies and some of them are particularly affected. Disadvantaged young people are often excluded from opportunities to participate fully in society and to enjoy the benefits of education, employment and social welfare. Not all young people can benefit from mobility experiences, which can equip them with the necessary basic and social skills and competences needed for their future life;

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<sup>42</sup> EU Youth Report (2009)

- **youth workers:** professionals who work with young people in a wide variety of non-formal and informal contexts (e.g. within youth organisations, municipalities, youth centres, churches etc.). Youth workers can be either volunteers or paid workers. Despite the key role they play in young people's development, in many countries youth work is not sufficiently well established as a profession and/or is not visible enough to ensure appropriate recognition. Moreover, opportunities for international training and networking for youth workers across and beyond the EU are limited<sup>43</sup>;
- **non-governmental youth organisations:** these organisations are present at every level of decision making, from the local level to the European Union and represent a whole range of youth groups. As they represent young people and are aware of their changing needs, youth organisations play an important role in ensuring that youth concerns are taken into account when developing actions and policies that concern them. They are also an important actor in addressing young people's issues and problems as they are the best placed to reach young people in their own reality. Moreover, they are an important component of civil society involved in the development and implementation of non-formal learning opportunities for young people and key project promoters. The YiA interim evaluation has indicated that one of the main issues for youth organisations is long-term financing and the need for a strategy to tackle youth issues<sup>44</sup>;
- **public authorities/bodies active in the field of youth** and involved in the provision of non-formal learning and mobility opportunities for young people. Although to different degrees, the above-mentioned problems concern all EU Member States. The new ones are generally those where non-formal learning and youth work opportunities for young people are the least developed;
- **candidate and third countries** are important potential partners for closer cooperation, in particular in relation to mobility activities, which help develop closer ties with EU countries through increased people-to-people contacts. European programmes in the field of youth have been pioneers in opening up to cooperation with these countries in the youth field. Exchanges and cooperation can help these countries benefit from the experience and the systems developed at EU level. This is particularly relevant for candidate and potential candidate countries, especially in view of a greater approximation and of their potential accession to the EU<sup>45</sup>.

## 2.6. How would the problem evolve all things being equal? (Baseline scenario)

The assumption for the baseline scenario is to maintain the current situation, i.e. to extend the current YiA programme beyond 2013 in its current format and budgetary allocation (see chapter 2.3).

The effects of the economic crisis are being felt in the youth sector, as elsewhere, and cuts to the already limited resources have been made or announced in some countries<sup>46</sup>. Against this

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<sup>43</sup> Ecotec/Ecorys (2011), *Mid-term evaluation of the Youth in Action Programme 2007-2013*

<sup>44</sup> Ibid.

<sup>45</sup> EU youth programmes are open to the Western Balkans since 2000; as of 2005, organisations from these countries can be coordinating organisations of youth projects and submit their project applications directly. By being project leaders, organisations from the Western Balkans can enhance their skills and capacity to plan and manage international projects, and become familiar with the requirements to apply for EU funding.

<sup>46</sup> Hilverdink P., Meijer E., Bakker K., *Empowerment and repositioning youth work in a threesome of research, policy and practice*, in "Forum 21", European journal on child and youth policy, n. 15, 06/2010

background, the fragmented and uneven availability of support and non-formal learning opportunities for young people across Europe is not likely to change in the short-term and financing will continue being an issue for youth organisations, as pointed out by the YiA interim evaluation. In the meantime, the skills needed to succeed in the knowledge-economy will continue to evolve rapidly and skills mismatches will remain a challenge<sup>47</sup>. The constantly and rapidly changing demands and needs of young people will require recurrent training, sharing of experiences and updating of competences among the professionals dealing with young people<sup>48</sup>.

Maintaining the status quo would notably continue ensuring that an equal basis of opportunities for non-formal learning, mobility and youth work development with a European dimension exists across Member States. The programme can also be expected to have a leverage or inspiring effect on some Member States, thus leading to the development of other youth programmes based on the existing European model, as this has already been the case in some countries (e.g. in the French-speaking community of Belgium, YiA is thought to have been a key factor in the development of a new national initiative "Tremplin Jeunes", which provides opportunities to increase language skills and/or provide skills for young people to implement their own projects; in Luxembourg, EVS was a model for the creation of two national voluntary service instruments). Further impetus can also be expected from the 2008 Council Recommendation on the mobility of young volunteers across the EU, which seeks to boost cooperation between organisers of voluntary activities in the Member States. However, a different pace is to be expected in the development of similar initiatives across Member States and there would still be countries where nothing else than YiA would exist for some time, hence maintaining the differences in the provision of opportunities highlighted by the interim evaluation (as described in chapter 2.4.2). Moreover, the EU support to non-formal learning and youth work activities and the processes put in place under the YiA programme (notably Youthpass) would contribute to ensuring a wider recognition of these activities and their outcomes, which otherwise would remain limited to a national or local reality.

However, under the baseline scenario, the shortcomings identified by the YiA interim evaluation would remain unaddressed (see chapter 2.4.2).

## **2.7. Justification for EU intervention and added value**

EU action in the field of youth is enshrined in the Treaty. Art. 165 of the Treaty on the Functioning of the European Union states that the EU action in this field shall be aimed at "*encouraging the development of youth exchanges and of exchanges of socio-educational instructors*" as well as at "*encouraging the participation of young people in democratic life in Europe*". EU action in this field should aim at supporting or supplementing the actions of the Member States in full respect of the principle of subsidiarity. While remaining the main responsible actors for the policy changes and interventions needed to respond to the challenges young people face, with the development of a European framework of cooperation in the youth field (see chapter 2.2), Member States have also acknowledged the importance of working together on a voluntary basis to address youth issues.

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<sup>47</sup> The Economist (2011), Special Report on the Future of Work, September 2011

<sup>48</sup> Declaration of the 1<sup>st</sup> European Youth Work Convention (Ghent, Belgium, 7-10 July 2010), available at: [www.coe.int/t/dg4/youth/Source/Resources/Documents/2010\\_Declaration\\_European\\_youth\\_work\\_convention\\_en.pdf](http://www.coe.int/t/dg4/youth/Source/Resources/Documents/2010_Declaration_European_youth_work_convention_en.pdf)

In full respect of Member States' responsibility for youth issues and of the voluntary nature of EU cooperation in the youth field, the **EU added value** of the proposed initiative stems from:

- **The transnational and innovative character of the activities supported:** one of the main successes of the current programmes is the growth of transnational learning mobility. Offering young people the opportunity to experience other countries and cultures improves their employability and promotes a more European-minded, flexible and mobile workforce that improves Europe's competitiveness and innovation potential<sup>49</sup>. Offering opportunities to **exchange experience and best practices** among youth workers and youth organisations from different countries adds to the richness of the results of the projects supported as they build on more varied experiences and backgrounds. The YiA interim evaluation confirmed that the programme has facilitated mobility and international cooperation by providing opportunities which cannot be easily achieved by a programme at national or regional level.
- **The way it complements similar existing initiatives or compensates for their lack:** Against the fragmented and uneven provision of opportunities across Member States, only an EU programme can ensure an **equal basis of opportunities** for transnational mobility, exchange of experience, cooperation to develop innovative approaches, etc., notably in those where nothing else exists. Moreover, transnational activities are **more effectively organised** at EU level: an EU-wide network handling mobility (not limited to bilateral exchanges between two given countries) generates **economies of scale** by avoiding that similar schemes and institutions be replicated in all Member States.
- **The way it stimulates recognition and quality development in the youth field:** The existence of an EU-wide instrument ensures consistent **quality** and **recognition**, thanks to the development of common standards, tools and procedures (e.g. the accreditation of structures participating in the EVS; the development of a common European tool (Youthpass) for the recognition of non-formal learning). The YiA programme provides an important contribution to the quality of youth work at all levels<sup>50</sup>. "It is a "carrier" of a wide European experience on recognition of non-formal learning and the prospects are encouraging for becoming a factor of greater influence in the near future for national policies regarding lifelong learning<sup>51</sup>".
- **The way it supports and adds credibility to policy processes:** The existence of an instrument in favour of youth over the last two decades has been a key building block for the development of a framework for European cooperation in the youth field. The experience of the subsequent programmes in favour of youth has contributed to inspiring and shaping policy initiatives. The EVS is a good illustrative example: the positive experience of EVS since 1996 has led to the adoption of the 2008 Council Recommendation on the mobility of young volunteers across the European Union (see Annex 3 for more details). An EU programme in favour of youth is an important tool to support the implementation of the **youth Open Method of Coordination**, boosting progress towards common objectives, promoting exchange of knowledge and good practices among national policy-makers and supporting the development of a **structured dialogue** between young people and policy-makers. In addition to bringing together

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<sup>49</sup> SEC(2011) 867 final, Commission Staff Working Paper, *The added value of the EU budget*, Accompanying the document "Commission Communication A budget for Europe 2020"

<sup>50</sup> 2010/C 327/01, Council Resolution on youth work

<sup>51</sup> Christodoulidis S. (2010), Interim Evaluation of the Youth in Action Programme in Greece

participants from different countries, it ensures compliance with objectives, priorities and policy goals agreed at European level. It can also influence the development of new policy initiatives in some countries<sup>52</sup> and it plays a central role in countries, like Poland, where there is no national youth policy<sup>53</sup>.

- **The way it enriches the scope of available opportunities:** Another element of EU added value, confirmed by the YiA interim evaluation, lies in the stronger '**European dimension**' that an EU programme can bring into the work of individual Member States. EU intervention **broadens the scope of opportunities** that are available, by bringing European themes to the attention of young people, which would not necessarily be tackled in similar activities organised at national or local level. It can complement national initiatives concerned with young people's civic engagement and non-formal learning, where these exist. It also ensures visibility and credibility to the commitment of the EU vis-à-vis young people; it notably translates at European level the new objective of the Treaty, relating to the participation of young people in democratic life in Europe.
- **The way it contributes to achieving strong systemic impact:** An EU-wide tool to support youth activities can achieve strong systemic impact, notably by acting as a **laboratory** to test new approaches, which can **inspire national/regional schemes** (for example, the creation of a Belgian scheme of youth exchanges and volunteering across the three communities directly inspired by the YiA experience and managed by the same National Agencies) or help them **develop a transnational dimension**. Considerable **leverage effect** has been achieved in some countries, (e.g. Greece or Italy) and regions (e.g. in Ile de France) where additional funds have been allocated to complement the support by the transnational youth projects funded under YiA.
- **The way it contributes to enriching EU external relations:** by supporting people-to-people contacts and civil society development in the youth field in line with the EU priorities in the external relations area (thanks to its openness to cooperation with partner countries, the YiA programme is a flexible tool that can easily adapt to support cooperation and people-to-people contacts with given countries or regions to respond to a specific priority/focus in EU relations with its partner countries<sup>54</sup>).

### 3. OBJECTIVES

The identification of objectives has taken into account the above considerations, as well as the results of the YiA interim evaluation, with a view to concentrating future support on the actions offering maximum EU added value. Against the current fragmentation of existing instruments serving similar purposes, the proposed objectives also aim at ensuring a more

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<sup>52</sup> For instance, the new law on youth work in Estonia (September 2010), is to some extent based on the experience developed in the course of the YiA programme (source: Tartu University, Institute of Sociology and Social Policy (2010), Interim evaluation of the Youth in Action Programme in Estonia). In Sweden, the programme is viewed as the "most important tool for implementing national and European youth policy at a local level" (source: Arthur D. Little (2010), Interim evaluation of the Youth in Action Programme in Sweden).

<sup>53</sup> Ecotec/Ecorys (2011), *Mid-term evaluation of the Youth in Action Programme 2007-2013*

<sup>54</sup> While the main focus is on cooperation with the EU neighbouring partner countries, the YiA programme can also support cooperation in the youth field with other partner countries of the world, taking into account developments and priorities in the relations of the EU with its partners. For instance, in 2010-2011, in support to the designation of 2011 as the EU-China Year of Youth, the YiA programme has included a geographic focus on cooperation with China in the youth field; in 2008-2009, a similar geographic focus was placed on EU-Africa cooperation in the youth field in support to the EU-Africa Strategic Partnership, etc.

streamlined and simplified approach in future EU interventions. Furthermore the identified objectives are fully in line with the core objectives and policies of the European Union as described in the general and specific context section (see chapters 2.1 and 2.2).

Based on the above, the objectives (see table below) will focus on a combination of:

- direct support to **young people**, taking into account the need to ensure an even offer of transnational non-formal learning opportunities in all countries, which, in addition to the direct benefits for the individuals involved, can inspire national/ regional practices;
- support to **intermediaries** (youth workers and youth organisations), taking into account their potential role as "multipliers" (i.e. their capacity to reach out to a higher number of young people compared to actions targeted at single individuals);
- support to **policy processes**, which contribute to achieving the common objectives through a systemic approach and which require concrete support to be more effective.

<b>General objective*</b>	To contribute to young people's employability, active participation in society and sense of belonging to the EU as a means to foster human and social capital development, support growth and social cohesion in support to the Europe 2020 Strategy and the EU Youth Strategy		
<b>Specific objectives</b>	1. To support young people and youth workers in the acquisition of skills, competences and European values through non formal learning mobility opportunities accessible to all	2. To promote quality, innovation, recognition and transnational cooperation in the area of youth work and non-formal learning for young people	3. To support the framework of European cooperation in the youth field
<b>Operational objectives</b>	<p>1.1 To support non-formal learning mobility across and beyond the EU (transnational youth exchanges)</p> <p>1.2 To support transnational youth voluntary activities across and beyond the EU</p> <p>1.3 To support transnational training and networking for youth workers' professional development across and beyond the EU</p>	<p>2.1 To support cooperation and exchange of innovative practices among youth organisations across and beyond the EU</p> <p>2.2 To support partnerships with public and private bodies active in the youth field</p> <p>2.3 To support social innovation projects with a European dimension generated and carried out by young people</p>	<p>3.1 To support policy dialogue and cooperation on youth issues among Member States as well as with Partner Countries and international organisations</p> <p>3.2 To support the implementation of the Open Method of Coordination in the youth field</p> <p>3.3 To support the activities of the European Youth Forum</p> <p>3.4 To support partnerships with European Youth NGOs</p>

\* The proposed general objective exclusively refers to the youth-related activities of the single Education, Training, Youth and Sport programme. However, it is fully in line and contributes to the overall general objective of the single programme "to contribute to the objectives of the EU 2020 strategy and of the Education and Training strategic framework 2020 (ET 2020), including the corresponding targets, to the renewed framework for European Cooperation in Youth field (2010-2018), to the sustainable development of third countries in the field of higher education and to develop the European dimension in sport".

In the implementation of the measures supporting these objectives, special focus shall be placed on young people with fewer opportunities, to concretely support the wider EU objectives on inclusion. In order to do so, an Inclusion Strategy has been defined under the YiA programme, which should continue to apply under the future Programme, with the objective of easing the participation of young people with fewer opportunities to the various actions of the Programme (access) and of drawing attention on the existence and challenges of inequalities (inclusion as a permanent thematic priority of the Programme). One of the National Agencies acts as a Resource Centre on Inclusion to support the whole network in their undertakings to reach more young people with fewer opportunities. Moreover, in certain cases, an additional financial support is provided to cover special needs.

The development of quantitative targets will depend on the budgetary arbitrations and will be linked to the development of indicators for future monitoring and evaluation. Indicative estimates have been made in chapter 7.2 based on the proposals known at the time of finalising this IA.

## **4. POLICY OPTIONS**

### **4.1. Guiding principles for the identification of the policy options**

While the current Youth in Action Programme is already contributing not only to the EU Youth Strategy but also to the overarching Europe 2020 and ET 2020 goals, there is scope for improving its content and architecture, to increase the EU added value and to trigger broader systemic impacts in complementarity with other EU initiatives and Member States' efforts. As it is the case more generally for the Lifelong Learning Programme, in order to achieve the above specific and operational objectives, EU support can be improved mainly by:

- Concentrating on activities with the highest added value, where a critical mass can be mobilized, and on strong incentives to achieve the Union's policy objectives targeting systemic change;
- Reducing radically the complexity of the architecture of EU programmes, and identifying the scope for economies of scale and for reducing the administrative costs at EU, National Agencies and beneficiary level, and to increase programme user friendliness;
- Identifying those areas of activity where the programme has a competitive advantage as compared to other EU instruments or initiatives, and identifying and exploiting, already in the design phase, the opportunities for synergy and complementarity with them.

Four options have been considered as described in the following chapters. In line with the above listed guiding principles, there is a focus on identifying the option that in the best way builds on the strengths and eliminates the weaknesses at the baseline, including by assessing different content-related choices (see in particular chapter 4.4). Other options to achieve impacts on the previously set objectives, for instance through legislation, are largely prevented by the Treaty. Given the target groups (mainly individuals and youth organisations) and the geographical scope of the programme other forms of support, e.g. through the OMC, cannot be effectively applied without an EU funding allocation. A proposal of a new financial instrument for youth thus respects the principle of proportionality.

#### **4.2. Policy Option 1: Status quo (baseline scenario) – continuation of the Youth in Action Programme**

The baseline scenario option would consist in keeping the objectives, structure and management of the current YiA programme as well as a comparable budgetary allocation as described in chapter 2.3 both in terms of overall budget and in terms of allocation among activities.

#### **4.3. Policy Option 2: No action – discontinuation of the support under the current Youth in Action Programme**

Under this option the YiA instrument would no longer exist and EU action in the field of youth would solely rely on the related Open Method of Coordination (see chapter 2.2). Spending on non-formal education and youth work activities in favour of youth, mobility and transnational cooperation in the youth field would be entirely reliant on non EU resources (in particular Member States). The EU would continue its obligations under Article 165, but without a concrete spending programme. Such obligations would still require some expenditure on the provision of information, analysis and human resources to fulfil the Treaty mandate.

#### **4.4. Policy Option 3: Strengthening the objectives of the current programme**

This option would consist in developing a new, refocused programme in favour of youth, notably with a stronger emphasis on the acquisition of skills and competences through non-formal learning activities, with a view to better supporting the new EU political context relevant for youth. This would build on the success of the previous programmes in the field of youth, while incorporating the recommendations stemming from the YiA interim evaluation, notably in terms of simplification, and taking into account the priorities of the renewed OMC.

Building on the recommendations of the interim evaluation (see chapter 2.4.2) as well as on the outcomes of the public and stakeholders' consultations, the new programme in favour of youth would **concentrate EU support on a smaller number of objectives and activities having a strong impact** or leverage effect. The number of activities proposed would be reduced, with a view to streamlining and simplifying the structure and readability of the programme, which is currently too complex.

A possible option could have been to limit EU support to the activities of intermediaries (youth workers and youth organisations), given their potential as "multipliers" and discontinue all actions of the current programme directly targeting young people themselves. The interim evaluation considered such an option, but came to the conclusion that "a shift towards support to youth organisations and youth workers at the cost of grants for young people is not desirable, as there are not many other resources for their participation in YiA-type activities<sup>55</sup>". This would also send a negative message of disinvesting in young people, which would be incoherent with the EU policies and strategies in favour of youth and with the objective of making learning mobility a reality for all young people in Europe.

Based on these considerations and on similar indications stemming from the public and stakeholders' consultations, the activities of the new programme would be organised

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<sup>55</sup> Ecotec/Ecorys (2011), *Mid-term evaluation of the Youth in Action Programme 2007-2013*

according to three main categories: i) activities targeting young people; ii) support to youth work development; iii) support to youth policy cooperation. This would allow **maintaining** the necessary **mix between activities targeting individuals and those with a more structuring impact** while representing a significant simplification in terms of structure compared to the current YiA programme, which includes 5 Actions and 17 sub-Actions (see Annex 1).

Simplification would also be achieved by discontinuing those activities that currently do not reach a critical mass and by streamlining or rationalising others within more focused actions. Support would be focused on those actions which show the strongest contribution to mobility and to the programme objectives (notably, EVS, youth exchanges and support to youth work), as indicated by the interim evaluation (see chapter 2.4.2) as well as by the consultation process. Moreover, the choice of activities to be maintained, discontinued or streamlined would take into account the performance of current activities based on the experience of the current programme.

This would lead, for instance, to discontinue the current "youth democracy projects" (sub-Action 1.3 of YiA) as an action per se. This new action under YiA has had difficulties in taking off and shows a relatively low number of projects submitted and granted. Moreover, the main feature of these activities – i.e. a specific focus on **youth participation** – can easily be mainstreamed (and is *de facto* already a strong component) throughout the other programme activities.

The consultations revealed a willingness to maintain, and in some cases reinforce, support to activities in **cooperation with partner countries outside the EU**. This would remain an important feature of the future programme, but does not necessarily require a dedicated action as it is currently the case (sub-Action 3.1). Similarly to EVS, which already includes an international component without a specific distinction, cooperation with partner countries would be streamlined in the mainstream activities open to these countries (i.e. youth exchanges, EVS and training and networking activities). This would contribute to simplifying the structure of the programme and reducing the number of actions without losing the specificity of the programme as regards its openness to cooperation with partner countries (in other words, there would no longer be a distinction between actions based on the geographic origin of the partners involved). Additional simplification would also be reached by streamlining current activities of a similar nature but with a different thematic focus into a single action (e.g. current actions 4.4 and 4.5).

Building on the YiA experience, the new programme would also strengthen the **partnership** approach, tested as a pilot action under the current programme, which is effective in strengthening the impact of the programme both in quantitative and qualitative terms. The objective of this approach is to **support vertical partnerships between the European Commission and regions, municipalities or European NGOs which aim at developing or reinforcing activities, strategies and programmes in the field of non-formal learning and youth. In doing so, these partnerships allow attracting non-programme financial resources, thus increasing the number of YiA participants and projects while** offering project formats that match the needs of the targeted bodies. For the first time in 2011, this action has also been open to bodies active in the field of corporate social responsibility in favour of youth. Building on the results of this pilot experience, this aspect would be further refined in the future programme.

In line with the recommendations of the interim evaluation, the new programme would put a stronger **focus on youth employability**. Without diluting the participation objectives, and taking into account the complementarity of activities supported by other instruments, it would concentrate on the activities which support the acquisition of skills and competences through non-formal learning in the most effective way, notably the EVS but also transnational youth exchanges, within which the learning component would be strengthened, for instance by placing more emphasis on the preparation phase as an integral part of the learning process or on the development of language skills.

In response to the recommendations of the interim evaluation as well as to the outcomes of the public consultation, ways to better identify and strengthen the support to **young people with fewer opportunities** as well as to better encourage youth organisations to target more this group of participants would be sought, building on the experience of the current programme and of its inclusion strategy, as well as for example, by better defining the additional financial contribution allocated to projects involving these young people. As confirmed by results of the consultations, however, the programme should not be exclusively targeted at young people with fewer opportunities, but should remain a programme for all young people, with a special focus on the most disadvantaged.

The new programme would continue to rely on the current **management** structures. It is important to note that there is a consensus among stakeholders and beneficiaries in considering that the fundamentals of the YiA delivery mechanism are sound, and should not be overhauled. The European Court of Auditors and the Commission's Internal Audit Service have confirmed the positive performance levels of the current delivery mechanisms of the EU education and youth programmes.

Concrete measures to reduce **administrative requirements** and the management costs would be sought in order to allow for economies in this area. For instance, the number of application rounds would be reduced; simpler application and report forms combined with an improved IT management system would lead to simpler application and assessment processes, with gains both for beneficiaries and the National Agencies assessing and managing projects.

More attention would also be paid to better promoting the new programme, in order to increase its **visibility**, notably through the channels and media, which allow for better reaching out to young people (e.g. schools, Internet, social media...).

#### **4.5. Policy Option 4: A single Programme for education, training, youth and sport: strengthening objectives and impact through concentration and streamlined architecture**

This option would build on option 3 while taking its rationale one step further, by exploiting the scope for concentration and simplification within existing programmes, but also across the various existing programmes which share similar broad objectives, types of action and delivery mechanisms. As indicated in the Commission's proposal for the next Multiannual Financial Framework, this option would increase the potential for improvement of option 3 by integrating the current programmes in the fields of education, training and youth (namely LLP, YiA and the international cooperation programmes in higher education) into a single programme. The main rationale for this is that the types of actions currently supported within each programme and by separate sub-programmes can be readily harmonised and streamlined

since they are similar in nature and that simplification of actions and delivery can increase both the impact and the cost-effectiveness of EU support.

The objectives outlined in section 3 would therefore be implemented through a common, simplified architecture, as part of a delivery mechanism organised according to the three essential key types of actions which the EU programmes for education, training and youth actually support: learning mobility of individuals; institutional cooperation for innovation and good practices; support for policy reform (*NOTE: see IA report on the LLP, chapter 4.5*).

This option would therefore build on the successful aspects of the current programmes, while addressing the current fragmentation between them. It would also ensure **stronger synergies** and economies of scale among these programmes and their related policy areas, which in turn would allow for a more coordinated and concerted response to the complex problems identified (see chapter 2.4).

Both formal and non-formal learning play a key role in the development of flexible pathways that are indispensable to promote a real lifelong learning for individuals' personal and professional development. A single programme would seek to bring stronger synergies between these two areas. It would also aim at providing a single entry point to the available EU opportunities in the fields of education, training and youth, thus allowing for a more coordinated and effective communication approach, and easier access for potential beneficiaries who could access information about the available opportunities through a single channel.

This single programme would continue the activities taking place under the current programmes, by **streamlining** and concentrating on those which have the strongest EU added value (notably mobility) and can reach systemic impact, thus responding to the rationale of a European programme that serves as a model for regional or national schemes or practices, as well as strengthening the coherence and visibility of the offer of EU support. Youth-related activities, streamlined as explained in option 3 (see chapter 4.4), could be easily accommodated under this structure following the same underlying principles of simplification and concentration of the single programme. A detailed description of the youth-related activities that would be carried out under the single programme is provided in **Annex 4**.

Since all three programmes already use the same delivery mechanisms (National Agencies and/or the Education, Audiovisual and Culture Executive Agency), integration within a single programme would be expected to allow for **economies of scale, simplification of processes and rationalisation of reporting** (*NOTE: see IA report on the LLP, chapters 4.5 and 4.6*). These productivity gains would also entail **efficiency gains**: the rationalisation of resources necessary for the implementation of the programme coupled with a concentration on a limited number of high value-added activities would allow for increased support to actual activities (notably mobility) and bigger returns on investment by reducing duplications across sectors and policies.

#### **4.6. Indicative budgetary assumptions for the analysis of the different options**

The analysis of impacts and comparison of options in the following sections 5 and 6 is based on the following hypotheses retained as main features of Options 3 and 4 compared to Option 1 (status quo):

- increase in the overall budget available for non-formal learning activities in favour of youth (as a result of the overall increase in the budget allocated to the area of education, training and youth in the Commission's proposal for the new Multiannual Financial Framework);
- concentration of the funding on a reduced number of activities for young people (among which the ones particularly pin-pointed by stakeholders and the interim evaluation: youth exchanges and the EVS) and on the support to training and networking activities for youth workers (multiplying effect of this form of support to youth work);
- stronger increase for the support to partnerships with public or private bodies active in the youth field, to take advantage of the systemic (and leverage) effect of this activity recently introduced in the Youth in Action Programme (see chapter 4.4);
- decrease in the share of the management costs (as a result of measures of administrative simplification (in management and control) for the National Agencies and the promoters and of economies of scale).

*(NOTE: see also IA report on the LLP, chapter 4.6).*

## 5. ANALYSIS OF IMPACTS

The impact analysis of the above-mentioned options is essentially based upon qualitative judgement. As a matter of fact, impacts are mainly related to young people and youth workers' **personal development**, which is naturally difficult to measure and quantify. The YiA interim evaluation and the qualitative surveys carried out on beneficiaries of the programme in 2010 and 2011 provide an indication of direct impacts deriving from participation in non-formal learning and youth work activities supported by a European youth programme. Direct impacts on beneficiaries are at three levels: on **young people** (e.g. in terms of development of key competences, soft skills, active participation), on **youth structures** (e.g. youth workers improving their professional skills, youth organisations developing their capacity to engage in international youth activities or deal with issues of European interest) as well as on **policies** (e.g. influence of the programme on the development of new policy initiatives or programmes at national level as described in section 2, support to the implementation of the EU Youth Strategy in Member States).

However, impacts are not limited to the direct benefits for individual beneficiaries; they also reach a more **systemic level**. The establishment of international contacts among individuals, organisations and communities can facilitate further cooperation or mobility as well as contribute to changing perceptions and improving understanding and attitudes vis-à-vis other people and countries. Beyond their personal experience, direct beneficiaries play an important role as "multipliers" by sharing their experiences with others, notably their families and friends. The impact of cooperation activities in the area of youth work or in support to youth policy can even be more substantial, strategic and potentially higher than that of actions directly targeting individuals although it is difficult to estimate precisely given that such impact is indirect, its outcomes cannot be easily quantified and can only be measured over a longer period of time. All this also helps promote a positive perception of the EU as such.

## 5.1. Social impacts

### *Description of the impacts*

**Mobility** is an important part of the flexibility which Europe seeks from its labour force. Learning mobility, i.e. transnational mobility for the purpose of acquiring new skills is one of the fundamental ways in which individuals, particularly young people, can strengthen their future **employability** as well as their personal development<sup>56</sup>. Foreign language skills are one of the major benefits of transnational learning mobility, and non-formal learning settings can strongly contribute to their development: non-formal contexts give young people more confidence to speak another language, without being afraid of making mistakes. The full-immersion in another language context, even for short periods of time, allows for daily exposure to the target language and daily practice of communication in "real" situations<sup>57</sup>. Moreover, active use of languages in interaction with peers across boundaries enhances intercultural competence<sup>58</sup>. Even a short-term exposure to another language can increase the chance that one will continue learning the language after return and it becomes more likely that someone will go abroad for a longer period in the future<sup>59</sup>. Experiences abroad also offer an opportunity to open up to the world, and success in such experiences is often a factor that strengthens self-confidence<sup>60</sup>.

Mobility can also help foster a deepened sense of **European identity** and citizenship among young people<sup>61</sup>. Transnational friendships and freedom of movement across the continent construct a more positive attitude among young people towards the EU and its institutions<sup>62</sup>.

Transnational non-formal learning experiences, such as a cross-cultural youth exchange or an EVS experience, bear long-lasting effects on the participants involved<sup>63</sup>. They can also act as an "eye-opener" to help young people identify **new perspectives** or **better orient their career** goals. Different studies have indicated that participation in voluntary service schemes reduces career indecision<sup>64</sup>.

The flexible and informal methods used in youth work practice help youth workers reach out to young people more effectively and develop a trusting and qualitatively different relationship than the more formal and structured ones developed in schools or the workplace. This is particularly important to reach out and **involve young people from disadvantaged backgrounds** as well as to promote **awareness and sensitivity to exclusion issues**. Youth

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<sup>56</sup> COM(2009) 329 final, Green Paper, *Promoting the learning mobility of young people*

<sup>57</sup> Morita, Mitsuhiro (2010) *How does a short term study abroad influence language learning strategies? : The case of the Intercultural Communication Program at Yamagata University*

<sup>58</sup> Penington, B., Wildermuth, S. (2005). *Three weeks there and back again: A qualitative investigation of the impact of short-term travel/study on the development of intercultural communication competency*. Journal of Intercultural Communication Research, 34, 166-183

<sup>59</sup> Gorke, B., Niesenbaum, R. (2001). *Beyond the language requirement: Interdisciplinary short-term study-abroad programs in Spanish*, Hispania, 84(1), 100-109

<sup>60</sup> Institut Montaigne (2007), *Après Erasmus, Amicus: Pour un service civique universel européen*

<sup>61</sup> COM(2009) 329 final, Green Paper, *Promoting the learning mobility of young people*

<sup>62</sup> Kėžaitė, Špokevičiūtė, in "Mobility of Young Volunteers across Europe", study commissioned by the Committee of the Regions, 2010

<sup>63</sup> Alexander Thomas, Celine Chang, Heike Abt (2007), *Erlebnisse, die verändern – Langzeitwirkungen der Teilnahme an internationalen Jugendbegegnungen*. Göttingen: Vandenhoeck & Ruprecht GmbH & Co. KG

<sup>64</sup> AVSO, ProMente (2007), *The Impact of long-term Youth Voluntary Service in Europe: a review of published and unpublished research studies*

workers help to provide alternative routes to training, qualifications and employment than those conventionally provided within education. In addition, they can also act to **open up opportunities in the mainstream education** sector<sup>65</sup>. This has been confirmed by the YiA interim evaluation, which has acknowledged the role of the Programme as a stimulus to motivate young people to study<sup>66</sup>, as well as by various surveys on young participants and youth leaders (over 80% of YiA participants planned to engage in further education opportunities after participation in the programme<sup>67</sup>).

Supporting **youth workers' international mobility** and **training** contributes to increasing and improving their capacity to support young people in a more professional way, thus benefiting both youth workers in their personal and professional development and the young people who will be targeted by their improved actions. Fostering **cooperation** and the exchange of youth work practices also contributes to improving methods, developing innovation and **quality** in non-formal learning and youth work, which in turn can lead to better **recognition** of non-formal learning outcomes and of youth work as a profession.

Research indicates that the active involvement of young people as citizens fosters their social capital and the enhancement and mobilisation of their capacities in all fields<sup>68</sup>. The benefits of young people's active **participation** in society are immense both on a personal and on a societal level. On a personal level, building decision-making abilities in young people empowers them when it comes to making decisions about their own health and well-being. Young people who participate actively in civic life are more likely to avoid risky activities, to take ownership over their legal rights and to navigate their way through the array of challenges they encounter on their journey to adulthood. When they become adults, this empowerment will inform the decisions they make. Participation is one of the best ways of informing young people of their rights. This knowledge, in turn, is crucial to ensuring that these rights are respected<sup>69</sup>. Bringing young people closer to decision-making processes and encouraging their **involvement in the development of policies** that affect them through consultation and dialogue contributes to strengthening young people's sense of belonging and commitment to their community at all levels while being fully in line with EU objectives. At the same time, this process can make public institutions, including the European ones, more accountable vis-à-vis young people.

Wider benefits at community and society level are equally positive: investment in well informed and empowered citizens can lead to healthier populations, stronger economic growth and more **cohesive communities**. Youth engagement can enhance collective action, increasing pressure on governments to provide good public services and driving social, economic and political change<sup>70</sup>. Youth exposure to **cultural diversity** does not only benefit

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<sup>65</sup> The National Youth Agency and the Fabian Society (2008), *The Contribution of Non-formal Learning to Young People's Life Chances, Learning from the Evidence*

<sup>66</sup> Ernst & Young (2010), Interim evaluation of the Youth in Action Programme in the Netherlands; Arthur D. Little (2010), Interim evaluation of the Youth in Action Programme in Sweden

<sup>67</sup> 2011 survey on the qualitative impact of the Youth in Action Programme. Results available at: [http://ec.europa.eu/youth/focus/doc/monitoring\\_survey/main\\_results\\_monitoring\\_survey\\_2011.pdf](http://ec.europa.eu/youth/focus/doc/monitoring_survey/main_results_monitoring_survey_2011.pdf)

These results are confirmed by those of surveys carried out by the University of Innsbruck, Institute of Educational Science in the context of the *Research-based Analysis of the Youth in Action Programme* (see 2.4.2).

<sup>68</sup> World Bank (2007), *World development report 2007: Development and the next generation*. <http://siteresources.worldbank.org/INTWDR2007/Resources/1489782-1158107976655/overview.pdf>

<sup>69</sup> Unicef, (2011), *The State of the World's Children 2011, Adolescence, an age of opportunity*, [http://www.unicef.org/adolescence/files/SOWC\\_2011\\_Main\\_Report\\_EN\\_02242011.pdf](http://www.unicef.org/adolescence/files/SOWC_2011_Main_Report_EN_02242011.pdf)

<sup>70</sup> Ibid.

the individuals directly involved but also has wider benefits on the communities involved, as well as on the families and peers of young participants. This can help spread a culture of openness, solidarity and tolerance beyond the individual participants involved.

This is valid both within and beyond the EU borders. International exchanges and youth work activities involving young people from **third countries** can contribute to enhancing intercultural learning, fighting prejudices and promoting solidarity and mutual understanding also across the EU borders. By adding a more "human face" to international relations, the development of **people-to-people contacts** can lead to better and stronger relations between the EU and its Partner Countries as well as to building a stronger image of the EU globally.

### *Analysis of the options*

The continuation of the current programme under the status quo (**Option 1**), would ensure that the above-mentioned impacts be maintained at the current levels. Through the activities supported by the current programme, some 100 000 young people and 30 000 youth workers every year can experience and benefit from international learning mobility and/or other youth activities. While not being negligible, this would still remain a modest amount compared to the number of young people across Europe. The programme could still contribute to supporting young people's employability and active participation in society and democratic life: 75% of YiA participants learned better how to identify opportunities for their personal or professional future; 78% felt they were better prepared to participate actively in social or political issues; 84% considered that they learned better how to achieve something in the interest of their community or society. It would also continue to contribute to enhancing the quality of youth work: 92% of the youth workers considered that they had gained skills and knowledge which they would have not been able to gain through projects organised at national level; 90% of youth organisations considered as "very true" or "somewhat true" that participating in a project supported by YiA had increased their project management skills<sup>71</sup>.

Under the "no action" option (**Option 2**), the existing differences in the provision of non-formal learning and youth work opportunities across Member States would not be addressed, with negative consequences across the whole spectrum of identified impacts. Some activities and some international mobility would still take place through non-EU schemes, but this would be limited to the countries where such schemes exist and to the young people residing in the countries targeted by these schemes. Considering the variety of realities and actors involved, it would be difficult to have an overview of the exact number of people mobilised through such schemes as well as to compare results among them. The impact of these activities is also likely to vary. Based on the findings of the YiA interim evaluation, which compared results among YiA participants with a control group of participants in non-YiA projects, involvement in YiA activities appears to have stronger impacts than involvement in non-YiA activities of a similar nature and to exceed participants' expectations in a significantly higher number of cases compared to non-YiA youth projects: e.g. 75% of YiA participants stated that they had improved their personal confidence and self-esteem vs. 58% of participants in non-YiA projects; 81% of YiA participants considered having widened their

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<sup>71</sup> 2011 survey on the qualitative impact of the Youth in Action Programme. Results available at: [http://ec.europa.eu/youth/focus/doc/monitoring\\_survey/main\\_results\\_monitoring\\_survey\\_2011.pdf](http://ec.europa.eu/youth/focus/doc/monitoring_survey/main_results_monitoring_survey_2011.pdf) The results of this survey are in line with those of a similar survey launched in 2010, which can be consulted at: [http://ec.europa.eu/youth/focus/doc/monitoring\\_survey/report\\_monitoring\\_survey.pdf](http://ec.europa.eu/youth/focus/doc/monitoring_survey/report_monitoring_survey.pdf)

social networks vs. 68% of participants in non-YiA projects<sup>72</sup>. Promoting youth participation would still remain a priority of the youth Open Method of Coordination, but its implementation would suffer from the lack of a European tool supporting it.

Both **Options 3 and 4** would seek an increase in the number of mobile people supported leading to more positive impacts compared to the baseline scenario. This would be possible thanks to increased resources for mobility (which would be the core of the new programme). The increased number of young people participating in mobility actions is estimated at 550 000 for seven years under the two options compared to currently around 460 000 (Option 1), building on the assumption of an annual average budgetary allocation of EUR 185 million (for mobility and cooperation activities), out of which 72% devoted to learning mobility. Moreover, a wider recourse to more structuring actions, such as partnerships (as described in chapter 4.4), would also allow for supporting a higher number of participants in mobility activities. Beyond the impact on mobility, the additional resources foreseen under the two options coupled with a concentration on the most relevant actions would lead to improved impacts in all the areas identified above (as summarised in the table in chapter 5.5). The concentration on cooperation activities leading to more systemic impact would result in improved transnational cooperation in the area of non-formal learning and youth work, which in turn contributes to strengthening quality and recognition. The multiplying potential of the actors targeted under these activities is also expected to generate greater impact by reaching out to a wider youth population than the individuals directly participating in mobility activities. The specificities of the current YiA programme in terms of inclusion of young people with fewer opportunities and promotion of youth participation would also be strengthened under the new programme, thanks to the improvements and streamlining described in chapter 4.4. Under **Option 4**, greater synergies would be encouraged between the formal and non-formal learning areas, which would further enhance cross-sector cooperation and recognition of non-formal learning. No significant change is to be expected as regards gender equality in the access to non-formal learning opportunities, as these are already characterized by a balance under the baseline scenario.

## 5.2. Economic impacts

### *Description of impacts*

Promoting youth participation and social capital development is closely connected with economic growth. "Youth citizenship affects economic outcomes through three channels: by enhancing the human and social capital of individuals, by promoting government accountability for basic service delivery, and by enhancing the overall climate for investment and private decision making<sup>73</sup>". Increased participation and employability of young people will ultimately have positive consequences for **employment and macro-economic growth**. However, the small size of the proposed interventions makes it difficult to measure the real impact in macro-economic terms, especially as impacts will be spread out throughout Europe and not concentrated on one particular Member State or sector.

The benefits of encouraging transnational learning mobility among young people can also translate into wider economic benefits in terms of encouraging the **free movement of persons** as well as of stimulating **innovation and creativity**. The development of key competences

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<sup>72</sup> Ecotec/Ecorys (2011), *Mid-term evaluation of the Youth in Action Programme 2007-2013*

<sup>73</sup> World Bank (2007), *World development report 2007: Development and the next generation*

and soft skills which are useful for employability as well as the exposure to other realities acquired through international cross-cultural exchanges can stimulate young people to be more mobile also at later stages in their personal and professional life. This is particularly true for longer-term forms of mobility, such as the opportunities offered by the EVS, which provides a longer-term exposure that adds considerably to "CV-building" (75% of EVS volunteers stated that their job opportunities had increased thanks to their EVS experience<sup>74</sup>), but the benefits of short-term forms of mobility should not be underestimated, especially when it comes to young people at their first international/mobility experience<sup>75</sup>. Innovation and creativity are increasingly related to diversity and openness. Innovation travels faster when economic actors have access to more diverse networks<sup>76</sup>. Literature has recently put emphasis on the fact that a high diversity of connections leads to better ideas and that cities, countries as well as companies perform better if they are open and connected to a more diverse world<sup>77</sup>. The accumulation of social capital also plays an increasingly important role in the new world of work<sup>78</sup>.

### *Analysis of the options*

Continuing the current programme would contribute to generating the above impacts as it has been proven by the YiA interim evaluation: e.g. some 86% of participants reported that they would like to study, work or live abroad, showing that participation in the activities supported by the programme strongly contributes to developing a desire to live in another country. This is also corroborated by the fact that only 68% of participants in non-YiA activities interviewed as control group during the interim evaluation expressed the same willingness. This aspect would be strengthened under **Options 3 and 4**, due to the stronger focus to be placed on mobility, systemic impact and cooperation (as described in chapter 5.1). Youth exposure to different cultures – which is already promoted in the baseline scenario (**Option 1**) – would also be strengthened under Options 3 and 4, thus contributing even more to the circulation of ideas, the development of innovation and creativity and of stronger social networks, which can be helpful later in life and on the labour market, for instance by helping develop the ability to work effectively with other people. It is however expected that such impacts will mostly arise over a longer period of time, often well after the considered actions will have been completed.

As noted in chapter 2.7, the existence of a tool that provides an equal offer of opportunities throughout the EU contributes to counterbalancing the uneven provision of international non-formal learning opportunities across Member States. The lack of such a tool as envisaged in **Option 2** would reinforce existing geographical imbalances. Conversely, in the case of a reinforced action as envisaged in Options 3 and 4, the positive economic impacts outlined above would particularly benefit those Member States where no other international or even national non-formal learning opportunities exist.

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<sup>74</sup> 2011 survey on the qualitative impact of the Youth in Action Programme

<sup>75</sup> Alexander Thomas, Celine Chang, Heike Abt (2007), *Erlebnisse, die verändern – Langzeitwirkungen der Teilnahme an internationalen Jugendbegegnungen*. Göttingen: Vandenhoeck & Ruprecht GmbH & Co. KG

<sup>76</sup> See for example G. Silverberg, G. Dosi and L. Orsenigo (1998), *Innovation Diversity and Diffusion: a Self-organisational model*, in *The Economic Journal*, 98, p. 1032 – 1054, December

<sup>77</sup> See for example R. Florida (2004), *The rise of the creative class*

<sup>78</sup> *The Economist* (2011), Special Report on the Future of Work, September 2011

The strength and direction of economic impacts will also depend on the target groups; it is expected that target groups with much potential on the labour market can achieve stronger knock-on effects on the wider economic indicators, while a focus on target groups from less favoured socio-economic backgrounds may produce more gradual and confined impacts. Furthermore, it should be noted that many economic impacts are likely to arise only over extended periods of time (e.g. 5-20 years), as it will take such periods of time for young participants to have reached key positions within the economy.

**5.3. Environmental impacts**

It is almost unavoidable for any mobility programme to generate demand for transport, which in turn leads to the emission of greenhouse gases. These are however negligible compared to the overall mobility fluxes in Europe. Hence, an in-depth analysis of environmental impacts has not been considered relevant in this case.

It is however worth noting that youth programmes can play an important role in raising young people's awareness and mobilising them vis-à-vis environmental issues. The current YiA programme already supports a variety of projects that deal with environmental issues, aimed at making young people more attentive to these challenges. It is intended to maintain and possibly reinforce this aspect in the future.

**5.4. Assessing specific aspects: fundamental rights**

All the Options envisaging an action (i.e. 1, 3 and 4) are compatible with the obligation to respect fundamental rights as laid out in the EU Charter of Fundamental Rights. The envisaged actions are also expected to contribute to raising young people's awareness to these rights, and by doing this to stimulate respect for these rights. The effects would be more positive under options 3 and 4, which envisage reinforced action compared to the status quo, since a higher number of individuals would be reached in those cases. The rights which seem to be the most closely related to the envisaged actions in favour of youth are listed in the table below. These effects are closely aligned with the social impacts described in chapter 5.1.

**5.5. Comparing the impacts**

The table below summarises and compares the most relevant impacts of each option against the baseline scenario, as described in the chapters above.

*Legend:*

++	+	0	-	--
<i>positive</i>	<i>slightly positive</i>	<i>neutral</i>	<i>slightly negative</i>	<i>negative</i>

	<b>Option 1</b> Status quo (baseline)	<b>Option 2</b> No action	<b>Option 3</b> Strengthening the current programme	<b>Option 4</b> Single ETYS programme
<b>SOCIAL IMPACTS</b>				
<i>Mobility</i>				
Transnational non-formal learning mobility of young people	0	--	+	+

	<b>Option 1</b> Status quo (baseline)	<b>Option 2</b> No action	<b>Option 3</b> Strengthening the current programme	<b>Option 4</b> Single ETYS programme
Transnational mobility of youth workers	0	--	+	+
<b><i>Education and employability</i></b>				
Employability of young people (development of key competences, acquisition of soft skills and confidence, openness to mobility, international exposure)	0	-	+	+
Improved career orientation	0	-	+	+
Access of young people to further education/training (e.g. motivation to get back into formal education/training or clearer idea of further educational pathway)	0	-	+	++
Access of youth workers to continuous training	0	-	+	+
Improved professional competences for youth workers	0	-	+	+
<b><i>Cooperation, quality and recognition</i></b>				
Transnational cooperation in youth work	0	--	+	++
Cross-sector cooperation (formal and non-formal education)	0	-	+	++
Quality and innovation in youth work	0	-	+	++
Recognition of non-formal learning	0	-	+	++
Recognition of youth work	0	-	+	+
<b><i>Social inclusion, equal opportunities, non-discrimination</i></b>				
Access to a European programme for disadvantaged groups of young people (e.g. disabled, Roma, unemployed)	0	--	+	++
Awareness and sensitivity to exclusion issues	0	-	+	+
Gender equality in access to non-formal learning opportunities for young people	0	-	0	0
More cohesive communities, increased openness and tolerance, culture of solidarity (communities directly involved in projects or indirectly benefiting from the experience of some of their members)	0	-	+	+
Young people's awareness to and appreciation of cultural diversity (increased tolerance and reduced stereotypes)	0	-	+	+
<b><i>Participation and governance</i></b>				
Participation of young people in social and democratic life (including community and associational life)	0	-	+	+
Participation of young people in the development of policies affecting them	0	-	+	++
Young people's sense of belonging to the EU (European identity and citizenship)	0	--	+	+
Young people's awareness of European topics/issues	0	--	+	+
Accountability of public institutions vis-à-vis young people	0	-	+	+
<b><i>Social impacts in third countries</i></b>				

	<b>Option 1</b> Status quo (baseline)	<b>Option 2</b> No action	<b>Option 3</b> Strengthening the current programme	<b>Option 4</b> Single ETYS programme
People-to-people contacts, mutual understanding	0	-	+	++
Civil society development, capacity-building	0	-	+	+
EU image on the global stage	0	-	+	+
<b>ECONOMIC IMPACTS</b>				
<i>Internal market aspects</i>				
Free movement of persons and workers	0	-	+	+
<i>Macro-economic environment</i>				
Consequences for employment and economic growth (through human and social capital formation)	0	-	+	+
Innovation and creativity	0	-	+	+
<i>Specific regions</i>				
Impact on specific regions or Member States	0	--	+	+
<b>FUNDAMENTAL RIGHTS</b>				
Young people's awareness of rights and responsibilities as citizens	0	-	+	+
Human dignity and right to integrity	0	-	+	+
Freedom of thought, conscience and religion, expression and information, assembly and of association	0	-	+	+
Equality between men and women	0	-	+	+
Non-discrimination	0	-	+	+
Cultural, religious and linguistic diversity	0	-	+	+

## 6. COMPARING THE OPTIONS

The comparison of options against the baseline scenario presented in the table below is based on a multi-criteria analysis, whereby each policy option has been assessed against a set of criteria relating to different potential benefits and costs. Because of the non-availability of sufficient data, it was not possible to quantify the likely impact of each policy option in monetary terms. Therefore, for each policy option, the impact has been assessed in qualitative terms based on the results of the YiA interim evaluation and on the information collected through the IA process.

Legend:

Comparison with baseline scenario (Option 1)

++	+	0	-	--
<i>positive</i>	<i>slightly positive</i>	<i>neutral</i>	<i>slightly negative</i>	<i>negative</i>

	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>	<b>Option 4</b>	<b>Explanation of given ratings: (options compared against the baseline – Option 1)</b>
	Status quo	No action	Strengthening the current programme	Single ETYS programme	
<b>Effectiveness in terms of achieving specific objectives:</b>					
Objective 1 - Support young people and youth workers in the acquisition of skills, competences and European values through non-formal learning mobility opportunities accessible to all	0	--	+	++	<p>Compared to the baseline scenario, under option 2 the EU would not directly contribute to this objective, but would solely rely on existing opportunities at the level of Member States. This would however not tackle the problems related to the scattered provision of such opportunities across the EU, with a consequent deepening of inequalities in access to opportunities. This would particularly affect the most disadvantaged categories of young people who would be deprived of an important source of opportunities accessible to them. This would also imply the lack of an important source of opportunities to support youth workers in the development of their competences, and more generally a reduced stimulus to develop transnational cooperation in youth work.</p> <p>Both options 3 and 4 would more positively contribute to this objective, notably by focusing support on a limited number of activities which have proven their contribution to reaching this objective (notably the EVS, youth exchanges, training and networking for youth workers). Option 4 would have a stronger positive impact due to the synergies between formal and non-formal actions stemming from the simplified architecture and delivery mechanism of the single ETYS programme.</p>
Objective 2 - Promote quality, innovation, recognition and transnational	0	--	+	++	<p>The above analysis is also valid for this objective. Under option 2, youth work would still continue in its different forms and modalities in each Member State, but there would not be a tool to encourage and support cooperation, exchange of practices and a more transnational dimension in youth work activities across Member States. Without a concrete support tool, policy processes alone (youth OMC, Council Recommendations, etc.) would not stimulate initiatives in this respect. More positive impacts are to be</p>

	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>	<b>Option 4</b>	<b>Explanation of given ratings: (options compared against the baseline – Option 1)</b>
	Status quo	No action	Strengthening the current programme	Single ETYS programme	
cooperation in the area of youth work and non-formal learning for young people					expected under options 3 and 4, which would place stronger focus on activities related to intermediaries, due to their stronger multiplier effect. This would translate into stronger partnerships, for a more systemic approach. As for Objective 1, the synergies and cross-fertilization that would be facilitated under option 4 with the formal education area are expected to bring about more positive impact in the promotion, development and recognition of youth work and non-formal learning.
Objective 3 - Support the framework of European cooperation in the youth field	0	--	+	+	Under option 2, the implementation of the youth OMC would still continue, but without the support of a concrete tool, increasingly recognized as an important tool to support the implementation of policy priorities and processes. The discontinuation of the programme would also imply that there would no longer be a European model based on which initiatives at national level could be inspired and developed.  Conversely, policy support would be a key component of both options 3 and 4, which would be even more aligned to policy priorities than in the baseline scenario. While it could be argued that a stand-alone programme in the youth field could better serve the objectives of the youth OMC because it would be a more visible, dedicated tool, considering the cross-sector nature of youth issues, integration with the formal education area can counterbalance this argument by ensuring a more cross-sector approach.
<b>Efficiency/cost-effectiveness, in terms of:</b>					
Implementation costs (taking account of simplification measures)	0	N.A.	+	++	Under option 2 virtually no implementation costs would be incurred, due to the absence of a programme to be implemented, hence it is not possible to compare effectiveness against the baseline scenario.  According to the YiA interim evaluation, the current management costs of the programme are rather high. It is acknowledged, however, that this is notably due to the high number of projects supported and to some implementation options, which can and will be reviewed. Reductions in costs can be achieved under options 3 and 4 by refocusing support on a more limited number of actions as well as by strengthening the approach of the partnerships with local and regional public bodies, which makes it possible to support a higher number of projects and participants at a lower cost. This would contribute to increasing effectiveness and efficiency of the initiative, but also its visibility and user friendliness.

	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>	<b>Option 4</b>	<b>Explanation of given ratings: (options compared against the baseline – Option 1)</b>
	Status quo	No action	Strengthening the current programme	Single ETYS programme	<p>Simplified funding rules (wider recourse to flat rates) and forms (electronic forms) would ease access to the opportunities offered for beneficiaries while simplifying the management of projects for NAs.</p> <p>Savings in implementation costs can also be achieved through an improved National Agency system, notably by promoting a single NA per country and by reducing control costs and audits with distinct roles for Member States and the Commission. Already in one third of the countries participating in the current programmes, single NAs have been established. The option of a single programme (option 4) is expected to be a strong additional incentive for Member States to establish a single NA, thus creating synergies and economies of scale also in relation to implementation modalities and costs (<i>NOTE: see IA on the LLP, chapter 6.1 and Annex 6</i>).</p>
EU budget	0	N.A.	+	++	<p>The discontinuation of the programme under option 2 would imply that resources be allocated to other spending areas, which does not allow for comparison with the baseline scenario. Some expenditure would only continue on the provision of information, analysis and human resources to fulfil the Treaty mandate.</p> <p>The YiA interim evaluation has confirmed that "the programme reaches a considerable number of participants that develop their knowledge and skills at relatively low costs".</p> <p>The rationalisation and streamlining of actions under options 3 and 4 compared to the baseline would imply better value for money, as the EU support would solely focus on those actions, which have proven their added value and which justify support at EU level. Moreover, the productivity gains stemming from the integration into a single programme envisaged under option 4 would result in higher cost-effectiveness in terms of EU budget by avoiding duplications across sectors and programmes.</p>
<b>Administrative burden</b>	0	++	+	++	<p>Under option 2, compared to the baseline scenario, no administrative burden would exist for Member States as the discontinuation of the programme would imply no more information or reporting obligation related to the management of such programme.</p> <p>Both options 3 and 4 would ensure some gains in terms of administrative burden compared to the baseline scenario. Simplifications in the control system and at the level of IT tools (e.g. electronic forms,</p>

	<b>Option 1</b>	<b>Option 2</b>	<b>Option 3</b>	<b>Option 4</b>	<b>Explanation of given ratings: (options compared against the baseline – Option 1)</b>
	Status quo	No action	Strengthening the current programme	Single ETYS programme	<p>improved IT management and reporting system for NAs) should contribute to simplifying tasks related to information and reporting requirements for Member States on the management by NAs.</p> <p>Under option 4, a single programme would also help develop a more integrated approach in terms of common NAs and procedures, with some gains in terms of administrative burden (e.g. single programming and reporting processes would result in a reduced number of documents to be submitted by Member States). Some additional efforts would be required in terms of coordination among the different sectors concerned by the single programme at an early phase (<i>NOTE: see IA on the LLP, chapter 6.1 and Annex 6</i>).</p>
<b>Coherence</b> (with strategic objectives, etc.):	0	--	+	++	<p>Option 2 would be the least coherent compared to the baseline scenario with the current political demand for a reinforced action at EU level in the area of youth (notably EU Youth Strategy, Youth on the Move) as it would deprive the policy cooperation in place of an important tool to support its implementation. The EU would send a negative message: the discontinuation, after 20 years, of an increasing investment in youth activities, in an area where, despite some progress in some Member States, an EU incentive continues to be necessary. This would also be in contradiction with the EU 2020 Strategy's ambitious goal of making learning mobility a reality for all young people (EU setting ambitious targets but not showing concrete commitment).</p> <p>Compared to the baseline scenario, more coherence would be ensured under options 3 and 4, notably as regards a stronger alignment to the objectives of the EU 2020 Strategy. While the former would be best received by stakeholders in the field, who would find continuity and coherence in the EU actions in favour of youth, the latter would ensure a stronger anchoring of youth issues in the overall EU policies and objectives by strengthening the links between the youth policy field and the education field. Option 4 would also offer a more coherent response to the current fragmentation among European programmes in the area of education and would be more consistent with the Commission's strategy to streamline and rationalise existing EU programmes and funds for a simpler EU funding framework under the 2014-2020 Multiannual Financial Framework.</p>

## 6.1. Identification of the preferred option

From the above comparison of the four policy options, both Options 3 and 4 would bring improvements compared to the baseline scenario.

In terms of **effectiveness in reaching the objectives**, the two options are likely to be more effective than the baseline scenario. However, Option 4 is potentially more performing as regards the first two objectives because of the increased synergies among the formal and non-formal learning areas that it is expected to bring.

In terms of **cost-effectiveness**, both Options 3 and 4 are comparable to the baseline as regards activities for individuals, but have a far higher potential for a stronger performance in the fields of partnerships, cooperation and innovation, since they would focus intensely on the leverage effects and systemic impact of these activities. While maintaining a basis for individual activities, which are still important as a way to address the unequal provision of opportunities across Member States, the two options would concentrate most of the additional funds on actions with a stronger leverage effect. This more strategic approach would allow for better results both from a quantitative (leverage effect) and a qualitative point of view (focus on institutional partners leading to stronger systemic impact). Through shared financial support to mobility activities, partnerships with public and private bodies active in the youth field allow for a reduction of the average costs of mobility borne by the EU budget, hence strengthening the cost-effectiveness of the envisaged actions. Offering a framework for a more strategic and structured development of activities in favour of youth with a European dimension also allows for an increased quality of the actions supported. Through this approach, new measures would also be introduced to support the "Europeanization" of national volunteering schemes, in line with the objective of the 2008 Recommendation on Youth volunteering, for example by contributing to the marginal costs of giving a transnational dimension to the activities proposed by a national civic service.

In terms of **management, administrative burden and implementation costs**, Option 4 has the potential to be more efficient than Option 3, as a single programme is likely to generate bigger synergies and economies of scale in the long term (*NOTE: see IA report on the LLP, Annex 6*). Option 4 is also likely to ensure better **coherence with the overall EU objectives** and priorities in the areas of education and youth by encouraging a more comprehensive approach where the two areas can mutually benefit from and reinforce each other. It would also offer a more coherent response to the current fragmentation among European programmes in the area of education and would be more consistent with the Commission's strategy to streamline and rationalise existing EU programmes and funds for a simpler EU funding framework under the 2014-2020 Multiannual Financial Framework.

From the above comparison of the four policy options, Option 4 stems as the preferred option. It combines the improvements that would be included in Option 3 with the integration into a single programme for Education, Training, Youth and Sport, which would bring additional synergies among the areas concerned compared to the current situation as well as to Option 3 (*NOTE: see IA report on the LLP, chapter 6.1*).

## 7. MONITORING AND EVALUATION

### 7.1. Framework for monitoring and evaluation

The monitoring and evaluation of the future programme should consist of both a **formal evaluation** process and a **permanent monitoring** to assess progress in achieving the objectives set. It will be part of the overall monitoring exercise of the new single Education, Training, Youth and Sport programme (*NOTE: see IA report on the LLP, chapter 7.2*).

One **evaluation** will be carried out during the programme cycle. This exercise should be organised mid-term and include an ex-post evaluation of the previous programme/s and a mid-term evaluation of the running programme – the latter having a prospective focus. Accordingly, the ex-post evaluation of the next programme would be included in the evaluation carried out mid-term for the programme coming after the next. The evaluation exercise will include provisions regarding the contribution of the National Authorities regarding the activities implemented through the network of National Agencies.

Building on what has recently been developed under YiA, the **permanent monitoring** will be based on three main dimensions:

- an extensive permanent analysis of the **quantitative outputs** of the Programme, via a dedicated informatics system which will ease the collection of necessary information about projects (e.g. number of projects, promoters, participants and their profile... by country, activity..., themes and priorities covered, financial data...);
- a regular assessment of **qualitative outcomes**, aimed at measuring the impact on the beneficiaries (young people, youth workers, youth organisations, youth systems) through different means. As done for the first time in 2010, an online survey will address on a yearly basis a representative sample of beneficiaries mainly aimed at assessing the learning outcomes of the Programme (it is envisaged that this annual analysis also allows for a follow up of individual situations over time, by consulting again a given sample of beneficiaries after some years). Further sources of verification will include the analysis of work plans and reports by the structures of the Programme, results stemming from dissemination, evidence-based studies, surveys focussing on measuring long-term effects... Attention will also be paid to the visibility of the Programme, as a follow up to the interim evaluation of YiA, building on the monitoring of such issues recently introduced in the management of YiA;
- a monitoring of the **systemic impact** of the Programme, which could be part of the wider analysis conducted in the context of the OMC's reporting cycle.

The monitoring (including in terms of management) of the Programme will notably be based on the regular consultation of its stakeholders and of the structures implementing it, as already practiced under YiA.

### 7.2. Indicators for future monitoring and evaluation of youth-related activities

Based on the above framework, a preliminary list of indicators for the youth-related activities within the single programme as well the potential sources of data collection has been identified in the table below. The development of quantitative targets will depend on the budgetary arbitrations yet to be made within the single programme. The table below includes illustrative targets based on the current budgetary allocation of the YiA programme. These

targets can be achieved with the current available resources and current unit costs, building on the hypothesis that for the bulk of concerned activities unit costs will not change.

Related objective	Title	Type of indicator	Indicator	Targets *	Data collection
Specific objective: To support young people and youth workers in the acquisition of skills, competences and European values through non formal learning opportunities accessible to all	Increase in skills relevant for employability	Result	% of young participants who have increased their skills relevant for their employability (based on key competences)	75%	Monitoring data: - Reports project level and Youthpass certificates - Monitoring survey (self assessment)
	Increase in skills relevant for participation in society	Result	% of young participants who have increased their skills relevant for their participation in society (based on defined social and civic competences)	75%	
	Participation in social and political life	Result	% of young participants more motivated to participate in social and political life	80%	
	Increased skills among youth workers	Result	% of youth workers who have increased their skills relevant for their work/involvement in the youth field through their participation in the Programme	80%	
	Awareness of European values	Result	% of participants (young people and youth workers) more aware of common European values	80%	
	Interest in EU topics	Result	% of participants (young people and youth workers) more interested in EU topics	80%	
	Openness to mobility	Result	% of participants (young people and youth workers) who feel more confident to travel, study or work abroad	80%	
Sp. objective: Promote quality, innovation, recognition and transnational cooperation in the area of youth work and non-formal learning for young people	Quality of non formal learning (NFL)	Result	% of organisations stating that they developed/adopted innovative methods in NFL as a result of their participation in the Programme	80%	Monitoring data: - Reports project level - Monitoring survey (self assessment) - OMC reports Evaluation
	Recognition of non-formal learning	Result	% of young people and youth workers having participated in the Programme feeling their NFL experiences have been recognised (in the labour market or education system)	33%	
	Transnational dimension in youth work	Result	% of youth organisations intending to include a transnational dimension in their work after participation in the Programme	66%	
Sp. objective: Support the framework of European cooperation in the youth field	Contribution of the programme to the objectives of the EU Youth Strategy	Result	To be measured through indicators developed in the youth policy field		OMC reports Evaluation
Operational objectives 1.1 – 1.3 (see section 3)	Participating young people and youth workers	Output	Number of participating young people/youth workers per type of activity/per country % of young people with fewer opportunities	In total 800 000 33%	Monitoring data (monitoring database)
Op. objective 2.1 (see section 3)	Number of structures supported	Output	Number of youth organisations involved in cooperation projects Number of innovative projects on quality and transnational cooperation	1 575 525	
Op. objective 2.2 (see section 3)	Number of partnerships established	Output	Number of partnerships established	2 000	
Op. objective 2.3 (see section 3)	Number of projects and participating young people	Output	Number of social innovation projects supported	Depends on budget (new)	
Op. objectives 3.1 – 3.4 (see section 3)	Number of activities supported in the field of policy dialogue	Output	Number of activities supported per type of activity Number of people involved	1 400 140 000	

\* Illustrative figures (for 7 years) based on the assumption of an annual average budget of 185 MioEUR (for mobility and cooperation activities).

## **8. ANNEXES**

*Annex 1 – Structure of the Youth in Action Programme (2007-2013)*

*Annex 2 – Overview of Youth in Action activities 2007-2010*

*Annex 3 – The European Voluntary Service: an illustration of EU added value*

*Annex 4 – Indicative list of youth-related activities under the future single programme*

*Annex 5 – Comparison: Youth in Action programme – New single programme*

*Annex 6 – List of main studies and reports used for the preparation of this IA report*

*Annex 7 – Overview and summary of the public and stakeholders' consultations process and outcomes*

*Annex 8 – List of abbreviations used in this IA report*

## Annex 1: Structure of the Youth in Action Programme 2007-2013

Action	Sub-Action	Short description
<b>Action 1 - Youth for Europe</b>	1.1 Youth Exchanges	Short-term non-formal learning mobility for young people aimed at helping young people to acquire competences for their personal, social and professional development, as well as at discovering and becoming aware of different social and cultural realities and learning from each other. Youth exchanges can be bi-, tri- or multilateral (one group hosting one or several groups).
	1.2 Youth Initiatives (national or transnational)	Projects directly devised and implemented by young people aimed at developing their sense of initiative and entrepreneurial spirit as well as at strengthening their civic and social engagement and sense of responsibility. These activities also offer young people, in particular the most disadvantaged ones, a first chance to experience Europe in their local reality, and can be a springboard for further engagement in mobility.
	1.3 Youth Democracy Projects	Projects aimed at boosting young people's involvement in the democratic process at local, regional and European level. The objective is to provide young people with ideas about and experiences of democracy, to spark new national and transnational networks and exchanges of good practice.
	1.4 Thematic Networking Projects	Support to the networking of ongoing or past Action 1 projects
<b>Action 2 – European Voluntary Service</b>	European Voluntary Service	Opportunities to carry out voluntary service in another country in Europe or in the world for up to 12 months. EVS is a true learning experience for the volunteers and it benefits local communities; a unique chance for young people to express their personal commitment and develop new skills and fundamental values, such as solidarity and understanding of another culture.
<b>Action 3 – Youth in the World</b>	3.1 Cooperation with Neighbouring Partner Countries	Youth exchanges (see 1.1) and training and networking activities (see 4.3) in cooperation with promoters from one or more Neighbouring Partner Countries (in South-East Europe, Eastern Europe and Caucasus, Southern Mediterranean region).
	3.2 Cooperation with other Partner Countries of the World	Projects promoting the exchange of experience and good practice in the field of youth and non-formal education, as well as the development of lasting partnerships and networks between youth organisations from EU and Partner Countries of the world other than the neighbouring ones.
<b>Action 4 – Youth support systems</b>	4.1 Support to bodies active at European level in the youth field	Co-financing of the operating costs of +/- 100 European NGOs (3-year framework agreements or annual agreements)
	4.2 Support to the European Youth Forum	Co-financing of the operating costs of the Forum

	4.3 Training and networking of youth workers	Projects aimed at promoting exchanges, cooperation and training in the field of youth work (support to capacity-building, exchange of experiences, expertise and good practices, innovation). Different types of activities possible: Job Shadowing, Feasibility Visits, Evaluation Meetings, Seminars, Training Courses, Partnership-building activities, Study Visits, Networking, Learning mobility of youth workers.
	4.4 Projects encouraging innovation and quality	Projects promoting the adoption, implementation and encouragement of innovative, quality approaches in the field of non-formal learning and youth work.
	4.5 Information activities for young people and youth work	Projects promoting information and communication actions with a European dimension that are aimed at young people and youth leaders with a view to enhancing the dissemination of quality information and increasing young people's access to information and to various channels of communication at both national and European levels.
	4.6 Partnerships	Agreement with a region, a "European NGO" (Foundation...) or a company (Corporate Social Responsibility), aimed at co-funding a combination of (mostly mobility) YiA activities managed according to their respective rules.
	4.7 Support for the structures of the Programme	Co-financing of the annual operating costs of the structures of the Programme
	4.8 Adding to the value of the Programme	Conferences, European Youth Week...
<b>Action 5 – Support for European cooperation in the youth field</b>	5.1 Meetings of young people and those responsible for youth policy	Support to cooperation, seminars and structured dialogue between young people, those active in youth work and youth organisations and those responsible for youth policy. Activities include national/transnational youth meetings; youth conferences; Presidency youth events, etc.
	5.2 Support for activities to bring about better knowledge of the youth field	Studies and other research activities
	5.3 Co-operation with international organisations	Council of Europe United Nations Volunteers

## Annex 2: Overview of Youth in Action outcomes 2007-2010

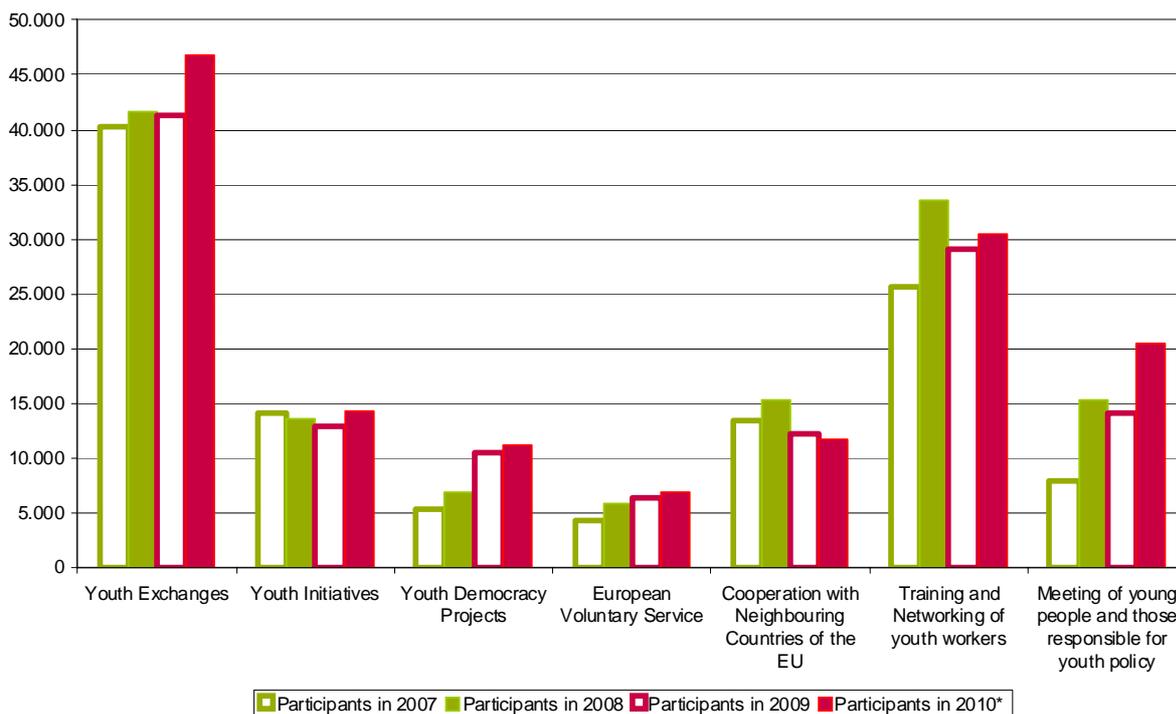
This overview presents the main outcomes of the Youth in Action (YiA) Programme over the four-year period 2007-2010<sup>79</sup>.

The main **quantitative outcomes** are the following:

- more than 527 000 persons (390 000 young people and 137 000 youth workers) have participated in YiA;
- 30 100 projects were granted out of 61 000 projects submitted;

YiA involved annually around 20 000 promoters (youth organisations, informal groups of young people, public bodies...). According to an analysis of 2009 data, the Programme presents a significant renewal rate from year to year in terms of promoters receiving financial support (only 28% of the 2009 beneficiaries were already beneficiaries of YiA in 2008).

Figure 1 - Number of participants



<sup>79</sup> At the time of development of this overview some 2010 figures still have to be considered provisional, a reality which may only have a very slight impact on the accuracy of the 2007-2010 data provided in this document. An asterisk (\*) indicates when a figure reported in a table refers to or incorporates not yet finalised 2010 data.

Figure 2 - Number of participants per Country (year 2009 only)

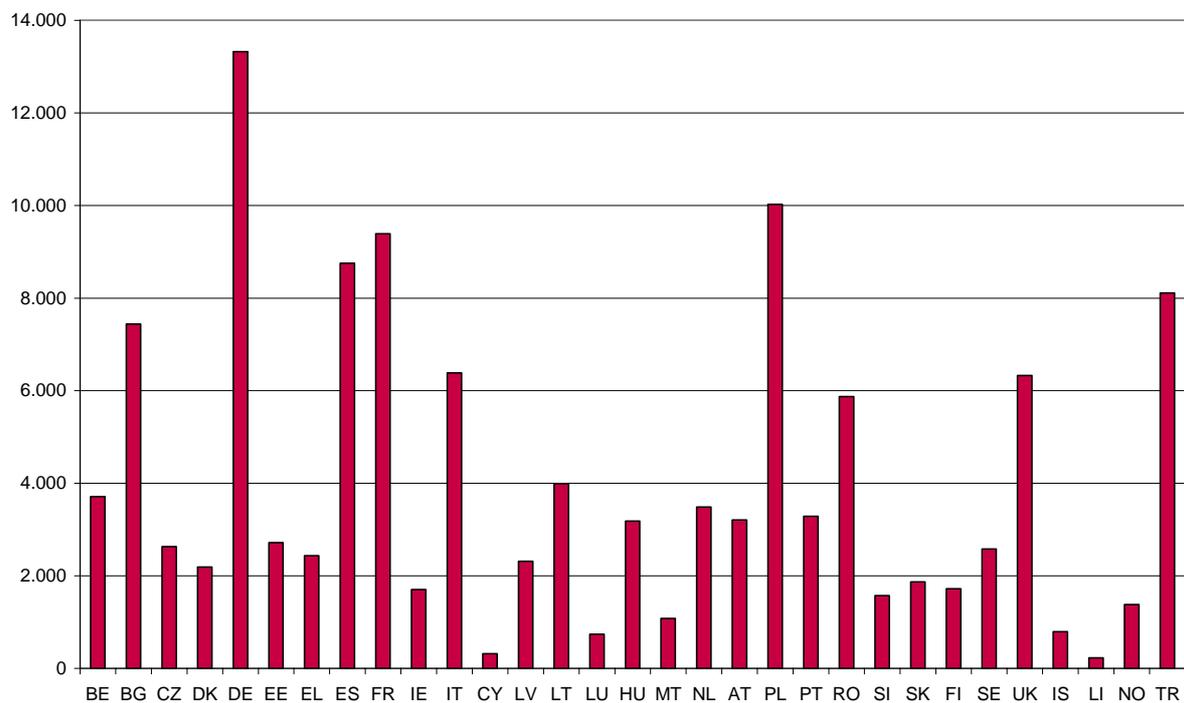
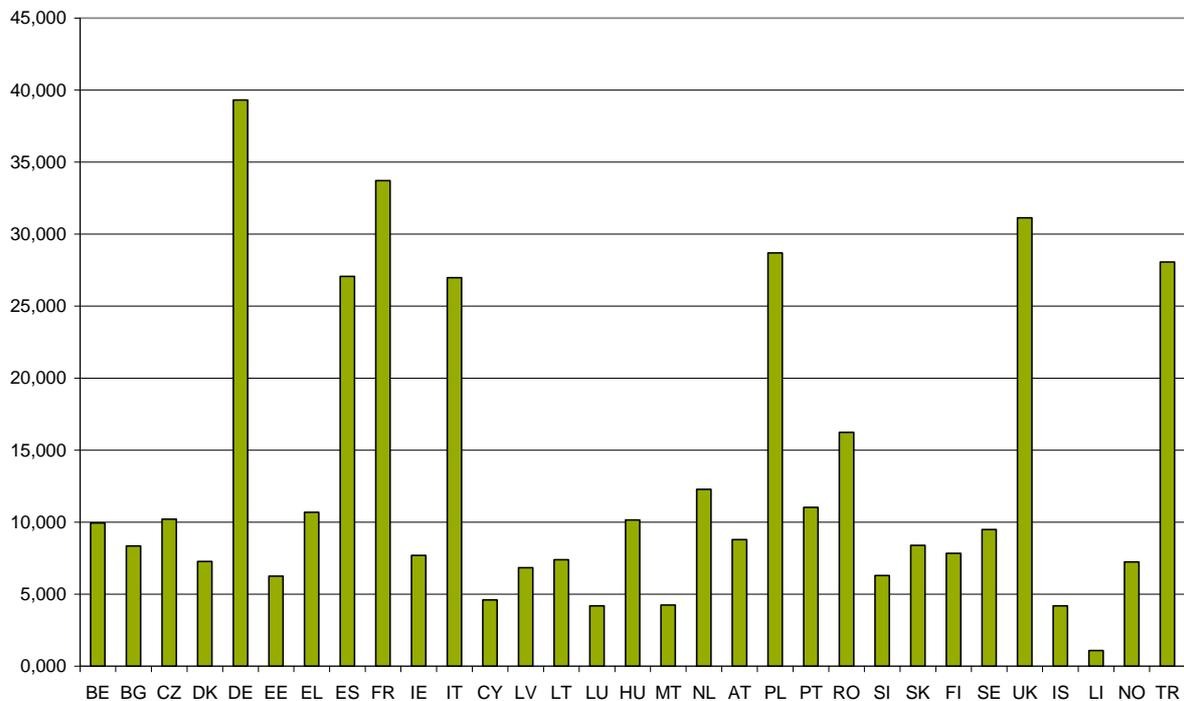


Figure 3 - Decentralised funds allocated per Country 2007-2010 (in MioEUR)



The Programme is well on track in achieving its objectives. A survey launched in March 2011 among a sample of 5300 YiA participants (young people, youth workers, youth organisations) provides a very positive picture of the **qualitative impact** of the Programme, as regards the skills and competences developed by participants, as well as their being active citizens or feeling European:

- 91% of young people consider that having participated in a YiA project has increased their competences in foreign language;
- 75% learned better how to identify opportunities for their personal or professional future;
- 73% declared they felt more European;
- 92% of youth workers consider they gained skills and knowledge which they would not have developed otherwise;
- 73% of youth organisations stated the number of international projects of their structure had increased.

The following graph displays the average appreciation by young participants, for each of the key competences, of the extent to which they have increased their competences thanks to their participation in a project supported by the Youth in Action Programme.

Figure 4 - Increase in key competences

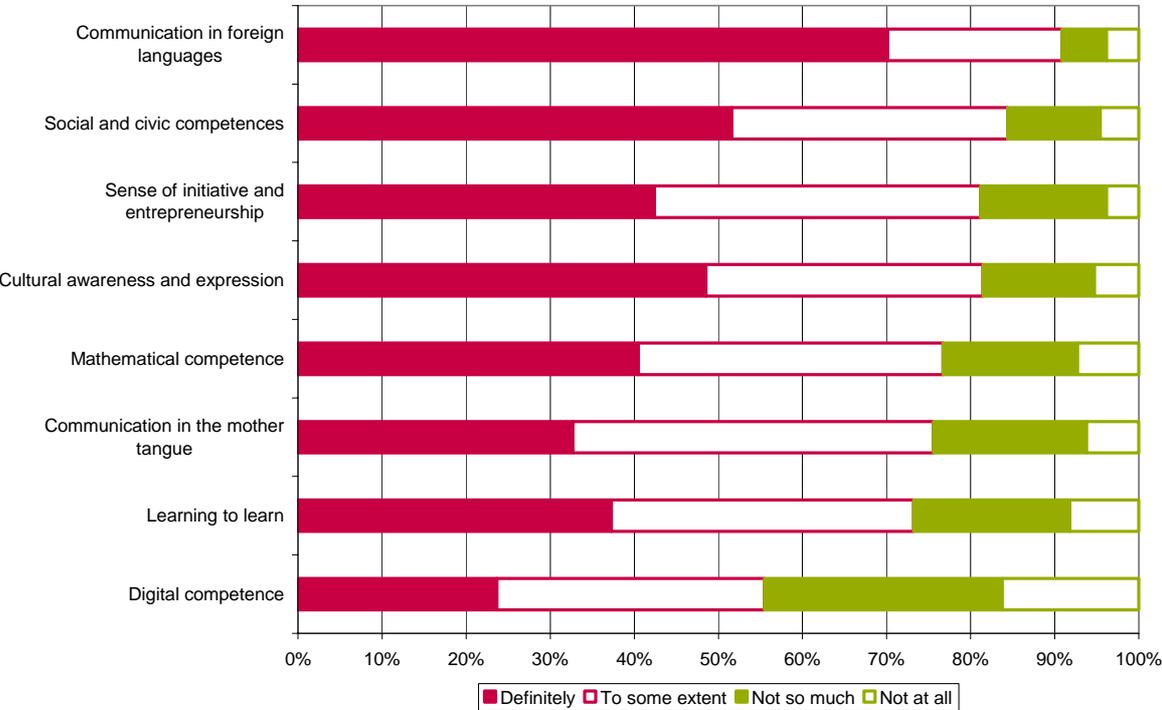
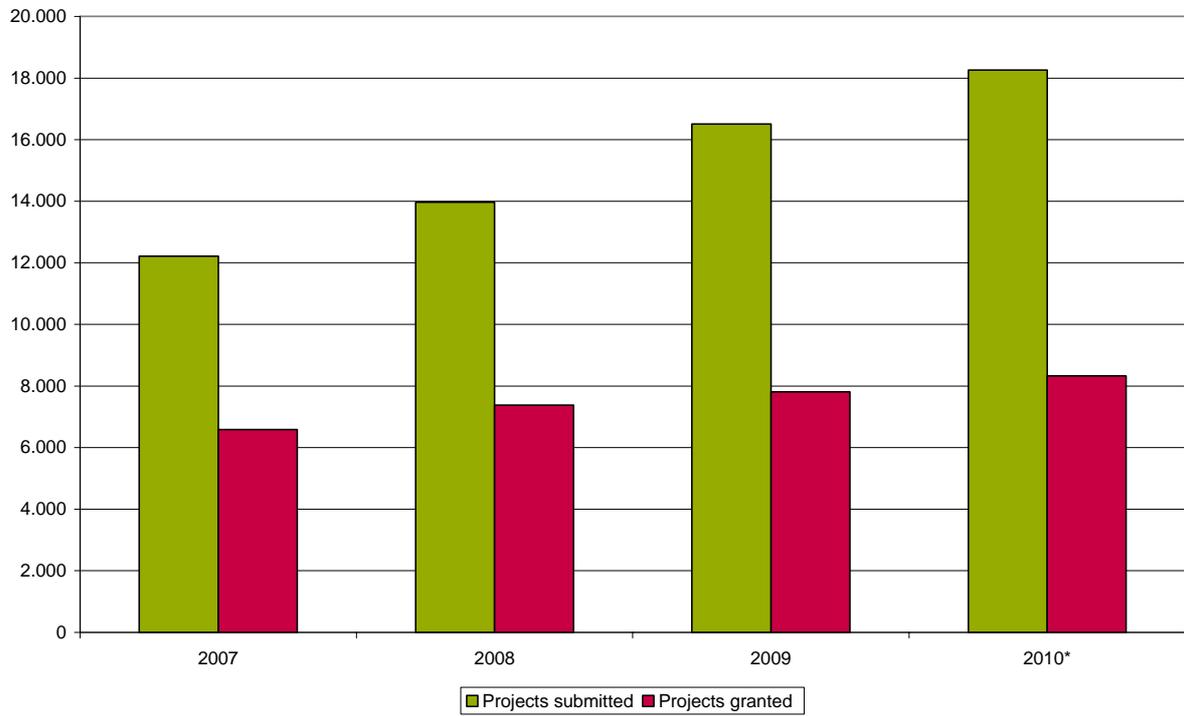


Figure 5 - Projects submitted and granted (all Actions of the Programme)



**Youth in Action - 2007-2010\* - Outcomes - General overview**

	Youth Exchanges	Youth Initiatives	Youth Democracy Projects	European Voluntary Service	Cooperation with Neighbouring Countries	Training and Networking of youth workers	Meeting of young people and those responsible for youth policy	Sub-total	Cooperation with other Countries	Specific calls for proposals under Action 4	Other sub-Actions	Sub-total	Total
<b><u>Decentralised management through National Agencies</u></b>													
Commitments (in MioEUR)	109,6	39,6	27,2	142,8	24,2	48,6	12,1	404,1					404,1
Number of projects granted	5.475	5.524	447	8.706	1.697	6.348	435	28.632					28.632
Number of participants	169.008	54.621	32.923	19.917	44.849	114.734	57.002	493.054					493.054
<b><u>Centralised management by the Commission or the Executive Agency</u></b>													
Commitments (in MioEUR)	1,9	0,0	0,4	29,5	6,6	2,9	0,4	41,8	10,0	21,7	71,1	102,9	144,7
Number of projects granted	42	0	13	384	262	147	14	862	116	503		619	1.481
Number of participants	1.145	0	945	3.457	7.676	4.099	806	18.128		16.667		16.667	34.795
<b><u>Total</u></b>													
Commitments (in MioEUR)	111,5	39,6	27,6	172,4	30,8	51,5	12,4	445,9	10,0	21,7	71,1	102,9	<b>548,7</b>
Number of projects granted	5.517	5.524	460	9.090	1.959	6.495	449	29.494	116	503		619	<b>30.113</b>
Number of participants	170.153	54.621	33.868	23.374	52.525	118.833	57.808	511.182		16.667		16.667	<b>527.849</b>

**Budget per Action**

		Implementation of YiA - Annual outturn (in MioEUR)				
		2007	2008	2009	2010	Total
Action 1 - Youth for Europe						
	Youth Exchanges	26,689	27,462	28,142	29,229	111,522
	Youth Initiatives	9,370	9,850	10,023	10,399	39,643
	Youth Democracy Projects	7,513	6,837	6,965	6,287	27,602
	Total	43,572	44,149	45,131	45,915	178,767
Action 2 - European Voluntary Service						
	Total	40,434	42,966	44,622	44,366	172,389
Action 3 - Youth in the World						
	Cooperation with the Neighbouring Countries of the European Union	7,486	8,096	7,558	7,632	30,772
	Cooperation with Other Countries of the World	2,305	2,490	2,565	2,675	10,035
	Total	9,791	10,585	10,123	10,307	40,807
Action 4 - Youth Support Systems						
	Training and networking of those active in youth work and youth organisation:	12,149	12,656	12,828	13,849	51,482
	Support for the structures of the Programme	12,647	13,210	13,695	14,003	53,555
	Other sub-Actions	6,121	9,125	8,597	9,220	33,064
	Total	30,917	34,992	35,120	37,072	138,101
Action 5 - Support for European cooperation in the youth field						
	Meetings of young people and those responsible for youth policy	3,224	3,607	3,533	4,219	14,583
	Other sub-Actions	0,775	1,035	0,800	1,469	4,079
	Total	3,999	4,642	4,333	5,688	18,662
	<b>Grand total</b>	<b>128,713</b>	<b>137,335</b>	<b>139,329</b>	<b>143,348</b>	<b>548,725</b>

### Annex 3: The European Voluntary Service: an illustration of EU added value

Literature and evaluation of existing voluntary schemes recognise the high intrinsic **value of volunteering** for young people as a non-formal learning experience at the crossroads of the two dimensions of the general objective proposed for the new initiative: increasing the employability of young people (evidence shows a strong impact on the key competences of volunteers, but also on their professional orientation or further studies) and their active participation in society (expression of solidarity). Volunteering abroad reinforces these benefits: mastering of a foreign language...; contributing to the European project, by bringing help to the community of another country...

Therefore, volunteering has been among the four priorities of the first European **policy framework** in the youth field (in the 2004 MOC) and is one of the eight lines of action of the current framework (2010-2018); furthermore, the promotion of transnational volunteering is the subject of a Council Recommendation of 2008.

The increased provision, at national level, of voluntary opportunities for young people can be seen, at least partly, as a result of these political developments **and of the existence of a European scheme**, the European Voluntary Service (EVS), which concretely illustrates the relevance of volunteering abroad (as indicated by various national reports in the context of the interim evaluation of Youth in Action). In other words, the existence of a European scheme, which makes it possible for young people to carry out a voluntary service for up to one year in a foreign host organisation (within or beyond the EU), without risk (quality insurance... through a European process of accreditation), and to receive recognition for their experience (through a Youthpass certificate) has brought **credibility** to the policy orientations (notably the 2008 Recommendation) tabled by the Commission in this field. It also offers a model which can inspire national schemes. In this way, EVS illustrates how a spending programme can be seen as a **tool** to support a policy; it also proves a **systemic** impact beyond the (necessarily few, compared to the EU youth population) direct beneficiaries of the European scheme.

In spite of progress made, the provision of voluntary opportunities at national level remains **uneven**, and there is still a need for a European scheme ensuring a show-window function while making it also possible that **minimal voluntary possibilities** are provided for in all EU Member States. Moreover, with a view to continuously improving such mobility provisions, it is relevant to consider that some provision for volunteering abroad remains offered at EU level: the EU can act with a particular **efficiency** when it comes to supporting transnational activities.

With a view to reaching the widest possible impact through the EVS, it is envisaged to also use this European scheme as a way to help national schemes to **open themselves to a European dimension according to the Recommendation**. Furthermore it is envisaged to support partnerships with regional/local public or private bodies to **co-fund voluntary projects**. Such modalities of implementation of EVS would generate stronger quantitative (co-funding approach) and qualitative (systemic effect) impacts. Finally it has to be noted that on various occasions the current YiA programme has benefited from **additional funds** put at the disposal of some National Agencies by national or regional authorities, with a view to increasing the number of volunteers supported by the programme beyond the possibilities corresponding to the sole EU budget.

All this illustrates the added value of EVS, a transnational mobility scheme more easily conceived and regularly improved at EU level: it directly reaches **individuals** in all countries, it can support, with a leverage effect, **intermediary levels** doing the same and it can inspire **national schemes**, with a view to increasing volunteering opportunities in Europe, which responds to the **policy objectives** of the Youth Strategy and to the objective of increasing the number of young people in transnational learning mobility (to be noted that since EVS is also open to the EU partner countries, it is also a way to support the people-to-people dimension of EU external relations).

#### Annex 4: Indicative list of youth-related activities under the future single programme

Action	Activity	Short description
1. Non-formal learning <b>mobility</b> for learners and learning providers within and beyond the EU borders	<b>Youth Exchanges</b>	Short-term mobility for young people (see Annex 1); stronger focus on the learning dimension; (possibly) short-term volunteering; would contribute to supporting participation
	<b>European Voluntary Service</b>	Long-term mobility for young people (see Annex 1)
	<b>Training and networking</b> activities for youth workers	(see Annex 1)
2. <b>Cooperation</b>	<b>Innovative projects</b>	Support to projects aimed at introducing, implementing and promoting innovative approaches in the youth field. These innovative aspects may relate to the content and objectives, in line with the development of the EU Youth Strategy or to the involvement of partners from different backgrounds (including third countries)
	<b>Social innovation projects</b>	New local projects with a transnational dimension (e-Twinning-like cooperation) centred on social/environmental issues, devised and carried out by young people and aimed at developing entrepreneurial spirit
	<b>Partnerships</b>	Partnerships with public (national, regional, local) and private bodies active in the youth field (or interested under their Corporate social responsibility), to support the three mobility activities. The objective is to increase the quantitative impact (through shared financial support to these activities) and the qualitative impact (structuring the effect of the individual activities) of the programme (for example: leverage effect of helping a region to provide European mobility opportunities inspired by the activities offered by the programme). This "pilot" action managed centrally under YiA should be decentralised and take off under the new programme
New measure to support the "Europeanization" of national volunteering schemes, in line with the objective of the 2008 Recommendation on Youth volunteering (for example by contributing to the marginal costs of giving a transnational dimension to the activities proposed by a national civic service)		
3. <b>Policy support</b>	<b>Support to the youth OMC</b>	Peer review, research, statistics and monitoring in the youth field; Youth Portal...

<b>Action</b>	<b>Activity</b>	<b>Short description</b>
	<b>Policy cooperation and dialogue</b>	Consultation meetings and national/regional conferences (also targeting National Youth Councils) to support the Structured Dialogue between young people, those active in youth work and those responsible for youth policy (the activities translate the priorities of the Structured dialogue as defined at European level and give young people the possibility to participate in an opinion building process - in line with the Youth Strategy, support to the priorities defined by the Presidency trios); partnership with the Council of Europe; youth policy dialogue with third countries; support to the European Youth Forum.
	<b>Partnerships with European Youth NGOs</b>	This new approach would provide a flexible support to the multiannual work programme proposed by a European Youth NGO, including activities conceived by it, to enable it to develop a European dimension in its activities and fitting with the objectives of the EU Youth Strategy

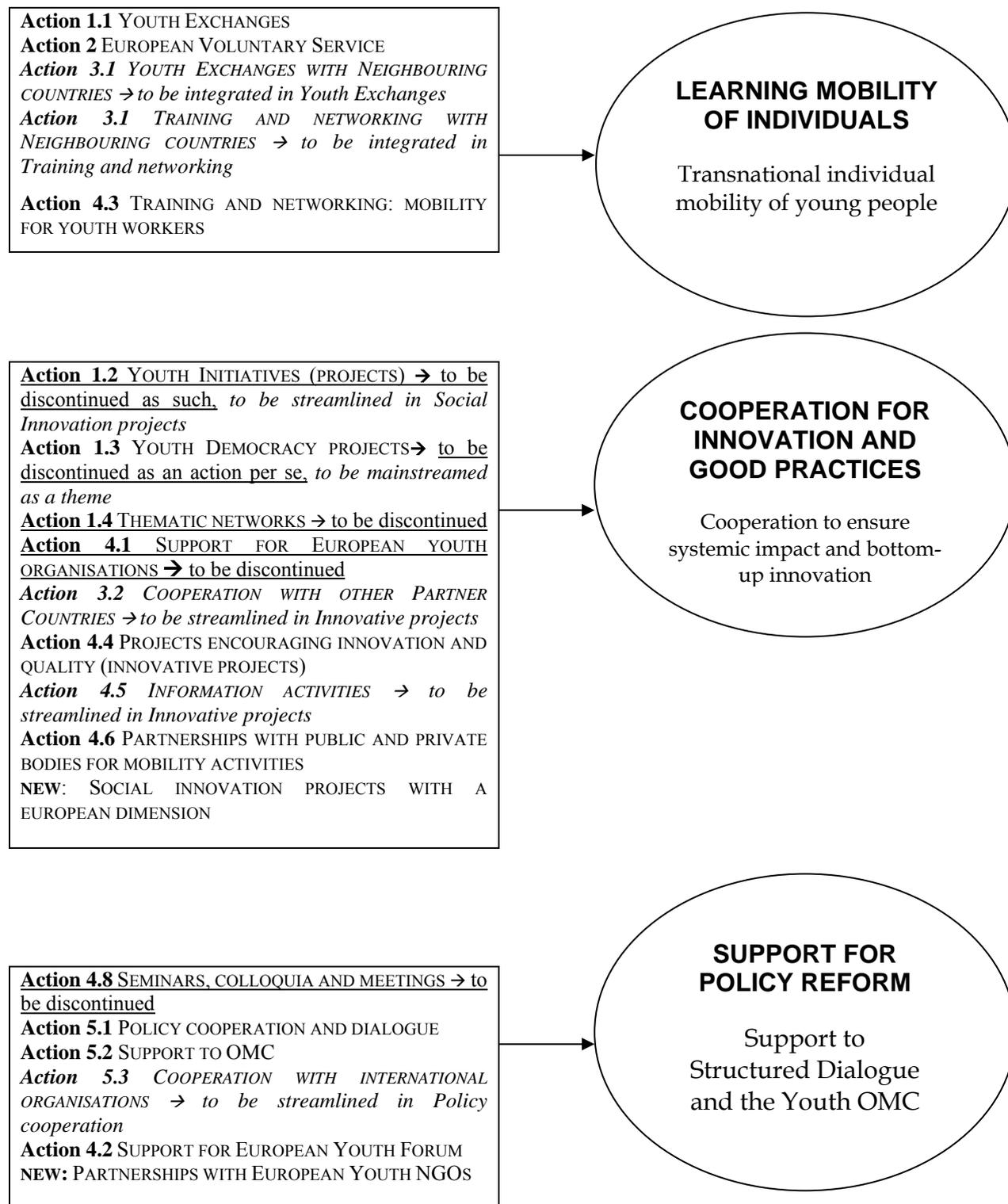
## Annex 5: Comparison: Youth in Action programme – New single programme

### CURRENT YiA PROGRAMME – Sub-actions

### SINGLE PROGRAMME

Actions underlined: to be discontinued

*Actions marked in italics: to be streamlined/grouped/rationalised*



## Annex 6: List of main studies and reports used for the preparation of this IA report

(in addition to consultations and evaluations)

Title of the study/report	Year of publication
<p>Surveys on the qualitative impact of the Youth in Action Programme</p> <p>2011:  <a href="http://ec.europa.eu/youth/focus/doc/monitoring_survey/main_results_monitoring_survey_2011.pdf">http://ec.europa.eu/youth/focus/doc/monitoring_survey/main_results_monitoring_survey_2011.pdf</a></p> <p>2010:  <a href="http://ec.europa.eu/youth/focus/doc/monitoring_survey/report_monitoring_survey.pdf">http://ec.europa.eu/youth/focus/doc/monitoring_survey/report_monitoring_survey.pdf</a></p> <p><i>These surveys were aimed at assessing the qualitative outcomes of Youth in Action projects on their participants and promoters. The surveys were carried out each time on a representative sample of about 5 000 young people, youth workers and youth organisations. Their results show that the Youth in Action programme is well on track in fostering active citizenship and promoting the acquisition of skills leading to personal, social and professional development. Some results are quoted in the IA report as illustrative examples of the impact of the Programme.</i></p>	<p>2010; 2011</p>
<p>Study on social inclusion and youth in EC external cooperation, including the case of ENP countries</p> <p><i>This study, commissioned by DG DEVCO, presents an assessment of youth needs and challenges in the ENP area and of how youth is addressed in external cooperation. The geographical report focuses on the following inter-related dimensions of youth social inclusion: (i) youth participation and citizenship, (ii) adolescent health, (iii) education and training, and (iv) youth employment.</i></p>	<p>2011</p>
<p>2011 La Jeunesse du monde, une enquête planétaire de la Fondation pour l'Innovation politique</p> <p><a href="http://www.fondapol.org/etude/2011-la-jeunesse-du-monde/">http://www.fondapol.org/etude/2011-la-jeunesse-du-monde/</a></p> <p><i>Findings of a worldwide survey including data about young people's perceptions of globalisation, environmental challenges, the European Union; youth mindsets and lifestyles; values; attitudes towards technology, politics, institutions; political and civic involvement...</i></p>	<p>2011</p>

<p>The State of the World's Children 2011, Adolescence, an age of opportunity, <a href="http://www.unicef.org/adolescence/files/SOWC_2011_Main_Report_EN_02242011.pdf">www.unicef.org/adolescence/files/SOWC_2011_Main_Report_EN_02242011.pdf</a></p> <p><i>The report outlines the risks, challenges but also opportunities facing adolescents today across the world. It underlines the importance of investing in adolescence, notably in education but also in youth participation.</i></p>	2011
<p>Youth on the Move. Results of the consultation on the Green Paper on the learning mobility of young people <a href="http://ec.europa.eu/education/yom/wpconsult_en.pdf">http://ec.europa.eu/education/yom/wpconsult_en.pdf</a></p> <p><i>The results of this consultation provide evidence of the benefits of as well as obstacles to learning mobility, in particular in the area of non-formal learning (e.g. problems of recognition).</i></p>	2010
<p>Study on volunteering in the European Union</p> <p><a href="http://ec.europa.eu/citizenship/eyv2011/doc/Volunteering%20in%20the%20EU%20Final%20Report.pdf">http://ec.europa.eu/citizenship/eyv2011/doc/Volunteering%20in%20the%20EU%20Final%20Report.pdf</a></p> <p><i>This study compiles information about the volunteering landscape in the EU, main challenges and opportunities for volunteering as well as social, economic and cultural benefits of volunteering.</i></p>	2010
<p>Mobility of young volunteers across Europe</p> <p><a href="http://community.cev.be/download/210/649/Mobilityofyoungvolunteers.pdf">http://community.cev.be/download/210/649/Mobilityofyoungvolunteers.pdf</a></p> <p><i>This study provides an overview of youth volunteering across Europe and describes in particular: the characteristics and motivations of young European cross-border volunteers; volunteer needs; the benefits to volunteers and to the hosting and sending societies; the challenges facing young volunteers; national schemes/ frameworks for the activities existing in the Member States. The study includes an analysis of the European Voluntary Service and of national cross-border volunteering frameworks in six Member States: Germany, Hungary, Italy, Lithuania, Sweden and the UK. These case studies provide a good representation of the diversity found within the EU regarding youth cross-border volunteering.</i></p>	2010
<p>The impact of the new provisions of the Treaty of Lisbon on Youth</p> <p><a href="http://issuu.com/yomag/docs/lisbontreatyyouth">http://issuu.com/yomag/docs/lisbontreatyyouth</a></p> <p><i>This study analyses the new possibilities introduced by the new provision of the Lisbon Treaty in terms of promoting youth participation. It considers the possible implications of this new provision for the EU approach to youth issues.</i></p>	2010

<p>1<sup>st</sup> EU Youth Report</p> <p><a href="http://ec.europa.eu/youth/pub/pdf/eu-youth-report_en.pdf">http://ec.europa.eu/youth/pub/pdf/eu-youth-report_en.pdf</a></p> <p><i>A compilation of data and statistics which provides a picture of the situation of young people in Europe. Main areas covered by the report: demography, transition from education to employment, young people and social exclusion, citizenship and participation, voluntary activities, lifestyles, youth and health, ICTs.</i></p>	2009
<p>Report on "Evaluation of the EU framework for cooperation in youth policy"</p> <p><a href="http://ec.europa.eu/youth/news/doc/new_strategy/cooperation_report_client_version_270209_(2)_-final.pdf">http://ec.europa.eu/youth/news/doc/new_strategy/cooperation_report_client_version_270209_(2)_-final.pdf</a></p> <p><i>This report provides an overview of the views and findings presented by Member States in their national reports, in relation to the past cycle of cooperation in youth policy. It highlights main social, economical and political challenges for youth to be tackled by youth policies in the coming years. These relate to employment, youth participation, housing health, migration and mobility, social exclusion, education and balancing work and family life.</i></p>	2009
<p>Report of the high level expert forum on mobility</p> <p><a href="http://ec.europa.eu/education/doc/2008/mobilityreport_en.pdf">http://ec.europa.eu/education/doc/2008/mobilityreport_en.pdf</a></p> <p><i>This report presents recommendations on how cross border mobility for learning and skills can be made a basic element in the knowledge society and of a more competitive and attractive Europe. It outlines trends, barriers and drivers in mobility as well as evidence supporting a focus on mobility at European level.</i></p>	2008
<p>Study on the socio-economic scope of youth work in Europe</p> <p><a href="http://youth-partnership-eu.coe.int/youth-partnership/documents/EKCYP/Youth_Policy/docs/Youth_Work/Research/study_Final.pdf">http://youth-partnership-eu.coe.int/youth-partnership/documents/EKCYP/Youth_Policy/docs/Youth_Work/Research/study_Final.pdf</a></p> <p><i>The study provides an overview of the multi-faceted situation of youth work in different countries in Europe, based on qualitative and quantitative information about the broad range of non-formal learning opportunities it offers as well as about the different organisational modalities, traditions and practices of youth work in Europe. The study highlights the challenges in documenting and measuring the socio-economic importance of youth work due to the fact that existing data on the youth sector is scattered and unsatisfactory.</i></p>	2008

<p>The impact of long-term youth voluntary service in Europe: a review of published and unpublished research studies</p> <p><i>This review investigates evidence of the impact of long-term voluntary service in Europe on volunteers, beneficiaries, organisations and society as a whole through an analysis of different studies. Various studies highlight different benefits of long-term voluntary service, for instance in terms of personal growth, skills development, independence, career orientation, sense of European identity, tolerance, active citizenships, better understanding between communities, etc. It also reviews some promising preliminary analyses on the economic impact and added value of volunteering, while noting some methodological weaknesses in the existing studies and proposing recommendations for programming and research in this area.</i></p>	2007
<p>Investing in youth: an empowerment strategy</p> <p><a href="http://ec.europa.eu/dgs/policy_advisers/publications/docs/Investing_in_Youth_25_April_fin.pdf">http://ec.europa.eu/dgs/policy_advisers/publications/docs/Investing_in_Youth_25_April_fin.pdf</a></p> <p><i>This report by the Bureau of European Policy Advisers calls for timely and effective investment in youth through an integrated strategy based on investing early, combining social and economic goals, coordinating investment across policy-areas and layers, and improving information gathering and dissemination to facilitate decision-making. The report provides evidence that investing in human and social capital development yields positive economic and social returns.</i></p>	2007

## **Annex 7: Overview and summary of the public and stakeholders' consultations process and outcomes**

This IA has been informed by a wide-scale public and stakeholder consultation which took place from mid-2010 to mid-2011. This consultation process included:

- An **online public consultation**, which was launched on 15 September 2010 and was closed on 30 November 2010. The consultation questionnaire was made available in all the official languages of the EU. 6 787 contributions (of which 35% from organisations or public authorities/bodies) were received in reply to this consultation. These replies included contributions from the ministries of FR, LU, NL, PL, RO, UK and NO. In addition, around 40 additional written contributions were submitted during the consultation period through a dedicated mailbox set up for this purpose. The report of this consultation can be consulted at: [http://ec.europa.eu/dgs/education\\_culture/consult/yia/report\\_en.pdf](http://ec.europa.eu/dgs/education_culture/consult/yia/report_en.pdf).
- **Targeted consultations** with the following groups of stakeholders:
  - National Authorities of the countries participating in the YiA programme;
  - European Youth Forum and its member organisations (Youth NGOs);
  - European Stakeholders in the fields of education, training and youth;
  - Youth Entrepreneurship and Employers organisations;
  - Expert Group on mobility of young volunteers;
  - Youth researchers;
  - National Agencies of the YiA programme.
- Moreover various **spontaneous contributions/official positions** were taken by some key stakeholders: at least 23 National Authorities expressed their views about the future of the programme. In addition to the ministries that responded to the online questionnaire, written contributions were submitted by DK, SE, FI, IT, EE, DE as well as by Switzerland and the Baltic Sea Secretariat for Youth Affairs. Moreover, the Ministers in charge of Youth from AT, DE, and the three Belgian Communities expressed their official positions in writing. In addition, a common position was presented by the Directors General responsible for Youth in 14 Member States (BE, CY, CZ, EE, DE, IT, LV, LT, LU, NL, PL, PT, SK, ES). The network of YiA National Agencies also submitted a proposal outlining a consolidated vision about the future youth programme. The main points of these converging positions are included in the outline below.
- The European Parliament also took position on the future of the YiA programme calling for a stronger investment in its Report on Youth on the Move of 20 April 2011 as well as in its Resolution of 8 June 2011 on the new Multiannual Financial Framework<sup>80</sup>, which stressed that youth should represent a strong priority for the Union. Some individual MEPs and the Youth Intergroup had also expressed similar positions prior to the adoption of this Resolution.

A **strong convergence of viewpoints** could be noticed among the different groups of stakeholders consulted.

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<sup>80</sup> European Parliament resolution of 8 June 2011 on Investing in the future: a new Multiannual Financial Framework (MFF) for a competitive, sustainable and inclusive Europe (2010/2211(INI))

When identifying the problems to be tackled by the future programme, the contributions mainly pointed out the following:

- the most important issues to address are: social changes, youth unemployment and changing needs of the labour market, social exclusion of disadvantaged young people, discriminatory, racist, xenophobic behaviours among young people and declining levels of youth active participation in democratic life;
- non-formal learning opportunities for young people (notably with a European or international dimension) are either non-existing or insufficient;
- the recognition of and support to youth work is insufficient.

Further elements stemming globally from these sources of contributions can be summarised as follows:

- a very **positive assessment** of the results achieved by the current YiA programme;
- a plea for the **continuation of the support** provided by the EU to activities in favour of youth, with a view to ensuring: i) a comprehensive and visible EU support vis-à-vis young people, taking into account the various dimensions of the EU Youth Strategy (which goes beyond the sole educational and employability dimension to encompass the equally important participation dimension); ii) the empowerment of youth work to support the development of activities with a European dimension. This position was shared by a vast majority of the Member States which expressed their views on the future of the YiA programme.
- the need to develop a **more integrated approach with other youth-related programmes** was noted by several contributors; common National Agencies and a common communication approach to young people were indicated as possible elements;
- the importance of maintaining an EU instrument to support **youth participation** (and its European dimension), based on the new provision of the Lisbon Treaty;
- the special attention to be paid to **young people with fewer opportunities**;
- the importance of maintaining an EU instrument to support **non-formal learning** for young people, and the need to improve the **recognition** of non-formal learning outcomes;
- the importance of promoting the professional skills of **youth workers** and the sharing of experiences on youth work;
- a need for **administrative simplification** and for **streamlining of actions and priorities**;
- a need to improve the **visibility** of the Programme;
- the importance of maintaining (and in some cases strengthening) the opportunities of **cooperation with Partner Countries** supported by the current programme.

## **Annex 8: List of abbreviations used in this IA report**

DG	Directorate General
EAC	Education and Culture
EACEA	<b>Education, Audiovisual and Culture Executive Agency</b>
ESF	European Social Fund
ETYS	Education, Training, Youth and Sport Programme
EVS	European Voluntary Service
IA	Impact Assessment
IASG	Impact Assessment Steering Group
LLP	Lifelong Learning Programme
NA	National Agency
NFL	Non-Formal Learning
OMC	Open Method of Coordination
SALTO	Support, Advanced Learning and Training Opportunities
YiA	Youth in Action Programme



EUROPEAN COMMISSION

Brussels, 23.11.2011  
SEC(2011) 1402 final

Volume 4

**COMMISSION STAFF WORKING PAPER**

**IMPACT ASSESSMENT ON INTERNATIONAL COOPERATION IN HIGHER  
EDUCATION**

*Accompanying the document*

**Proposal for a**

**Regulation of the European Parliament and of the Council establishing a single  
Education, Training, Youth and Sport Programme for the period 2014-2020**

{COM(2011) 788}  
{SEC(2011) 1403}

## **PART 3: INTERNATIONAL COOPERATION IN HIGHER EDUCATION**

**Lead DG:** DG Education and Culture

**Other involved services:** DG DEVCO, DG BUDG, DG EMPL, DG ELARG, DG ENTR,  
DG INFSO, DG RTD, SG, SJ, EEAS, EACEA

**Agenda planning identification number:** CWP 2011/EAC/001

Final version: 9/11/2011

**Disclaimer:** This report commits only the Commission's services involved in its preparation and does not prejudge the final form of any decision to be taken by the Commission

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## **GLOSSARY**

EAC: Directorate General Education and Culture

BUDG: Directorate General Budget

DEVCO: Directorate General Development and Cooperation

ELARG: Directorate General Enlargement

EMPL: Directorate General Employment, Social Affairs and Inclusion

ENTR: Directorate General Enterprise and Industry

INFSO: Directorate General Information Society and Media

RTD: Directorate General Research and Innovation

SG: Secretariat General

SJ: Legal Service

EACEA: Education, Audiovisual and Culture Executive Agency

EEAS: European External Action Services

ACP: Africa, Caribbean and Pacific region

DCI: Development Cooperation Instrument

EDF: European Development Fund

ENI: European Neighbourhood Instrument

ENP: European Neighbourhood Policy

IP: Partnership Instrument

IPA: Instrument for Pre-Accession

HEI: Higher Education Institution

## **1. PROCEDURAL ISSUES AND CONSULTATION OF INTERESTED PARTIES**

### **1.1. Purpose of the impact assessment report**

DG EAC will propose a single education, training youth and sport programme, thereby bringing together the current Lifelong Learning Programme (LLP), Erasmus Mundus and related international cooperation programmes in higher education, Youth in Action and sport programmes. This document contributes to the overall exercise by presenting exclusively the impact assessment for future activities in the field of international cooperation in higher education. Impact assessments for activities in the other areas will be presented in the three separate impact assessments (respectively for lifelong learning, youth and sports).

### **1.2. Organisation and timing**

#### *1.2.1. Assessment*

This impact assessment has been prepared between May 2010 and July 2011. An Impact Assessment Roadmap was sent to the Secretariat General on 9 June 2010. An Impact Assessment Inter-service Steering Group (IASG) was set up early August 2010 with the participation of DEVCO, BUDG, EMPL, ELARG, ENTR, INFSO, RTD, SG, SJ, EEAS and EACEA. All invited DGs participated, except BUDG and INFSO. The IASG met on 14 September 2010, 16 December 2010, 21 March 2011 and 26 July 2011.

#### *1.2.2. Impact Assessment Board*

- On 3 August 2011, DG EAC submitted to the Impact Assessment Board (IAB) four Impact Assessment (IA) reports relating to the single Education, Training, Youth and Sport Programme for the period 2014-2020. With regard to the International Cooperation in Higher Education strand of the single programme, the IAB noted in its Opinion of 9 September 2011 principally the need to summarise the Education programme commitments, to complete the problem definition, restructure that section and provide from the start and in one section a description of the existing international programmes including their similarities and differences. DG EAC was asked to clarify the choice of main partners mentioned in the first version, include information on funding and implementation modalities of the different programmes in the overview table, shorten the broader discussion on the higher education quality issues, and analyse more, in the problem definition, the performance of the current EU international programmes focussing on the particularities of the relationships with third countries and how the new programme can address the particular needs of the different partner countries. The Board asked for a shorter and more focused baseline and a clearer and more concrete intervention logic. Findings and conclusions were to be substantiated in more detail.
- As a consequence, the IA report was modified to take into account the Board's comments and submitted to Interservice Consultation on 6 October. In particular,

the problem definition section (section 2) was improved by presenting briefly the proposed new programme, describing the current programmes, including evaluations and shortcomings, highlighting where links should be reinforced and outlining funding and implementation modalities. The intervention logic for the future programme is more focused and a number of statements throughout the document were clarified or further detailed to provide more substantiation, in particular with regards to the relationships with third countries. More references were made to the various evaluations and consultations and the options and impact sections were reviewed to ensure a better consistency.

- Following the interservice consultation, further comments were provided on the second version of the IA report. In relation to the strengthening and focus of the problem definition, this updated version provides further information of the assessment of the programme's performance (see section 2.2.1) and on administrative and management arrangements (see section 2.3.2). The specific objective of the preferred option reflects (3.2) includes the response to the administrative and management fragmentation and the operational objectives under 3.3. reflect the identified performance gaps of the existing programmes. In terms of the design and assessment of substantive policy options, an additional policy option is now referred to under 4.3. A discussion on the allocations of budget in relation to the policy options and the principles in relation to the preferred option are outlined in section 4.5. Finally, further information on international cooperation specific monitoring indicators is included in section 7.

### 1.3. Consultations and expertise

A public online Stakeholders' Consultation was carried out between 15 September and 30 November 2010. This consultation was open to any interested individual or organisation wishing to contribute to the design of a future EU programme for international cooperation in higher education and human capital development. Respondents were asked for input on the scope and objectives of the future programme, its design, its funding, its management and its implementation and dissemination. The results were analysed by an external contractor (ECORYS) and posted online in May 2011. Around 400 individuals and organisations responded, mainly academics, institutions of higher education and students' associations. Most of them were from the EU and had already experience with or knowledge of the programme. Over 20 respondents (mainly ministries and associations of higher education institutions) also chose to provide specific input through a dedicated email box opened during the consultation process. Substantial input in this respect was provided from the academic community, through for instance the response of the European University Association to both the consultation on the future international higher education programme<sup>1</sup> and to the future of External action<sup>2</sup>. The full

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<sup>1</sup> [http://www.eua.be/Libraries/Policy\\_Positions/EUA\\_-\\_Response\\_to\\_the\\_consultation\\_on\\_next\\_generation\\_of\\_EC\\_HE\\_programmes\\_3\\_12\\_2010.sflb.aspx](http://www.eua.be/Libraries/Policy_Positions/EUA_-_Response_to_the_consultation_on_next_generation_of_EC_HE_programmes_3_12_2010.sflb.aspx)

<sup>2</sup> [http://www.eua.be/Libraries/Policy\\_Positions/EUA\\_response\\_External\\_Action\\_consultation\\_4.sflb.aspx](http://www.eua.be/Libraries/Policy_Positions/EUA_response_External_Action_consultation_4.sflb.aspx)

analysis can be found on

[http://ec.europa.eu/dgs/education\\_culture/consult/higher/report\\_en.pdf](http://ec.europa.eu/dgs/education_culture/consult/higher/report_en.pdf).

Other online public consultations for programmes in related fields (Marie Curie, Lifelong Learning, Youth in Action, external instruments) were launched and also fed the reflection process on the future of the Erasmus Mundus programme. As for Youth and Lifelong Learning, the results are available on

[http://ec.europa.eu/education/news/news2948\\_en.htm](http://ec.europa.eu/education/news/news2948_en.htm). As for Marie Curie, a summary of the results are available on

[http://ec.europa.eu/research/horizon2020/index\\_en.cfm?pg=home](http://ec.europa.eu/research/horizon2020/index_en.cfm?pg=home) (a detailed analysis is still to be published). The results of public consultations on the future external instruments can be found on [http://ec.europa.eu/europeaid/how/public-consultations/5240\\_en.htm](http://ec.europa.eu/europeaid/how/public-consultations/5240_en.htm). The impact assessments for those instruments are coordinated by DG DEVCO. EAC contributed notably for IP, DCI, EDF, ENI and IPA.

The 15-18 September EAIE international conference on higher education as well as bilateral conferences and seminars on higher education policies (notably with Mexico, the USA, Canada, China, Africa and India) were also used to feed the consultation process.

A stakeholders' forum was held on 28–29 October 2010 (which included also stakeholders from the Lifelong Learning programme and the Youth in Action programme). The final report can be found at [http://ec.europa.eu/education/lifelong-learning-policy/doc1339\\_en.htm](http://ec.europa.eu/education/lifelong-learning-policy/doc1339_en.htm)

Informal consultations were held with the Erasmus Mundus Committee, National Structures, Selection Board, as well as higher education associations/experts and Partner Countries' Missions in Brussels. EC Delegations were also encouraged to provide their recommendations on the future programme.

**Results in a nutshell:** a majority of contributors to the Commission's various consultations believe the main objective of EU action in international higher education cooperation should be to strengthen openness and excellence in higher education, both in the EU and in its partner countries. They underlined the importance of continuing to focus on quality in higher education in the EU and beyond, on partnerships and cooperation between higher education institutions and on learning mobility. They stressed that a stronger link should be established between policy developments in higher education and the programme's supported activities. They also highlighted that there should be closer ties between the three components of the "knowledge triangle" (education, business and research) and a stronger focus on the issue of employability. They called for increased funding and also insisted on continuity, stability and consistency in funding. Students' associations felt that more attention should be paid to students with relatively few opportunities, notably in so far as mobility is concerned.

On the structure and design, most respondents stated that there should be closer integration between the various existing EU higher education programmes, be they intra-European (Erasmus), worldwide (Erasmus Mundus), regional (Tempus, Alfa, EduLink) or bilateral (with the US and Canada for instance). They found that this would make it easier for beneficiaries to understand the EU offer in higher education and participate in international higher education programmes. They also considered that this would

increase the visibility and impact of EU action, allow for synergies between the different actions and offer more possibilities for cooperation.

Among those considering that there should not be further integration between EU higher-education programmes, the generally expressed views were that the identity and strength of the respective programme brands would be diluted if integration were to be pursued further and their ability to respond to various particular needs would be impaired. Some respondents opposed to full programme integration, however, made the point that streamlining administrative and application procedures, promotion efforts and transparency of the programmes in question would still be beneficial.

**Respect of minimum standards of consultation:** the various stakeholder consultations (IASG, conferences, meetings and public online consultations) respected the minimum consultation standards set out by the Commission in its Communication of 11 December 2002 [COM(2002)704]. Adequate time was provided for preparation and planning of responses. The online consultation period lasted 75 days. The broader consultation process described above started as early as August 2010. The volume of responses received and the wide range of stakeholders participating demonstrate the success of this consultation and the effectiveness of the approach chosen. The proposals were thoroughly considered by the Commission and used in the preparation of this impact assessment.

A number of **studies** and evaluations have been undertaken to provide data on the current programme and other EU international cooperation programmes' strengths and weaknesses, and inform the impact assessment process. The list of studies can be found in Annex 1. Some of these studies, such as the "Erasmus Mundus Quality Assessment Project" and the "Graduate Impact Study", have allowed to finetune and reinforce quality requirements and monitor the programme's impact. The "Mapping Study" gave a clearer overview of EU intervention with the aim to better align EU and Member State action. Results and feedback from projects have also been considered. An external "Experts' Report" was also requested by EAC from Ecorys, which contains factual data collected, and an analysis carried out by the experts to support EAC's impact assessment work.

## 2. CONTEXT SETTING AND PROBLEM DEFINITION

### 2.1. Political context

Higher education is at the core of **Europe 2020 Strategy** for smart, sustainable and inclusive growth and of the integrated guidelines for the economic and employment policies of the Member States<sup>3</sup>. The Strategic Framework for **European Cooperation in**

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<sup>3</sup> Europe 2020 - Integrated guidelines for the economic and employment policies of the Member States. SEC(2010) 488 final.

**Education and Training (ET 2020<sup>4</sup>)**, notably through the **EU Agenda for Modernisation in Higher Education<sup>5</sup>**, form an integral part of ET 2020.

The Bologna Process and the EU Agenda for the modernisation of higher education have provided a shared framework for national reforms in recent years. This has been supplemented at the international level by increased policy dialogues (exchanges of best practice in higher education policies) with our neighbours and main strategic partners under the impetus of international higher education programmes (such as Erasmus Mundus, Tempus, Alfa, EduLink and bi-lateral agreements with the USA and Canada), but also under multilateral policy initiatives such as the Eastern Partnership, the Africa-EU Strategy and the Bologna Policy Forum. Nevertheless, the potential of EU higher education institutions to fulfil their role in society and to contribute to Europe's prosperity, especially in an increasingly international context, is still underexploited and Member States have therefore asked the Commission to make proposals for an **EU internationalisation strategy** in higher education<sup>6</sup>.

The future single programme in the area of education, training, youth and sport proposed in the 29 June 2011 Commission Communication on **a Budget for Europe 2020** will be one of many EU and Member States' tools to help achieve the EU 2020 objectives and headline targets. It cannot pretend to address all the problems facing education, training, youth and sport issues in the EU. Also, acknowledging that the high level of investments in the education and training sector do not always correlate with the problems to be solved and that the EU cannot intervene with the same level of intensity or the same tools in each identified problem, the programme will give priority to the most effective combination of tools and to the clearly defined targets for investment.

The proposed new programme<sup>7</sup> should incorporate existing international programmes such as Erasmus Mundus, Tempus, Alfa and EduLink and cooperation programmes with industrialised countries under the same instrument, and will accommodate different objectives (promoting the excellence and attractiveness of EU higher education and supporting modernisation in non-EU countries).

Given its dual nature, the international component of the single Education Europe Programme will be funded from two sources: Heading 1 and Heading 4, which will follow the same rules and procedures; they will not be subject to the comitology procedures applied to the external action financing instruments. The overall budget available from Headings 1 and 4 will be mentioned in the programme's legal basis.

This approach will put an end to the current fragmentation of EU instruments supporting international cooperation in higher education.

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<sup>4</sup> Council Conclusions of 12 of May 2009 on a Strategic Framework for European Cooperation in Education and Training ("ET 2020"). OJ C 119, 28.5.2009, p. 2.

<sup>5</sup> COM(2006) 208 final "Delivering the modernisation agenda for universities: education, research and innovation". A revised Agenda will be adopted by the Commission this autumn.

<sup>6</sup> EU Member States have been calling for strengthened action in the field (Council Conclusions of 11 May 2010 on an EU International Higher Education Strategy).

<sup>7</sup> [http://ec.europa.eu/budget/library/biblio/documents/fin\\_fw1420/MFF\\_COM-2011-50\\_Part\\_II\\_en.doc](http://ec.europa.eu/budget/library/biblio/documents/fin_fw1420/MFF_COM-2011-50_Part_II_en.doc)

## 2.2. Current EU initiatives in the area

The Commission currently manages at least 7 **international higher education cooperation** programmes. The total annual budget of these programmes amounts to around 310 million Euro per year, split between Headings 1a and 4.

### 2.2.1. Erasmus Mundus

The Erasmus Mundus programme was established for the years 2007-2013 with the aim to enhance the **quality** of higher education and to promote **dialogue** and understanding between people and cultures through cooperation with partner countries. It also contributes to the **development of human capital** and the **capacity building** of higher education institutions in partner countries by increasing **academic partnerships** and **reciprocal mobility** between the European Union and these countries.

As highlighted in the evaluation, the actions of the Erasmus Mundus programme produce **long-term** and **systemic impact** within the involved institutions. New, high-quality courses of a type rarely seen before the programme were established to run in addition to the existing higher education offer. Institutions have strengthened a twin process with an "europeanisation" on the supply side and "internationalisation" on the demand side. By supporting **best practice dissemination** and **self-sustainability**, the **joint integrated programmes** and other **cooperation projects** extend their duration and effectiveness well beyond the period covered by the EU financing. The Erasmus Mundus programme and projects act therefore as vehicles of **sustainable change** and **innovation** within the global academic community.

Judging from the information available in the evaluations and the Graduate Impact Study, the current programme has been successful in offering (above all non-EU) students a high quality preparation that has allowed them to improve their career opportunities after graduation, has led to valuable partnerships being established between European and third-country higher education institutions and has supported dialogue on higher education policies.

The current programme strongly contributes to **the attractiveness of EU higher education offer** through the creation of highly competitive joint masters and doctoral courses and features an associated scholarship scheme for top class students and academic staff (action 1). Up to now, Erasmus Mundus has supported the development of 123 flagship joint masters courses and 24 joint doctorates covering a wide spectrum of disciplines, in most cases with a multidisciplinary approach and with particular attention to the development of horizontal skills (entrepreneurship, languages, intercultural skills). Courses are offered by consortia of EU and non-EU universities in an integrated manner and using the instruments recommended by Bologna (European Credit Transfer System, diploma supplement, quality assurance mechanisms, etc.). The balance of evidence collected for the ex-post evaluation of Erasmus Mundus and the Erasmus Mundus Quality Assessment project ([www.emqa.eu](http://www.emqa.eu)) suggested the programme has succeeded in bringing together some of the best higher education institutions in the EU to offer new and innovative joint masters programmes, which were unlikely to have been created without the programme. These masters programmes are considered to be of high quality by both the academic staff and current and former Erasmus Mundus students consulted during the consultation and evaluation and managed to attract large numbers of

applications from non-EU students. They have enabled to develop international capacity of higher education institutions and their ability to cooperate with partners worldwide.

Some 25,000 students (three quarters of whom are from non-EU countries) have received scholarships to study abroad and some 3,000 academics have had the opportunity to teach or conduct research activities in the framework of the joint courses or partnerships. Once they are back in their countries, these students and academics can apply their newly acquired skills and competences to the benefit and sustainable development of their home country. Some 5,000 students and alumni are now members of the Erasmus Mundus Alumni Association (EMA) that plays a growingly crucial role in the promotion of the programme worldwide and has brought about the constitution of a strategic network. These mobility opportunities have contributed to increased participation in EU higher education and to employment prospects of Alumni<sup>8</sup>.

In contrast however, the current programme appears to have been less successful at promoting outgoing mobility of European students to non-EU partner countries. This is partly linked to the status of third-country institutions within the programme and the level of the grants available to outgoing European students. The European University Association and the African Association of Universities' joint statement<sup>9</sup> underlines that there would be clear benefits for EU students to study in Africa but that under current instruments (DCI and EDF), this is not possible and should be considered for the future.

More importantly, while valuable partnerships seem to have been established between European and third-country higher education institutions through the joint programmes, the level and intensity of this cooperation is limited. Indeed, in a number of cases, third-country institutions had a rather passive role in the partnership, limited to receiving students for field or thesis work. They did not contribute extensively to the development of the course programme. Keeping the programme as it is (even with an increase in funding) would most likely not remedy the situation in a satisfactory way. The programme could benefit from a stronger cooperation and partnership (including modernisation and capacity building) component.

The programme (through its action 3) also promotes the **attractiveness and visibility of EU higher education worldwide**. Since 2004, around 60 projects have been supported for the enhancement of EU higher education global attractiveness. It has further enabled the creation and support of a "Study in Europe" campaign to **promote** EU higher education through joint participation in international student fairs, a web portal promoting the EU as an excellent study destination, promotion material and conferences. Through this action the programme has also contributed to supporting the gradual implementation of **dialogues** on higher education policies with non-EU partner countries

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<sup>8</sup> According to the EMA study on graduate impact ([http://www.em-a.eu/fileadmin/content/GIS/ICUnet\\_Final\\_Survey\\_Report\\_2010\\_online.pdf](http://www.em-a.eu/fileadmin/content/GIS/ICUnet_Final_Survey_Report_2010_online.pdf)), while generally positive, the employment situation of EM graduates leaves room for improvement: When asked about the most important factor which contributed to their gaining their current employment however, both EU citizens and third-country nationals stated that their experience gained during the Erasmus Mundus Master Course played a crucial role.

<sup>9</sup> [http://www.eua.be/Libraries/Publications\\_homepage\\_list/Joint\\_Statement\\_of\\_the\\_AAU\\_and\\_EUA.sflb.ashx](http://www.eua.be/Libraries/Publications_homepage_list/Joint_Statement_of_the_AAU_and_EUA.sflb.ashx)

to support them in their modernisation and reform efforts, increase participation of non-EU institutions in the programme but also to foster and facilitate academic cooperation and mobility between these countries and the EU. Dialogues on higher education policies focus on developing common understanding and transparency tools between higher education systems and institutions. This allows promoting policy developments at European levels (Bologna, EU higher education modernisation agenda). A number of dialogue on higher education policies have been carried out by the Commission notably with our neighbours within the Eastern Partnership Platform 4, with industrialised countries (various workshops and studies on higher education related topics were held notably with the US, Canada and Australia) and with strategic partners such as Brazil, China, India, Mexico and South Africa. Exchanges are also ongoing with international bodies such as the African Union or the OECD.

Dialogue on higher education policies and EU higher education promotion activities could be more strategically defined to provide greater EU added value in this domain. The current programme has supported a small number of these actions in a rather scattered way. The links between the programme and policy developments are not strong enough under the current baseline scenario.

As the second phase of the Erasmus Mundus programme started only in 2009, no evaluable results were at hand for this phase of the programme to allow for the interim evaluation to be organised in time for providing inputs to this impact assessment. This affects mainly action 2 and 3 of the programme. However, the evaluations for the first phase of the programme and the various studies undertaken (notably EMQA, Graduate Impact Study and Ecorys Report – see annex 1) show that the programme has had an impact far beyond its size and intended scope. In particular, it is possible to perceive its effects as having been transmitted through what might be described as a "viral" process – carrying and embedding its practices and lessons far beyond the original purpose and spreading its influence across institutions and international borders. Erasmus Mundus was also able to offer an antidote to perceptions of the universities of Europe as being "traditional" and not innovative enough. What Erasmus Mundus in particular brought out is that there is considerable latent potential for innovation and change at the institutional and disciplinary level. Erasmus Mundus has also contributed to opening up the institutions to external influences from academic staff and first-class third country students. One of the greatest successes of Erasmus Mundus has been the establishment of its brand label as a global "marque" of quality in higher education emanating from Europe – hence its key role in increasing attractiveness. Part of the task for Action 3 has been to spread knowledge on how these modernisation and dynamism effects can be achieved more widely than among the participants themselves and thereby to achieve much wider impact in demonstrating how to bring about more transparency and coherence for mobility and academic cooperation (by facilitating international recognition and comparability).

Although Erasmus Mundus is designed functionally as a student and staff mobility and cooperation programme, its partnership ethos (mobility being supported through strong international partnerships), makes Erasmus Mundus a powerful and "politically neutral" change agent for academia within the EU and among international partners. In this context, the networks that link institutions become a shared vehicle for capacity building across the board. Policy dialogue on higher education carried out under the programme has also contributed to **the modernisation processes of higher education in non-EU**

**partner countries.** DG DEVCO is currently carrying out the evaluation of several regional lots under Action 2 of the Erasmus Mundus programme. Preliminary results show the relevance of the action (half the Erasmus Mundus budget) which gave over 15 thousand students, academics and researchers the possibility to study in Europe. A concrete example of the relevance, efficiency and impact of Action 2 can be given for India nevertheless. The programme has been highly relevant and transformational for Indian institutions but also for Europe which sees India as a strategic partner, it has offered professional and individual development for Indian staff and students and opportunities for students from vulnerable groups. Many research programmes are relevant to the poverty agenda and community outreach. It has boosted the capacities for internationalisation, has strengthened partnerships and the capacity to manage mobility.

A number of recommendations have been drawn however from the current programme, whereby there should be an increase of master and staff mobility, more exchange (credit) mobilities, with recognition of credits. Non recognition of credits is one of the main reasons for there being less Bachelor students involved in the programme. Geographical coverage and thematic disciplines need to be broadened (gender and male-dominated subjects such as engineering, natural sciences and mathematics remain an issue as access of females to the programme is still significantly lower at 34% for India for example) and more continuity in funding is needed (for example country specific calls are not guaranteed each year and universities tend to find out relatively late when calls are not opened for a country which make continuous cooperation with partners more difficult) .

#### *2.2.2. Other international EU programmes in Higher Education*

The Erasmus Mundus programme's objectives and actions are very much linked to those of other international programmes, namely **Tempus**, **Alfa**, **EduLink** and **EU-Canada and EU-US Bilateral Agreements**. Evaluations of these programmes have given the following results, which are very often in line with the design of a new single programme:

The **Tempus III** evaluation report formulated a number of recommendations and drew conclusions that clearly show a need for more orientation and consistency with other programmes. According to the report the programme should strengthen its strategic orientation and improve synergy with Erasmus Mundus. It should also encourage links with research (knowledge triangle, doctoral studies) and establish more linkages with labour market and civil society. Support should be given to the development of projects such as joint degrees or double diplomas and better dissemination of outcomes should be pursued. Findings from recent field monitoring reports show that most projects rated good or very good in terms of efficiency, effectiveness, sustainability and impact. However multi-country projects are challenging to implement and impact is difficult to assess over a short period of time. Recommendations were expressed to limit the number of partners and of partner countries included in projects, to ensure that partners have similar background and reinforce mobility component of projects.

In conclusion, Tempus has met its objectives, inasmuch as its main objectives (promoting reforms and modernisation of HE institutions) remain highly relevant for partner countries and most of the recommendations have been taken on board in the 4<sup>th</sup> phase of the programme. However significant contribution for further progress is needed because the reform process is a long one (even more so after the 2011 Spring events in the Arab

world) and further fine-tuning is required. In order to do that, more funding is needed and the programme would clearly benefit from closer links to Erasmus Mundus.

As mentioned in the 2010 **Alfa III** mid-term evaluation, the programme is a follow-up of previous editions of academic cooperation but is now playing more and more a role of "inter pares" programme rather than one of development aid. The first two editions helped develop lasting cooperation mechanisms by fostering the creation of HEI Networks through the mobility of its members between the EU and Latin America, as well as within Latin America.

The high level of interest in the programme is confirmed by its low success rate (number of funded applications against submitted applications). In order to increase the relevance of the Alfa programme to the EU-Latin America academic cooperation, it will be necessary to focus on impact areas that are more directly related to development objectives and strengthen links between the academic world and local authorities, enterprises, and civil society in the design of projects, their implementation and in the exploitation of the outputs, the latter being a similar recommendation to one made for the Tempus programme.

The 2010 **EduLink** evaluation highlights that the design of the programme is very appropriate for addressing some key challenges facing HEIs in the ACP regions and projects are relevant for addressing national and regional priorities and concerns. The programme so far has led to a well diversified geographical coverage in terms of applicants, partners and the likely geographical impact of the projects financed.

However a number of recommendations made in the evaluation could be addressed by integrating the programme to a wider higher education international programme, namely less overlaps and potential duplication between projects involving same HEI as lead or partner; less dominance of single institutions as leaders across the programme; more possibilities for sharing good practices and networking after projects have finished; similar and simpler application modalities between programmes; similar financial rules within programmes to ensure increased transparency and to decrease the weight of financial management on both HEIs and the management of the programme.

Based on experiences from other successful programmes such as Tempus, more possibilities should be offered to ACP HEIs to take the lead and common (joint) training of project beneficiaries should be carried out for project management.

It would also be desirable to learn from other programmes' experiences and policy developments (both internal and external) for addressing strategic issues such as the accreditation of newly developed curricula, establishing credit transfer systems, recognition of degrees, and the establishment of double and joint degrees.

Indeed, a large number of respondents to the online consultation highlighted that support for developing countries should be taken on as a programme objective with apparent demand for partnerships to be forged between European Higher Education Area (EHEA) institutions and those in developing countries/regions. Some revealed a perception that the Erasmus Mundus programme is not sufficiently responsive to the needs in non-EU partner countries. One suggestion was that course programmes in specialist areas which have considerable value for the development of developing nations (in terms of

eradicating poverty) should be supported. A number of respondents, notably from emerging economies, called for opportunities to strengthen academic cooperation between non-EU and EU higher education institutions based on mutual benefits and equal partnerships. Therefore there is a need for more effective and constructive collaboration to ensure an appropriate response to different needs within the EU and international academic community.

The recent interim evaluation of activities implemented under the **EU-Canada and EU-US Agreements** concludes that bilateral projects implemented under these Agreements have substantially benefitted the students participating in the programmes in terms of their personal and professional development and also to the staff and professionals as well as to the institutions involved in the projects, in particular in terms of setting up and maintaining international networks, increasing profile and reputation, building capacity to operate internationally and creating "change agents" who can cascade the positive outcomes throughout the respective institutions.

The programmes do not overlap or conflict with the wide range of EU initiatives in the fields of international cooperation, mobility, education and training with which the Agreements share some similar features and on the contrary, are unique in a number of ways, especially due to their nature as international bilateral Agreements and the benefits derived from this form of institutionalised cooperation under public international law. While the activities are comparatively small in size in the context of the volume of international cooperation routinely undertaken in this sector between the EU, the US and Canada, they are notwithstanding offering a wide range of opportunities. The bilateral funding aspect of the Agreements had a significant added value at a strategic level and the Agreements filled a clear "gap in the market" for the funding of international cooperation between the EU and the US or Canada: the Agreements are highly relevant in responding to a set of needs that are important and increasingly significant: globalisation and the parallel process of internationalisation in education.

Certain obstacles in achieving wider effects beyond the immediate projects themselves were identified, most notably as to what concerns a presumed lack of visibility and/or renown of the programmes (with the exception of the Schuman-Fulbright grant scheme), as well as a clear brand name (Canada only). Publicity for the Agreements and the dissemination of the results could be improved. Furthermore, stronger linkages should be explored between policy dialogue activities and project outputs/results to better realise the potential synergies, and to ensure that project findings are considered at EU/national level.

### *2.2.3. Policy dialogue with Strategic partner countries*

In addition to the programmes, through "**policy dialogue**" with its main partner countries, the Commission highlights the attractiveness of EU education and training worldwide, facilitates the implementation of its programmes and promotes the sharing of experiences, good practice and expertise. Cooperation with these countries, notably the EU's neighbours including Russia, industrialised countries but also strong emerging economies such as Brazil, China, India, South Africa and potentially Mexico, tends to take place bilaterally or in regional partnerships such as the Eastern Partnership or the Africa-EU Joint Strategy.

The selection of neighbouring countries follows the logic of the closest circle of partners with whom the EU has had and wants to continue having privileged relations. There is a strong priority for this region with recent reallocations of funds under the external instruments, specific focus in the Budget for Europe 2020 and specific actions being discussed for the new programmes. With some of the candidate and potential candidate countries cooperation goes even further with full participation in the EU internal programmes and initial participation in the Education Open Method of Coordination. Mutual beneficial cooperation with industrialised countries in the field of higher education has been growing steadily in the past years under bilateral programmes and ad hoc projects, complemented by increasing policy dialogue activities. Partnerships with EU emerging strategic partners are also developing steadily. In the latter category Brazil, India, China, Mexico and South Africa have Strategic Partnerships with the EU which include cooperation in the field of higher education. These countries are growing economic partners for the EU and there is a specific mutual interest to cooperate on higher education as highlighted in joint policy documents such as Joint Declarations, programmes and action plans. Africa as a whole is seen as a strategic Partner for the EU (see Africa-EU Strategic Partnership, launched in 2007) with higher education playing an important role. In the relations with strategic partners, regional connections (including south – south) are to be made in so far as possible.

2.2.4. Table: Existing instruments and budgets<sup>10</sup>

Existing Instruments	Main features	2007-2013 average budget (M€) yearly	Implementation modalities
Erasmus (under the Lifelong Learning programme)	Academic cooperation, mobility and promotion of European higher education (intra European)	450	Call for applications, partly centralised (EACEA) and partly decentralised (National Agencies)
Erasmus Mundus	Academic cooperation (Joint programmes), mobility and promotion of European higher education (international)	100 (Action 1) 110 (Action 2) 4 (Action 3)	Call for applications – Centralised - EACEA
Tempus	Academic cooperation and capacity building (neighbouring regions – ENPI budget)	60	Call for applications – Centralised - EACEA
Alfa	Academic cooperation and capacity building (Latin America – DCI budget)	10	Call for applications – Centralised – DG DEVCO
EduLink	Academic cooperation and capacity building (ACP – EDF budget)	5	Call for applications – Centralised – PMU
US/CANADA programme	Academic cooperation and mobility (bilateral agreement)	7 (US) 2 (Canada)	Call for applications – Centralised - EACEA
ICI programme (industrialised countries)	Academic cooperation and mobility (bilateral agreement)	3	Call for applications – Centralised - EACEA
<b>TOTAL</b>		<b>758 M€</b>	

<sup>10</sup> The **Marie Curie** Actions for mobility and cooperation in the field of research, with an average annual budget of 650 M€ for the period 2007-2013 (under the FP7) can also be contemplated within the higher education area, even if the focus is on research. **However**, Marie Curie actions support mainly experienced researchers (only 20% are early-stage researchers). They contribute not only to learning mobility, but also directly to the strengthening of industrial and innovation capacity, which would fit less well with the above higher education programmes. The current arrangements, whereby Marie Curie is managed by DG EAC whilst being funded through the Framework Programme, is not creating management difficulties and should be maintained.

## 2.3. Description of problems and their underlying drivers

### 2.3.1. *Insufficient international attractiveness of EU higher education*

In order to achieve the Europe 2020 targets, there is a continuing need for young professionals with high level of skills. The EU faces a genuine talent shortage in a wide range of occupations, largely due to ageing populations, the low number of tertiary education graduates and the quality of EU higher education and research opportunities, not always adequate when compared to the EU's main competitors (industrialised but also emerging countries). This means that the **EU must boost its attractiveness to draw the best skills across the world.**

The scale of student mobility is growing rapidly worldwide. Some of our **international partners are investing heavily** in promoting excellence of their systems and attracting their share of international students. Europe needs to keep up with its major international partners (competitors) in **attracting talents.**

Despite the progress achieved through the Bologna Process, the **fragmentation** of higher education systems amongst EU countries is also perceived as a genuine obstacle for attracting foreign students and there is a sense that the EU needs to revamp the image of its higher education offer and that universities should further improve their dynamism and the quality of their offer<sup>11</sup>.

For the current phase of Erasmus Mundus there is room for improvement as certain top EU universities still do not participate in the programme, as they consider there is not enough added-value for them to join. As a result, the programme loses the potential benefit they could bring in terms of injection of excellence. Some smaller institutions find it difficult to access the programme or find partners, the success rate (funded scholarships against submitted applications) of third-country students is very low (less than 1%) and the mobility flow remains rather unilateral (from partner countries to the EU) On a more general scale, according to OECD reports, but also ranking lists such as the Shanghai index<sup>12</sup> or the Times ranking<sup>13</sup>, EU universities are not attractive and competitive enough and are losing grounds to the benefit of the US or Asian partners. The skills provided do not necessarily match market demand which calls for increased cooperation between higher education, research and enterprises. International dialogue on higher education policies should be further developed in synergy with Member States. The promotion strategy developed under the current phase of the programme could also be taken a step further with the development of a true "Study in Europe" brand and a regular presence at major international students' fairs as a hub to which Member States

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<sup>11</sup> See the EU's Agenda for new skills and jobs: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0682:FIN:EN:PDF>

<sup>12</sup> The ranking compares 1200 higher education institutions worldwide annually according to a formula that takes into account alumni winning Nobel Prizes and Fields Medals (10 percent), staff winning Nobel Prizes and Fields Medals (20 percent), highly-cited researchers in 21 broad subject categories (20 percent), articles published in Nature and Science (20 percent), the Science Citation Index and Social Sciences Citation Index (20 percent) and the per capita academic performance (on the indicators above) of an institution (10 percent).

<sup>13</sup> <http://www.timeshighereducation.co.uk/world-university-rankings/>

could connect with their own educational offers. Better use should also be made of Alumni associations, notably the Erasmus Mundus Alumni Association, which have in the past proven instrumental to explaining the programme and promoting it worldwide. This can also be said for partner countries' experts who have been trained as promoters of European higher education under the programme. These positive experiences deserve to be better exploited and connected.

Without reinforced EU action on these issues, progress will be insufficient to foster attractiveness of EU higher education.

### 2.3.2. *Insufficiently developed modernisation processes in non-EU Universities*

The EU needs its strategic partners to be productive, healthy economies. Uneven quality and relevance of higher education systems, poor governance and weak institutions, lack of accountability and transparency remain a major challenge in partner countries. The EU has a responsibility to support its partner countries in modernising and opening up their higher education systems, building up their capacities, unlocking their potential for sustainable development and enabling them to become constructive political, economic, social and cultural partners of the EU.

By providing support to increase the overall quality and relevance of higher education, the EU will facilitate effective cooperation between peers and, identify champions with which to establish privileged relations. Capacity building measures, accompanying universities in their internationalisation strategy and supporting the modernisation of higher education in non-EU countries together with the development of their human capital, should be seen as a mutually beneficial process.

Through capacity building measures in higher education, the EU not only fosters growth and quality with its partners and hence high quality cooperation opportunities, it also strengthens its "**soft power**" in the area through promoting institutional and people-to-people contacts and serves the wider interests of the Union in expanding its influence in foreign global economic policy and supporting peace, human rights and fundamental freedom. Furthermore, if the EU hopes to achieve a true breakthrough in people-to-people contacts with its direct neighbours for instance, it is the very scale of the mobility in Erasmus that has made it not just an academic, but also a cultural phenomenon and that has transformed youth culture in Europe towards greater mobility, openness and intercultural understanding. Young generations in neighbouring countries should be able to benefit to a comparable extent and this will lay the groundwork for future cooperation and signal concrete results to the societies of the participating countries.

Support for capacity building measures and mobility actions are needed at **individual, institutional and government levels** and thus require joint academic projects, mobility actions and a reinforced dialogue on higher education policies involving higher education authorities and field experts.

Support to higher education institutions and systems should of course be deployed **in full compliance with the future External Action spending and objectives**, which highlighted the following priorities:

- promote EU interests in Enlargement and Neighbouring countries;
- project EU policies in support of the EU 2020 agenda;
- concentrate on fewer focal sectors where the EU has a clear comparative advantage
- respect and promote human rights, democratic values and rule of law as the foundation of all external action. Education can play a key role in democratisation processes, in particular in the academic and student world.

In its current format Erasmus Mundus is not built to fully cater for capacity building and higher education modernisation in non-EU partner countries. Current EU partners, notably in the neighbouring countries but also in Latin America, Asia or Africa, have largely benefited from EU capacity building activities for curriculum and governance modernisation through other EU academic cooperation programmes such as Tempus, Alfa or EduLink. The lack of interaction between EU higher education programmes has however deprived Erasmus Mundus beneficiaries the benefit to enjoy closer integration with academic activities undertaken under those regional academic cooperation programmes. Higher education institutions in many of our partner countries also still lack sufficient international capacity and teaching experience to engage in high quality joint courses and degrees. Countries like Brazil, China or India feature at the same time cutting edge and low performing practice in terms of academic quality. Bringing all existing capacity building and mobility instruments together would increase the efficiency, coherence and visibility of EU action, and trigger synergies between activities undertaken in the field of dialogue on higher education policies, mobility, joint high level courses and international promotion.

Within neighbouring, enlargement and emerging countries, there is growing demand to learn about European experiences in higher education. This is particularly true for non-EU European countries which are part of the Bologna zone and are looking for guidance and support to implement the Bologna action lines.

This is true also for non-European partners which are turning to the EU for inspiration in their efforts to develop transparency tools in response to the internationalisation of higher education. This exchange of experience, which is not sufficiently developed under existing programmes, could support partner countries in responding to their education challenges, in terms of adequate skills development, ongoing equity and governance issues, and securing sustainable financing not only for higher education, but for the overall education system. In response to the Council conclusions adopted on 17 May 2011 (10394/11), a '*comprehensive EU approach to the education sector in developing countries*' will need to be further elaborated by the Commission. Further diversification in cooperation with partner countries should allow for a concentration of funds where it is possible to generate more impact and increase worldwide visibility.

See annex 2 for a detailed description of outcomes and possible improvements.

### 2.3.3. *Endogenous factors*

Within the current programmes, different actions potentially complement each other. Erasmus Mundus is supporting mobility and capacity building in higher education to and from third countries and the development of joint degrees and regional programmes such as Tempus or Alfa support the modernisation of higher education institutions and systems and develop the international capacity of higher education institutions. All foster quality in higher education and facilitate high level international cooperation.

Both Erasmus and Erasmus Mundus employ similar actions (more or less intensive cooperation between higher education institutions, exchange between higher education authorities, mobility of students, researchers and staff, studies and statistical analysis) based on similar structures (calls for proposals for transnational cooperation, calls for tender for studies etc) and are susceptible to similar delivery methods (centralised direct or indirect management, decentralised management).

However, the nature of EU actions and initiatives in higher education are currently fragmented, caused by the way the EU manages its internal and external intervention in the area of higher education. This has a clear negative impact on the efficiency of EU action in higher education, as demonstrated during the consultation process. Two main levels of inefficiency can be identified:

#### **(a) Inefficiency of divide between internal and external higher education cooperation**

Separating internal and external EU higher education programmes has created artificial boundaries which have prevented synergies and lead to overlaps. When considering international links, universities do not divide the world into EU and non-EU. Most EU universities participate in both internal and external programmes and find it difficult to apply different rules and procedures and not to be able to involve non-EU partners in relevant internal actions. The award of scholarships to EU students has for instance generated some implementing difficulty due to their superposition to the Erasmus scheme. Great efforts, such as setting a joint Erasmus-Erasmus Mundus internal cell aimed at identifying overlaps and joint information notes to Erasmus National Agencies and Erasmus Mundus National Structures, have been made to ensure complementarity between Erasmus and Erasmus Mundus but the risk of overlapping and unnecessary complexity remains considerable.

The organizing formula of action 2 of Erasmus Mundus is understandable as HEIs from third countries, which may not necessarily have extensive experience of mobility, participate in a multilateral partnership which allows them to gradually gain experience and “learn” from more experienced partners. However the obligation to form large multilateral partnerships with higher education institutions from specific countries defined in the call seems to constitute a greater ‘barrier to entry’ into the programme than is the case for the Erasmus programme, where it is sufficient for two higher education institutions that know each other and trust each other to conclude a mobility agreement. The relative difficulty of creating large multilateral partnerships is perhaps illustrated by the relatively low number of partnerships which have actually been formed and funded in

the framework of action 2 of Erasmus Mundus with only a few HEIs from Eastern Partnership countries participating in Erasmus Mundus for instance, whereas a great majority of HEIs in the EU now participate in Erasmus. It is also quite apparent that often the same higher education institutions are participating year after year and the non-EU country tends to benefit less financially from the project as the EU institutions keep the management of the mobility. More transparency and more openness to other institutions through partnership agreements (such as is the case in Erasmus) allowing for a wider and more representative participation of institutions and of vulnerable groups is needed.

**(b) Inefficiency of divide between various external higher education cooperation programmes**

The introduction of action 2 (credit mobility) into Erasmus Mundus has generated difficulties for universities and students due to the diversity of objectives, financing instruments, implementing rules and procedures involved. Although Erasmus Mundus has been presented as a single programme, external stakeholders have clearly indicated that the programme lacks coherence and readability. Stakeholders have perceived from the very start of the second phase of the programme a lack of synergy and consistency between action 1 (high quality Masters and PhD courses, no geographical quotas, the criteria being excellence) and action 2 of the programme (geographically organised short term mobility). Bringing together the two actions aimed to increase simplification, coherence and synergy, but coordination by the different services involved has not always been faultless and it has been difficult to communicate clearly on the programme as a whole.

Similar dysfunctions exist because of the separation of Erasmus Mundus from regional higher education programmes such as Tempus, Alfa or EduLink and bilateral programmes with notably the US and Canada. Joint information sessions have been organised for Erasmus Mundus and Tempus for instance but this has not always been sufficient.

These various instruments are moreover not always consistent with each other because they follow different rules, procedures and selection criteria. Particular attention must be paid to the predictability and continuity of funding that are presently quite limited in Action 2 of Erasmus Mundus, with budget allocations varying considerably from one year to another and even amounting to zero for several years in a row. This leads to uneven geographical distribution and affects universities, which need stability and continuity in order to set up solid and sustainable partnerships with institutions from non-EU countries. This issue will have to be tackled in the future.

Implementation modalities are different across the different external programmes. Deadlines for calls are different, eligibility criteria is quite different, presented differently and assessed according to different guidelines. Access to information (sessions, training, queries) varies from programme to programme, depending also on which implementation modalities are in place. The level of monitoring of individual projects is also different and undertaken by different actors. This makes it difficult to access reliable and comparable data and performance indicators across the actions and programmes.

Modalities should be further simplified by integrating the implementation of the programmes and by unifying the requirements for similar types of actions (mobility or

different types of partnerships) across the different sectors. This would decrease the overall number of actions and administrative burden both at the project applicant/beneficiary and would increase the clarity and consistency of the administrative arrangements". Financial management also needs to be simplified with a wider use of grants based on fixed costs (lump sums and flat rate grants) and harmonised financial guidelines.

Furthermore the **link** between international higher education programmes and policy developments needs to be tightened, as highlighted during the consultation process and in the evaluations of these programmes. Most actions funded by international higher education programmes to modernise and reform higher education systems and reinforce the capacity of institutions in partner countries are largely based on developments taking place in Europe (the Bologna Process, the Education and Training ET2020 Strategy and the EU's higher education modernisation agenda) and should therefore intimately be connected with internal policy developments. For example, the Tempus actions are based on the three priorities of the EU higher education modernisation agenda (curriculum modernisation, improved governance and funding). Therefore, the external dimension of EU higher education policies (as is also the case for research, which is covered by the Research Framework Programme) belongs to the education policy domain. This is in line with the priorities for the future external spending which will aim at promoting EU interests in neighbouring countries and projecting EU policies in support of the EU 2020 agenda.

For the two main components of higher education actions supported by the EU - learning mobility and academic cooperation (including capacity building actions) - the centre of gravity lies within the higher education policy domain. As mentioned above, European universities see cooperation with non-EU partners as the natural continuation of their participation in internal cooperation programmes. There should not be any artificial barriers between those two types of support.

Development cooperation activities - funded outside international academic cooperation programmes through budget support, project support or the sectoral approach - are managed separately. These actions are based on a different intervention logic and require tailor-made approaches with different partners, using different tools and must be agreed bilaterally with the countries concerned. It is therefore logical that pure development cooperation with non-EU countries - including in the sector of education and training – is and should stay under the overall responsibility of the EEAS and the Commission's external services. However, there should be complementarity and coherence between the two types of support (international academic cooperation programmes and bilateral support to the higher education sector).

University stakeholders have confirmed an increasing overlap of interest between the traditionally separate “development” and "academic" agendas<sup>14</sup>. Governments, donors and universities in both the EU and developing regions have to thus reconsider their role

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[http://www.eua.be/Libraries/Publications\\_homepage\\_list/Joint\\_Statement\\_of\\_the\\_AAU\\_and\\_EUA.sflb.ashx](http://www.eua.be/Libraries/Publications_homepage_list/Joint_Statement_of_the_AAU_and_EUA.sflb.ashx)

as development actors in view of the changing relationship between higher education, research, development cooperation and capacity building. For universities, there is a clear message: there should be a reflection on the ways in which development cooperation is carried out across the institution and how this could be better aligned with internationalisation objectives. Institutional leaders should strive to integrate development cooperation into the overall institutional internationalisation strategy and identify possible barriers that might impede university staff from fully engaging in these activities.

#### **2.4. Affected groups**

Higher education institutions in the EU and beyond, which are competing in an ever globalising knowledge society and need to develop attractive, quality courses; trigger their international capacity and their openness to partners from around the world; develop links with the world of research and investigation and with the world of work.

Learners: who want equitable access to quality higher education and an education offer which is relevant to their professional life. This includes mobility opportunities.

Teachers and academic staff: who want to be given the means to develop high quality standards, adapt to market demand and student's needs, and benefit also from mutual learning through mobility experiences.

Enterprises are also affected as they are suffering from difficulties to find workers with the skills they need. They are also affected by the costs of skilled labour force (low level of supply of human capital increases its price). They are keen to develop closer links with higher education institutions to discuss mismatch of skill provision and labour market demand and different types of cooperation modalities (internships during studies, staff exchanges, participation in the definition of curricula and learning outcomes, etc).

Higher education national authorities in EU and non-EU countries are important actors in the success of international academic cooperation. Dialogue needs to be developed to build trust and transparency between systems to facilitate academic partnerships and mobility.

#### **2.5. Justification for EU action**

Principle of conferral: Higher education is an area where the EU has supporting competence as defined by the Treaty on the Functioning of the European Union (TFEU or Lisbon Treaty). Article 165 TFEU gives the EU the mandate to contribute to quality education by encouraging cooperation between Member States and supplementing their action. Article 165.2 outlines some fields of action relevant to higher education such as developing the European dimension in education, encouraging mobility of students and teachers, promoting cooperation between educational establishments, developing exchanges of information and experience, and encouraging the development of distant education. Article 165.3 further highlights the relevance of fostering cooperation with third countries and the competent international organisations in the field of education

The necessity test (under the principle of subsidiarity): Member states would be unable to respond to the current challenges and meet EU objectives by acting independently. As

demonstrated in the Mapping Study, single initiatives by single higher education institutions or Member State, though highly beneficial in themselves and complementary to any EU action, often remain at bilateral level and do not have a Europe-wide effect. The objective of the Commission's proposal will be to provide a Europe-wide instrument to stimulate the internationalisation of European higher education, the importance of which member states have highlighted in the EU higher education modernisation agenda and in Council Conclusions on an EU international higher education strategy.

EU added value: International academic and mobility cooperation entail transnational aspects which by reason of their nature, scale or effects can be dealt with better at EU level. The implementation of European Joint Masters and Doctoral programmes (with a common Erasmus Mundus branding) and mobility activities, involving higher education institutions from all over the world, can be more easily managed and monitored at EU level by the Commission which can put in place and effectively run the necessary management structures and delivery methods. The EU can also more efficiently address, notably through dialogue on higher education policies, global issues such as obstacles to international mobility, recognition of degrees, attractiveness, brain drain or capacity building measures.

The visibility of European higher education in the world can be better achieved through a coherent EU promotion strategy, involving all interested Member States. EU initiatives also act as a laboratory to test innovative ideas or set quality standards which then inspire the national level. EU achievements in the field (quality assurance, qualification frameworks, European Credit Transfer System, key competences, tuning of higher-education structures, etc) also gain in being promoted in a visible and coherent manner at EU level, and in the wider world as collective EU achievements.

The proposal conforms to the principle of proportionality established by the Treaty as it will not go beyond what is necessary to achieve the objectives pursued. It can be implemented within member states' existing higher education frameworks. It encourages new approaches considered feasible by higher education institutions. The programme will use lump-sums and unit costs as much as possible in order to minimise the management modalities for beneficiaries and programme managers.

### 3. OBJECTIVES

The above problem analysis and the legal framework for EU intervention in the field of education and training form the basis for developing the objectives of EU international cooperation activities in higher education. These objectives are to be seen as "intermediate" objectives complementing the general objectives of the Single Education, Training, Youth and Sport programme in which the EU's international higher education activities are to blend.

Through the simplification and rationalisation of EU action in the field of international higher education cooperation, the new programme is to contribute to the Europe 2020 Strategy by creating the conditions for universities to enhance the **quality and relevance** of their international courses, to attract the best national and internationally mobile students and to increase their international visibility, teaching and research capacities. This should be supplemented by a **dialogue** on higher education policies with partner

countries' authorities and experts to make European higher education more understandable and transparent and support partners in their modernisation efforts. International dialogue on higher education policies should also be seen as a source of best practices that the EU can incorporate in its own internal policy discussions.

Finally, a key component of evolving policy and EU programmes has been to stress the importance of **academic partnerships** between EU and non-EU universities. Such partnerships have a key role in supporting the **capacity building** and **modernisation** of higher education in partner countries and in promoting reform and **voluntary convergence** of education systems. Individual exchanges and mobility are instrumental to these objectives. The promotion of **people-to-people contacts and human capital development** is a win-win strategy as it provides opportunities for growth to developing countries through enhanced knowledge and skills and at the same time, it allows future decision-makers in non-EU partner countries to be trained compatibly with our principles and values and to become privileged interlocutors for the EU.

The general rationale of this approach is to use international higher education cooperation as one of the tools to support universities in their internationalisation strategy, and achieve wider social, economic and political goals both in EU and non-EU countries. Such openness is crucial for driving up quality, increasing the relevance of higher education to the needs of the labour market and fostering true excellence in the increasingly competitive international environment in which higher education institutions operate today.

Based on the above considerations and analysis, objectives have been defined with a view to concentrating future support on the actions offering maximum EU added value, increasing the insufficient international attractiveness of EU higher education, the insufficiently developed modernisation processes in non-EU Universities and the inefficiency of divide between internal and external higher education cooperation and between various external higher education cooperation programmes by ensuring a more streamlined and simplified approach to EU interventions.

### 3.1. General objective

**Strengthen openness and excellence with a view to producing long-lasting systemic impact, building capacity and supporting reform of higher education institutions in the EU and in partner countries.** This process will help raising quality, cooperation, competitiveness and attractiveness of EU higher education institutions on a global scale, promote learning mobility of students and academic staff that should become available for a higher number of individuals and contribute to capacity building and the modernisation of higher education institutions worldwide.

### 3.2. Specific objectives

- (1) Promote professional, human and skills development and increase employability of individuals by **doubling the number of mobility opportunities** offered to non-EU students and academic staff, including those with fewer opportunities,

wishing to study in Europe and EU students and academic staff wishing to study in non-EU countries.

- (2) Support the modernisation of higher education institutions worldwide by funding cooperation opportunities which will foster innovation, internationalisation in education and sustainable development, through enhanced international cooperation and good practices through **a single and visible education programme**, which will have both an internal and an international dimension and also a special focus on neighbouring and emerging countries).
- (3) Promote **international dialogue in higher education** to facilitate international comparison, raise quality, transparency, mobility, support modernisation processes and promote EU higher education worldwide.
- (4) To simplify the administrative arrangements through a single simplified integrated and cost effective programme in order to address fragmentation align interventions and guiding principles in the design and structure of the new programme and rationalise administrative and financial management.

### 3.3. Operational objectives

The three operational objectives below apply to all options envisaged in this Impact Assessment report. These objectives are fully compatible with the objective and three key types of action identified as the preferred option in the Impact Assessment for the main instrument for EU support for higher education (**NOTE: See the IA report on the Life Long Learning Programme, chapters 4.4. and 4.5).**

Specific Objective 4 and its related operational objectives refer to the fragmentation problem under Section 2, and express guiding principles for the design of the preferred option. However, as the aim is to integrate these guiding principles in the very design and structure of the new programme, they will not apply as objectives as such for that programme.

#### (1) *Learning mobility of individuals:*

**Degree Mobility to support** the transnational mobility of students and staff to and from non-EU countries within joint programmes of outstanding quality implemented by EU and non-EU tertiary education institutions (comparable to present Action 1 of *Erasmus Mundus*) with the aim of attracting the best national and internationally mobile students, increasing their international visibility, teaching and research capacities and building up academic partnerships and contributing to internationalisation and modernisation.

**Credit mobility to support** the transnational mobility of students to either study at a partner institution or gain work experience abroad and the mobility of staff to teach or be trained abroad (international extension of the present *Erasmus*) with the aim of continuing to offer students and staff from non-EU countries training and retraining opportunities and capacity building and responding to stakeholders requests for two-way mobility of students and staff and increasing the linkages between internal and external programmes.

(2) *Cooperation between academic institutions for innovation and good practices:*

**Reinforced action for Neighbouring countries**—( geographically limited to the EU's neighbourhood countries) to support the transnational mobility of students and staff with the aim of building the capacity of institutions and modernising higher education systems through cooperation and structural measures, promoting the EU interests in Neighbouring countries, projecting EU policies in support of the EU 2020 agenda and be a concrete contribution to non-EU countries which are part of the Bologna zone and looking for guidance. It would for example fund the development of modern curricula with a related component of student or staff mobility, or the establishment of university/enterprise cooperation projects, with work placement for students.

**Support capacity building and modernisation in Asia, Latin America and Africa** and contribute to sustainable development through strategic partnerships between higher education institutions and other relevant actors, an increase of coherence, projection of EU policies and promotion of EU interests which can adapt to evolving external relations and promote EU interest, and build up a community of practice amongst higher education institutions both within the EU and in non-EU countries on issues of shared interest, increasing the visibility and impact of EU action. .

(3) *Support for policy reform:*

**Support to dialogue on higher education policies:** support policy reforms, modernisation, exchange of best practice and mutual learning with non-EU countries through peer learning, staff development, exchange of good practice, mutual learning seminars with non-EU partner countries and international organisations by building upon the experiences of both the internal and external actions of the programme and communities of good practice, an increase of linkages and supporting "soft" people-to-people platforms and dialogue between the EU and its international partners.

**Support to promotion of EU higher education:** promote the EU as a study destination and increase the visibility of the EU and the EU offer in higher education through the positive experiences of the current Action 3 of the programme (joint projects, studies, surveys, organisation of, or participation in, student and higher education fairs, alumni associations, support to the "Study in Europe" initiatives, information campaigns, higher education promoters...).

Next to supporting the above objectives which are to address the "substantive" problems addressed in points 2.2.1 and 2.2.2 of the problem definition above, the Commission's proposal will also pursue an objective of **rationalisation and simplification of the management and delivery of the programme**, to address the structural problem of the fragmentation of international cooperation programmes identified under section 2. Further details on implementation modalities are included in the Education Programme (current LLP) Impact Assessment.

### **3.4. Quantitative targets**

All activities under the future programme will aim to produce long-lasting systemic impact. Support will be given to some 300 international joint masters and doctorates in all disciplines, on the basis of their quality. Over 100 promotion projects will be supported to enhance the attractiveness of EU higher education worldwide. Around 800 projects will aim to build capacity and promote the quality and relevance of education in partner countries. Consortia will be composed of higher education institutions but also other actors in the education field, local authorities, enterprises and civil society actors. Mobility schemes (both degree and credit mobility) will allow for student and academic staff exchanges that should concern over 100,000 individuals for the whole programme duration.

## **4. OPTIONS**

While the current Lifelong Learning and Erasmus Mundus programmes are already contributing to the overarching Europe 2020 and ET 2020 goals, there is scope for improving their content and architecture, to increase the EU added value and to trigger broader systemic impacts in complementarity with other EU initiatives and MS efforts. In order to achieve the above specific and operational objectives, EU support can be improved mainly by:

- Concentrating on activities with the highest added value, where a critical mass can be mobilized, and on strong incentives to achieve the Union's policy objectives targeting systemic change; The research carried out in support of this impact assessment has enabled identifying "what works and what doesn't work" at the baseline. The results have been applied while defining the preferred option for the future, and thus guided the distribution of funding between the different actions covered on the basis of the Commission's proposal for a Multiannual Financial Framework 2014 – 2020 and the current discussions within the services.
- Reducing radically the complexity of the architecture of the current programmes, in order to diminish the administrative costs at EU, National Agencies and beneficiary level, and to increase programme user friendliness;
- Identifying those areas of activity where the programme has a competitive advantage as compared to other EU instruments or initiatives, and identifying and exploiting, already in the design phase, the opportunities for synergy and complementarity with them.

To this end, four options have been considered as described in the following. In line with the above listed guiding principles, there is a focus on identifying the option that in the best way builds on the strengths and eliminates the weaknesses at the baseline.

Other options to achieve impact on the general objectives could be theoretically envisaged - for instance, through EU legislation, or by focusing only on a higher education programme. However, these alternative options would either fall outside the limited scope of EU action and the legal base in the field of education, training and youth, and would not be realistic or would lose the benefit of being placed in the lifelong

learning context and from the simplification of the management modalities and reduction of costs. Similarly, given the target groups (mainly individuals and educational institutions) and the geographical scope of the programme, other forms of support cannot be effectively applied without an EU funding allocation. These options would be of a hypothetical nature and would not be competitive.

Regarding the scope of action, the objectives for the programme presented in this impact assessment refer to aspects that Member States would be unable to achieve on their own.

Lastly, it should be noted that, while the budget allocation for EU support should be commensurate with the objectives to be achieved, the experience of the international programmes indicates that the current allocations are insufficient to achieve the objectives set out for the Programme.

Four basic policy options can therefore be considered in relation to the successor programme of the current Erasmus Mundus (and other international cooperation programmes):

- Continue the Erasmus Mundus programme in its current form (Status Quo/Baseline);
- Discontinue Erasmus Mundus when the current programme expires (no action);
- A separate international cooperation programme in higher education;
- A single Programme for education, training, youth and sports: strengthening objectives and impact through concentration and streamlined architecture.

#### **4.1. Policy option 1: Status Quo – continuation of the programme (Baseline)**

This scenario contemplates the continuation of the programme as it now stands (see chapter 2.3 - baseline - above). Considering that – based on formal evaluations of the programme, consultations of stakeholders, studies and informal perceptions by programme managers – all actions are effective and successful, it is proposed here and in successive elaborations to maintain all actions (joint masters and doctorates, scholarship schemes and promotion projects) without cutting any of them. Also the budget distribution among different actions has proved satisfactory up to now and - with the exception of some minor adjustments - does not seem to call for any radical change. Attention should be paid however to the demarcation lines between certain sub-actions and to the risk of overlapping with other "sibling" programmes.

Erasmus Mundus would continue to be composed of 3 actions, namely joint masters and doctoral programmes, academic partnerships and promotion projects. The programme would continue to put emphasis on intercultural dialogue, policy cooperation and languages and would continue supporting studies and events in support of sectoral dialogue with partner countries, as well as an EM Alumni Association. Geographically,

the programme would continue to be open to EU, EFTA and candidate countries and third countries with funds coming from Heading 1 and Heading 4 of the EU budget.

On the basis of the evidence available, there is reason to believe that a future Erasmus Mundus programme based on the current programme design could be effective in achieving the general and specific objectives of the programme proposed in this impact assessment. However the programmes would continue to be very broad, with a large number of objectives and activities. This would be at the expense of a greater focus on key priorities highlighted by the EU 2020, ET 2020 and external actions and development strategies. There would be no attempt to seek synergies, complementarities or economies of scale with other programmes.

#### **4.2. Policy Option 2: No Action – discontinuation of the support under the current programme**

Under this option the Erasmus Mundus instrument would no longer exist. Policy processes inside the EU, and notably the Open Method of Coordination for education (which includes targeted higher education policy measures such as the EU higher education modernisation agenda) would continue. The international mobility of learners and academic cooperation would be either spontaneous or would take place within the framework of bilateral or multilateral agreements.

The EU would continue its obligations under Article 165 and Article 166 which would necessitate some expenditure for the provision of information and analysis, and human resources. Otherwise, spending on higher education international mobility and cooperation activities would be entirely reliant on non-EU resources (in particular from Member States and non-EU partner countries). Problems described in section 2 would continue to be tackled by Member States and higher education institutions individually, but without the European incentive and critical mass an EU programme can provide. In other words, there would be fewer joint programmes, international partnerships and international students studying in Europe and EU students studying outside the EU. The political aims set in the EU policy strategies, as well as in the Bologna action lines would be much more difficult to reach. The same would apply for the external actions and development strategies. The attractiveness of Europe as a study destination and the EU's contribution to higher education systems abroad could not be promoted in the same way. In a nutshell, the EU added value described above would be lost if the programme were not to be implemented. In addition it is worth pointing out that the **loss for EU higher education and cooperation would be much greater than the saving produced**. In fact, other than the results generated by the actions themselves, the EU would lose the leverage effect produced by the implementation of the Erasmus Mundus programme. Thanks to their world-known quality and prestige, Erasmus Mundus courses have in fact attracted throughout the years a considerable number of self-paying students from non-EU countries and from within Europe; they have received financial support from associated partners from industry, employing actors and local authorities; and have received complementary funds for scholarships from non-EU governments.

Though international academic cooperation and mobility of students and researchers are likely to increase regardless of the availability of European funding, the quality and impact of these actions may not be of as high as it could be with the programme and their

EU dimension will not be addressed. Therefore the likely effectiveness of the discontinuation of the programme on specific objectives is likely to be low.

#### **4.3. Policy option 3: A separate international cooperation programme in higher education**

This option would consist in integrating all international cooperation programmes (Erasmus Mundus, Tempus, Edulink and Alfa) into a separate international cooperation programme in higher education, bringing together all external higher education programmes but not linked to a single programme for education, training and youth which would focus mainly on internal policies.

This option would maintain the positive elements of the baseline scenario but would enhance the links between the different actions (mobility, quality and relevance, partnerships, capacity building, policy dialogue and promotion) and would gain from the simplification brought upon by the integration of the current external programmes.

However the programmes would continue to be very broad, with a large number of objectives and activities. This would be at the expense of a greater focus on key priorities highlighted by the EU 2020, ET 2020 and external actions and development strategies. It would increase the gap between internal and external EU policies in the field of higher education, provide two different offers and messages to universities with a less visible and readable EU action and there would be less support (in qualitative terms) to accompany universities in internationalisation and modernisation efforts and less impact. This option would not have the benefits that Option 4 has in terms of flexibility and streamlining. There would be no attempt to seek synergies, complementarities or economies of scale with other programmes.

#### **4.4. Policy option 4: A single Programme for education, training, youth and sports: strengthening objectives and impact through concentration and streamlined architecture**

This (preferred) option allows for a rationalisation in the offer and implementation of EU programmes in higher education at Commission's level and represents an important component of the single integrated Education, Training, Youth and Sport programme (see Impact Assessment for Lifelong Learning and overall executive summary).

This option creates the necessary (and currently insufficient) links within internal programmes (Erasmus and Erasmus Mundus) and between external and internal policies and programmes in the higher education field. It reinforces links between mobility and partnerships (including capacity building and policy support measures). All the higher education programmes that would be merged under this option are precious instruments to translate programme actions into concrete policies.

Erasmus and Erasmus Mundus have many elements in common. They both support transnational mobility of students and academic staff and contribute at the same time to the development and enhancement of curricula and, more generally, of higher education institutions and their cooperation. The Tempus, Alfa and EduLink programmes are

already built around internal EU policy priorities (external dimension of internal policies such as curriculum modernisation, improved governance and funding). Considering that stakeholders are very often the same for all international higher education programmes, it would seem logical that all existing programmes are integrated under one coherent programme, with streamlined procedures to apply and run projects.

Streamlining and flexibility would become key words for the implementation of a future programme that should be consistent and transparent enough to be well understood by stakeholders but, at the same time, flexible enough to respond to the different needs identified in the policy dialogues with different partner countries. Moreover there is a strong case for a considerable simplification and reduction of the management modalities, given that the implementation of the various actions would be ensured by a single entity for centralised actions (the Executive Agency for Education, Audiovisual and Culture) and by National Agencies for decentralised actions, resulting in economies of scale and effectiveness gains. Procedures for launching calls for proposals and organising related information events will be streamlined and access of higher education institutions to the different components of the programme will be enhanced. This has been a key message from the 28 September 2011 Meeting of the Ministers responsible for higher education from EU Member states and Eastern Partnership countries who state that with the goal of increasing the scale, ease and quality of academic mobility between the EU and partner countries, the future single Programme should be designed in a way to enable full participation of the partner countries in the Programme, and in particular full participation in the Programme's component that will succeed the current Erasmus programme for student mobility and will share its essential traits of ease and large scale of participation.

By providing support to increase the overall quality and relevance of higher education, enhancing the links between policies and programmes, accompanying universities in their internationalisation strategy and the modernisation of higher education in non-EU countries together with the development of their human capital, the EU action in higher education will gain in coherence and efficiency and also in terms of synergies. The programme will be more visible and readable on the international scene, with an increased impact.

It becomes evident that an artificial barrier between internal and external higher education programmes would no longer make sense and would go against a reinforced coherence of the Union's action in these fields. An integration of internal and external actions would very well fit into the abovementioned simplified architecture and would generate a positive impact in terms of accessibility. Moreover integration would lead to the appointment of a single Programme Committee with ensuing financial economies and enhancement of action consistency and harmonisation.

The option of a reinforced action would be likely to have the main strengths and weaknesses presented in the table below:

4.4.1. *Table Option 4 - Strengths and Weaknesses*

<b>Main Strengths</b>	<b>Main Weaknesses</b>
<ul style="list-style-type: none"> <li>• Allows for mobilisation of a critical mass;</li> </ul>	<ul style="list-style-type: none"> <li>• Risk of losing visibility of</li> </ul>

<ul style="list-style-type: none"> <li>• Rationalisation in EU higher education activities;</li> <li>• A programme visible and readable on the international scene, with increased impact;</li> <li>• Creating links between external policies and programmes in the higher education field;</li> <li>• Better link between partnership and mobility actions and better integration of outwards mobility (from the EU to partner countries);</li> <li>• Respect of geographical priorities as established by the future external action funding;</li> <li>• Proposing a clear and consistent offer to the same group of stakeholders;</li> <li>• Considerable simplification of the management modalities;</li> <li>• Streamline programme and make it at the same time more flexible.</li> </ul>	<p>popular brand names which can however be minimized through references in calls;</p> <ul style="list-style-type: none"> <li>• Possible difficulties in pursuing different objectives ("Eurocentric" and mutually beneficial international cooperation) with the same instrument. EU action in higher education can however gain in coherence and efficiency by pursuing both objectives in a single programme. Not only in terms of management and resources but also in terms of synergies between so called "excellence" and "capacity building/modernisation" activities.</li> </ul>
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#### 4.5. Indicative budget assumptions for the different options

For the baseline scenario option, the overall budget as well as the allocation of funding among the programme's education sectors and actions would in real terms remain close to the current programme.

There would not be any specific budget allocation as such for option 2 – discontinuation of the programme. Spending on education and training mobility and transnational cooperation actions would be entirely reliant on non-EU resources, notably on funding by Member States and by individual learners themselves. The costs of the EU would be minimal, linked only to the necessary operational arrangements to be ensured by the EU in order to fulfill obligations under Article 165 and Article 166 - the provision of information and analysis.

Option 4 offers the possibility of achieving a significant critical mass of beneficiaries and systemic impacts. Regarding the **allocation of funds**, the following general principles will apply:

Several elements point towards the opportunity of a substantial increase of the budget available for a future EU education and training programme, provided that it can ensure an efficient delivery of EU priorities in education and training: the overwhelming evidence of the link between education attainment, productivity and growth; the new, increased priority given to education and training by the EU, particularly within the Europe 2020 strategy but also in the EU Development agenda and external relations; the

increasing pressure towards the internationalisation of higher education, and the growing competition for talent; the excess demand for access to the current Erasmus Mundus and other international cooperation programmes, which cannot be met for lack of funding; the demonstrable impact of past and current EU programmes on Member States' systems and individuals; the absence of a credible alternative to EU funding.

Bearing in mind that the funding of the international cooperation in higher education component of the Single Programme will be drawn from two budgetary sources (Heading 1 and Heading 4), precise figures or breakdowns between actions are not assessed here as these are currently under discussion within the services. On the basis of experience and on the enhanced emphasis on mobility, around 57% of the budget will be allocated to international mobility. Indeed as underlined in the analysis of performance gaps, mobility opportunities need a critical mass to have systemic impact. The remainder (43%) shall cover international cooperation activities, in particular capacity building, policy support and dialogue.

The baseline figure refers to a stable budget with a 4% growth factor applied for Heading 4 budgets in the 29 June 2011 Commission Communication on a Budget for Europe 2014-2020. The objective is to ensure stability in funding level, avoid a "stop-and-go" approach, follow the geographic and policy priorities established for external action spending and be able to adapt in the case of a major geopolitical crisis.

It is proposed that indicative multi-annual allocations are earmarked per external action instrument twice during the programme's lifetime: for a first period of four years followed by a period of three years. Each time, the relevant committees will be consulted.

A programme Committee will assist the Commission in budget allocation. In line with the current practice, after consultation of the Committee, more detailed calls for proposals will be issued specifying, to the extent applicable, the exact deliverables, targeted publics, planned budgets.

Further details are provided in the single programme Communication.

## **5. IMPACTS**

### **5.1. General considerations**

When comparing the four policy options identified in Section 2 (1: status quo, 2: discontinuation, 3: separate programme, 4: single programme), it appears that the reinforced option provides the highest relevance in relation to the needs analysis and the strongest positive economic and social impacts. Because of the nature of the initiative, the environmental impacts are deemed negligible for all options explored, and have therefore not been examined into further depth.

There is furthermore a clear request, underlined by various consultations, for simplification and rationalisation of the current programme. This would be at the core of the reinforced option 4.

In Option 4, **social impacts** would be the strongest both in Europe and in its partners in terms of skills development. The relevance of the programmes' impact in relation to

wider policy developments and benchmarks will be increased. Greater partnership work with the labour market will take place and more impact will be achieved on employability. This option is expected to result in both quantitative and qualitative improvement of the skills supply in the short-term through mobility and high quality courses, and in the medium term through international learning at the practitioner and policy level. The impact on individuals in terms of their professional, human and skills development will be high. Impact on quality and capacity building in higher education institutions and systems will be high, benefiting from the links between mobility, partnerships and policy support measures. Cross sector cooperation and innovation will increase and incentives towards the internalisation of higher education will be stronger.

In terms of **economic impacts**, whilst Option 2 would produce a savings in public expenditure and/ or possible diversion of funds to other EU objectives or other measures in the field of higher education or other fields, the loss for EU higher education would be much greater than the saving produced. There would be fewer joint programmes, international partnerships and international students studying in Europe and EU students studying outside the EU. Though international academic cooperation and mobility of students and researchers are likely to increase regardless of the availability of European funding, yet the quality and impact of these actions may not be of as high as it could be with the programme and their EU dimension will not be addressed. The political aims set in the EU policy strategies, as well as in the Bologna action lines would be much more difficult to reach and the EU would lose the leverage effect produced by the implementation of the Erasmus Mundus programme. In Option 4, economic impacts are likely to be positive as it will generate a sufficient critical mass and increase benefits for individuals, institutions and systems and trigger active labour market measures, generating growth in the long term. The integration and considerable simplification of the programme will generate a positive impact in terms of accessibility, leading to significant economies of scale and the enhancement of action consistency and harmonisation.

The impact on **fundamental rights** in terms of the right to education and the free movement of persons will be increased in Option 4. Compared to Option 1 (Status Quo/Baseline), this option would provide a further positive impact as it would put greater emphasis on ensuring participation, with a bigger critical mass and a strengthened focus on disadvantaged groups. Inclusion and equal opportunities in higher education will be strengthened. Predictability will contribute to increasing awareness, access and participation and two-way mobility will increase the mutual benefits for EU participants.

## **5.2. Cost-effectiveness**

In its proposal the Commission will pay due attention to the need for simplification of the initiative in line with the guiding principles of the 29 June 2011 A budget for Europe 2020 Communication for the modernisation and simplification of delivery systems.

Designing one programme covering the external dimension of higher education would considerably reduce management costs for the Commission and make the programme simpler and more transparent for beneficiaries.

All the current EU higher education programmes have transnational cooperation and exchange as their starting point and key element. They all fund similar actions (learning

mobility, intensive cooperation between higher education institutions and stakeholders, policy cooperation, studies, etc.).

Management structures (currently different in EAC and DEVCO, some involving the Executive Agency, others not) and delivery methods could be simplified and streamlined given the similarity of actions and complementarity of objectives. Such a simplification was undertaken under the current phase of the Erasmus Mundus programme with the creation of its action 2 (encompassing the Erasmus Mundus external cooperation windows and mobility schemes such as Alban) and could be taken a step further.

The definition of clear implementation rules, and calendars that are consistent among the different sub-actions of the programme would guarantee a more effective implementation and would produce economies of scale.

The number of implementing agencies would in fact considerably decrease (at present three different bodies implement Erasmus Mundus, Alfa and EduLink) and the adoption of commonly agreed practice in the different implementation stages (publication of calls, eligibility and assessment procedures, contract procedures, etc.) would ensure a simplification and standardisation of rules that would be very much appreciated by final users and beneficiaries.

The main economies of scale should be identified in the following aspects:

Resource pooling for financial and transversal activities (e.g. evaluation, information, communication, promotion, dissemination, statistics, logistics, IT, etc.).

Streamlining of procedures (both internal and external): for instance one unique Programme Guide and Call for proposals that allows for the definition of common approaches (e.g. deadline, common eligibility and selection criteria, common procedures for liaising with EU Delegations and National Structures, etc.) and for a reduction in publication, dissemination, translation costs, etc.

### **5.3. Financial instruments**

The Erasmus Mundus programme has put a strong accent in its ongoing phase on the issue of courses' self-sustainability. To this purpose it has introduced requirements in its programme guide for measures to be taken by consortia to identify additional or alternative funding sources to ensure their courses' long-term sustainability. Among these sources, particular focus has been placed on the role of enterprises and other employment actors who could participate in the courses' development and funding. Already several Erasmus Mundus courses receive financial support from the business world in the form of scholarships for their students, internship or research opportunities or spin-off joint initiatives.

As an Erasmus Mundus Cluster Project on Sustainability noted, many Erasmus Mundus courses become financially self-sustaining beyond the Commission funding cycle, through a process (or a combination of processes) where students are willing to pay course fees, there is another source of direct academic funding identified for the complete course, where sponsorship can be sought from business, or where some form of 'bridge' finance is available to allow a course to 'test' the market for sustainability.

However, depending on the academic strategy of a course consortium it may be that the Erasmus Mundus course is in itself a bridge to another activity. This has also been the case in Tempus curriculum development projects. The course (as the EMQA project showed) enhances a research consortium, bringing into it cohorts of excellent third country students, and helping therefore to globalise the consortium. A feasible exit strategy would be if consortium members secured research funds for a collaborative project. A course could be 'exported' beyond Europe if third country found that the conditions are right to launch it outside Europe.

A course may have an impact within a University, internationalising support staff and support services, and acting as a beacon for other disciplines and departments to engage with the internationalisation process. Within a particular partner institution therefore, they may retreat from the Erasmus Mundus model and focus on developing their own bilateral linkages. In the context of the financial crisis, there is therefore a strong link between the 'impact' of Erasmus Mundus and the potential sustainability that emerges from running a Master (and now also the new Doctoral) programme.

The lessons learnt from the Erasmus Mundus experience can be extended to the other international cooperation programmes.

#### **5.4. Could the same results be achieved at lower costs?**

No alternative actions were identified during the course of the research undertaken for this impact assessment that could deliver equal results at a lower cost. The conclusion that the overall level of resources should be increased in relation to the current Erasmus Mundus programme was supported by the results of the online consultation, where most of respondents suggested that increases should be made in the allocations for some target groups (such as European students) or programme actions (such as operational grants for joint programmes). It is necessary to remember that the proposed programme would seek to reach a wider audience and a greater volume of beneficiaries to achieve its stated aims, which further underpins the need for the requested budget.

This discussion suggests that costs could be significantly reduced only by cutting down on the volume of activity supported or make further reductions in costs per unit, both of which would reduce the programme's outputs, results and impact as well as its multiplier effects and would jeopardise the achievement of the programme aims (e.g. too low scholarships may deter high-quality potential applicants from applying to the programme, in particular with the proliferation of high-level grants offered by the EU's competitors from the industrialised and emerging world). In this context, it also has to be underlined that the programme does not fund the actual running of the joint courses and programmes whose costs are entirely borne by the higher education institutions offering them. The Union funds only cover additional administrative costs, such as consortia meetings. It is the attribution of the "Erasmus Mundus" brand name and the award of scholarships that act as elements of attractiveness for potential applicants to the programme (due to their prestige and funding leverage effects – see above) and the lessons learnt should be considered in the future single programme.

The extensive use of lump sums and unit costs for the programme which has been in use since the beginning of Erasmus Mundus and the fact that scholarships are linked to pre-selected courses or partnerships will allow keeping the level of human resources required

for the management of the programme reasonably low, as the co-funding contributions from higher education institutions will not need to be proven, neither at application nor at reporting stage, and as the Commission will not get involved in the selection of students based on merit. These management modalities have thus a considerable advantage for both programme managers and beneficiaries.

For capacity building actions, the future programme will build on and improve what has already been achieved by programmes like Tempus or Alfa in terms of reduction of administrative costs: larger size projects and consortia, introduction of lump sums, only one annual call, simplified guidelines and evaluation procedures, etc. Reducing the management units can also decrease the administrative costs.

#### **5.5. Could the same or better results be achieved with the same cost by using other instruments?**

When analysing the various policy options, the recourse to the suggested EU action programme vis-à-vis non-intervention and other intervention (maintaining the Erasmus Mundus and other programmes as they are) was discussed.

The section concluded that an action programme would be necessary to address existing needs in the European higher education area. Moreover, as underlined in previous sections of this impact assessment, the presented needs would be unlikely to be met by action at national level, and European intervention is justified and provides a substantial added value over national interventions. The lack of EU intervention would prolong the persistence of existing needs and problems and probably lead to increased needs over time. The comparison of the proposed programme and the current Erasmus Mundus programme revealed that greater impacts on the identified needs in higher education in Europe and beyond could be expected from the proposed innovative programme design.

In light of the above it can be concluded that no other instrument than a programme supporting higher education modernisation actions in the EU and worldwide would allow for the same or better results to be achieved at the same cost of the proposed programme.

### **6. COMPARING THE OPTIONS**

The Commission proposes to rationalise and simplify the current structure of programmes by proposing a single, integrated programme on education, training and youth. The focus will be on developing the skills and mobility of human capital. One coherent and reinforced higher education programme seems to be the most effective in addressing the problems described in Section 2 and achieving the objectives defined.

The focus on actions of high added value and the mobilisation of a critical mass due to increased volumes of those actions have strongly positive consequences for cost-effectiveness. Furthermore, the exploitation of synergies between with Lifelong Learning (Erasmus) and the current EU programmes for international cooperation in higher education, will allow simplification of management and economies of scale in the delivery mechanisms, resulting in a higher cost-effectiveness in terms of the EU budget.

A higher education programme integrated in a single Education, Training and Youth programme, including differentiated approaches to appropriately respond to internal and

external needs, would ensure consistency, synergies and economies that would multiply and streamline its impact. This option would also put an end to the risk of overlapping among actions managed by different services. The option also addresses the Commission's strategy to simplify the structures of EU programmes.

Moreover this option is by far the most effective in responding to the fragmentation and visibility problems referred to under point 2.2.3. Insofar as the single programme steering involves all stakeholders (DG DEVCO, ELARG, EEAS etc) - a permanent interservice group is planned for defining the regional and country priorities for all actions in line with overall external relations' overall policy priorities - and actions in the legal basis are sufficiently open to cater for evolving needs through the subsequent calls for proposals, the single programme should not lose its ability to respond to any particular needs of different partners (eg. emerging/developing industrialised). Other instruments (ENI, IPA, EDF, DCI, PI) can cover education related issues that the future programme might not be able to cover (such as sector support, technical assistance or other actions).

***(NOTE: The Impact Assessments for the Lifelong Learning Programme has identified further synergies likely to be produced through integration in a wider education and training programme. It is hence referred to the IA for the Lifelong Learning programme for further specification of the preferred option for EU action in education and related fields, in which international higher education activities can perfectly fit.)***

**6.1. Table: Likely effectiveness of different options in relation to suggested objectives**

	++	+	0	-	--
<i>Impact compared with baseline scenario</i>	<i>positive</i>	<i>slightly positive</i>	<i>neutral</i>	<i>slightly negative</i>	<i>negative</i>

	<b>Option 1 (Status quo)</b>	<b>Option 2 (No action)</b>	<b>Option 3 (Separate Programme)</b>	<b>Option 4 (Single Programme)</b>	<b>Explanation of given ratings:</b>
<b>Effectiveness in terms of achieving objectives:</b>					
1) Promote professional, human and skills development of individuals	0	--	+	++	Option 4: The reinforced action allows for mobilisation of a critical mass, ensures a better link between mobility and partnership actions and a better integration of outwards mobility (from EU to partner countries)
2) Support quality and capacity in higher education institutions	0	--	+	++	Option 4: The reinforced option ensures a better link between partnership and mobility actions and the integration of different instruments will increase the possibilities for capacity building and allow for more flexibility to address external action priorities.

3) Promote policy dialogue in higher education	0	--	0	++	Option 4: The reinforced option will increase links within internal programmes (Erasmus and Erasmus Mundus) and between external and internal policies and programmes in the higher education field., will allow for an easier translation of programme actions into concrete policies and a more visible and readable programme will increase the impact
<b>4. Efficiency/cost-effectiveness, in terms of</b>					
A) Implementation costs (taking account of simplification measures);	0	N/A	+	++	<p><b>Option 1:</b> As there is room for improvements of effectiveness related to the structure of the current programmes and as well to their management structures/costs, the cost-effectiveness of this option is average.</p> <p><b>Option 2:</b> Although implementation costs of this option would be negligible, the effectiveness of this option is so low that an assessment of cost-effectiveness is futile and very difficult.</p> <p>Option 3: there would not be an increase of implementation costs compared to Option 1 but less economies of scale compared to the simplification measures foreseen under Option 4.</p> <p><b>Option 4:</b> Since the simplification of management structure improves economies of scale and thus considerable savings, the cost-effectiveness of its implementation is very high.</p>
B) EU budget	0	N/A	+	++	<p><b>Option 1:</b> Considering the fragmentation of EU action, the baseline offers only an average level of cost-effectiveness in terms of the EU budget.</p> <p><b>Option 2:</b> Although implementation costs of this option would be negligible, the effectiveness of this option is so low that an assessment of cost-effectiveness is futile and very difficult.</p>

					<p>Option 3: this option offers an increased level of cost effectiveness but less than Option 4.</p> <p><b>Option 4:</b> The focus on actions of high added value and the mobilisation of a critical mass due to increased volumes of those actions have strongly positive consequences for the cost-effectiveness. Furthermore, the exploitation of synergies between with Lifelong Learning (Erasmus) and the current EU programmes for international cooperation in higher education, will allow simplification of management and economies of scale in the delivery mechanisms, resulting in a higher cost-effectiveness in terms of the EU budget.</p>
5. <b>Coherence</b> (with strategic objectives, etc.)	0	--	<b>0</b>	++	<p><b>Option 1:</b> The baseline offers certain incoherence with EU policy objectives and MS actions.</p> <p><b>Option 2:</b> Coherence would suffer significantly: it would be left to MS to decide how they implement the EU2020 and ET 2020 strategic objectives and priorities. Furthermore, the feasibility of this option would be very limited, as it would go against the views of most stakeholders.</p> <p>Option 3: Will not reflect sufficiently EU interests in external cooperation and linkages between internal and external action would be weak.</p> <p><b>Option 4:</b> Will increase the rationalisation in EU higher education activities on the international scene and can gain in coherence and efficiency by pursuing both "Eurocentric" and mutually beneficial international cooperation objectives with the same instrument. Would allow for stronger coherence with EU policy priorities and MS actions and respect the geographical priorities as established by the future external action funding Furthermore, the internal coherence would be considerably</p>

					<p>strengthened through the integration into a single programme, and reduction of overlaps. It will propose a clear and consistent offer for the same group of stakeholders and the potential risk of losing visibility of popular brand names can be minimized through references in calls. The option also addresses the Commission's strategy to simplify the structures of EU programmes.</p>
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## 7. MONITORING AND EVALUATION

The monitoring and evaluation of the future programme should contain both continuing monitoring to assess the progress towards achieving the objectives of the programme and the formal evaluation exercises as well.

*Continuous monitoring* could be based on the following approaches:

Collection of information on progress in relation to the quantitative outputs of the Programme via its dedicated IT system. Such potential output indicators would be reported in the regular annual programme activity reports.

A regular assessment of qualitative outcomes, aimed at measuring impact on individual beneficiaries (young people, teachers, staff, youth workers) organisations and systems. Such indicators would be based on the intervention logic of the future programme and its general and specific policy objectives. The regular annual programme activity reports could make this information public. Such assessments could take place through the means of online survey(s), longitudinal studies on programme beneficiaries, ministries of education, teaching and training bodies, education think-tanks, employer organisations etc., and other source of verification such as the analysis of work plans and reports.

Member states, including the managing authorities, will be requested to contribute to the monitoring and evaluation process through national reports and analysis of the final beneficiaries feedback.

It will also be important to better communicate the achievements of the programme. The programme statistics would thus be released on a more regular basis, for which full exploration of the potential of current IT management tools for a support of monitoring and reporting mechanism would be necessary. For a tentative list (still work in progress) of identified output, result and impact indicators for the new programme, see Annex 7.

The Commission will regularly monitor the programme in cooperation with the Member States (represented in the Programme Committee) having regard to its objectives, impact and complementarity with actions pursued under other relevant EU policies, instruments and actions.

The results of the process of monitoring and evaluation will be utilised when implementing the programme. The monitoring will include an analysis of the geographic distribution of programme beneficiaries by action and by country, relevant reports and communications and specific activities.

A single evaluation will be carried out during the programme cycle. This exercise should be organised mid-term and include an ex-post evaluation of the previous programme and a mid-term evaluation of the running programme, the latter having a prospective focus. Accordingly, the ex-post evaluation of the next programme would be included in the evaluation carried out mid-term for the programme coming after the next. The Commission Report on the mid-term evaluation of the programme would be submitted to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions in spring 2017.

At the same time the EACEA will ensure the regular monitoring of projects through the punctual analysis of progress and final reports and monitoring visits. Assessment will be carried out against precise and measurable criteria (quantitative and qualitative indicators measuring relevance, efficiency, effectiveness, sustainability and impact), defined according to the project lifecycle and duly explained in the administrative handbook. National Structures do not have an official role in the monitoring of the programme but provide support in the dissemination of the information, help participants and beneficiaries and provide valuable contributions for the future development of the programme.

In addition, DG EAC will continue to carry out a quality assessment exercise to disseminate good practice in terms of quality enhancement. In monitoring activities the indicators in Annex 3 will be taken into consideration and new indicators will be developed for the new types of actions that will be introduced. A particular focus will be to develop quantitative and qualitative indicators across all regions and actions transversally with the aim of assessing the effects of the programme (and mobility in particular) on brain circulation, on capacity building in developing countries and on return effects for EU institutions. Student and graduate tracking, self-evaluation, employers feedback, institutional evaluation, reports and field visits are examples of tools which will be used.

For illustrative purpose a summary of indicators covering the whole programme can be found in Annex to the Impact Assessment on Lifelong Learning.

## Annex 1:

List of Studies which have informed the IA exercise (next to consultations and evaluations):

The **Erasmus Mundus Quality Assessment project** (<http://www.emqa.eu/>) has produced a Handbook of higher-education best practice when designing international Master courses, as well as an interactive tool to assess existing or planned courses against international best practice. These instruments facilitate participation in a growing community of higher-education expertise and practice, thus contributing to excellence. The findings of this study allowed to fine tune and strengthen the quality requirements included in the programme guidelines and provided ideas for further increased quality in a future programme.

The **Graduate Impact Study** (<http://www.em-a.eu/erasmus-mundus/graduate-impact-survey.html/>) is another effective instrument aimed to monitor the careers of the Erasmus Mundus graduates. The findings of this study provide valuable insight into the programme quality, the employment perspectives for graduates and brain drain phenomenon. All these elements are useful to monitor the programme and take remedial measures if and when necessary.

**Tuning** projects with different world regions (Latin America, Africa, and the US) have offered concrete support to higher education institutions in partner countries to adapt their study programmes and internal procedures to the standards required to cooperate in an efficient manner with EU institutions.

The **Mapping Study** (<http://www.mapping-he.eu/Default.aspx>) describes the Member States' external action in higher education. It is now possible to access information on how higher education external cooperation is supported and prioritised at national level and to identify programmes. The results of this study have helped to demonstrate the specificity and added value of the Erasmus Mundus programme with respect to national initiatives. The study is instrumental in helping to build synergy and coherence between EU and Member States' intervention.

**Joint studies** (two with China on "EU-China learning mobility exchanges" and "Race for new talents", a study on doctoral studies in Neighbouring countries, a joint EU-US study on higher education credit systems, a joint EU-US study on university-business cooperation") have allowed getting a more in-depth insight into the relations with strategic partner countries and adapt specific bilateral action accordingly (this applies for instance to possible priorities to be set in the framework of the geographical lots of Action 2 of Erasmus Mundus).

**Commission staff working document** "progress towards the common European objectives in education and training. Indicators and benchmarks 2010/2011" (April 2011) [http://ec.europa.eu/education/lifelong-learning-policy/doc/report10/report\\_en.pdf](http://ec.europa.eu/education/lifelong-learning-policy/doc/report10/report_en.pdf) .

Findings of the "**Experts' Report**" EAC requested from Ecorys which contains results of consultations conducted by the experts, factual evidence collected, and analysis carried out by the experts to support EAC's IA work.

Multi-actor recommendations from the Erasmus Mundus Access to Success Project: "*Africa-Europe Higher Education Cooperation for Development: meeting regional and global challenges*". [http://www.eua.be/Libraries/Publications\\_homepage\\_list/Africa-Europe\\_Higher\\_Education\\_Cooperation\\_White\\_Paper\\_EN\\_FR.sflb.ashx](http://www.eua.be/Libraries/Publications_homepage_list/Africa-Europe_Higher_Education_Cooperation_White_Paper_EN_FR.sflb.ashx)

## Annex 2:

The table below shows the main outcomes of the Erasmus Mundus programme since its launch in 2004 and possible room for improvement. Some actions (namely 1.2, 1.4, 1.6, 1.7 and 1.8) only started in 2009, which explains the relatively low figures. Though outcomes up to now are satisfactory, they could still improve if problems described in section 2 were correctly addressed.

Index	Actions and sub-actions	Outputs	Description of action	Room for improvement
	<b>Action 1 - Erasmus Mundus Joint Programmes</b>			
1.1	Erasmus Mundus Joint Masters Programmes	123	Joint masters in all disciplines are selected on the basis of their quality and are linked to a scholarships system	Success rate (funded applications versus submitted applications) is around 14%. Could be improved by offering more space particularly in certain subject areas
1.2	Erasmus Mundus Joint Doctoral Programmes	24	Joint doctorates in all disciplines are selected on the basis of their quality and are linked to a fellowships system	Request is high and success rate is low (around 7%). Could be definitely increased
1.3	Scholarships for non-EU students at masters level	11,000	Students from non-EU countries are offered generous scholarships to study in EM joint masters	Request is very high and success rate is extremely low (less than 1%). Better attention to students with fewer opportunities needed. More funding is necessary
1.4	Scholarships for EU students at masters level	1,000	Students from EU countries are offered attractive scholarships to study in EM joint masters	There is a need to further promote the offer of integrated courses and joint degree in the EU
1.5	Scholarships for non-EU academics at masters level	1,600	Academic staff from non-EU countries are paid to carry out research and teaching in EM joint masters	Mobility of academic staff should become even more strategic to disseminate knowledge, expertise and contribute to capacity building

1.6	Scholarships for EU academics at masters level	400	Academic staff from EU countries are paid to carry out research and teaching in EM joint masters	Mobility of academic staff should become even more strategic to disseminate knowledge, expertise and contribute to capacity building
1.7	Fellowships for non-EU doctoral candidates	250	Doctoral candidates from non-EU countries receive employment contract or stipends to study and carry out research in EM joint PhDs	Certain non-EU countries in particular request for reinforced cooperation at PhD level
1.8	Fellowships for EU doctoral candidates	100	Doctoral candidates from EU countries receive employment contract or stipends to study and carry out research in EM joint PhDs	The co-tutelle or multi-tutelle principle needs to be further developed within the EU
<b>Action 2 - Partnerships</b>				
2.1	Partnerships	100	Partnerships of EU universities and universities from specific world regions as basis for exchange of students	An "Erasmus"-like system of bilateral exchanges between EU and non-EU universities should be further fostered to strengthen cooperation in particular with certain strategic partner countries
2.2	Scholarships for non-EU individuals	12,000	Students from non-EU countries are offered scholarships to spend a period of study in one of the EU universities of the partnership	There is growing demand from non-EU students to spend a period of studies in the EU (even if not necessarily leading to a degree)
2.3	Scholarships for EU individuals	3,000	Students from EU countries are offered scholarships to spend a period of study in one of the non-EU universities of the partnership	There is growing demand from EU students to spend a period of studies in non-EU countries (especially those more advanced or emerging)

<b>Action 3 – Promotion projects</b>				
3.1	Attractiveness projects	50	Projects aimed to promote the attractiveness and visibility of EU higher education in the world	Promotion of EU higher education in the world is instrumental for an effective internationalisation process
3.2	Information grants for National Structures	5	Grants offered to Erasmus Mundus National Structures to implement projects aimed to promote the attractiveness and visibility of EU higher education in the world	National structures are insistently requesting for more responsibility and financial support to carry out also small-scale and national projects
3.3	Studies and seminars	50	Organisation of studies or other events aimed to support policy dialogue with non-EU countries	There is a growing need (and demand particularly from certain strategic partner countries) to carry out more and more structured cooperation activities to strengthen relations and mutual understanding. These activities enable to share policy best practices in higher education, facilitate the implementation of our programmes, and more generally foster academic cooperation and mobility
3.4	Erasmus Mundus Alumni Association (EMA)	1	This association aims to strengthen alumni networking and disseminate information on the programme	EMA has proven to be a crucial tool for the promotion of EU higher education worldwide. They will need continuous and possibly reinforced assistance
3.5	Study in Europe campaign	30	Activities (mainly participation in international fairs) are	Participation in main international fairs should become a rule and the

			supported to promote the attractiveness of EU higher education in the world. They are often complemented by conferences on EU higher education and by policy dialogues	"SiE" logo should be represented in all international events and fora. "SiE" should constitute a hub to which member state offer can connect
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### Annex 3:

#### Monitoring indicators

Number	Indicator	Description
1	Grants by consortia	Number and size
2	Grants by partner	Number and size
3	Grants per participant	Number and size (number of staff, students, pupils, learners, per country)
4	Consortium composition and size (size, legal status and commercial orientation)	Type of partners, hosts and homes, per action, per country
5	Consortium composition and size, by type of institution	Type of participating institutions (institution type, sector), per country
6	Consortium composition and size, intensity of cooperation and country of coordinator	Number of consortia, number of partners per consortia, per coordinator country, per partner country
7	From/to mobility	Number students, pupils, learners, in-flows and out-flows matrix per country
8	Duration of mobility	Number of participant in-flows and out-flows durations, per country
9	Educational map of action	Subjects, educational areas (ISCED), of the project, per action
10	Social cohesion topics addressed by the projects	Social cohesion topics addressed by the project (cultural diversity, xenophobia, special needs, equal treatment, sexual discrimination, racial discrimination, age discrimination).

### **Annex III: Public consultation**

See [http://ec.europa.eu/dgs/education\\_culture/consult/higher/report\\_en.pdf](http://ec.europa.eu/dgs/education_culture/consult/higher/report_en.pdf)



EUROPEAN COMMISSION

Brussels, 23.11.2011  
SEC(2011) 1402 final

Volume 5

**COMMISSION STAFF WORKING PAPER**

**IMPACT ASSESSMENT ON SPORT ACTIONS**

*Accompanying the document*

**Proposal for a**

**REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**establishing a single Education, Training, Youth and Sport Programme for the period  
2014-2020**

{COM(2011) 788}

{SEC(2011) 1403}

## **PART 4: SPORT**

**Lead DG:** DG Education and Culture

**Other involved services:** SG, SJ, DG BUDG, DG COMM, DG COMP, DG DEVCO, DG ECFIN, DG ELARG, DG EMPL, DG ENTR, DG ENV, DG ESTAT, DG HOME, DG INFSO, DG JUST, DG MARKT, DG REGIO, DG RTD, DG SANCO, DG TAXUD, EEAS

**Agenda planning identification number:** 2011/EAC/001

**Disclaimer:** This report commits only the Commission's services involved in its preparation and does not prejudge the final form of any decision to be taken by the Commission

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## 1. PROCEDURAL ISSUES AND CONSULTATIONS

### 1.1. Identification

**Lead service:** DG EAC.E.3 (Sport Unit)

**Other services involved:** SG, SJ, DG BUDG, DG COMM, DG COMP, DG DEVCO, DG ECFIN, DG EMPL, DG ELARG, DG ENTR, DG ENV, DG ESTAT, DG HOME, DG INFSO, DG JUST, DG MARKT, , DG REGIO, DG RTD, DG SANCO, DG TAXUD, EEAS

**Commission Work Programme reference number:** CWP 2011/EAC/001

**Subject:** Proposal for incentive measures in the field of sport 2014-2020

### 1.2. Organisation and Timing

**Table 1 – Impact assessment procedural steps**

Action/Steps	Date
Informal inter-service consultation about online questionnaire	22-26 Febr. 2010
Questionnaire for online consultation approved	10 March 2010
Bilateral consultations with stakeholders	Febr. – June 2010
Launch of public consultation	7 April 2010
European Sport Forum & Informal Ministerial Meeting, Madrid	19-21 April 2010
End of consultation process (8 weeks after launch)	2 June 2010
Analysis of the results of the consultation process	June – Sept. 2010
Finalisation of Roadmap	October 2010
First meeting of the Inter-Service Steering Group (discussion of the Roadmap)	2 February 2011
Finalisation of draft Impact Assessment Report	15 July 2011
Second Inter-Service Steering Group meeting on draft Impact Assessment Report	19 July 2011
Submission of Impact Assessment Report to Impact Assessment Board	3 August 2011
Impact Assessment Board meeting	7 September 2011
Impact Assessment Board opinion	9 September 2011

### 1.3. Impact Assessment Board's recommendations

On 3 August 2011, DG EAC submitted to the Impact Assessment Board (IAB) four Impact Assessment (IA) reports relating to the single Education, Training, Youth and Sport Programme for the period 2014-2020. With regard to the Sport strand of the single programme, the IAB noted in its Opinion of 9 September 2011 the need to clarify its objectives and rationale, namely by focusing the problem definition on issues with the strongest EU added value potential. The IAB also recommended to adapt the objectives to the available resources and to better show how the proposed actions would contribute to solving the identified problems. The Board finally asked to make it clearer that the main reason for including sport in the single Education programme was administrative efficiency rather than potential policy synergies.

As a consequence, this IA report has been modified to take into account the Board's comments. In particular, the problem definition section (section 2) has been improved by reinforcing the link with the results of the 2010 IA report that led to the adoption of the 2011 Communication on sport. References to exogenous elements affecting the EU's population growth have been included in the description of the baseline scenario to better define the current situation and expected developments. The added value potential of proposed measures has been clarified. The objectives have been put in close relation with the identified problems (section 3). The envisaged incentive measures have been presented in more detail, notably in Annex II which illustrates option 2 (as defined in section 4). The report also demonstrates more clearly the rationale behind the inclusion of sport as a Sub-Programme within a Single education programme (section 6).

#### 1.4. Consultation and expertise

##### *Consultation<sup>1</sup>*

The Commission launched various consultation exercises during the first half of 2010<sup>2</sup>. Different types of stakeholders and experts were invited to participate in the consultation and dialogue in view of the definition and planning of EU initiatives in the field of sport following the entry into force of the new Treaty competence on sport (Article 165 TFEU): Member States, the sport movement, relevant international organisations, and the general public (online consultation). The consultations covered both policy aspects of sport at EU level and aspects related to possible future incentive measures in the field of sport. Details about the categories of different consulted stakeholders and relevant meetings and events, as well as about the timing of the consultation exercise are given in Annex I.

The **results of the public consultation** are an important source of information to identify areas that can be considered as representing key challenges for sport in Europe from a stakeholder perspective, and notably the following:

- Insufficient availability of sport and physical activity at all levels of education;
- Insufficient recognition of voluntary activity in sport;
- Doping as a major threat to fairness in sporting competitions;
- Lack of attention for the societal value of sport as compared to its commercial aspects;
- Commercial pressure endangering the original spirit of sport based on fair play.

The consultation also yielded useful indications regarding priority areas for future EU action. The areas receiving the highest degree of attention were the following:

- Promotion of the social and educational functions of sport, including health-enhancing physical activity, participation levels in sport, quality training for sport professionals, integration of sport in education policies, sport for all, and sport in relation to social integration and social inclusion;
- Recognition of and support for volunteering in sport and the promotion of public and private financing of sport, as a means to support sport structures at grassroots level;

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<sup>1</sup> Consultations were carried out in line with the “General principles and minimum standards for consultation of interested parties by the Commission” - COM(2002) 704.

<sup>2</sup> The report presenting the results of these consultations is available on the Commission's website: [http://ec.europa.eu/sport/library/doc/a/100726\\_online\\_consultation\\_report.pdf](http://ec.europa.eu/sport/library/doc/a/100726_online_consultation_report.pdf)

- Protection of the physical and moral integrity of sportspeople, in particular the fight against doping and the protection of minors in sport;
- Promotion of fairness and openness in sporting competitions as well as of the ethical and social values of sport, including the fight against discrimination, racism, xenophobia and violence in sport and the fight against financial crime in sport.

Horizontal priorities that were identified included:

- Support for knowledge-based decision-making in the field of sport;
- Promotion of networking and exchange of best practices;
- Support for strengthened dialogue with sport organisations and for EU guidance on the application of EU law to sport.

The problem definition, the identification of objectives and the policy options described in the following sections of the IA reflect the outcomes of the consultations carried out in 2010.

### *External expertise*

An evaluation of the Preparatory Actions and Special Events in the field of sport was launched in December 2010. The evaluation was carried out by a team of independent experts led by Economisti Associati. The final evaluation report is available on the Commission's website<sup>3</sup>. The executive summary of the evaluation report is presented in Annex IV to this report. Results from the evaluation have been used as a source of evidence for this Impact Assessment. The evaluation underlines the value added that the EU can bring in supporting trans-national exchanges and the creation/reinforcement of networks aimed at generating, sharing and spreading experiences and knowledge about different issues affecting sport at the European level. The evaluation also found value in promoting certain types of (mainly non-commercial) sport events addressing wider societal issues, noting however that support for these events should be subject to open procedures with clearly defined award criteria. The team of experts also assisted the services of the Commission in providing input for the drafting of this report.

It should be underlined that the main task of the evaluation was to analyse and assess the relevance, effectiveness, and efficiency, as well as the EU-added value, of the Preparatory Actions and special events in the field of sport 2009 and 2010. The scope of the evaluation did not include a detailed consideration of activities supported in 2010 beyond the selection of proposals, nor did it include activities supported under the 2011 Annual Work Programme because the timing of the evaluation did not allow it. The evaluation did not include activities supported under the 2011 Annual Work Programme because at the time of writing an open call for proposals had only just been launched.

## **2. CONTEXT SETTING AND PROBLEM DEFINITION**

### **2.1. Context**

#### *General context*

The overall context of the planned initiative is **Europe 2020**, the EU's growth strategy for the coming decade, approved by the 27 Heads of State and Government in June 2010. It should

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<sup>3</sup> [http://ec.europa.eu/sport/news/doc/evaluation\\_final\\_report\\_prepact\\_special\\_events\\_20110727.pdf](http://ec.europa.eu/sport/news/doc/evaluation_final_report_prepact_special_events_20110727.pdf)

help the EU and the Member States deliver high levels of employment, productivity and social cohesion. Europe 2020 is intended to mobilise all existing EU policies, instruments and laws, as well as financial and coordination instruments. Resources, including funding programmes, should therefore be designed to drive the Europe 2020 strategy and be channelled towards the ambitious objectives on employment, innovation, education, social inclusion and climate/energy to be reached by 2020. The sport sector and activities in this field contribute to the achievement of the defined goals with regard to smart and inclusive growth, notably through the sector's potential to generate growth and jobs and to foster social inclusion.

On 29 July 2011, the European Commission launched its Communication "A budget for Europe 2020"<sup>4</sup> on the next **multiannual financial framework**, outlining its proposal on the structure and priorities for the EU budget for 2014-2020. The Commission's ambition for the next EU budget is to spend differently, concentrating on delivering the Europe 2020 agenda. In the Communication presenting the budget allocations, the Commission proposes to allocate EUR 15.2 billion to a single programme on Education, Training, Youth and Sport which includes a sub-programme for sport, as follows:

*"As part of the Education Europe programme, the proposed Sport sub-programme will focus on:*

- tackling transnational threats that are specific to sport such as doping, violence, racism and intolerance, or issues relating to the integrity of competitions and sportspersons;
- developing European cooperation in sport through, for example, guidelines for dual careers of athletes or benchmarks for good governance of sporting organisations; and
- supporting grassroots sports organisations which can play a role in addressing wider socioeconomic challenges such as social inclusion.

*This programme will bring EU added-value to issues arising from the specific nature of sport, mobilising private-sector financing from actors in the field of sport, and supporting organisations at the base of the sporting pyramid - not the top professional level."*

#### *Specific policy context*

The inclusion of an EU competence for sport<sup>5</sup> in **Article 165 of the Lisbon Treaty** (TFEU) provides for the opportunity to develop the European dimension in sport in a new policy context by means of supportive, coordinating and supplementary action. In line with this article, "the Union shall contribute to the promotion of European sporting issues, while taking account of the specific nature of sport, its structures based on voluntary activity and its social and educational function." EU action shall be aimed at "developing the European dimension in sport, by promoting fairness and openness in sporting competitions and co-operation between bodies responsible for sports, and by protecting the physical and moral integrity of sportsmen and sportswomen, especially the youngest sportsmen and sportswomen." The instruments at the EU's disposal to achieve these objectives are defined as (1) incentive measures and (2) Council Recommendations.

Before the new competence entered into force, EU level activities in the field of sport were carried out solely on the basis of other Treaty provisions. The policy process was driven by

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<sup>4</sup> COM(2011) 500 final

the Commission's 2007 **White Paper on Sport**<sup>6</sup>, which was accompanied by an Action Plan "Pierre de Coubertin" that engaged the Commission. The implementation of the 53 Actions required close cooperation with stakeholders and has meanwhile been accomplished.

Following the White Paper, in 2008 the European Parliament adopted a Resolution welcoming the vision presented by the Commission and requesting a special budget line for Preparatory Actions in the field of sport. In line with this Resolution, the Commission adopted three Annual Work Programmes (in 2009, 2010 and 2011) on grants and contracts for the **“Preparatory Actions in the field of sport”** and **“Special annual events”**. The overall objective of the Preparatory Actions is to prepare future EU actions in the field of sport in view of the implementation of the sport provisions in the Lisbon Treaty. The specific objectives of the Annual Work Programmes are threefold:

- 1) To identify future policy actions through studies, surveys, conferences and seminars in order to develop better knowledge of the field of sport, their problems and needs
- 2) To test/support the establishment and functioning of suitable networks and exchange of best practice in policy fields already identified in the White Paper on Sport
- 3) To promote greater European visibility at special sporting events identified by the European Parliament in the framework of the budgetary procedure.

Table 2 hereafter outlines the types of interventions and main areas supported in line with these objectives, and the budget allocations for 2009-2011:

**Table 2 – Main areas supported through the Preparatory Actions and Special Events in the field of Sport**

Year	2009		2010		2011	
<b>Preparatory Actions</b>						
<b>Budget</b>	67%		36%		43%	
<b>Objectives</b>	<b>Types and areas of intervention</b>					
1) Better knowledge	2 studies 3 conferences		2 studies 3 conferences		4 studies 1 conference	
2) Networks / exchange of best practices	18 transnational projects	<i>Sport and:</i> health, education, gender, disability	12 transnational projects	<i>Sport and:</i> anti-doping, volunteering, migrants	<i>Call currently open</i>	<i>Sport and:</i> good governance, racism and antidiscrimination
<b>Special events</b>						
<b>Budget</b>	33%		64%		57%	
<b>Objective</b>	<b>Types of intervention</b>					
3) Eur. visibility	2 events		2 events		2 events	
<b>Total budget</b>	<b>7,5 mEUR</b>		<b>11 mEUR</b>		<b>7 mEUR</b>	

<sup>5</sup> This IA uses the term “sport” in line with the definition established by the Council of Europe in its 1992 European Sport Charter and used by the Commission in its 2007 White Paper on Sport: "Sport means all forms of physical activity which, through casual or organised participation, aim at expressing or improving physical fitness and mental well-being, forming social relationships or obtaining results in competition at all levels."

<sup>6</sup> COM(2007) 391, 11.7.2007

On 18 January 2011, the European Commission adopted its **Communication "Developing the European Dimension in Sport"**<sup>7</sup>. The Communication builds on the 2007 White Paper on Sport. It proposes concrete actions for the Commission and/or the Member States within three broad chapters: the societal role of sport, the economic dimension of sport and the organisation of sport. The actions proposed in the Communication aim to encourage debate among stakeholders, address EU-level challenges in sport and help the sector develop. A number of these actions refer to support for transnational projects and activities as an instrument to address the policy objectives identified in the Communication.

As a response to the Communication, the Council adopted a Resolution on a three-year **EU Work Plan for Sport** for the period up to mid-2014<sup>8</sup>. It invites Member States and the Commission to give priority to the following themes: 1. integrity of sport, in particular the fight against doping, match-fixing and the promotion of good governance; 2. social values of sport, in particular health, social inclusion, education and volunteering; and 3. economic aspects of sport, especially suitable financing of grassroots sports and evidence-based policy making. The Council agreed on specific actions in line with these priorities, to be implemented with the help of six Expert Groups. The Council will assess the implementation of the Work Plan on the basis of a report from the Commission by the end of 2013.

## 2.2. Problem definition

### *The nature of problems affecting sport*

The definition of the problems described hereafter builds on the Impact Assessment carried out in 2010 (section 2.2 - Main Challenges) and published as an accompanying document to the Commission's Communication on sport".<sup>9</sup> The executive summary of the 2010 Impact Assessment is presented in Annex V. The 2010 Impact Assessment had the purpose of helping the Commission to develop and propose a suitable initiative to implement the new provisions on sport laid down in the Lisbon Treaty. It identified several challenges and threats to sport and pointed out those areas where it is appropriate for the EU to intervene. The 2010 Impact Assessment led to the adoption of the 2011 Communication as the preferred strategic option for the Commission to implement the new EU competence for sport. It also referred to the necessity of carrying out another Impact Assessment on incentive measures in the field of sport based on the evaluation of Preparatory Actions – which is the objective of this report.

The 2010 IA report identified the following general and specific problems affecting sport at EU level:

- Challenges connected with sport's health-enhancing, social and educational functions:
  - Health concerns due to lack of physical activity;

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<sup>7</sup> COM(2011) 12 final

<sup>8</sup> Resolution of the Council and of the Representatives of the Governments of the Member States, meeting within the Council, on a European Union Work Plan for Sport for 2011-2014. Official Journal of the EU, 2011/C 162/01

<sup>9</sup> SEC(2011) 67 final

- Social exclusion of disadvantaged groups and unused potential of sport;
- Unadapted systems to combine sport and education;
- Challenges for sustainable sport structures:
  - Insufficient support for voluntary activity;
  - Discrepancies between developments in gambling markets and the financing of sport;
  - Inadequate protection of intellectual property rights;
- Doping as a threat to the physical and moral integrity of sportspeople;
- Discrimination in sport on grounds of nationality;
- Unused scope for improving EU-level dialogue on sport;
- Perceived lack of legal clarity regarding the application of EU law to sport;
- Insufficient information on sport for the EU-27.

This IA focuses on possible incentive measures in the field of sport. These measures may be contemplated to tackle some, but not all, of the issues, challenges and problems identified in the 2007 White Paper, the 2010 IA report, the 2011 Communication and the 2011 EU Work Plan for Sport. There are a number of problems, threats and challenges related to sport at EU level where the EU's objectives are best achieved through political co-ordination or, in some cases, legal intervention.

It is not the Commission's intention for incentive measures to intervene in areas where the European dimension of sport is best developed through non-spending measures, nor to supersede, duplicate or interfere with Member State projects or policies. Instead, the EU incentive measures should focus on those issues and fields where their added value would be significant. This is the case in particular for areas that fulfil one or more of the following conditions:

- The problems have an international dimension and cannot be tackled effectively by national actors alone, but require a degree of co-operation and co-ordination between actors at various levels;
- There are large disparities between Member States and their respective policies and approaches to specific issues or problems, and therefore a strong potential for promoting networking and the identification and exchange of good practices among (especially non-governmental) stakeholders;
- There is a lack of comprehensive, reliable, relevant and/or comparable data and information on the issue, and the weak knowledge base limits the potential for evidence-based policy-making at the EU and/or national levels;

- A lack of co-ordination of actions implemented solely by Member States may weaken the development of sport in Europe and reduce the potential of sport to contribute to the achievement of the goals defined in the Europe 2020 Strategy.

### *Main problems*

The following sections outline specific problems and challenges in five thematic areas that meet several or all of the above criteria. These areas are those where the effectiveness, efficiency and added value of EU action have been tested through the Preparatory Actions in the field of Sport, implemented in 2009, 2010 and 2011. The Evaluation report of the Preparatory Actions gives a detailed overview of the type of instruments adopted and of the ways the different problems have been addressed. It should be recalled that this Evaluation only covered in detail the first year of implementation of the Preparatory Actions; the second year was partially covered while it was not possible to cover the third year of implementation (see above section 1.4).

#### *- Weakness of sport structures resulting in poor governance*

The Commission recognises in its 2011 Communication that good governance in sport is a condition for the autonomy and self-regulation of sport organisations and it pledges to promote standards of sport governance through exchange of good practice and targeted support to specific initiatives. The 2011 Council Resolution identifies the promotion of good governance as a priority theme for the EU Work Plan on Sport together with the fight against match fixing, and it establishes an expert group with the task of developing principles of transparency concerning good governance in sport with a target date of end-2012 for an initial set of recommendations. The promotion of good governance principles should take into account the fact that sport structures around Europe rely heavily on volunteers for their functioning, particularly at grassroots level. According to a recent Commission-funded study,<sup>10</sup> sport is the biggest sector in volunteering in Europe. Beyond the general challenges to volunteering, the heavy reliance on volunteers also brings with it specific difficulties for the management of sport structures and organisations, in particular a lack of professionalism and resources, fragmentation and insufficient knowledge of complex issues.

A related horizontal problem, repeatedly highlighted at EU level and confirmed by the evaluation of the Preparatory Action in sport, is the lack of sound, accurate and comparable data and information on sport for EU-27. Developing a new policy area without such parameters is difficult and often delicate, since it has to be based on assumptions. Policy making in sport at national and EU level would considerably benefit from a better knowledge base, allowing decision-makers to take informed decisions.

#### *- Increasing social and economic costs of insufficient physical activity*

In 2007, the White Paper on Nutrition, Overweight and Obesity<sup>11</sup> outlined the Commission's belief that the Member States and the EU must take pro-active steps to reverse the decline in physical activity levels in recent decades. In 2008, EU Sport Ministers informally endorsed EU Physical Activity Guidelines recommending how policies and practices at EU, national

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<sup>10</sup> GHK for DG EAC: Volunteering in the European Union, February 2010:

[http://ec.europa.eu/sport/news/news900\\_en.htm](http://ec.europa.eu/sport/news/news900_en.htm)

<sup>11</sup> Strategy for Europe on Nutrition, Overweight and Obesity related health issues. COM(2007) 279 final

and local levels can be used to make it easier for citizens to be physically active as part of their daily lives. A number of Member States have used them as a basis for national policy initiatives. The 2011 Communication from the Commission notes that physical activity is one of the most important health determinants in modern society and can make a major contribution to the reduction of overweight and obesity and the prevention of a number of serious diseases. The economic costs caused by lack of physical activity for health care systems through the increased burden of disease should also be mentioned in this context. In its 2011 Communication the Commission therefore commits to supporting transnational projects and networks in the area of health-enhancing physical activity. Following the Council's Resolution on an EU Work Plan for Sport, an Expert Group was set up to explore ways to promote health enhancing physical activity and participation in grassroots sport, with the identification of measures foreseen by mid-2013.

Large differences continue to exist in physical activity levels and public approaches between Member States. Physical activity could be further encouraged in national educational systems from an early age. A comparative analysis carried out in 2009 found that while most Member States have developed national policies on physical activity, the majority fail to specify the involvement of other institutions such as local authorities, NGOs, the private sector or the media.<sup>12</sup> This is a cause for concern given that municipalities and civil society organisations active at the local level are arguably the most important actors when it comes to encouraging and enabling physical activity. Although promising examples do exist, integrative cross-sectoral approaches and networks that promote physical activity throughout the lifespan are the exception rather than the norm. Such findings confirm the rationale behind 9 projects financed from the 2009 Preparatory Action in the field of sport.

Results from the evaluation of Preparatory Actions illustrate the large disparities existing among stakeholders notably at local level in pursuing strategies to increase participation in physical activity and sport and the efficiency gained in this field by sharing knowledge and good practices.

*- Unused potential for social inclusion and equal opportunities in and through sport; persistent violence, racism and other forms of intolerance in sport*

The results from the evaluation of Preparatory Actions in the field of sport show that the potential of sport to contribute to strengthening social cohesion and integration is beyond doubt yet it is often not fully used. Participation in organised sport is especially low among those who stand to benefit most from it socially: women, the disabled, people of low socioeconomic status and ethnic minority / immigrant populations. In addition, the persistent lack of opportunity reaches the upper echelons of sport, where people from disadvantaged groups are underrepresented. Women are underrepresented in leadership positions in sport. People with disabilities also appear to be disadvantaged in their relation to sport. All these trends are amplified among ethnic minorities and immigrants, hindering their ability to integrate into society and avoid or escape from social exclusion. Substantial and ongoing efforts are taking place to address social inclusion and sport at the governmental level. The European Strategy for Equality between Women and Men<sup>13</sup> specifically identifies a Commission role in promoting 'good practice on gender roles in youth, education, culture

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<sup>12</sup> Daugbjerg et al: Promotion of Physical Activity in the European Region: Content Analysis of 27 National Policy Documents. *Journal of Physical Activity and Health*, 2009, 6, 805-817

<sup>13</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0491:FIN:EN:PDF>

and sport'. Projects in this field tend to exist in isolation, and up to now there has been little evidence to suggest that such approaches are being shared between EU Member States, despite their potentially wide applicability for problems experienced across Europe.

The 2011 Communication from the Commission recognises that spectator violence and disorder remain a Europe-wide phenomenon and that there is a need for a European approach comprising measures designed to reduce the associated risks. Whereas EU action has so far focused on providing a high level of safety through policing at international football events, a wider approach is needed covering also other sport disciplines, focused on prevention and requiring stronger cooperation among the relevant stakeholders, such as police services, judicial authorities, sport organisations, supporters' organisations and public authorities. Moreover, violence in sport often has racist, xenophobic or homophobic undertones. Eradicating violence, racism and other forms of intolerance in sport requires tackling not only its symptoms, but also its root causes. This in turn requires progress in areas such as education, youth work and fan coaching, which necessitates the participation of civil society groups themselves. Until now, sport clubs, supporters groups and other such organisations have not played a large role in EU initiatives focused on curbing violence, racism and other forms of intolerance in sport.

*- Mismatch between high-level sports training and general education (dual careers)*

In 2008, EU Sport Ministers stated that a dual curriculum of education and sports was vital for the training of young sport professionals and high-level athletes.<sup>14</sup> The importance of this issue was also highlighted by the European Council in its 2008 Declaration on Sport.<sup>15</sup> The 2011 Council Resolution foresees the establishment of an Expert Group in charge of preparing a proposal for European guidelines on dual careers by the end of 2012.

It is furthermore increasingly recognised that the intensity of training for talented young sportspeople makes it difficult for them to pursue their (higher) education in an adequate way. As a result, ex-athletes can find themselves ill-equipped for a successful integration into the regular labour market after their sporting careers are over. The problem is especially acute in the case of athletes who practise specific sports that require extensive travel to international tournaments or are tied to specific facilities (such as winter sports), or of athletes from smaller countries that may not have adequate facilities (in sport as well as higher education), and who are therefore forced to try to take advantage of opportunities abroad. Initiatives in this field up to date have been relatively small-scale, and have so far only been able to make a limited contribution to resolving the problem that affects the future career opportunities of nearly all young elite athletes across Europe. Results of projects carried out in the framework of the Preparatory Actions in the field of sport show that sport organisations, athletes, education institutions and businesses need guidance on how they can contribute to the promotion of dual careers. While many Member States make a considerable effort to continue to support their athletes once their compulsory education is over, in others athletes can be left with almost no guidance or support. Furthermore, while in a number of Member States programmes exist (either through the public authorities or through sport associations) that offer counselling, educational grants, networking, tax advantages, etc.,

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<sup>14</sup> Declaration of the Sport Ministers of the European Union (Biarritz, 27-28 November 2008):

[http://ec.europa.eu/sport/library/doc/b21/1128\\_final\\_statement\\_en.pdf](http://ec.europa.eu/sport/library/doc/b21/1128_final_statement_en.pdf)

<sup>15</sup> Annex 5 to the Presidency Conclusions - Brussels, 11-12 December 2008:

[http://ec.europa.eu/sport/information-center/doc/timeline/european\\_council\\_12-12-2008\\_conclusions\\_en.pdf](http://ec.europa.eu/sport/information-center/doc/timeline/european_council_12-12-2008_conclusions_en.pdf)

other Member States do not seem to have any after career programmes to help former athletes integrate into the labour market.

*- Doping threatening the physical and moral integrity of amateur sportspeople*

The prevention of doping in amateur sport and fitness was highlighted recently by the informal EU Working Group on Anti-Doping as a priority for future exchange (as well as for funding under possible future EU incentive measures in the field of sport), while the general lack of reliable information on doping in amateur sport in the EU forms part of the rationale behind four projects financed from the 2010 Preparatory Action. Disparities between Member States in terms of the perceived seriousness of doping as an issue are great.<sup>16</sup> The 2011 Communication from the Commission highlights the need for support to transnational anti-doping networks, including networks focusing on preventive measures targeting amateur sport, sport for all and fitness. The fight against doping is included in the priority areas for action singled out in the Council Resolution. It should be underlined that up to date, the vast majority of attention (and resources) devoted to doping are restricted to combating its use in professional and elite sport. This is especially true at the institutional level, given the focus of the World Anti-Doping Agency and most of its national counterparts in the EU and beyond. However, there are indications that in recent years, doping practices have spread most rapidly in amateur sport and fitness centres, which fall outside the scope of anti-doping measures at international level and within many Member States.

*Main lessons learned from the evaluation*

The evaluation of the Preparatory Actions in the field of sport confirmed the relevance and consistency of the three types of interventions (transnational projects, special events and studies/surveys/conferences) with general EU policy objectives and the EU legal and policy framework for sport. The EU added value could be clearly demonstrated for projects and studies/surveys/conferences, while it did not realise its full potential regarding support for special events. Here, the lack of specific award criteria within a competitive and selective tendering process was identified as a key concern. Regarding the effectiveness of transnational projects the evaluation confirmed that projects achieved great success in promoting sport issues and developing the European dimension in sport, especially with regard to building and strengthening networks between partner organisations in different sectors and to kick-starting pan-European cooperation between organisations working on sport. The size and make-up of the transnational network were among the key factors positively or negatively affecting the potential project outcomes. Likewise, studies/surveys/conferences were evaluated as useful tools for the promotion of European sporting issues and for providing information. For special events, again, the lack of award criteria was mentioned as an issue. Concerning efficiency, the evaluation of transnational projects confirmed that the selection procedure was adequate, while noting that organisations which had not been previously awarded had trouble breaking through. While the management system of Preparatory Actions was considered sufficiently efficient, the report suggests that a larger sustainable programme would be more efficiently managed by an Executive Agency.

The report concluded that incentive measures supporting the policy cooperation mechanisms can be improved. For instance, the duration of transnational projects should be increased in

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<sup>16</sup> Special Eurobarometer 213 - Citizens of the European Union and Sport

order to allow for more ambitious objectives and activities. Moreover, greater emphasis should be given on the make-up of networks, plans for project management and the expected contribution of each partner, as well as on the ultimate use of best practice collections, guidelines and the like. Incentive measures can also be improved for special events, e.g. by using a competitive process, involving transparent award criteria, or by defining requirements for event outcomes. The report saw also scope to improve synergy and interaction between the different kinds of stakeholders, e.g. by encouraging the involvement of partners representing different types of organisations. The evaluation also looked into the most effective and useful activities and the level of funding devoted to incentive measures in order to reach a critical mass of impacts cost-effectively. It states that the majority of future funding should go to transnational networking projects, while substantial amounts should be allocated to support European sport events, which have in particular been proven effective in the fields of HEPA and social inclusion, while a small amount should usefully also be employed for studies/survey/conferences. The report notes that more information and statistics are necessary for an evidence-based policy; funding mapping projects only is not considered sufficient.

### *Affected groups*

The incentive measure is intended first and foremost to benefit grassroots sport and those involved with its organisation. The following authorities, stakeholders and organisations can be directly or indirectly affected:

- Member States' public authorities (national, regional, local levels);
- International sport organisations (International Olympic Committee, international sport federations and other international sport organisations, including leagues, professional sport organisations, amateur sport organisations and leisure and outdoor activity organisations);
- European sport organisations (European Olympic Committees, European sport federations and other European sport organisations, including leagues, professional sport organisations, amateur sport organisations and leisure and outdoor activity organisations);
- National sport organisations (National Olympic Committees, confederations, federations, regional organisations, leagues, clubs etc.);
- Other European sport-related organisations (e.g. in the fields of health, education, media, sporting goods);
- International and European organisations, such as the Council of Europe, the WHO, WADA and UNESCO;
- Organisations representing employees in the sport sector;
- Organisations representing sportspeople, support staff (e.g. trainers, coaches, volunteers) and supporters;
- Citizens at large (e.g. minority groups, pupils, students, seniors, etc.).

### **2.3. Baseline scenario**

There are no indications that any of the problems to be addressed will become any less pressing in the coming years. In fact, at least in some cases (such as doping), the magnitude of the problem will almost certainly continue to grow. Without incentive measures to provide

funding for sport-specific measures or projects at EU level, the various problems would continue to be addressed primarily at the national level. In this scenario, it is likely that some Member States will make progress in addressing the various challenges related to sport and its social and economic role. Most Member States have adopted explicit policies, strategies and/or action plans for sport-related physical activity promotion, and some have recently become active in specific areas such as dual careers. However, progress will continue to be highly uneven.

By way of example, recent figures and information confirm such trends with regard to health-enhancing physical activity, especially in light of health prevention (e.g. to address obesity, other resulting chronic diseases, and active ageing). The 2010 Eurobarometer<sup>17</sup> showed that in seven Member States (Sweden, Finland, Denmark, Ireland, Slovenia, the Netherlands and Luxembourg), more than half of the adults surveyed play sport at least once a week. At the other end of the spectrum, more than half of respondents from four Member States (Greece, Bulgaria, Portugal and Italy) say they never play any sport at all.<sup>18</sup> As regards physical activity trends among children, recent figures from the OECD<sup>19</sup> show that the percentage of children aged 11 years who do moderate-to-vigorous physical activity on a daily basis ranged from more than 40% in some Member States (Slovak Republic, Ireland and Finland) to less than 20% in others (France, Italy and Luxembourg). The same study confirms that more than half of the total adult population across the EU are now overweight or obese, which is also true in 15 of 27 EU Member States. The rate of obesity has more than doubled over the past 20 years in most EU countries for which data are available. The rapid increase occurred regardless of what the levels of obesity were two decades ago. Because obesity is associated with higher risks of chronic illnesses, it is linked to significant additional health care costs. A recent study in England estimated that total costs linked to overweight and obesity could increase by as much as 70% between 2007 and 2015, and be 2.4 times higher by 2025. It is very likely that EU countries continue their tendency to focus health spending on treating the ill, instead of doing more to prevent illness, such as promoting physical activity. Only around 3% of current health expenditure is spent on prevention and public health programmes on average. Health expenditure has risen in all European countries, often increasing at a faster rate than economic growth. Moreover, in many countries, the recent economic downturn can be expected to continue to result in a marked increase in the ratio of health spending to GDP.

In the field of dual careers, a recent EU-funded study<sup>20</sup> found significant differences between Member States, sport associations and sport centres in terms of how the academic education of young athletes is regulated and facilitated. For example, some countries try to favour the combination of sports training and school success by creating sports classes or schools, or by allowing high level athletes to benefit from a special status. Some sport associations oblige young athletes to follow studies while practising sports beyond the mandatory age at which it is possible to leave school. Certain sport centres use different means to encourage young people to follow studies until secondary school by combining sports training and courses (e.g.

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<sup>17</sup> See above footnote 15

<sup>18</sup> The rates for participation in “informal” physical exercise (such as cycling, walking, dancing or gardening) broadly mirror these trends, although there are notable exceptions (such as the case of Bulgaria, where the low participation rates in sport seem to be partially offset by quite high rates of informal physical activity).

<sup>19</sup> OECD (2010), *Health at a Glance: Europe 2010*, OECD Publishing.

<sup>20</sup> Study on training of young sportsmen/women in Europe, TAJ, 2008.

[http://ec.europa.eu/sport/pdf/doc507\\_en.pdf](http://ec.europa.eu/sport/pdf/doc507_en.pdf)

through individual study programmes or mentoring, distance learning, flexibility with a view to the timing of exams). The study also showed that while many Member States make a considerable effort to continue to support their athletes once their compulsory education is over, in others athletes can be left with almost no guidance or support. Furthermore, while in a number of Member States programmes exist (either through the public authorities or through sport associations) that offer counselling, educational grants, networking, tax advantages, etc., several other Member States do not seem to have any after career programmes to help former athletes integrate into the labour market. These differences show that there is a need for further action at the EU level, in particular as the difficulties faced by talented young athletes with a view to their future employability are particularly hard to overcome for those who train and compete (or would like to train and compete) outside of their home country.

Exogenous developments affecting the EU's population growth should also be mentioned in this context. Recent Eurobarometer surveys have shown that the majority of Europeans exercise or play sport very infrequently or even never.<sup>21</sup> This is a serious cause for concern, especially in view of the fact that most European societies are ageing rapidly. Over the next 20 years, the number of Europeans aged over 65 is expected to rise by 45%, from 85 million in 2008 to 123 million in 2030.<sup>22</sup> This will put a severe strain on the economy, society and the sustainability of public finances; on the basis of current policies, age-related public expenditure in the EU is projected to increase by EUR 126 billion (equivalent to approx. 4.7% of GDP) by 2060. In order to mitigate the negative effects of the ageing population, policies are needed to improve the health status and quality of life of European citizens and of older people in particular. Physical activity is one of the key factors that can contribute significantly not only to healthy and active ageing, but also to a healthy workforce. For example, a recent study<sup>23</sup> calculated that in Denmark, physical inactivity is directly responsible for approximately 1.1 days of sick leave per worker each year.

Without incentive measures, EU action in the two areas highlighted here above and in the other areas identified in section 2.2 will be mostly limited to policy co-ordination between Member State governments and stakeholders at EU level. As noted in the 2011 Communication, EU-level co-operation and structured dialogue on sport could be greatly enhanced following the 2007 White Paper. Today they take place primarily through the formal structures for sport in the Council and the new Expert Groups, the EU Sport Forum and informal EU Sport Ministers and Sport Directors meetings. However, since the political dialogue at EU level is generally limited to representatives of the national governments of Member States, it can only include, take into account, reach or affect relevant non-governmental actors, or regional and local level authorities, to a very limited extent – especially if the participating Member States do not attach high political priority to the issues being discussed and if no dialogue on EU sport matters takes place at national level. In order to directly engage and link relevant actors from civil society and the lower levels of

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<sup>21</sup> In 2009, respondents answered the question “How often do you exercise or play sport?” as follows: 39% never; 21% seldom; 31% with some regularity; and 9% regularly. Special Eurobarometer 334: Sport and Physical Activity. March 2010.

<sup>22</sup> European Commission: Ageing Report 2009. URL: [http://ec.europa.eu/economy\\_finance/publications/publication14992\\_en.pdf](http://ec.europa.eu/economy_finance/publications/publication14992_en.pdf)

<sup>23</sup> *Risikofaktorer og folkesundhed i Danmark. [Risk factors and public health in Denmark]*. Copenhagen, Statens Institut for Folkesundhed, 2006. English summary available at: [http://www.si-folkesundhed.dk/upload/2745-risk\\_factors\\_and\\_public\\_health\\_in\\_denmark.pdf](http://www.si-folkesundhed.dk/upload/2745-risk_factors_and_public_health_in_denmark.pdf)

government, and facilitate meaningful exchange and collaboration between them, a certain level of financial support is generally required.

Without specific incentive measures in the field of sport, effective solutions to the problems outlined previously may well be developed in certain countries, local communities, or organisations. In most cases, solutions are likely to remain localised, and have no significant effect on the identified wider problem areas across the EU. As a result, the overall gravity of the problems would probably remain unchanged. In some cases, a certain level of transnational co-operation and networking could also be funded through existing EU programmes; this is however limited to some specific fields of intervention and never specifically designed to benefit grassroots sport. The funding of sport activities is rather used as a tool to meet objectives of such programmes. For instance, the scope of the Erasmus and Comenius sub-programmes is too limited to address the specific problems in sport and education; the EU health strategy and related instruments address physical activity from a broader, nutrition-led perspective and not on its own value, missing out on the potential and relevance of the sport sector to address the physical inactivity deficit. Overall, progress in some places and areas could be offset by a worsening of the situation elsewhere, and the potential for joint problem solving, mutual learning and an extension of good practices would be lost.

#### **2.4. Justification for EU intervention and EU added value**

EU action in the field of sport is linked to Article 165 TFEU, which gives the EU a supporting competence and authorises it to “contribute to the promotion of European sporting issues” by taking action aimed at “developing the European dimension in sport”. The Treaty further stipulates that incentive measures and policy recommendations are the main instruments at the EU’s disposal in order to achieve this. Any EU intervention in the field of sport should respect the principle of subsidiarity. This principle is enshrined in Article 6 TFEU, which stipulates that the EU should support, coordinate or supplement the actions of Member States in the field of sport.

As has been demonstrated in the preceding sections, all of the problems that the incentive measures are intended to tackle have a significant transnational dimension. Sport in Europe is often organised on a continental level: European sporting competitions, events and organisations play a significant role and increasing numbers of young athletes train and compete in countries other than their own. As shown by the results of the evaluation of the Preparatory Actions in the field of sport, co-operation and co-ordination between actors from different Member States is therefore required to tackle the different problems facing sport across the EU. The international dimension also relates to the pursuit of key EU policy objectives to which sport has a great potential to contribute, namely competitiveness, employability, health promotion, disease prevention and social cohesion. Furthermore, EU incentive measures are necessary to strengthen and develop the European dimension in sport as mandated in the Treaty.

In many cases, activities to address the problems identified already take place at the national and sometimes regional or local level. The EU incentive measures are not meant to replace or duplicate these efforts. However, as shown in the previous sections and as testified by

projects carried out in the framework of the Preparatory Actions<sup>24</sup>, there are significant discrepancies between Member States<sup>25</sup> not only in terms of the level of political priority attached to the problems, but also in the methods and tools that are used to address them. In some cases, effective initiatives have been developed at the national or sub-national level (by specific sport organisations or local communities), but unless these are shared and discussed widely, the risk is that others across Europe waste efforts and scarce resources on “reinventing the wheel” or, even worse, pursuing approaches that have already proven to be ineffective elsewhere. There are therefore significant potential benefits to be reaped from helping Member States, local authorities and communities, sport associations and other relevant stakeholders to co-ordinate and join their efforts to better tackle the problems identified.

Thus, the EU added value of the incentive measures lies mainly in generating, sharing and disseminating information, data and knowledge between the numerous relevant actors. Without EU support, these actors would not exchange good practices identified in a national setting and tend to address similar problems in a fragmented and disconnected way. Collaboration and networking between them will lead to the extension of best practices, in particular innovative and integrated approaches, building for instance on innovative partnerships. This will not only improve the effectiveness and efficiency of concrete measures when compared with action by Member States alone, but also improve the conditions for more evidence-based policy making in the field of sport at all levels (EU, national and sub-national). The main findings of the evaluation of the Preparatory Actions point out that the supported transnational cooperation projects demonstrated EU added value in a number of diverse ways, including taking steps to ameliorate discrepancies between Member States, spreading best practices, testing the viability of networks in given subjects and providing policy support through research.

### **3. OBJECTIVES**

The proposed incentive measures are aimed at supporting EU level cooperation in the field of sport, as defined by the 2011 Commission Communication and Council Resolution, in a limited number of areas where EU financial intervention would bring added value to policy co-ordination. They also aim at improving the framework conditions under which sport takes place in the EU and tackling problems and challenges that currently keep it from fulfilling its full social and economic potential. They are thus fully in line with the Europe 2020 Strategy,<sup>26</sup> which pursues the aim of turning the EU into a “smart, sustainable and inclusive economy delivering high levels of employment, productivity and social cohesion”. They are based on Article 165 of the TFEU which calls on the EU to contribute to the promotion of European sporting issues and to the development of the European dimension in sport, by e.g. promoting fairness and openness in sport and protecting the physical and moral integrity of sportspeople. The incentive measures seek to co-ordinate, support and supplement the action of the Member States. In doing so, the incentive measures seek to address the key problems identified in the previous section by pursuing the following objectives:

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<sup>24</sup> [http://ec.europa.eu/sport/news/doc/evaluation\\_final\\_report\\_prepact\\_special\\_events\\_20110727.pdf](http://ec.europa.eu/sport/news/doc/evaluation_final_report_prepact_special_events_20110727.pdf)

<sup>25</sup> Detailed examples for discrepancies between Member States are provided per intervention area in the problem section.

<sup>26</sup> COM (2010) 2020 final

## General objective \*

To develop the European dimension in sport

## Specific objectives

1. To promote good governance in sport in the EU and sustain sport structures based on voluntary activity
2. To promote health-enhancing physical activity and increased participation in sport
3. To exploit the potential of sport to foster social inclusion, ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport
4. To improve the education and training of sportspeople, in particular through the promotion of dual careers
5. To contribute to the fight against doping in amateur and grassroots sport

## Operational objectives

- 1.1 To support capacity building in sport
- 1.2 To support transnational projects aimed at benchmarking good governance in European sport
- 1.3 To support the strengthening of the evidence base for policy making
- 2.1 To promote cross-sectoral exchanges and transnational projects supporting the implementation of EU Physical Activity Guidelines
- 2.2 To support non-commercial European sport events of major importance aimed at promoting participation in sport and HEPA
- 3.1 To support transnational projects on social inclusion based on mutual learning among stakeholders
- 3.2 To support transnational projects for the advancement of women in leadership positions in sport based on the EU Gender Equality Strategy
- 3.3 To support transnational projects for participation in sport of people with disabilities based on the EU Disability Strategy
- 3.4 To support transnational projects for the development of innovative approaches to contain violence and give guidance on how to tackle racism in and through sport
- 3.5 To support non-commercial European sport events of major importance
- 4.1 To promote cross-sectoral exchanges and transnational projects supporting the implementation of EU Guidelines on Dual Careers
- 5.1 To support transnational projects on the benchmarking of best practices in combating doping at grassroots level

\* The proposed general objective exclusively refers to the sport-related activities of the single Education, Training, Youth and Sport programme. However, it is fully in line and contributes to the overall general objective of the single programme "to contribute to the objectives of the EU 2020 strategy and of the Education and Training strategic framework 2020 (ET 2020), including the corresponding targets, to the renewed framework for European Cooperation in Youth field (2010-2018), to the sustainable development of third countries in the field of higher education and to develop the European dimension in sport".

#### **4. POLICY OPTIONS**

As has been explained previously, this IA focuses exclusively on possible incentive measures in the field of sport. Other policy options (in particular concerning policy co-ordination and co-operation) have been discussed extensively in the IA accompanying the 2011 Communication on sport, which found that the most appropriate option to implement the Lisbon Treaty provisions in the field of sport was to define a strategic medium-term framework for cooperation in sport, based on a new EU agenda for sport, and leaving to a further Impact Assessment (the current report) the analysis of the impact of possible incentive measures in the field of sport.

Therefore, given the current stage in the policy development process, and the fact that the possibility of incentive measures is explicitly mentioned in Article 165 TFEU, the way the options are defined for this IA is kept simple. The alternatives that are considered mainly relate to the architecture of the future incentive measures in the field of sport.

##### **4.1. Policy Option 1: "No further EU action" (baseline scenario)**

Considered as the baseline scenario, this option would consist in having no incentive measures specifically devoted to sport. EU intervention in the field of sport would be limited to policy co-ordination. Some sport-related projects may be funded by mainstreaming sport into other expenditure programmes and funds that address closely related areas. It should be noted that this option would represent a step back from the current situation where specific funding for sport is made available, albeit with limited budgetary resources, through the Preparatory Actions in the field of sport, which will be discontinued after 2011. Since policy option 1 coincides with the baseline scenario, its description is presented above in section 2.3.

##### **4.2. Policy Option 2: "New stand-alone Sport Programme"**

Under this option, future incentive measures in the field of sport would take the form of a stand-alone EU Sport Programme disposing of a budget ranging between €20 and 50 million per year<sup>27</sup>. The Sport Programme would be aimed at accompanying the current policy co-operation framework defined by the 2011 Communication from the Commission and ensuing Council Resolution. It would be flexible enough to allow for future adjustments in terms of

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<sup>27</sup> The evaluation of Preparatory Actions and Special Events in the field of sport in 2009-2010 concludes that an annual level of funding of approximately €20 million is considered the minimum amount that should be made available for incentive measures in order to achieve a critical mass of impacts. See also section 6.2 below.

budget allocation, type of actions and priority areas to be addressed in order to take into account changes in priorities and new developments in the policy field.

A separate Sport Programme would facilitate the generation, exchange and dissemination of knowledge and good practices in the fields identified, and raise awareness of key issues. It would also build the evidence-base for policy making, and provide capacity building for sport organisations.

In order to address the general and specific objectives set out in the preceding section, the Sport Programme would need to be composed of different instruments targeting the various problem areas through appropriate mechanisms. The choice of these instruments takes account of the results of the evaluation of the Preparatory Actions, the experience gathered over the past decade in EU level cooperation in sport and the consultation outcomes. The table hereafter identifies four main types of instruments for this policy option, including those three types (support to transnational cooperation projects and networks; support to non-commercial sport events of major importance; and support to evidence-based policy tools such as studies, conferences and surveys) used to implement the Preparatory Actions and Special Events in the field of sport. Targeted capacity building has been added as the fourth instrument. A rationale for the use of these instruments with regard to their efficiency, their EU added value and their effectiveness in reaching the objectives of the initiative is provided in **Annex II**.

Based on the analysis carried out in Annex II, the Sport Programme would be structured as follows:

- In order to promote good governance in sport in the EU and sustain sport structures based on voluntary activity, the incentive measures would support actions to strengthen the evidence base for policy making (such as studies and conferences), and provide capacity building for sport organisations (in the form of targeted support through training, benchmarking, or twinning).
- In order to contribute to achieving the other four specific objectives, transnational cooperation projects and the strengthening of the knowledge base would be supported in order to facilitate networking, the generation, exchange and dissemination of knowledge and good practices, and awareness-raising of key issues.
- Support for non-commercial European sport events of major importance would be considered provided the event could realistically be expected to make a contribution to promoting participation in health-enhancing physical activity, social inclusion and equal opportunities, or the fight against violence and intolerance. Such events could also contribute to the visibility of the EU, and thereby to developing the European dimension in sport.

The management of the Sport Programme would be in centralised mode, mainly through EACEA. In view of the limited scale of the measures and the type of projects that are envisaged, the Programme could not be managed by national agencies.

It should finally be noted that it would not be possible to proactively analyse the distributional impacts of the envisaged measures for different Member States since the proposed Sport Programme is intended to cover the EU as a whole and no earmarking of

funds for specific countries or region is foreseen. The European character of the proposed measures will ensure that all areas of the EU are adequately covered. Applications submitted for the 2009 and 2010 calls for proposals under the Preparatory Actions in the field of sport came from practically all EU countries and the selected projects covered almost all EU territories.

#### **4.3. Policy Option 3: "A single Programme for education, training, youth and sport"**

Under option 3, future incentive measures in the field of sport would be managed as part of the "Education Europe" programme as referred to in the Commission's Communication COM/2011/500 of 29/6/2011 entitled "A Budget for Europe 2020". A specific chapter for sport, in the form of a sub-programme, and a budget for sport activities would avoid a proliferation of individual legal bases – in line with the overall MFF approach towards streamlining and simplification - whilst still exploiting both the common general objectives and the potential for economies of scale and harmonisation of administrative and management procedures. The instruments to be analysed as part of the Sport sub-programme would be the same as the ones defined in policy option 2.

The main rationale of the incentive measures for sport is to provide specific support to organisations and bodies (not to individuals as final beneficiaries) to strengthen cooperation, facilitate the exchange of good practices and raise awareness of a number of issues related to the practice of sport and of sport's contribution to address social and economic challenges. There are no areas where the proposed incentive measures would overlap with actions foreseen in the main programme<sup>28</sup>. The proposed measures aim at reaching out to grassroots sport organisations, which are generally not part of the education, training and youth sectors.

For this reason, the proposed incentive measures would maintain their specificity as a sub-programme, notably in terms of objectives, budget, implementing mechanisms and final beneficiaries. Sport actions within the Education programme could however also benefit from the existing delivery mechanisms, allowing economies of scale (with respect to creating a new, separate sport programme) and the use of good practices.

The management of the proposed incentive measures would be in centralised mode, mainly through EACEA. In view of the limited scale of the measures and the type of projects that are envisaged, the sub-programme could not be managed by national agencies. EU support would be awarded on the principle of co-funding, notably through innovative partnerships. The new sub-programme would also benefit from the continuity of existing management structures and know-how of the education programme.

#### **4.4. Option discarded at an early stage:**

**Policy Option 4: "New stand-alone Sport Programme accompanied by reinforced policy co-operation based on the creation of an Open Method of Coordination (OMC)"**

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<sup>28</sup> With the partial and limited exception of Specific Objective 5, when it comes to improving the education and training of sportspeople, in particular through the promotion of dual careers.

Under this option, the future EU Sport Programme would serve to accompany a reinforced policy co-operation framework based on a long-term strategy and on the creation of a formalised Open Method of Coordination (OMC). Compared to the structure of the Programme defined in options 2 and 3, the structure and scope of incentive measures intended to implement an OMC would need to be enlarged in order to take into account the additional topics and issues that may be addressed at policy level by the Member States and the Commission.

This option has been discarded at an early stage.

It should be noted that the establishment of an OMC for sport was examined in the 2010 Impact Assessment accompanying the 2011 Communication from the Commission.

That analysis found that the OMC option, allowing for an EU framework coordinating Member States' policies would allow for a very effective attainment of strategic objectives in the field of sports policy due to its long-term basis. The proposed introduction of an OMC in selected areas would however depend on Member States' priorities and be most relevant for areas where a high degree of consensus among the Member States existed. In any case, the analysis found that for many areas identified in the consultation process and which should be addressed by the planned initiative, no sufficient basis existed to establish a review and coordination mechanism, and certainly not in the short term. The analysis also identified areas where an OMC would not be an adequate tool, such as sport governance.

Since that Impact Assessment was carried out in September 2010, the results of its analysis can be considered valid for this report as well. It would be premature to establish an OMC for a new policy area such as sport. The Council Resolution adopted in May 2011 does not mention the OMC as an appropriate method of work for EU cooperation in the field of sport, preferring the more flexible option of adopting a three-year Work Plan for sport at EU level.

The results of these choices made at policy level should be reflected in the examination of the options to be implemented at the level of incentive measures. As a consequence, the idea of establishing a (possibly enlarged) Sport Programme as a tool to implement an OMC in the field of sport should be discarded as equally premature at this stage.

## **5. ANALYSIS OF IMPACTS**

### **5.1. Social impacts**

*Policy Option 1: "No further EU action" (baseline scenario)*

Activities carried out on the basis of the policy framework launched by the White Paper on Sport and reinforced by the 2011 Commission Communication and Council Resolution have forged more regular and structured cooperation on sport at EU level, on the basis of which a number of topics can be addressed more efficiently than in the past. The continuation of these activities under the EU Work Plan for Sport until 2014 is likely to improve the level of policy coordination. The social impact of policy option 1 is likely to be positive. The 2010 IA report accompanying the 2011 Communication found that, regarding social impact, policy action aimed at increased levels of *physical activity* along the concept of health-enhancing physical activity as well as stronger links between the *education* and sport sectors would have a positive impact on public health and can lead to a healthier society. Regarding *education* and

training, the IA report found that support for developing a dual career environment could positively affect the transition of talented athletes into labour markets. The report found that the preferred option also had the potential to indirectly contribute to greater *equality in society*, in particular regarding women, people with disabilities and other minority groups.

However, this process has intrinsic limitations since it mainly concerns representatives of national governments and only (very) indirectly local authorities and sports stakeholders who are the main driver for changes affecting the wider population through actions undertaken in the field of sport.

It is also likely that without implementing EU incentive measures in the field of sport, each government would continue to pursue its own strategy with EU coordination limited at political level, as highlighted above, and with existing discrepancies in the social impact generated by sport likely to increase at grassroots level across Member States.

*Policy Option 2: "New stand-alone Sport Programme"*

Incentive measures in the field of sport that address the five subject areas defined by the problems and specific objectives discussed in sections 2 and 3, respectively, have a strong potential to generate a number of significant additional social benefits for a range of groups, if compared with policy option 1, which remains limited to rather high-level policy coordination. This would represent a net gain in relation to the baseline scenario. The way in which these benefits are generated, and the main groups that are affected in each case, are summarised in the following table:

**Table 3: Social impacts**

<b>Intervention area</b>	<b>Short-term results</b>	<b>Medium-term outcomes</b>	<b>Longer-term social impacts</b>	<b>Affected groups</b>
Sport governance	Enhanced capacity of sport structures to play a social and educational role	Greater respect for the principle of governance in sport structures (democracy, transparency, accountability, inclusiveness)	Greater and more effective involvement of stakeholders in sport policy-making	Sport organisations, associations and federations
Health-enhancing physical activity	Stakeholders able to more effectively promote health-enhancing physical activity	Enhanced participation rates in sport and health-enhancing physical activity	Improved public health, especially among those who are currently not physically active	Society at large (in particular those who are currently not physically active)
Social inclusion	Stakeholders able to more effectively ensure equal opportunities in sport and engage specific disadvantaged groups	Enhanced participation in sport by disadvantaged or vulnerable groups for which it is currently low	Greater equality of access to sport Greater social cohesion through inclusion of vulnerable groups	Disadvantaged groups, in particular women, people with disabilities, lower socio-economic groups, ethnic minorities and migrants
Fight against violence, racism and other forms of intolerance	Stakeholders able to more effectively prevent / curb violence, racism and intolerance at sport events	Lower frequency and intensity of violent incidents at sport events Reduced incidence of racist or other abuse towards sportspeople and spectators	Less crime, improved security and greater respect for equality and fundamental rights in general	Spectators and athletes at sport events  Athletes, clubs, ethnic minorities and other groups vulnerable to intolerance on and around the sport fields
Education and training (dual careers)	Stakeholders able to more effectively balance the quality of education and sport training for young athletes	Better access to quality education and/or career services for young athletes	Greater employability of former elite athletes	Young (former) elite athletes
Fight against doping in amateur and grassroots sport	Stakeholders able to more effectively combat doping in amateur sport and fitness	Reduced use of doping substances in amateur sport and fitness centres	Improved health and safety of amateur sportspeople	Amateur sportspeople and users of fitness centres

Generally speaking, the incentive measures will in first instance support stakeholders (both governmental and non-governmental) to enable them to cooperate in identifying, developing, sharing and/or implementing solutions to the different challenges and problems to be tackled. As a result of the knowledge generated, experience exchanged, and/or awareness raised, these stakeholders can be expected to adapt their approaches, launch activities and/or influence policies that contribute to producing a number of medium-term outcomes for the respective target groups, such as higher participation rates in sport or a reduced use of doping substances. These will in turn lead to wider social benefits, such as improved public health. However it should be underlined that the intended medium-term outcomes, to which the proposed measures will contribute, as well as the long-term social impacts both depend on a considerable extent on various external factors and as a consequence they can only be influenced by the proposed measures to a limited extent.

The wider social impacts of the incentive measures can be summarised as follows:

- Greater and more effective involvement of stakeholders in sport policy-making and better governance of sport bodies;
- Improved public health (in particular concerning overweight and obesity and related diseases) due to greater participation in sport and physical activity;
- Greater social cohesion due to increased participation in sport of individuals or groups that are vulnerable to social exclusion;
- Greater security for spectators and athletes of sport events and competitions through the prevention of incidents of violence, racism and other forms of intolerance, which also contributes to the fight against these phenomena in society more generally due to the high popularity and visibility of sports;
- Better employability of former athletes due to better access to quality education that is compatible with their sport training, as well as career counselling and other supporting measures;
- Improved health and safety of amateur sportspeople due to a reduced use of doping substances.

The causal relationship between the desired medium-term outcomes and the longer-term social impacts is solid in all cases. For example, the positive effects of physical activity on health,<sup>29</sup> or of education on employability, have been proven beyond doubt in numerous studies. The occurrence of any significant unintended social impacts (positive or negative) is very unlikely. Although support for sport-related activities could facilitate growth in the sport sector, the nature of the envisaged support means that this would be on a relatively small

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<sup>29</sup> For example, a recent review states that there is now strong evidence showing that physical activity has beneficial effects on the pathogenesis of all important metabolic syndrome-specific disorders (insulin resistance, type 2 diabetes, dyslipidemia, hypertension and obesity), all important heart and vascular diseases (coronary heart disease, chronic heart failure, intermittent claudication), and osteoporosis. Pedersen B.K., Saltin B., Evidence for Prescribing Exercise as Therapy in Chronic Disease. *Scandinavian Journal of Medicine and Science in Sports*, 2006, 16(Suppl. 1):3–63.

scale and unlikely to lead to significant job creation, or otherwise affect employment, labour markets or job quality in the sport sector.

*Policy Option 3: "A single Programme for education, training, youth and sport"*

No significant differences are expected compared to option 2.

## **5.2. Economic impacts**

*Policy Option 1: "No further EU action" (baseline scenario)*

Activities carried out on the basis of policy cooperation are likely to have a mostly indirect economic impact. The main field where economic benefits are to be expected is improved public health thanks to increased participation in physical activity. However, as shown above in section 2.2.2, this is one of the areas where differences among Member States are important and where political cooperation alone is not sufficient to trigger significant knock-on effects on society. Therefore the baseline scenario is likely to generate noteworthy economic impacts, albeit limited in scope as far as policy coordination alone does not necessarily involve grassroots players in the implementation of agreed guidelines and policies.

Like for social impacts, it should be underlined that without implementing EU incentive measures in the field of sport, each government would continue to pursue its own strategy with EU coordination limited at political level and that the economic benefits to be expected by reinforcing participation in physical activity and sport are likely to diverge among Member States.

*Policy Option 2: "New stand-alone Sport Programme"*

In addition to the social benefits, the incentive measures can also be expected to generate longer-term economic benefits, mainly insofar as the public health benefits of increased participation rates in sport and physical activity help to reduce the direct (health care) and indirect (output lost because of illness, disease-related work disabilities and premature death) economic costs of physical inactivity. If compared with the baseline scenario, policy option 2 would trigger a higher level of involvement of interested stakeholders in the implementation of policies in the field of health-enhancing physical activity thus representing a net gain in terms of positive economic impacts generated.

As noted previously, support for sport-related activities could facilitate growth in the sport sector, insofar as certain projects might improve the framework conditions under which the sector operates. An increased participation in sport could also strengthen demand for the products and services offered by the sport sector. However, due to the type and scope of the envisaged incentive measures, any such effects are likely to be small in relation to the size of the industry, which has been estimated to generate around 2% of global GDP.<sup>30</sup> Therefore, significant impacts on competitiveness, trade and investment flows, or the conduct of businesses, are highly unlikely.

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<sup>30</sup> World Economic Forum, Davos, 2009

The economic costs of the incentive measures relate exclusively to the direct fiscal cost to the EU budget. It should be kept in mind that EU support is awarded on the basis of the principle of co-funding, meaning that a proportion of the cost of the activities will have to be borne by other actors, which might include local, regional or national governments of Member States.

Neither of the options will bring with it any additional administrative burden on businesses, citizens or public administrations, with the exception that beneficiaries of EU funding will have to comply with certain obligations to provide information when drafting project applications and as part of the reporting on the progress and completion of projects. The evaluation of the Preparatory Actions in the field of sport has shown that beneficiaries perceive the administrative burden as relatively light. Administrative costs for beneficiaries will be kept to a minimum, whilst due account will have to be taken of external factors notably the general requirements on the implementation of the EU budget laid down in the Financial Regulation.

*Policy Option 3: "A single Programme for education, training, youth and sport"*

No significant differences are expected compared to option 2.

### **5.3. Environmental impacts**

The White Paper on Sport illustrated that sport activities, in particular large-scale sport events, have an environmental impact. For example, sport events can have significant impacts on the use of natural resources and generation of waste. The White Paper encouraged the “greening” of sport especially through environmentally sound management, inter alia through the participation of sport organisations and sport event organisers in the Eco-Management and Audit Scheme (EMAS). However, the specific activities that could be supported through incentive measures per se under Options 2 and 3 will not have an effect on the environmental footprint of sport, and therefore any significant (positive or negative) environmental impacts are highly unlikely. Potential negative impacts on the environment from a greater participation in sport due to transportation or land use for sport sites should be balanced by positive effects on the environment as a result of the implementation of projects aimed at encouraging people to walk or cycle to work as part of HEPA-related policies. Nonetheless, the potential ecological implications of any specific projects or events would be duly considered when evaluating applications for funding.

### **5.4. Impacts on fundamental rights and third countries**

Policy options 2 and 3 would have a positive impact on the promotion of equality and respect for fundamental rights, including human dignity, freedom of thought, conscience and religion, non-discrimination, equality between men and women, rights of the child and integration of persons with disabilities.

Any significant impact on third country nationals is unlikely, except insofar as a limited proportion of the incentive measures funded could benefit organisations and / or individuals from European countries that are not in the EU, notably from candidate countries and potential candidates.

## 5.5. Summary of key impacts

The table below summarises the key impacts (in comparison to the baseline scenario) of both Options 2 and 3, lists which instruments will mainly contribute to their generation, and estimates the magnitude of the impacts, and the likelihood that they will materialise. It should be noted that the estimated *magnitude* depends not only on the level of investment foreseen, but is also inversely related to the scale of the problem. Impacts are expected to be much more significant with regard to a very concrete problem that affects a limited number of individuals – such as the employability of athletes – than with regard to highly complex problems that have many dimensions and affect large parts of the population – such as public health. The *likelihood* of the impacts occurring is related primarily to the considerations outlined under effectiveness in section 6 of this report, i.e. how likely the different instruments that are envisaged are to contribute to achieving the various specific objectives, which in turn generate the social and economic impacts as discussed in section 5.1.

**Table 4 – Overview of key impacts of Options 2 and 3 (net changes in comparison to the baseline)**

Type of impacts	Impact	Key instruments to generate the impact	Magnitude	Likelihood
Social impacts	Greater and more effective involvement of stakeholders in sport policy-making, better governance of sport bodies	Transnational projects for sport organisations to identify, develop, share, disseminate and implement good practices with a view to good governance  Targeted capacity building for sport organisations  Studies, conferences etc. to improve the evidence base for sport policy-making	Very significant	Certain
	Improved public health (in particular concerning overweight and obesity and related diseases) due to greater participation in sport and physical activity	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices in HEPA  European sport events to motivate citizens (especially young people) to be more active	Significant	Very probable
	Greater social cohesion due to increased participation in sport of individuals or groups that are vulnerable to social exclusion  Greater security for athletes and spectators of sport events and competitions, and greater respect for equality and fundamental rights in	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for using sport for social inclusion  European sport events to motivate citizens (especially disadvantaged groups) to be more active  Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for combating violence and intolerance in and	Quite significant	Very probable

	general	through sport  European sport events to bring together sportspeople and spectators from across the EU		
	Better employability of former athletes due to better access to quality education that is compatible with their sport training, as well as career counselling and other supporting measures	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for fostering dual careers	Very significant	Probable
	Improved health and safety of amateur sportspeople due to a reduced use of doping substances	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for combating doping in amateur sport and fitness	Very significant	Probable
Economic impacts	Reduced direct and indirect economic costs of physical inactivity	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices in HEPA  European sport events to motivate citizens (especially young people) to be more active	Significant	Very probable
	Direct cost to the EU budget	All instruments	€ 20 to 50 million per year	Certain
Environmental impacts	No significant environmental impacts		N/A	N/A
Impact on fundamental rights	Positive impact	Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for using sport for social inclusion  European sport events to motivate citizens (especially disadvantaged groups) to be more active  Transnational projects for stakeholders to identify, develop, share, disseminate and implement good practices for combating violence and intolerance in and through sport  European sport events to bring together sportspeople and spectators from across the EU	Significant	Probable

Impact on third countries	No significant impact on third country nationals		N/A	N/A
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## 6. COMPARING THE OPTIONS

This section compares the different options based on their effectiveness, as well as their efficiency and coherence with overarching objectives of EU policy.

## Comparison of options

**Table 5: Comparison of options**

Legend:

	++	+	0	-	--
<i>Impact compared with baseline scenario</i>	<i>positive</i>	<i>slightly positive</i>	<i>neutral</i>	<i>slightly negative</i>	<i>negative</i>

	<b>Option 1 (no further EU action)</b>	<b>Option 2 (New stand- alone Sport Programme)</b>	<b>Option 3 (Sport sub- programme as part of a single Programme)</b>	
<b>Effectiveness in terms of achieving objectives:</b>				
Objective 1 – good governance and volunteering	0	++	++	<p><i>Policy Option 1: "No further EU action"</i></p> <p>As noted in section 2.4 above, without sport-specific funding EU intervention would be limited to policy co-ordination and mainstreaming through other funding programmes. In the current programming period (2007-2013), some transnational projects have been funded that address specific objectives nr 2 and 3. No instrument is currently available to provide EU support for projects that address the remaining three objectives, namely in the fields of good governance, dual careers and doping. There are no indications that this situation is likely to change. The assumption therefore has to be that no support for projects to address these objectives will be available in the future at EU level without specific incentive measures in the field of sport.</p> <p>It should be noted that activities to address the above mentioned objectives are currently undertaken at the national level and that this is likely to continue in the future. However, as shown in the description of the identified problem areas, discrepancies among Member States are expected to widen if there is no co-operation (or only co-operation regarding policy aspects) at EU level. In addition, synergies and mutual learning are unlikely to be gained without EU action through incentive measures, thus greatly reducing the effectiveness of the actions undertaken individually by Member States.</p> <p><i>Policy Option 2: "New stand-alone Sport Programme"</i></p> <p>The analysis of the effectiveness of incentive measures in the field of sport taking the form of a stand-alone Sport Programme is based on the analysis of the effectiveness of the different instruments which are proposed as part of the Programme (see Annex II). Based on the results of this analysis, a stand-alone Sport Programme would be more effective than the baseline scenario in achieving the five specific objectives set out in chapter 3 for the following reasons:</p> <ul style="list-style-type: none"> <li>– Transnational cooperation projects have the potential to effectively address all the specific objectives in</li> </ul>
Objective 2 – physical activity and participation	0	++	++	
Objective 3 – equal opportunities, social inclusion and fight against violence and intolerance	0	++	++	
Objective 4 – dual careers	0	++	++	
Objective 5 – fight against doping	0	++	++	

				<p>particular by promoting networking, exchanges of good practices, cross sector innovative partnerships, mutual learning and awareness raising campaigns;</p> <ul style="list-style-type: none"> <li>– Support for non- commercial events of major European importance would be effective in addressing specific objectives 2 and 3 by increasing participation in sport, notably of people from disadvantaged groups and involving local populations;</li> <li>– Support for studies, conferences, surveys and other instruments to improve knowledge about sport at EU level would be effective in contributing to a more informed and evidence-based policy making therefore addressing all the specific objectives;</li> <li>– Capacity building actions would effectively promote the improvement of the organisation of sport stakeholder thus contributing to achieving specific objective 1.</li> </ul> <p><i>Policy Option 3: "A single Programme for education, training, youth and sport"</i> The effectiveness of option 3 would be the same as that of option 2 in achieving the specific objectives presented above.</p>
<b>Efficiency/cost-effectiveness, in terms of:</b>				
Implementation costs (taking account of simplification measures);	0	+	++	<p><i>Policy Option 1: "No further EU action"</i> As explained above in section 6.1.1, option 1 is very unlikely to be effective in addressing the objectives set in chapter 3. No implementation costs would be incurred but any efficiency to be gained in terms of cost reduction would be structurally undermined by the inability of option 1 to achieve its objectives.</p>
EU budget	0	+	+	<p><i>Policy Option 2: "New stand-alone Sport Programme"</i> As explained above in section 5.2, the only significant cost of incentive measures is the direct fiscal cost to the EU budget. Naturally, this can vary significantly for any of the options depending on the number, scale and type of measures that are supported. Compared with the baseline the costs for this option are higher, which would however be largely outweighed by the expected gains of the implemented measure and the proposed instruments, and their ability to reach the stated objectives and to generate social and economic impacts. The cost-effectiveness of the measures foreseen for the stand-alone Sport Programme is analysed in-depth in Annex II.</p> <p><i>Policy Option 3: "A single Programme for education, training, youth and sport"</i> Policy options 2 and 3 share the same degree of efficiency/cost-effectiveness in this respect. In terms of implementation costs, option 3 foresees a sub-programme integrated into a larger EU Programme. This could allow achieving some economies by exploiting the synergies with existing management structures (such as the EACEA) and by streamlining processes related to the evaluation and monitoring of actions. Thus, the cost-effectiveness of this solution would seem to be somewhat higher compared to the launch of an independent Programme (option 2). Synergies and economies of scale for this option are analysed in-depth in Annex 6 to the Impact Assessment report on the Lifelong Learning Programme.</p>
<b>Administrative burden</b>	0	-	-	<p>None of the options will bring with it any additional <u>administrative burden</u> on businesses, citizens or public administrations, with the exception that, in case of policy options 2 and 3, beneficiaries of EU funding will have to comply with certain obligations to provide information when drafting project applications and as part of the reporting on the progress and completion of projects. The evaluation of the Preparatory Actions</p>

				in the field of sport has shown that beneficiaries perceive the administrative burden as relatively light. Administrative costs for beneficiaries will be kept to a minimum, whilst due account will have to be taken of external factors notably the general requirements on the implementation of the EU budget laid down in the Financial Regulation.
<b>Coherence</b> (with strategic objectives, etc.):	0	+	++	<p><i>Policy Option 1: "No further EU action"</i> Coherence should be understood as the extent to which options are coherent with the overarching objectives of EU policy. Option 1 seems not to be entirely coherent with the key objectives of the EU's sport policy insofar as political coordination would not be accompanied by support for implementation at grassroots level of agreed policies and a number of actions foreseen in the 2011 Commission's Communication and Council Resolution would either remain unrealised or be implemented in a sketchy way at national level and/or through limited mainstreaming in other EU programmes.</p> <p><i>Policy Option 2: "New stand-alone Sport Programme"</i> <i>Policy Option 3: "A single Programme for education, training, youth and sport"</i></p> <p>Options 2 and 3 are fully coherent with the key objectives of the EU's sport policy, in that they tackle key problems identified in the Commission's 2007 White Paper and its 2011 Communication as well as the Council's 2011 Resolution. In addition, the incentive measures proposed through options 2 and 3 are also clearly coherent with the Europe 2020 Strategy (in particular its objective of "inclusive growth", i.e. fostering a high-employment economy delivering social and territorial cohesion), as well as a number of other key policy documents:</p> <ul style="list-style-type: none"> <li>• The EU Health Strategy<sup>31</sup> highlights the importance of actions to promote health and prevent disease throughout the lifespan by tackling key issues including physical activity.</li> <li>• The Commission's Strategy for Equality between Women and Men 2010-2015<sup>32</sup> states that the Commission will promote good practice on gender roles in youth, education, culture and sport.</li> <li>• The European Disability Strategy 2010-2020<sup>33</sup> commits the Commission to work to improve the accessibility of sports, leisure, cultural and recreational organisations, activities, events, venues, goods and services, and promote participation in sports events and the organisation of disability-specific ones.</li> </ul> <p>Option 3 is more consistent with the strategy of the Commission to streamline and rationalise existing EU programmes and funds with a view to creating a simpler framework for EU funding streams under the 2014-2020 Multiannual Financial Framework. Therefore, the main reason for including Sport as a sub-programme within a single programme is administrative efficiency rather than potential policy synergies.</p>

### Identification of the preferred option: option 3

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<sup>31</sup> COM(2007) 630 final  
<sup>32</sup> COM(2010) 491 final  
<sup>33</sup> COM(2010) 636 final

## 7. MONITORING AND EVALUATION

### 7.1. Framework for monitoring and evaluation

As the sport-related strand of a wider Programme, the proposed initiative will follow the general procedures designed for the new Programme. The monitoring and evaluation system will ensure that, beyond **formal evaluation, permanent monitoring** is to be developed to assess progress in achieving the set objectives.

The **evaluation** exercise will be organised mid-term and include an ex-post evaluation of the previous Preparatory Actions, Special Events and pilot projects in the field of sport and a mid-term evaluation of the new Programme, the latter having a prospective focus. Accordingly, the ex-post evaluation of the new Programme would be included in the evaluation carried out mid-term for the programme coming after the next.

A horizontal instrument will ensure the monitoring and evaluation of outputs and impacts across the abovementioned actions and instrument. The instrument will ensure in particular that the output of the actions of the incentive measures will feed into the work carried out by the 6 Expert Groups in charge of implementing the Council's EU Work Plan for Sport and the Commission's reports on the implementation of the Work Plan.

### 7.2. Indicators for future monitoring and evaluation

As a preliminary remark, it should be underlined that sport is a new area of competence for the EU. While informal cooperation structures were developed on the basis of the 2007 White Paper on Sport, EU cooperation in the field of sport remains in its infancy and has only recently been formalised.

As a consequence, EU-level data and statistics concerning the practice of sport and the sports-related problems presented in section 2 of this report are scarce. As underlined in section 4, one of the goals of future incentive measures in the field of sport will be to improve the knowledge base about sport in the EU in order to help build an informed policy in this area.

Several initiatives have been undertaken with a view to improving the collection of data in the field of sport at EU level. Work has started among a group of 12 Member States within the EU Working Group on Sport & Economics to measure the macro-economic impact of sport; this work will continue in line with the EU Work Plan for Sport adopted by the Council in its Resolution of May 2011. The Commission organised in March 2011 an EU Conference on Sport Statistics focusing on statistical and information needs in view of the development of sport as a new policy area<sup>34</sup>. A study to assess the sport sector's contribution to the Europe 2020 strategy is under way and another study will be launched in autumn 2011 on a possible future sport monitoring function in the EU aimed at analysing trends, collecting data, interpreting statistics, facilitating research, launching surveys and studies and promoting exchange of information.

Notwithstanding these efforts, no full picture for sport in the EU-27 is currently available and existing gaps are unlikely to be filled in the short term. As a consequence, the list of indicators provided in this

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<sup>34</sup> The report and presentations from the conference are available at:  
[http://ec.europa.eu/sport/library/doc486\\_en.htm#C6\\_Economic](http://ec.europa.eu/sport/library/doc486_en.htm#C6_Economic)

section reflects the current state of knowledge about sport at EU level. Where quantitative data are not available or impossible to determine, qualitative indicators are proposed.

The preliminary list of indicators and the potential sources of data collection for the monitoring of the Sport sub-programme are provided in the table below:

**Table 6: Monitoring indicators**

Related objective	Title	Type of Indicator	Indicator	Quantitative target	Source of data collection
<b>General objective:</b> To develop the European dimension in sport	European dimension in sport	Impact	Number of sport structures and sportspeople involved in trans-European initiatives, projects, events etc.	To be determined on the basis of further research	Monitoring data (monitoring database)
1. To promote <u>good governance</u> in sport in the EU and sustain sport structures based on voluntary activity  2. To promote <u>health-enhancing physical activity</u> and increased participation in sport  3. To exploit the potential of sport to foster <u>social inclusion</u> , ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport  4. To improve the	Co-operation and networking	Result	Extent to which EU support has enabled / strengthened co-operation and sustainable networks between relevant actors from different Member States and sectors <sup>35</sup>	To be determined on the basis of further research	Evaluation data (through questionnaires, surveys, interviews)
	Mutual learning	Result	Extent to which participants in supported initiatives have acquired knowledge that is not available in their own Member State / sector	To be determined on the basis of further research	
	Generation of relevant conclusions	Result	Extent to which supported projects, studies etc. have generated concrete evidence, recommendations and/or good practices	To be determined on the basis of further research	
	Dissemination of results	Result	Extent to which relevant actors across the EU are aware of key results of interventions receiving EU support	To be determined on the basis of further research	
	Effect on relevant policies	Result	Extent to which relevant actors have used results of projects, studies etc. receiving EU support to devise new or adapt existing policies or measures	To be determined on the basis of further research	

<sup>35</sup> Given the diverse and often complex nature of the projects and other measures envisaged to address these specific objectives, defining quantitative indicators at this stage would run the risk of oversimplification. Instead, this table proposes judgment criteria that will need to be operationalised in future evaluation exercises. This will entail the definition of appropriate indicators and relevant (mostly participatory) data collection methods. These should distinguish between the different specific objectives.

<p><u>education and training</u> of sportspeople, in particular through the promotion of dual careers</p> <p>5. To contribute to the <u>fight against doping</u> in amateur and grassroots sport</p>					
<p>Operational objectives: 1.2, 2.1, 3.1, 3.2, 3.3, 3.4, 4.1, 5.1</p> <p>(support for transnational cooperation projects)</p>	Projects supported	Output	<p>Number of applications received</p> <p>% of applications that meet minimum quality threshold</p> <p>Number of projects supported</p> <p>Number and types of organisations involved</p> <p>Number of Member States where participants are based</p> <p>Amount of funding disbursed (for all indicators: totals and per subject area, e.g. governance, HEPA...)</p>	<p>NA</p> <p>NA</p> <p>Around 450 transnational cooperation projects<sup>36</sup></p> <p>€135 million</p>	Monitoring data (monitoring database)
<p>Operational objectives: 2.2, 3.5</p> <p>(support non-</p>	Events supported	Output	<p>Number of applications received</p> <p>% of applications that meet minimum quality threshold</p> <p>Number of events supported</p>	<p>NA</p> <p>NA</p> <p>Around 100 events<sup>37</sup></p>	Monitoring data (monitoring database)

<sup>36</sup> This number is based on the assumption that the overall budgetary envelope of the Sport sub-programme will be around €210 million for the seven-year framework and that each project will receive on average an EU contribution of around €300,000

<sup>37</sup> This number is based on the assumption that the overall budgetary envelope of the Sport sub-programme will be around €210 million for the seven-year framework and that each event will receive on average an EU contribution of around €500,000

commercial European sport events of major importance)			Amount of funding disbursed Number of participating athletes Profile of participating athletes (e.g. gender, age group, geographic origin, disability) Number of spectators at event Number of EU citizens exposed to media coverage of event	€50 million To be determined on the basis of further research To be determined on the basis of further research	
Operational objective: 1.3  (support for strengthening the evidence base)	Studies / conferences supported	Output	Number of studies supported Number of conferences, seminars, workshops etc. supported Number of participants in conferences etc.  Amount of funding disbursed	Around 20 <sup>38</sup> Around 20 <sup>39</sup>  To be determined on the basis of further research €10 million	Monitoring data (monitoring database)
Operational objective: 1.1  (support for capacity building in sport)	Capacity building measures supported	Output	Number of training or other measures supported Number of sport organisations involved in capacity building measures Types of organisations supported (size, Member State, sport) Amount of funding disbursed	Around 100 <sup>40</sup>  To be determined on the basis of further research  €15 million	Monitoring data (monitoring database)

<sup>38</sup> This number is based on the assumption that the overall budgetary envelope of the Sport sub-programme will be around €210 million for the seven-year framework and that each study will cost around €250,000

<sup>39</sup> This number is based on the assumption that the overall budgetary envelope of the Sport sub-programme will be around €210 million for the seven-year framework and that each conference/seminar will cost around €250,000

<sup>40</sup> This number is based on the assumption that the overall budgetary envelope of the Sport sub-programme will be around €210 million for the seven-year framework and that each training project will receive on average an EU contribution of around €150,000

## **ANNEX I : Consultation process**

The following stakeholders and organisations have been consulted in the preparatory process for the planned initiative:

### **(a) Member States:**

- Informal meeting of EU Sport Directors (Barcelona, 25-26 February 2010);
- Informal meeting of EU Ministers responsible for sport (Madrid, 20-21 April 2010);
- First formal meeting of EU Ministers responsible for sport in the Council (Brussels, 10 May 2010), prepared by the first meeting of the Council Working Party on Sport (Brussels, 6 April 2010);
- Meetings of the informal EU Working Groups in the field of sport:
  - Member State Working Group on the White Paper on Sport (3 February 2010)
  - EU Working Group on Sport and Health (30 June 2010)
  - EU Working Group on Anti-Doping (14 January and 27 May 2010)
  - EU Working Group on Sport and Economics (10-11 June 2010)
  - EU Working Group on Non-Profit Sport Organisations (17 February 2010)
  - EU Working Group on Education and Training in Sport (19-10 May 2010)
  - EU Working Group on Social Integration and Gender Equality in Sport (8 July 2010).

### **(b) Sport stakeholders:**

- The EU Sport Forum, which constitutes the main dialogue platform between the Commission and key sport stakeholders, was organised the second time in 2010 (Madrid, 19-20 April) with discussions focussing on the implementation of the sport provisions in the Lisbon Treaty;
- Bilateral and multilateral discussions took place with targeted stakeholders such as European Sport Federations, the European Olympic Committees, other European umbrella organisations for sport, national umbrella organisations for sport, national Olympic and Paralympic committees, other actors in the field of sport at European level, social partners, and other international and European organisations such as the International Olympic Committee and international federations.

### **(c) Relevant international organisations:**

- Council of Europe;
- World Health Organisation, UNESCO.

### **(d) The general public:**

- A public on-line consultation was conducted during the second quarter of 2010 (7 April - 2 June). The online questionnaire was divided into two parts: "Addressing key challenges for sport in Europe" (Part I) and "Identifying policy priorities for EU action" (Part II). Public interest in this consultation was high and the response rate considerable (more than 1,300 valid submissions).
- In addition to the online consultation, the Commission received 48 position papers related to the consultation process, mainly from sport organisations, but also from Member States. The majority of these contributions provided high-quality input for sport-specific topics ranging from health-related issues over aspects relating to education in sport to governance questions. However, they also reflected issues that are not part of the EU's mandate as defined in Article 165 TFEU.

(e) Group of Independent Sport Experts:

Ten well-known independent experts with proven experience in the area of sport and the EU were consulted on the implementation of the new Treaty provisions on sport. The Group met twice. The final report was submitted to Commissioner Vassiliou in mid-September 2010.

## **ANNEX II : Rationale for option 2: "New stand-alone Sport Programme"**

The analysis of the effectiveness, EU added value and efficiency of different actions/instruments of option 2 has to be carried out with reference to the objectives of the planned initiative. The analysis presented hereafter substantiates how the different envisaged instruments would function and which categories of beneficiaries are expected to be the targets of the proposed measures.

The envisaged instruments are presented in the table hereafter:

#	Instrument	Brief description
A	Transnational collaborative projects	<p>EU co-funding for collaborative projects to encourage the creation of networks between relevant actors (public bodies or civil society organisations) from several different Member States, in order to develop and implement innovative approaches, and identify, share and exchange information, knowledge and good practices in specific thematic areas.</p> <p>This instrument is already being tested through the Preparatory Actions in the field of sport, implemented in 2009, 2010 and 2011. An external evaluation conducted in the first half of 2011 has provided an early indication of the relevance, effectiveness and efficiency of these Preparatory Actions.</p>
B	Support for non-commercial European sport events of major importance	<p>EU financial support for carefully selected sport events and competitions that do not aim to generate profits, are deemed to pursue relevant objectives, and enhance the European dimension of sport.</p> <p>Examples of events that have been supported in the past include European Youth Olympic Festivals and Special Olympic Games for mentally disabled people. An external evaluation conducted in the first half of 2011 has provided an early indication of the relevance, effectiveness and efficiency of support for such events.</p>
C	Support for strengthening the evidence base for policy making	<p>Studies, comparative research, statistics, surveys, conferences and publications to generate knowledge, data and information on various aspects related to sport in the EU, the challenges it faces and its economic and social impact, in order to facilitate evidence-based policy-making at European, national, regional and local levels. A limited number of studies and conferences in the field of sport have already been supported in the past few years.</p>
D	Support for capacity building in sport	<p>Any assistance that is provided to sport structures, organisations or other entities which have a need to develop specific skills or competences, or for general upgrading of performance ability. It can include support for the development of human resources, organisational structures and processes, or institutional and legal frameworks.</p>
E	Exchanges	<p>Exchanges or other forms of mobility are one of the cornerstones of the Lifelong Learning Programme (LLP); they allow different target groups to spend time in a different Member State for educational purposes, including university students (Erasmus), secondary school pupils and teachers (Comenius), professionals and participants in vocational education and training (Leonardo da Vinci), and staff in</p>

		<p>adult education (Grundtvig). Mobility also features in other programmes such as the Culture programme (for cultural operators) or the Erasmus for Young Entrepreneurs Preparatory Action.</p> <p>They have not been tested as part of the Preparatory Actions in the field of sport.</p>
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## **Instrument A: Transnational collaborative projects**

### *Effectiveness*

Support for transnational collaborative projects is meant to enable relevant actors (public bodies or civil society organisations) from several different MS to jointly work towards a pre-defined set of common objectives. Depending on the specific subject area, beneficiaries will include primarily sport associations / federations, other sport organisations (such as training academies or national Olympic committees) local authorities, universities and research institutions, ministries, and in some cases even sport-specific businesses. Typically, such projects aim to achieve some or all of the following:

Create sustainable transnational networks;

Compile, exchange and generate knowledge and information;

Identify, share and disseminate good practices in a particular field;

Raise awareness of common problems and challenges;

Jointly develop and/or implement innovative solutions to such challenges.

#### *1. Promote good governance in sport in the EU and sustain sport structures based on voluntary activity*

A priori,<sup>41</sup> transnational collaborative projects have the potential to be effective to some extent when it comes to promoting good governance in sport. As noted in the Impact Assessment report, many sport organisations suffer from a lack of human and financial resources and of expertise. This in turn can mean that basic principles of good governance in sport can be neglected, and that sport organisations fail to achieve their educational and social goals, and are unable to contribute fully to a balanced and structured policy dialogue at the EU level. Networking and exchange of experience and good practices between sport organisations could partly address the problem of the lack of expertise, enable participating organisations to identify common challenges and jointly develop solutions, and learn from each other when it comes to organisational structure, approaches to good governance, ways to gain access to specific expertise, promote volunteering, etc.

#### *2. Promote health-enhancing physical activity and increased participation in sport*

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<sup>41</sup> Transnational projects in the area of good governance will be tested through Preparatory Actions in 2011. The hypotheses in this section should be tested against the experience with these projects once results become available.

Transnational collaborative projects have the potential to be very effective with a view to supporting and promoting cross-sector innovative partnerships to foster learning across Europe's borders, and inform and encourage future actions that promote health enhancing physical activity. The main factors that have led to this assessment are:

**Benefits of action at the local level:** While national governments clearly have an important role to play, grassroots sport and physical activity is essentially a local phenomenon. The resources local actors have at their disposal tend to be limited, which means pooling of efforts, mutual learning and dissemination of best practices can empower many more local organisations to implement effective approaches to enhance participation in HEPA.

**Benefits of cross-sector partnerships:** Participation in sport and physical activity depends on many variables, including adequate infrastructure, appropriately qualified instructors, and attitudinal factors. Therefore, integrated approaches that involve and network actors from various sectors including sport organisations, educational institutions, local government, and businesses are ideal. The evaluation of the Preparatory Actions in the field of sport has confirmed that the most successful projects tended to have a cross-sectoral element.

**Benefits of cross-border co-operation and learning:** The level of physical activity of both adults and children varies significantly from one MS to another, as does the amount of experience and expertise of HEPA promotion. This means there is large potential for fruitful exchanges between actors from across the EU.

The high demand for transnational collaborative projects in the field of HEPA has already been confirmed by the Preparatory Actions in the field of sport. 134 project applications were submitted in response to the 2009 call for proposals; nine of these were selected for EU funding. In general terms, these projects have been evaluated positively in terms of their effectiveness and impacts; a survey among co-ordinators and partners suggests that transnational projects in the area of HEPA were particularly likely to have created new networks, and to have achieved the objectives defined at the outset.

### *3. Exploit the potential of sport to foster social inclusion and ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport*

Transnational collaborative projects are potentially very effective for enabling stakeholders to use the potential of sport to foster social inclusion. The reasons are broadly similar to those outlined for the field of HEPA above. Approaches vary significantly not only between Member States, but also between regions and local communities; therefore, cross-border co-operation and exchange of information has a high potential for stimulating innovative thinking and facilitating the extension of promising approaches. Cross-sectoral networking is also important, since understanding and tackling the different obstacles faced by disadvantaged groups and/or those at risk of social exclusion requires co-operation between sport organisations and other partners.

A recent conference organised with support from the Belgian EU Presidency confirmed the existence of numerous good practice examples for social inclusion in and through sport at the local level, and recommended for the EU to stimulate co-ordination and exchange of knowledge on all levels, including transnational projects on social inclusion and sport.<sup>42</sup> At its

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<sup>42</sup> [http://www.isbvzw.be/uploads/53096131/downloads/europees\\_20congres\\_online\\_versie.pdf](http://www.isbvzw.be/uploads/53096131/downloads/europees_20congres_online_versie.pdf)

first meeting in 2010, the EU Working Group "Social Inclusion and Equal Opportunities in Sport" also confirmed that MS had different approaches to the subject, and expressed the view that they could learn from each others' good practices regarding how (and under which conditions) sport could contribute to social inclusion.<sup>43</sup>

In 2009 and 2010, the Preparatory Actions in the field of sport offered support for transnational projects in the areas of encouraging sport for people with disabilities, gender equality, and social inclusion. A total of 149 project applications were submitted, indicating a very high level of interest from sport organisations and others; ten were awarded EU co-funding.

The fight against violence at major sport events as such is primarily a security matter that needs to be tackled by the police and other security forces. Besides projects for police coordination, which have been supported by the Prevention and Fight against Crime Programme<sup>44</sup> and which should be best left within the remit of DG HOME, intolerance and discrimination (including racism and homophobia) that persists in sport and often motivates violent incidents can usefully be addressed through multi-stakeholder collaboration. A recent study by the FRA<sup>45</sup> that focused on racism and ethnic discrimination found inter alia that racist incidents in football occurred not only among fans in men's professional and amateur football, but also in children's and youth football. Racist incidents were also recorded in amateur football, not only among players but even referees and club officials. To tackle this problem, the FRA study identified a need for national and local authorities to work with sport organisations and for sports governing bodies to elaborate and implement effective anti-racism regulations and equality measures.

Given the different approaches and systems in use in different MS, there is a clear potential for relevant actors from across Europe to co-ordinate efforts, exchange good practices and jointly develop solutions, and for the EU to support their efforts through funding for transnational collaborative projects. In addition to the actors mentioned in the FRA recommendations above, there is also a role for educational institutions, supporters' organisations, and NGOs active in this field when it comes to promoting respect for fundamental European values in and through sport.

#### *4. Improve the education and training of sportspeople, in particular through the promotion of dual careers*

Transnational collaborative projects are potentially quite effective to promote the concept of dual careers and more generally, address the balance between the education and training of young athletes. Networking and co-operation among various stakeholders at the EU level is likely to render significant benefits due to the fact that the problem affects young athletes across Europe (and in particular those who compete and/or train abroad), and that there are significant differences between Member States, sport associations and sport centres in terms

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<sup>43</sup> [http://ec.europa.eu/sport/library/doc/b23/wg\\_sieo\\_080710\\_summary\\_report.pdf](http://ec.europa.eu/sport/library/doc/b23/wg_sieo_080710_summary_report.pdf)

<sup>44</sup> Pan European Football Policing Training (JLS/2008/ISEC/54 and JLS/2009/ISEC/FP/584), Security at major sport events (JLS/2009/ISEC/400), Gathering of all local forces to prevent violence in sporting events – GOAL (JLS/2008/ISEC/80)

<sup>45</sup> European Union Agency for Fundamental Rights (FRA) Racism, ethnic discrimination and exclusion of migrants and minorities in sport: The situation in the European Union (2010). URL: [http://194.30.12.221/fraWebsite/attachments/Report-racism-sport-summary\\_EN.pdf](http://194.30.12.221/fraWebsite/attachments/Report-racism-sport-summary_EN.pdf)

of how the academic education of young athletes is regulated and facilitated, as well as in the level of support and career counselling available to athletes once their compulsory education is over.<sup>46</sup> This suggests there is considerable scope for mutual learning and exchange of experience and good practices. Furthermore, there are significant benefits to be reaped from cross-sectoral co-operation involving public authorities, sports organisations, educational institutions and businesses, all of which have a role to play in enhancing the employability and career prospects of athletes.

##### *5. Contribute to the fight against doping in amateur and grassroots sport*

For similar reasons as those outlined under previous objectives, transnational collaborative projects have a strong potential to contribute to the fight against doping in amateur sport (including fitness). Networking between relevant actors (including sport organisations, research and health organisations, the fitness sector, anti-doping agencies, and the pharmaceutical industry) seems especially important given that doping in amateur sport is only recently beginning to be widely recognised as a problem, and as a consequence, there has so far been a dearth of actions and initiatives that specifically target doping in amateur sport and fitness, as well as a lack of precise information on the actual magnitude of the problem, factors underlying it and ways to combat it. Therefore, co-ordination, collaboration and exchange of information and good practices between actors from different MS can be very useful in identifying and promoting effective approaches.

This is also the view of the EU Working Group on Anti-Doping, which at its meeting in May 2010 heard national reports from those MS who seem to have been most active in this field so far (namely Belgium, Denmark, Sweden and the Netherlands) and expressed its conviction that doping in amateur sport (and in particular prevention work in fitness studios) as a priority for future exchange as well as for funding under the future EU Sport Programme.

##### ***EU added value***

Transnational projects, if well designed, have, by their very nature, an added value for the EU. The evaluation of the Preparatory Actions in the field of sport and experience gathered, for instance through projects financed within the European Year of Education through Sport 2004, confirms the strong interest of governmental and non-governmental stakeholders to cooperate across EU borders and to engage in network activities in order to learn and improve processes and activities of their organisation, which they could not do by only acting at national level. The EU added value could be clearly demonstrated in a number of ways, but, according to the evaluation, transnational projects maximise added value especially when a) facilitating cooperation and exchange of good practice between sport organisations in Europe so that discrepancies between Member States in different sport sectors can be addressed, b) project teams are comprised of partners which add value individually to the whole project and have significant networks and / or access to organisations with significant networks to facilitate wide dissemination of value generated, and c) projects are run by coordinators with proven project management experience enabling them to maximise the potential synergies that can be generated between the project partners. Experience with the transnational projects financed to date also shows that they have facilitated the spread of innovative methods and expertise.

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<sup>46</sup> Study on training of young sportsmen/women in Europe, TAJ, 2008.  
[http://ec.europa.eu/sport/pdf/doc507\\_en.pdf](http://ec.europa.eu/sport/pdf/doc507_en.pdf)

## *Efficiency*

The evaluation of the Preparatory Actions in the field of sport concluded that the budget allocated to transnational projects in selected areas proved sufficient to test a limited number of network themes, types and sizes while employing a robust, but not overly restricted selection process, and especially considering the experimental nature of the Preparatory Actions. However, the report also noted that in order to reach a critical mass of impacts cost-effectively, a future programme should fund transnational projects in all relevant areas on an ongoing basis. The evaluation also concluded that efficiency gains could be achieved for future incentive measures through outsourcing administration to the competent agency. Concerning individual projects, the evaluation found that future incentive measures should encourage better networking methods inter alia through allocating financial responsibility to more than one organisation per project and requiring organisations to define roles for all project partners during the proposal stage. A simulation on the allocation of funds is provided in Annex III, which also illustrates that the majority of funding should be directed to the instrument of transnational projects.

## **Instrument B: Support for non-commercial European sport events of major importance**

### *Effectiveness*

Future incentive measures could provide budgetary support to the organisation of non-commercial sport events of major importance. Such support has formed nearly half of funding available under the Preparatory Actions 2009-2010<sup>47</sup> and has essentially consisted of direct budgetary contributions in order to achieve 'greater European visibility at sporting events'.<sup>48</sup> This objective does not fall under any of the specific objectives identified for future incentive measures, but an EU presence at such events could plausibly contribute to 'developing the European dimension in sport', as stipulated in Article 165 of the Lisbon Treaty.

EU subsidies to major sport events in 2009 and 2010 have generally ranged from EUR 1-3 million and, thus far, have achieved limited success in increasing the visibility of the EU. While hard evidence (media monitoring reports, website hits, television ratings, etc.) is lacking, it appears that events with an EU-wide focus, taking place outside the realm of mainstream spectator sport, and for which EU support is crucial either to the event as a whole or to specific activities taking place within it, have achieved the greatest level of visibility. These have consisted in particular of events aimed at youth or the disabled. Grander events tend to attract large audiences but media coverage typically centres only on competition results, while event organisers, less dependent on EU funding, are not compelled to ensure EU visibility.

However, it is also worth noting that, within the framework of the Preparatory Actions, funding for specific sport events has been mandated in each Annual Work Programme, precluding any attempts from the Commission to tailor the events to its own objectives. In future, an open tendering process could secure a role for the Commission in event organisation and ensure the selection of events aiming to secure a high degree of EU visibility; larger impacts in this regard could then be foreseen.

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<sup>47</sup> 2009 and 2010 Annual Work Programmes.

<sup>48</sup> European Commission Annual Work Programme 2009.

Through such a tendering process, the Commission could also select events that would work towards the specific objectives identified for incentive measures. While none of the events supported thus far has explicitly pursued these or similar objectives, progress has nonetheless been achieved in a number of them. If the Commission required event organisers to emphasise these objectives, even greater progress could be expected.

*1. Promote good governance in sport in the EU and sustain sport structures based on voluntary activity*

Non-commercial sport events can be effective to a limited extent with a view to promoting good governance, in that they rely heavily on volunteers and tend to encourage temporary voluntary activity leading up to, during and after competitions. According to organisers, volunteering for the events instils a sense of civic pride in those involved and increases the chances that they would participate in voluntary structures of sport in the long term.

*2. Promote health-enhancing physical activity and increased participation in sport*

Through boosting the popularity and public enthusiasm for sport among spectators and television viewers, it is plausible that major sport events increase audiences' participation in HEPA. However, given the flood of sport coverage currently available, it is unlikely that a small increase on the back of EU funding would lead to a dramatic rise in sport participation among the general public. Instead, support for specialised events targeting specific groups is likely to produce larger impacts. In addition, support for activities peripheral to the main sport competitions, often involving local populations, could also produce considerable impacts in this area. However, the scope of such activities must be considered limited given that they are geographically constrained to the region or (at best) the Member State where a given event takes place.

*3. Exploit the potential of sport to foster social inclusion and ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport*

For reasons similar to those outlined for HEPA above, support for sport events aimed specifically at disadvantaged groups could promote participation in sport and thereby generate significant impacts for social inclusion.

This is particularly evident for events aimed at people with disabilities, which can lead to positive impacts in several ways. Given that sport organisations and infrastructure aimed at people with disabilities are far less developed than those targeting mainstream sport, elite disabled athletes would be considerably less likely to participate in sport without the existence of impetus provided by these events. A 'trickle-down' effect could then be expected, with support for elite sportsmen and sportswomen encouraging other disabled athletes. Aside from providing disabled athletes with a sense of community and belonging, events focused on people with disabilities can demonstrate for carers, parents, relatives etc. the possibilities of sport participation for members of this group. Peripheral events, though limited to the Member State or region where events take place, would also be expected to make a considerable impact through fostering further participation in sport among the disabled and helping to encourage interaction between them and other social groups.

Major sport events have the potential to make common cause between athletes, coaches, volunteers and spectators from around Europe, promoting cooperation and instilling a sense of community and EU values, thereby contributing to a reduction of violence, racism and

intolerance. This can also be achieved through targeted awareness raising campaigns alongside those events.

*4. Improve the education and training of sportspeople, in particular through the promotion of dual careers*

*5. Contribute to the fight against doping in amateur and grassroots sport*

Support for sport events of major importance is unlikely to make a significant contribution to achieving these objectives.

### ***EU added value***

EU support for non-commercial sport events bears a great potential in terms of generating added value from an EU perspective. The evaluation of the Preparatory Actions confirmed that in particular Europe-focused special events involving young people and people with disabilities produce EU added-value and contribute to the European dimension in sport. The positive experience with the intervention areas of health-enhancing physical activity and education were especially highlighted in this respect. However, lessons have to be learned from the special events financed under the Preparatory Actions until now. The evaluation shows that the selection of special events would benefit from an open tendering procedure including transparent award criteria, so as to ensure that these events contribute to overall programme objectives. Moreover, in a future programme, plans for awareness raising of the European dimension in sport and EU sporting issues more generally should usefully be integrated within the main event financed, so as to enhance the EU added value.

### ***Efficiency***

The evaluation of the Preparatory Actions in the field of sport confirmed that, despite the lack of a competitive bidding process or objective selection criteria, specific types of events, notably those for youth and people with disabilities, and activities carried out therein were efficient. This is also true when analysing the relatively high unit costs for this instrument and the intended impact. The report also makes the case for a greater focus on specific activities peripheral to the event themselves in order to achieve substantial visibility. As illustrated in above section 6.2, EU support would remain inefficient with regard to the achievement of objectives if the financial contribution was too small. A simulation on the allocation of funds is provided in Annex III, which also illustrates that the second biggest amount of funding should be directed to the instrument of special events.

## **Instrument C: Support for strengthening the evidence base for policy making**

This instrument entails support for studies, comparative research, statistics, surveys, conferences and publications in order to contribute to building common EU knowledge about the sport sector, the opportunities and challenges it faces. Sport economics, for instance, is one area that is emerging as a new field for transnational cooperation in Europe, and under this instrument, ongoing work aimed at measuring the economic impact of sport could be supported.

*1. Promote good governance in sport in the EU and sustain sport structures based on voluntary activity*

A solid evidence base is a precondition for effective governance. Studies and other forms of research are therefore necessary to provide policy makers at all levels with relevant data and information they need to develop effective policies. In this sense, they can effectively contribute to enhancing governance by helping the Commission and other stakeholders (including sport organisations) understand the exact scope and nature of the various sport-related problems, and develop appropriate responses to them. Although transnational collaborative projects (instrument A) can also play a role in this regard (insofar as they often incorporate elements that compile and generate knowledge and information, e.g. on different national approaches or good practices), they cannot substitute rigorous original research. The numerous references to EU-funded studies in this IA report may serve as evidence of their value.

*2. Promote health-enhancing physical activity and increased participation in sport*  
*3. Exploit the potential of sport to foster social inclusion and ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport*

*4. Improve the education and training of sportspeople, in particular through the promotion of dual careers*

*5. Contribute to the fight against doping in amateur and grassroots sport*

Studies, conferences etc. can also contribute to more effective policies in all of these areas by improving the evidence base – it is sufficient to refer back to the arguments made in the paragraph above.

### ***EU added value***

Better and comparable data, as well as more reliable information on sport would greatly benefit EU policy making in the field of sport. The need for a better evidence-base to take informed decisions has been repeatedly highlighted at EU level (White Paper on Sport, Communication on sport, EU Work Plan for Sport, EU Conference on Sport Statistics). The evaluation of the Preparatory Actions in the field of sport also confirmed that the financing of measures in this field (studies/surveys/conferences) fulfilled their role of providing the Commission and other actors with policy support to develop the European dimension in sport and recommended that the current approach to this instrument needed no change and should continue.

### ***Efficiency***

EU support for studies/surveys/conferences in selected priority areas is considered a cost-effective means to help increase understanding of the sector and drive the policy process forward with a view to developing the European dimension in sport. It is the instrument that has been evaluated to work perfectly well over the past years in terms of providing the required outputs for a given cost. However, in order to further enhance cost-effectiveness, the report suggests that the Commission could increasingly share the results with relevant stakeholders and with relevant services internally. A simulation on the allocation of funds is provided in Annex III, which also illustrates that a moderate amount of funding should be directed to the instrument of studies/surveys/conferences.

### **Instrument D: Support for capacity building in sport**

Capacity building is potentially any assistance provided to organisations to develop specific skills or competences, or for general upgrading of performance ability. Capacity building for sport organisations could take essentially two different forms:

**Operating grants:** Support to finance some of the core operating costs of organisations that undertake activities that are in line with the specific objectives. Operating grants are available through a number of current EU programmes.

**Targeted support:** Rather than provide financial support for individual organisations' core activities, the EU could support measures to target specific needs of groups of sport organisations. Longer term competences development programmes (including training, staff exchanges, or twinning schemes) seem especially relevant.

*1. Promote good governance in sport in the EU and sustain sport structures based on voluntary activity*

Capacity building in the form of support for the development of human resources, organisational structures and processes has a high potential to contribute to promoting good governance in sport and enhancing the accountability, effectiveness and sustainability of sport structures.

Operating grants could be effective with a view to promoting good governance among European sport organisations. In the specific case of sport organisations, operating grants could be used to support European sport organisation whose mission is clearly valuable from a broader societal point of view. In fact, two such organisations received operating grants from the Europe for Citizens programme in 2008: the European Paralympic Committee and the European Non Governmental Sports Organisation (ENGSO). However, it is more difficult to see how operating grants to European organisations representing specific sport disciplines could be justified. For this reason, targeted support for specific processes or activities will be more effective with a view to building relevant capacities that promote good governance among European and national sport organisations and enable them to not only serve their members better, but also to participate more actively in the policy dialogue at EU level. This kind of support needs to be directed towards the development of specific skills, competences, structures or processes that have proven to be lacking, and whose enhancement would allow such organisations to better respect key principles of good governance. Where mutual learning is likely to generate significant benefits, the involvement of organisations from different sports should also be supported.

- 2. Promote health-enhancing physical activity and increased participation in sport*
- 3. Exploit the potential of sport to foster social inclusion and ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport*
- 4. Improve the education and training of sportspeople, in particular through the promotion of dual careers*

*5. Contribute to the fight against doping in amateur and grassroots sport*

Capacity building would be largely irrelevant with a view to all of these objectives.

***EU added value***

Structures and processes in sport are very diverse and fragmented, given the very nature of sport and the high number of actors and organisations in the sector. Dialogue and cooperation with key sport stakeholders at EU level, in parallel to the political process, is key to developing the European dimension in sport and to addressing the challenges in the sector. A successful and inclusive EU level dialogue with sport stakeholders to a large extent depends on the capacity of relevant sport stakeholders to understand and actively participate in this process, but especially on the degree to which principles of good governance are respected within organisations. EU policy making would therefore greatly benefit from strengthened capacity of certain groups of sport(-related) organisations and their ability to follow good governance principles. The EU would finally also have an image gain when demonstrating its readiness to help support the quality of processes and activities within the sector. The EU added value of this instrument must therefore be expected to be high.

### ***Efficiency***

Financial support for capacity building in the field of sport must be considered highly efficient if it is well-targeted. The costs for support targeted to the needs of specific groups of organisations can be expected to largely outweigh the gains in terms of improving good governance within sport organisations and of strengthening their capacity to understand and participate in EU level dialogue. A simulation on the allocation of funds is provided in Annex III, which also illustrates that a moderate amount of funding should be directed to the instrument of capacity building.

### **Instrument E: Support for exchanges of athletes / volunteers / sport professionals**

Exchanges or other forms of mobility are one of the cornerstones of the Lifelong Learning Programme (LLP); they allow different target groups to spend time in a different Member State for educational purposes, including university students (Erasmus), secondary school pupils and teachers (Comenius), professionals and participants in vocational education and training (Leonardo da Vinci), and staff in adult education (Grundtvig). Mobility also features in other programmes such as the Culture programme (for cultural operators) or the Erasmus for Young Entrepreneurs Preparatory Action.

In the context of incentive measures in the field of sport, exchanges could be envisaged for the following target groups who are currently not eligible to receive support for exchanges through any of the existing EU instruments:

Staff of sport organisations

Sport coaches or instructors

Young athletes

There are different ways in which exchanges could be supported from a financial and administrative point of view, including through individual grants to those spending time abroad, or through direct support for selected host organisations. If exchanges are to be supported, the pros and cons of different instrument will have to be carefully weighed before a selection is made.

*1. Promote good governance in sport in the EU and sustain sport structures based on voluntary activity*

In view of the constraints under which many sport organisations operate, in particular their reliance on volunteers, exchanges of staff of sport organisations can be effective to strengthen the capacity of such organisations and thereby promote good governance.

During his or her stay abroad, the visitor will be expected to contribute his or her own knowledge and experience to the host organisation. More importantly, he or she should acquire specific knowledge or skills that will help him or her to better ensure respect for principles of good governance within his or her own organisation, and/or a more active participation in the sport policy dialogue, after his or her return. In addition, such exchanges often create lasting personal bonds and thereby help to strengthen the working relationship between the two organisations, and can thus also contribute to the development of the European dimension in sport.

Learning effects are likely to occur mainly due to the vastly different levels of resources and professionalism of different organisations. Some very popular sports (such as football) generate more interest and resources than others, and therefore tend to be run by more well endowed organisations more or less everywhere in Europe. However, there are also sports that are more popular in some parts of Europe than in others, with important consequences for how relevant governing bodies and other organisations function. Thus, learning effects can be expected from exchanges between a variety of organisations. Ideally, this type of exchanges should be based on a benchmarking or similar exercise. Such exercises could form part of capacity building activities (see instrument E below).

#### *4. Improve the education and training of sportspeople, in particular through the promotion of dual careers*

In pursuit of the objective of improving the education and training of sportspeople, exchanges of coaches or instructors could be effective with a view to enhancing their awareness of the need to balance sport and study, and of effective approaches to do so. This could be achieved by enabling coaches or instructors from elite sport institutions or academies to spend time at an institution in another MS that is recognised as representing good practice when it comes to enabling athletes to combine training with education. The project “Athletes to Business” identified several such examples, such as the so called “Eliteschulen des Sports” in Germany or participating institutions in the “Olympic Career Path” programme in Hungary.<sup>49</sup> In any case, the implementation of good practices with a view to dual careers depends to a great extent on mobilising a variety of different actors, so exchanges of coaches and instructors should only be seen as a measure complementing transnational collaborative projects (see instrument A above).

In a similar vein, exchanges of young athletes could also be envisaged. Highly talented sportspeople often need training experience abroad to compete on the highest level in adulthood, in particular for specific sports. The EU could contribute to making such periods abroad compatible with a high quality education by supporting stays at high performance sport centres or academies that meet strict criteria with a view to the promotion of dual careers (e.g. because they form part of a specific national scheme or have signed up to a dual career charter). At present, access by athletes from another MS to such institutions is often prevented by the fact that they are subsidised by the relevant national authorities, who have no

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<sup>49</sup> A2B Guidelines “Promoting Dual Careers in the EU”, March 2011. URL: [http://www.athletestobusiness.eu/docs/budapest/A2B\\_guidelines\\_final.pdf](http://www.athletestobusiness.eu/docs/budapest/A2B_guidelines_final.pdf)

incentive to accommodate athletes who will eventually compete for other national teams. However, initial contacts with such relevant actors suggest that they would be willing to cooperate if they could be (partly) compensated for hosting foreign athletes. A positive effect on employability could be generated in the case of young athletes who would have to move abroad for a period of time, and who thanks to EU support for such exchanges would have the opportunity to train and study at a foreign institution that prioritises dual career.

2. *Promote health-enhancing physical activity and increased participation in sport*
3. *Exploit the potential of sport to foster social inclusion and ensure equal opportunities for all and reduce the incidence of violence, racism and other forms of intolerance in sport*
5. *Contribute to the fight against doping in amateur and grassroots sport*

Exchanges are unlikely to be effective with a view to any of these objectives.

### ***EU added value***

Exchanges and other forms of mobility in the field of sport may have added value at EU level insofar as they could contribute to reinforcing transnational links and generating knowledge and expertise by sharing good practices especially with regard to the attainment of objective 4. However, it seems that the same results may more usefully be achieved through collaborative projects examined as instrument A.

### ***Efficiency***

The management of individual grants for mobility would need the set-up of appropriate management structures, notably National Agencies in charge of administering a great number of micro-grants. In this respect, instrument E would be far more costly to manage than instrument A whereby the two instruments are likely to achieve the same results in particular with regard to objective 4.

On the basis of the considerations presented above, instrument E is discarded and consequently not integrated as one of the implementing instruments of the proposed incentive measures in the field of sport.

### **ANNEX III : Indicative allocations**

The following table shows the indicative annual allocation of funds for future incentive measures in the field of sport, on the basis of a hypothetical annual budget of EUR 30 million under option 2.

#### **Indicative annual allocation of funds per instrument and intervention area**

Area of intervention	Instruments				Total per intervention area
	A Transnat'l projects	B Support for European sport events	C Studies, surveys, conferences	D Targeted capacity building	
Good governance	€2m		€2m	€3m	€7m
HEPA	€5m	€3m			€8m
Social inclusion and fight against intolerance	€3m	€7m			€10m
Education and training	€3m				€3m
Doping in amateur sport	€2m				€2m
<b>Total per year</b>	<b>€15m</b>	<b>€10m</b>	<b>€2m</b>	<b>€3m</b>	<b>€30m</b>

With an annual budget of EUR 30 million that is distributed among the instruments and areas of intervention as outlined above, an EU Sport programme covering seven years (2014-2020) could be expected to produce approximately the following number of outputs, at a total cost to the EU budget of EUR 210 million:

Around 200 transnational collaborative projects lasting two years each;

Support for 20-25 non-commercial European sport events of major importance;

Approximately 100 actions to strengthen the evidence base for policy making, such as studies, conferences, seminars, etc.;

Targeted capacity building for sport organisations worth up to EUR 21 million.

It should be underlined that although the theoretical possibility exists that the proposed EU incentive measures may lead to a crowding out of incentive building in Member States or to reduced funding of existing programmes implemented by international sporting organisations, this is unlikely to happen in practice. The analysis of the effectiveness of the instruments for

the proposed measures clearly shows that the actions that are envisaged are currently not implemented either at national level or by international sport organisations.

Any crowding out that may be provoked by co-funding requirements which will be established when managing the proposed incentive measures is also highly unlikely since it would be implausible for a Member State to discontinue funding its own national sport projects in view of possible funding streams for international cooperation projects originating from the EU.

## **ANNEX IV: Executive Summary of the Report on the Evaluation of the Preparatory Actions and Special Events in the field of sport**

### ***(1) Preparatory Actions and special events in the field of sport***

Sport in the European Union context has been developing since the late 1990s. The 2000 Nice Declaration recognised the integral role of sport in European society, while through the 2004 European Year of Education through Sport the Commission co-financed about 200 sport-related projects. However, it was not until the 2007 White Paper on Sport that the EU addressed sport-related issues in a comprehensive manner. The White Paper identified three dimensions of sport (social, economic and organisational) that should be taken into account when developing the EU's approach and in the accompanying Action Plan "Pierre de Coubertin" suggested a number of actions to be implemented at EU level. The entry into force of the Lisbon Treaty (TFEU) in December 2009 marked another milestone, conferring a direct competence to the EU in the area of sport. Article 165 stipulates that: "The Union shall contribute to the promotion of European sporting issues, while taking account of the specific nature of sport, its structures are based on voluntary activity and its social and education function".

Following from this, a budget line was granted for three years of Preparatory Actions (from 2009-2011) in the field of sport and special annual events, with the general objective of preparing for future EU actions in the field of sport in view of the implementation of the sport provisions of the Lisbon Treaty. The total budget for the 2009-2011 period amounts to about EUR 25.5m, with activities consisting of:

Transnational collaborative projects, EUR 8.5m, about 40 projects, consisting of co-financing support to enable relevant actors (e.g. sport associations / federations, other sport organisations, local authorities, universities and research institutions, ministries, sport-specific businesses) to work towards EU objectives by creating sustainable networks; compiling, exchanging and generating knowledge and information; identifying, sharing and disseminating good practices; raising awareness of problems and challenges; and jointly developing / implementing solutions to such challenges;

Non-commercial sport events of major importance, five projects, EUR 8.5m, consisting of budgetary contributions to two European Youth Olympic Festivals (Tampere 2009 and Liberec 2010), two Special Olympics Summer Games (Warsaw 2010 and Athens 2011) and the Mediterranean Games (Pescara 2009);

Studies, surveys and conferences, 18 projects, EUR 2.1m, consisting of support to contribute to building common EU knowledge about the sport sector, the opportunities and challenges that it faces.

### ***(2) The evaluation***

The main task of the evaluation was to analyse and assess the relevance, effectiveness, and efficiency, as well as the EU-added value, of the Preparatory Actions and special events that

were carried out during 2009 and 2010, the first two years of Preparatory Action funding.<sup>50</sup> The evaluation collected data and information through a mix of primary and secondary sources, with a heavy emphasis on the former. The main data collection methods were:

A survey of coordinators and partners for the transnational projects funded in 2009;

A survey of coordinators for the transnational projects funded in 2010;

Case studies of seven 2009 transnational projects, one conference and three non-commercial sport events. The case studies included interviews with the project coordinators / event organisers and partners, and detailed analyses of available outputs, reporting and other documentation;

Desk research, including analyses of relevant policy documents, programme information and budgetary data.

### **(3) Summary of key findings**

#### **(a) Relevance**

##### Transnational projects

The objectives and Annual Work Programmes of the Preparatory Actions were relevant and consistent with the sport provisions of the Lisbon Treaty and other EU policies, ranging from overarching policies such as the Europe 2020 Strategy to subject-specific documents such as the Together for Health White Paper.

##### Non-commercial sport events

While the support of a number of special events could be considered to be clearly linked to the provisions of the Lisbon Treaty, the design of the Commission's support limited what the events were able to achieve. Lack of a competitive and selective tendering process, with well articulated objectives and links to the Commission's policy agenda, meant that it was difficult to measure whether any tangible contribution had been made to high level policy objectives.

##### Studies, surveys and conferences

The studies, conferences, seminars were used to facilitate new information and exchanges of good practice and contacts between key organisations in sport across a number of high priority areas. These were relevant to developing the EU dimension in sport and, more generally, can also be linked to policies such as the Europe 2020 Strategy.

#### **(b) EU added value**

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<sup>50</sup> Due to the timing of the evaluation, the 2011 activities are not taken into account here. Moreover, the majority of data collected refers to projects funded in 2009, which were complete in time for the data collection phase of the evaluation.

### Transnational projects

EU added value was demonstrated in a number of ways, including:

Alleviating discrepancies between Member States;

Spreading best practices;

Testing the viability of networks across the subject areas supported;

Providing policy support through knowledge generation;

Strengthening the European dimension in sport.

Importantly, none of the projects could have been carried out successfully by organisations acting at national level, since they addressed issues with a cross-border element and / or challenges for which no one Member State had identified a complete solution. The transnational projects have facilitated the spread of innovative methods and expertise.

At the project level, the EU added value varied according to such factors as maturity of the sector in question, the composition of individual networks and the types of organisations involved, the limited duration of support (i.e. one year) and the management procedures of projects. It is also clear that, while support for long-existing networks may be more effective in the short term, promoting the establishment and expansion of networks also demonstrates European added value. Support for transnational projects found a good balance between these two possibilities for adding value.

### Non-commercial sport events

The EU-added value of support for special events did not realise its full potential and could have been significantly increased had the Commission been given the opportunity to set specific award criteria against which applicants could have been scored and held accountable.

### Studies, surveys and conferences

Studies, surveys, conferences and seminars fulfilled their role of providing the Commission and other actors with policy support and developing the EU dimension in sport. They also contributed to the establishment of the Commission as an important contributor to the development of EU sport.

## *(c) Effectiveness*

### Transnational projects

At a general level, it was difficult to translate project outcomes into tangible lessons for policy makers, given the short timeframe of the projects and their experimental nature. However, the projects achieved considerable success in promoting sport issues and developing the European dimension in sport, in particular with regard to building and strengthening networks between

partner organisations in different sectors, and kick-starting cooperation between organisations working on sport around Europe.

Individual projects demonstrated considerable success in achieving their own objectives. The identification and publication of printed materials were achieved to a great extent. Developing and strengthening knowledge between project partners was a key achievement, while progress in networking at a truly European level proved more difficult, unless EU umbrella-type organisations were included in the network of partners.

More specifically, networks fostering multi-lateral collaboration between partners, rather than bilateral contact between individual partners and the coordinating organisation, appear to have been the most sustainable and successful. Key factors which positively or negatively affected what the transnational projects could achieve included the size and make-up of the network (for example, projects required partnerships involving organisations with experience relevant to reaching project goals). Additionally, it was difficult for projects to claim EU-level relevance, for example when mapping activities were carried out in a limited sample of countries. Well managed projects achieved more, using resources more efficiently and drawing out the potential synergies of partners.

#### Non-commercial sport events

Aside from the Mediterranean Games, the other two special events investigated (EYOWF and European Special Olympic Summer Games) contributed to supporting the development of the European dimension in sport. These events seemed to take into account policy areas expressed in the White Paper to develop a range of side activities to support EU ideals. All events also met their specific objectives. However, the lack of specific award criteria made it difficult for the Commission to ensure that these objectives fit with the rest of objectives of the Preparatory Actions.

#### Studies, surveys and conferences

These activities were useful tools for the promotion of EU sporting issues and the provision of information to the Commission and the broader EU sport community. The information is likely to be used to contribute to better policy making in the subject areas covered in addition to strengthening the European dimension in sport. Additionally, the evidence indicates that the individual activities funded were carried out successfully and achieved the objectives set for them.

#### *(d) Efficiency*

##### Transnational projects

The selection procedure for the transnational projects appears adequate and robust. While the calls for proposals were sufficiently flexible and widely publicised to stimulate the formation of new networks, existing networks were also encouraged to expand or broaden in scope. However, it is evident that organisations which had not previously been awarded funding had trouble breaking through.

On the programme level, the structure set up to administer the networking projects has been efficient. However, a larger, sustainable programme would likely be more efficiently managed by an Executive Agency, leaving policy officers the chance to more strategic matters. While the Executive Agency would be expected to take charge of most administrative matters, DG EAC's policy experts could retain an advisory role for project coordinators and partners.

The budget allocated to the Preparatory Actions proved sufficient to test a limited number of network themes, types and sizes while employing a robust, but not overly restrictive selection process.

#### Non-commercial sport events

The budget allowed the Commission to test several types of support for non-commercial sport events of major importance. Despite the lack of a competitive bidding process or objective selection criteria, specific types of events (i.e. those aimed at youth and people with disabilities) and activities carried out therein (e.g. peripheral activities aimed at the local population) demonstrated their effectiveness. This can be taken into account during the planning of future incentive measures.

#### **(4) Conclusions and recommendations**

Based on the findings of the evaluation, the following conclusions and recommendations are made to address shortcomings and make improvements for future incentive measures in the field of sport. They are centred on responses to a set of questions posed in the Terms of Reference for the evaluation.

##### **(1) How can the incentive measures supporting the policy cooperation mechanisms be improved?**

Based on the evidence sourced during the evaluation, the measures could be improved in the following ways, by:

#### Transnational projects

- Capturing the lessons that have been learned by EC staff and project coordinators from the testing phase (2009-2011) in a structured way to ensure that the full benefit of the Preparatory Actions is taken into account in the development of the future programme.
- Increasing the duration of projects (in line with similar projects supported through other Commission programmes) to allow for more ambitious objectives and activities, while reducing administrative burden and improving the cost-effectiveness.
- Ensuring that the programme objectives and award criteria set for future incentive measures are in line with the size and scope of the individual projects to be funded, and the programme as a whole.

- Placing greater emphasis on the make-up of networks, plans for project management, and the expected contribution that each partner will make to project activities and objectives.
- Placing greater emphasis on the ultimate use of best practice collections, guidelines and the like. Projects must achieve clear EU added value and where possible spread and support the embedding of good practice to address discrepancies between different organisations and Member States.
- Ensuring that activities organised to promote sport among the general public address programme objectives, demonstrate a clear EU added value and / or contribute to the development of the European dimension in sport.

#### **Recommendations**

- It is recommended that a workshop is held after the Preparatory Actions are completed to facilitate a structured approach to capturing lessons learned. The Commission should host and chair the workshop and invite all project coordinators.
- It is recommended that projects of up to three years should be supported in the future. Programme objectives and award criteria should be adjusted to reflect this increased length, and the fact that the experimental, preparatory phase for incentive measures has come to an end. In particular, project proposals should include:
  - Need / expected added value to the sector in question;
  - Strength and relevance of the network and access to additional (e.g. pan-European) networks;
  - Plans for project management, including the specific roles for each partner in the design and implementation of activities and the potential for synergies between participating organisations;
  - Plans for dissemination of best practice collections, guidelines etc. including target beneficiaries and expected outcomes;
  - SMART objectives, including clear explanations stating how progress will be recorded.
- It is recommended that an emphasis on EU added value relates to all aspects of the projects, including activities aimed at the general public at local level. These should be based on identified good practice to ensure that maximum synergies between network partners are exploited and that the network and EU brands are given adequate weight.

#### Studies, surveys, conferences and seminars

- It is concluded that the current approach does not need to be modified.

#### **Recommendation**

- It is recommended that the current approach to studies, surveys, conferences and seminars is continued.

### Special events

- Using a competitive process, involving the use of transparent award criteria to select the special events that will receive EU support, would help to ensure that the events contribute to overall programme objectives.
- Support for Europe-focused special events involving young people and the disabled has been shown to produce EU added-value and contribute to the European dimension in sport. It is also broadly consistent with wider EU policies.
- Relying on traditional PR activities, such as press releases, is not highly effective at communicating the EU dimension in sport. The press tends to focus on the content of the event (for example competition results) rather than EU messages, while the presence of the EU logo is limited in what it can convey. However, the development of specific activities peripheral to the main sport competitions can be effective at making progress towards programme objectives. These activities include inter alia programmes for local schools and seminars taking place in parallel to the main event.
- The special events supported by the EU were not required to address a number of the priorities expressed in the 2007 White Paper, for example the use of the Eco Scheme, cross border volunteers and the development of good practice in the management of large events.
- It has been difficult to assess the outcomes of EU funding for special events. This stems from both a lack of specific requirements for event organisers and a lack of evidence of tangible outcomes.

### **Recommendations**

- It is recommended that the selection of special events is made via an open tendering process with transparent award criteria. Inter alia, events should comprise:
  - A non-commercial European sport event involving young people and / or the disabled (events that mainstream disabled competitions are to be encouraged);
  - Activities peripheral to the main sport competition that contribute directly to programme objectives;
  - Plans for awareness raising of the European dimension in sport / EU sporting issues, integrated within the main event;
  - The use of cross-border volunteers;
  - Use of the Eco Scheme.
- A set of requirements for event outcomes should be defined, including:

- Justification that financial support led to EU added value;
- Tangible evidence demonstrating that objectives have been met;
- A report highlighting lessons learned and good practice in the organisation of special events involving cross border volunteers.

**(2) How can the synergies and interaction between the different kinds of stakeholders be improved?**

- Encouraging the involvement of partners representing different types of organisations, where this adds value to project goals, could be made explicit in relevant EC documentation (e.g. Annual Work Programmes, Calls for Proposals). Feedback from partners in the 2009 projects suggests that complementary expertise provides fresh insight and adds value to project outcomes.
- Defining good practice / lessons learned in project management based on experiences from the Preparatory Actions could also help to achieve this goal. Examples from the 2009 Preparatory Actions include:
  - Partner selection processes to strengthen the make-up of networks;
  - Clearly defined practices for effective communication between network partners;
  - Project management methods that draw on the inputs of all partners and facilitate cross partner information exchange (rather than bilateral exchanges between coordinators and individual partners only).

**Recommendations**

- It is recommended that future Calls for Proposals are amended to reflect the experiences of the Preparatory Actions. Without increasing the administrative burden, during the selection process networks could be privileged that demonstrate:
  - A set of partners representing a diversity of organisation types;
  - A well reasoned rationale for selected networking partners;
  - Project management methods assigning responsibility evenly across partners according to expertise.
- It is recommended that DG EAC consider assigning financial responsibility for networking projects to more than one organisation per project.

**(3) How can the management system of the incentive measures be organised in order to be more effective and efficient?**

The Preparatory Actions and special events have been administered wholly by DG EAC staff. This ranged from purely administrative tasks (e.g. making financial transfers) to the evaluation of project proposals, and the provision of ad hoc advice to project coordinators and partners. The evaluation assessed this system as sufficiently efficient, especially in light of the experimental nature of the Preparatory Actions and the commensurate need to monitor projects closely (particularly given the proportion of networks and organisations receiving EU funding for the first time). However, the evaluation also revealed some room for improvement. Notably, formal reporting requirements, while considered onerous by project coordinators, would have been better tolerated if timely and constructive feedback had been provided.

While efficiency savings for future incentive measures will likely be achieved through outsourcing administration to the Education, Audiovisual and Culture Executive Agency, fully handing over responsibility for a future programme will subtract from the informal, advisory role currently played by DG EAC officials vis-à-vis project coordinators and partners. Instead, the Commission could continue to fulfil this function through encouraging contact between its own policy experts and staff of the organisations responsible for implementing transnational projects. In addition, DG EAC officials could work with the Executive Agency in order to ensure that formal reporting adds value to the projects, rather than being seen merely as a box-ticking exercise. This would achieve the sought after cost savings while involving DG EAC staff in the areas where they can add the most value.

At the level of individual projects, the evaluation found that networks functioned best when work was apportioned equally among those involved, whereas in ‘hub and spoke’ networks not all partners contributed fully. While some networks achieved the right balance during the Preparatory Actions, in future the Commission could encourage better working methods inter alia through allocating financial responsibility to more than one organisation per project and requiring organisations to define roles for all project partners during the proposal stage.

**Recommendations**

- It is recommended that the Commission outsource administration of future incentive measures to the Education, Audiovisual and Culture Executive Agency. However, DG EAC officials should continue to provide project coordinators with informal and ad hoc advice in their areas of expertise. This would lead to efficiency gains, as Executive Agency staff are accustomed to and have systems set up for administering large-scale funding programmes, while DG EAC would be able to channel its own limited human resources into the provision of policy expertise.
- Calls for Proposals should be designed as to encourage project coordinators and partners to share project ownership equally among coordinators and partners. In particular, this could include assigning financial responsibility to more than one organisation per project and a requirement to describe during the proposal process how each partner will be involved in the development and implementation of activities.

**(4) Which are the most effective and useful activities and what should be their relative weighting, considering the needs in the field of sport and the policy objectives? What should be the level of funding devoted to incentive measures in order to reach a critical mass of impacts cost-effectively?**

This evaluation has determined that an appropriate level of funding has been devoted to testing transnational projects, major sport events and studies, surveys and conferences. While the limited budget for Preparatory Actions was only able to test networks in several subjects per year, in order to achieve a critical mass of impacts cost effectively, a future programme should fund transnational projects in all relevant areas on an ongoing basis.

Taking into consideration the EUR 8.5m budget for networking projects over the three years of Preparatory Actions, the magnitude of problems in each subject area, interest and absorption capacity of relevant organisations, an annual allocation of about EUR 15m for transnational projects should be envisaged.

In light of the perceived effectiveness of support for major sport events, and the recommendations made in this evaluation for a greater focus on specific activities peripheral to the events themselves, an annual budget similar to the one available during 2009-2011 could be continued in future, with a small increase to allow for funding of more specific activities at the sport events (where the Commission can potentially achieve the greatest impact). This would amount to about EUR 4m annually and would be dedicated to events with a focus on youth and / or people with disabilities, where the Commission can realistically achieve substantial visibility.

The annual allocation of about EUR 0.65 for studies, surveys and conferences could be increased to EUR 1m. This would allow future incentive measures to consider the wider spectrum of activities to be covered. In addition, following the entry into force of the Lisbon Treaty, this would provide policy support measures linked to increased cooperation at EU level in the field of sport.

Therefore, in total, an annual budget of at least EUR 20m could be envisaged in line with the table below.

	Instruments			Total per year
	Transnat'l collaborative projects	Support for European sport events	Studies, surveys, conferences	
	€15m	€4m	€1m	€20m

**Recommendations**

- It is recommended that the majority of funding for future incentive measures be

dedicated to transnational networking projects, as these have shown the greatest potential for achieving EU added value across the range of priorities reflected in EU sport policy. Substantial amounts should also be allocated to support for European sport events, which have in particular been proven effective in the fields of health-enhancing physical activity and social inclusion, while a small proportion of future funding for incentive measures could be usefully employed for studies, surveys and conferences which also add value.

- It is recommended that an annual budget of about EUR 20m is allocated as a minimum for achieving a critical mass of impacts cost effectively. This takes into account the magnitude of problems in specific subject areas, the absorption capacity of networks and the types of outcomes achieved during the years of Preparatory Action funding as well as the costs of administering incentive measures. However, it is also worth noting that a higher budget would increase the impact of future incentive measures in the field of sport. Roughly three fourths of this annual budget should be dedicated to transnational networks, while one fifth could be used to support sport events and the rest to sponsor / commission studies, surveys and conferences on topics of particular importance.

#### **(5) What are the actions / areas where the EU can provide most added-value?**

It is not possible to make comparisons between the effectiveness of the different types of interventions because of their different operating formats. Therefore, each intervention type is addressed separately.

##### **Transnational projects maximise added value when:**

- Projects facilitate cooperation and exchanges of good practice between sport organisations in Europe so that discrepancies between Member States in different sport sectors can be addressed;
- Project teams are comprised of partners which add value individually to the whole project and have significant networks and / or access to organisations with significant networks to facilitate wide dissemination of value generated;
- Projects are run by coordinators with proven project management experience who have a plan to maximise the potential synergies that can be generated between the partners in their project.

##### **Studies and surveys maximise added value when:**

- They meet a need for data recognised by the specific sport sector, generate robust data to increase understanding of that sector, and provide information that is shared among all stakeholders.

#### **Recommendations**

- It is recommended that the Commission ensure that sport stakeholders are consulted on the potential topics to be addressed by studies and surveys.
- It is recommended that the Commission make efforts to share the results of studies and surveys with relevant stakeholders both inside and outside the Commission.

**Conferences and seminars maximise added value when:**

- They bring principal sport stakeholders within a sector together to discuss a specific topic that is not facilitated by another forum.

**Recommendations**

- It is recommended that the Commission continue to support conferences and seminars.
- It is recommended that the practice of involving key external stakeholders in the design and implementation of events be continued to ensure maximum relevance and applicability to participants.
- It is recommended that the objectives and desired outputs of events should be clearly identified and, where possible, events should initiate follow up activities beneficial to the sport sector.

**Special events maximise EU added value when:**

- They support European sporting events which facilitate competitive sport among young people and the disabled. These events provide additional value when they also facilitate specific activities to promote the societal benefits of sport to other stakeholders, in particular for social inclusion and youth, in addition to building a European presence at major sport events.

**Recommendations**

- It is recommended that the Commission support European special events involving young people and the disabled.
- It is recommended that the Commission split funding between support to the operating costs of the event and the financing of specific activities, which contribute specifically to programme objectives.

## **ANNEX V: Executive summary of the Impact Assessment accompanying the Communication from the Commission "Developing the European Dimension in Sport"**

This impact assessment accompanies the Commission's Communication on "Developing the European Dimension in Sport". A summary of the main aspects of the impact assessment is presented hereafter.

### **Background**

Article 165 of the Treaty on the Functioning of the European Union (TFEU) gives the EU a new competence to support, coordinate or supplement the actions of the Member States in the field of sport. The Treaty calls on the EU to contribute to the promotion of sporting issues and provides for EU action aimed at developing the European dimension in sport.

Article 165 TFEU also contains a reference to "incentive measures in the field of sport", based on which the Commission could have considered proposing a new spending scheme within the ongoing Financial Perspectives, for instance a limited 2-year EU sport programme. While there is awareness within the Commission of the high expectations from sport stakeholders regarding financial support from the EU in line with the Treaty mandate, an analysis of the current situation has led to the conclusion that there are important budgetary and substantive constraints pleading against such a proposal at this stage. Firstly, the remaining margin within the relevant chapter of the EU budget is very limited. Thus, a financial volume which could have allowed a first EU Sport Programme that would have had the potential of meeting its objectives could not be proposed. Secondly, the ongoing 2009 and 2010 Preparatory Actions in the field of sport have not yet been subject to an independent evaluation to justify the EU added value of a programme. An Impact Assessment for a future EU Sport Programme (as of 2014), drawing on the evaluation of the relevant Preparatory Actions in the field of sport, can only be completed in 2011. These considerations have led DG Education and Culture to reconsider its initial plan for a 2010 initiative combining a policy proposal with a spending programme.

This impact assessment is therefore carried out solely for a policy initiative (Communication) to implement the Lisbon Treaty in the field of sport. It builds on the new Treaty provisions and on a wealth of information gathered in the informal EU cooperation on sport over the past years, in particular the experience gained with the implementation of the 2007 White Paper on Sport and through a broad consultation process carried out in 2010.

### **Problem definition**

As a first step, the impact assessment addresses the need for EU action by identifying the main general and specific problems facing sport at EU level. Evidence suggests that there is scope for furthering the positive values and effects of sport, that there are threats jeopardising the sector's potential to contribute to society and to the economy, and that the development of the sport sector faces particular challenges.

However, no strategy has existed so far for an EU approach to sport that would engage the Commission and the Member States on the basis of a common agenda and that would be able to address the challenges in a comprehensive manner. The full potential of the sport sector to contribute to the EU's strategic objectives in the social and economic fields has so far remained unexploited.

The identification of the specific problems and challenges was conducted keeping in mind the Treaty's mandate and the necessity to exclusively address problems that are relevant at EU level (subsidiarity). They have been identified as follows:

- Challenges connected with sport's health-enhancing, social and educational functions:
  - Health concerns due to lack of physical activity;
  - Social exclusion of disadvantaged groups and unused potential of sport;
  - Unadapted systems to combine sport and education;
- Challenges for sustainable sport structures:
  - Insufficient support for voluntary activity;
  - Current and future challenges to the sustainable funding of sport, also in light of the regulatory changes in Member States in the gambling sector;
  - Inadequate protection of intellectual property rights;
- Doping as a threat to the physical and moral integrity of sportspeople;
- Discrimination in sport on grounds of nationality;
- Unused scope for improving EU-level dialogue on sport;
- Perceived lack of legal clarity regarding the application of EU law to sport;
- Insufficient information on sport for the EU-27.

## **Objectives**

In a second step, the impact assessment identifies the objectives of the planned initiative. Overall, the planned initiative should aim at making a contribution to the EU's overarching objectives laid down in the Europe 2020 strategy in terms of sustainable growth, fighting unemployment, reinforcing social inclusion and advancing people's Europe.

In *strategic* terms, the planned initiative should aim at providing the Commission and the Member States with a framework for EU-level activities in the field of sport that should foresee actions to be carried out on the basis of Article 165 TFEU.

In line with the specific challenges identified, the impact assessment elaborates on the *specific objectives* that the planned initiative should aim to achieve:

- Promote the health-enhancing, social and educational functions of sport;
- Support sport structures based on voluntary activity;
- Protect the physical and moral integrity of sportspeople;
- Promote fairness and openness in sporting competitions;

- Enhance dialogue and cooperation with sport stakeholders;
- Increase understanding of the application of EU law to sport;
- Support an evidence base for sport in the EU-27.

Under this chapter, the impact assessment furthermore analyses whether EU action is justified on grounds of subsidiarity and it describes the EU added value of the planned initiative.

In line with the Treaty mandate and since Member States have full competence in the field of sport, the EU initiative will not substitute the actions of the Member States but propose additional action in full respect of subsidiarity requirements and in areas where experience has demonstrated that progress in addressing the challenges identified cannot be sufficiently achieved by Member States in the framework of their national constitutional systems. The planned initiative will not go beyond what is necessary to achieve the defined objectives, but take account of proportionality requirements and the Treaty mandate, which excludes harmonisation and only provides for soft tools for EU-level action. The planned EU initiative will be implemented on the basis of existing national and European structures.

Regarding the rationale for European added value, the EU will act as a catalyst in order to increase the impact of national actions in the interest of sport. The EU-level initiative will allow for the development of activities that establish links between different organisations and actors in and outside sport, including in particular public authorities at European, national, regional and local levels, sport organisations, sport-related organisations, and educational bodies. The actions will lead to the exchange of know-how and good practices in different areas relating to sport and physical activity (e.g. health, education, social inclusion). The EU can thereby provide opportunities for cooperation among stakeholders that would not have existed without EU action.

### **Policy options**

In a third step, the impact assessment identifies three policy options that represent possible toolsets to meet the objectives identified:

- Option A: Cooperation based on the 2007 White Paper on Sport (baseline scenario);
- Option B: Definition of a strategic medium-term framework for cooperation in sport, based on a new EU Agenda for sport (framework + new agenda);
- Option C: Definition of a strategic long-term policy framework, based on the creation of an Open Method of Coordination in the field of sport (long-term framework + OMC).

### **Assessment of impacts**

In the next chapter, each of the three policy options is assessed in relation to

1. expected economic, social and environmental impacts, including an assessment of most important impacts in terms of likelihood and magnitude;
2. efficiency, which considers the relationship between inputs and the desired impacts and it also assesses the Commission's ability to deliver;

3. effectiveness, which considers the likelihood of achieving the objectives the initiative tends to achieve;
4. coherence in relation to overarching goals of EU policy.

a) Common to all options are the positive social and, to a lesser extent, economic impacts that could generally be expected from measures at EU level aimed at promoting the societal functions of sport through action in core areas, i.e. *health-enhancing physical activity, social inclusion, education and training, and voluntary activity* (e.g. leading to healthier and more inclusive societies as well as to enhanced employability). Strategically oriented and coordinated policy approaches as provided for under Options B and C and in particular an OMC (Option C) are likely to strengthen these positive effects. Further political efforts to *fight doping* involving relevant stakeholders at national, European and international levels is likely to have an indirect positive effect in terms of an improved image for sport in society and credibility for sporting competitions.

New action aimed at policy coordination in other areas, such as support for sport structures (e.g. action aimed at ensuring *sustainable financing* of grassroots sport) potentially has positive economic impact in terms of more stable and better adapted sport structures in increasingly competitive markets, which potentially enhances the quality of sport services, which in turn can help to ensure people's access to local sport structures. Political approaches to tackle discrimination in sport (e.g. action in the field of *free movement of sportspeople*) can have a positive impact on the functioning of the Internal Market and can also help avoiding discrimination of EU citizens. Policy action aimed at more *legal clarity* regarding sporting rules through increased understanding about the application of EU law to sport thanks to specific guidance at EU level is likely to have a positive impact on the functioning of the Internal Market, as it potentially helps the sport sector to develop its activities within a sound legal framework. It can also help avoid tensions between different actors or legal conflicts. Support aimed at improving *EU dialogue and cooperation* structures can lead to better cooperation with stakeholders as well as inclusive and transparent processes. Experience from other sectors, e.g. education, culture, youth, shows that political support for developing an *evidence base for the EU-27* can lead to better informed national and European policy making based on sound economic reasoning, for instance regarding public spending or investment decisions. Access to information of sufficient quality can equally benefit other actors, such as sport organisations, which have to ensure sound economic management of their activities.

Regarding environmental impacts, the report recognises that sport, in particular large sport events, can to some extent negatively affect the environment. All options, although to different degrees, can potentially promote environmentally friendly approaches.

Each of the options is then assessed in terms of the likelihood that the most important and desired positive impacts will occur and their magnitude. The most important impacts are identified to be threefold: *improvement of public health, social inclusion of disadvantaged groups, and contribution to employability and jobs*. The likelihood and magnitude is generally found to be higher for Options B and C than for Option A given the strategic political framework and new actions foreseen under these options as compared to the baseline.

b) The efficiency of Option A has been assessed very low, despite the positively rated human resources implications and despite the fact that the Commission would have the systemic capability to deliver. The reason for this assessment are the high likelihood that this Option

would not reach desired impacts and the fact that a mere continuation of ongoing activities appears to be difficult to justify in light of the new Treaty mandate that explicitly calls for EU action in the field of sport. In contrast to Option A, Option C requires proportionately high inputs in terms of human resources, while the likelihood of this option to reach desired impacts is high to very high. An improvement of efficiency must therefore be assumed for Option C in relation to the baseline. Regarding the ability to deliver, there is to date no experience with launching an OMC in a new horizontal policy area like sport. At this early stage of formal EU cooperation in the field of sport, there is not yet sufficient evidence for a developing consensus for an OMC. Option C's ability to deliver has therefore been rated negative in comparison with the baseline. The assessment of efficiency of Option B comes to a more balanced result as regards both the relationship between impacts (high likelihood of reaching desired impacts) and inputs (no additional human resources needs). Moreover, the ability to deliver has been rated very high as compared to the baseline, given the stated support from governments and stakeholders for the approach suggested under Option B. Overall efficiency for Option B has therefore attained the highest score among the options.

c) Regarding its effectiveness, each option is assessed with regard to the strategic objective (new strategic approach to EU-level cooperation in sport) and the seven specific objectives that the initiative aims to achieve. Option A does not meet the strategic objective and only makes a very limited contribution to achieving the specific objectives. Options B and C, through the creation of an EU framework for sport, can reach the strategic objective. Concerning the achievement of objectives related to core areas where an OMC can most likely be implemented, the effectiveness of Option C is rated higher than that of Option B. Similarly, through targeted actions foreseen in the EU Agenda for areas aimed at tackling objectives relating to fairness and openness in competitions, dialogue and cooperation in sport, and regarding more clarity on the application of EU law to sport, Option B must be rated higher than Option C. As an aggregated score, the likelihood of Option C to reach the objectives is assessed to be slightly higher than that of Option B.

d) The coherence of the options is assessed with regard to the overarching goals of the Europe 2020 strategy, the EU Health Strategy and the functioning of the Internal Market. Option A, given the lack of any new action, is not considered to be coherent with the overarching goals. Options B and C both make a contribution to growth and jobs, public health, and to the Internal Market. It is assumed that a long-term policy approach providing for an OMC is a slightly more coherent approach to reach general EU policy goals, in particular those relating to Europe 2020 (by helping the sport sector develop its full growth and jobs potential), which is expressed in the slightly higher value of Option C in comparison with Option B.

### **Comparison of options / choice of preferred option**

The following chapter of the report summarises the comparison of the options in light of the four criteria based on the assessment of impacts, efficiency, effectiveness and coherence.

- The positive economic and social impacts of Options B and C are likely to be similar, while the new EU Agenda, provided for under Option B, seems particularly conducive to furthering them. The level of impact can be expected to be slightly higher under Option C, that would result in an OMC for certain core areas of EU-level cooperation in sport (e.g. health-enhancing physical activity).

- Concerning efficiency, Options A must be rated very low. Despite a much higher level of inputs, Option C is likely to be more efficient as compared to the baseline, but more difficult to deliver. Option B is more efficient than the baseline and more efficient than Option C. Moreover, the Commission's ability to deliver desired impacts reaches the highest score under Option B.
- Regarding effectiveness, the attainment of the objectives cannot be guaranteed under Option A, while Options B and C both reach the strategic objective and the specific objectives. Option C is likely to produce slightly higher effects.
- Regarding the coherence criterion, Option A is not conducive to achieving the EU's overarching social and economic goals while Options B and C can both make a valuable contribution. Option C, providing for an OMC, is considered the most suitable instrument.

The impact assessment concludes that Option B is the most appropriate way to respond to the challenges faced by sport in the EU and to implement the sport provisions of Article 165 TFEU. Option B is the most balanced option and the one that is likely to provide the greatest net benefits in this phase of developing the EU dimension in sport.

On this basis, the Commission will propose a **Communication defining a policy framework for cooperation in sport at EU level, including a new EU Agenda for sport**. The Communication should also announce an Impact Assessment for a possible EU Sport Programme from 2014 onwards, in order to complement the cooperation framework.

### **Monitoring and Evaluation**

Finally, the impact assessment presents an overview of the planned steps regarding monitoring and evaluation, notably by listing a first set of core indicators of progress towards meeting the general and specific objectives pursued by the proposed initiative (Option B). Part of the proposed EU framework for cooperation in sport will be an evaluation in 2015, which should provide an opportunity to consider the possible introduction of an OMC for certain aspects of cooperation in sport at EU level.