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# **Guide to the design, monitoring and evaluation of innovative active labour market programmes targeting individuals at risk of labour market exclusion**

*Valli' Corbanese and Gianni Rosas*

Employment Programme  
Subregional Office for Central and Eastern Europe





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*Valli' Corbanese and Gianni Rosas*

*This tool was developed by the Project " Assistance to strengthen the employment and training system of the National Employment Service of Albania" that is financed by the Italian Ministry of Foreign Affairs*



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## CONTENTS

Introduction .....	III
Purpose of the guide .....	1

### PART I – DESIGN OF EMPLOYMENT PROGRAMMES

1. Identification of priority economic sectors, occupations and skills .....	8
2. Design of active labour market programmes .....	10
2.1. Key features of the active labour programmes .....	10
2.1.1. <i>Employment counselling and job search assistance</i> .....	14
2.1.2 <i>Work-training programmes</i> .....	17
2.1.3 <i>Employment subsidies</i> .....	22
2.1.4 <i>Self-employment training</i> .....	23
2.2. Participation criteria for end beneficiaries .....	24
2.3. Participation criteria for partner enterprises .....	25
2.4. Human resources allocation at local level.....	26
2.5. Advertising and launching the programmes .....	26

### PART II – ADMINISTERING EMPLOYMENT PROGRAMMES

1. Delivery of employment promotion programmes.....	28
1.1 Selection of end-beneficiaries and partner enterprises .....	28
1.2 Building the profile of individual participants .....	32
1.3. Matching individual needs to programmes and labour market requirements .....	35
1.3.1 Matching individual needs to partner enterprises for work- training programmes.....	37
1.3.2 Matching individual needs to partner enterprises for employment subsidy programmes .....	40
1. 3.3 Matching individual needs to self-employment programmes.....	41
<i>Selecting self-employment training providers</i> .....	43

### **PART III – MONITORING OF EMPLOYMENT PROGRAMMES**

1. Establishing a monitoring system for employment promotion programmes .....	48
2. Counselling sessions and enterprise visits during programme implementation.....	55
3. Follow-up (tracer) surveys to measure programme impact .....	57

### **PART IV –EVALUATION OF EMPLOYMENT PROGRAMMES**

1. Evaluating net employment and earning impact .....	62
2. Selecting the evaluation approach. ....	64
2.1. Experimental techniques.....	64
2.2. Non-experimental techniques. ....	69
2.3. Macro-economic evaluations .....	74
2.4. Cost-benefit analysis.....	75
3. Use of the evaluation findings .....	77

### **PART V – TOOLKIT**

Tool 1 – Template of Individual Employment Plan .....	80
Tool 2 – Sample training plan .....	84
Tool 3 - Template summary information.....	87
Tool 4 – Sample tracer questionnaire (participants).....	88
Tool 5 – Sample tracer questionnaire (non-participants).....	104

## Introduction

This guide was developed by the Employment Programme for Central and Eastern Europe of the ILO to support the National Employment Service (NES) of Albania to plan and administer innovative employment programmes as part of the technical assistance provided by the Project “*Assistance to strengthen the employment and training system of the National Employment Service of Albania*”.

The key features of the programmes and the piloting process were decided upon by a working group comprising representatives of the Employment Policy Department of the Ministry of Labour, Social Affairs and Equal Opportunities (MOLSAEO) and the NES. Based on these features, Valli’ Corbanese and Gianni Rosas of the International Labour Office developed the first draft of the guide. This also takes into account the feedback provided by the trainers and counsellors of several Regional Offices of the NES during the training workshops on the design, monitoring and evaluation of employment programmes that were conducted by the ILO during the period July 2008 – May 2009. The inputs of the officials and experts of both the MOLSAEO and the NES are gratefully acknowledged together with those of Ms. Mirela Kasmi of the ILO.

The employment promotion programmes to be piloted by the ILO Project in collaboration with the NES are aimed at addressing the specific labour market disadvantage faced by individuals – for instance low education level, lack of work experience, discriminatory practices based on personal characteristics such as sex, national origin and disability – through multi-faceted interventions combining training, employment counselling, labour market information, job search assistance and subsidized employment.





## Purpose of the guide

The guide has been designed to support the practitioners of NES in the design, administration, monitoring and evaluation of programmes targeting the disadvantaged unemployed. More specifically, this tool has been developed to:

- Suggest a practical step-by-step approach to establish eligibility criteria for partner enterprises, training providers and end-beneficiaries;
- Guide case managers in the administration of employment programmes that mix career counselling, labour market information, job search assistance, vocational training and subsidized employment;
- Provide guidance to NES staff to measure programme impact and use the results to improve service delivery.

The suggested steps are to:

- Identify of the economic sectors, occupations and skills required by the national and local labour market;
- Define the key features of programmes that will address the labour market disadvantages of the unemployed and respond to labour market requirements;
- Define eligibility criteria for the unemployed and provide targeted counselling and guidance to identify barriers to labour market (re)entry.
- Set eligibility criteria for the enterprises that will partner with the NES to facilitate the (re)entry of targeted unemployed into the labour market;
- Prepare an individual employment plan that details the exact mix of employment and training services needed by the individual;
- In collaboration with enterprises, design training plans for the acquisition of skills required to carry out the tasks envisaged by priority occupations;
- Match individual beneficiaries with programmes, partner enterprises and training providers;
- Monitor progress and adjust service provision, if necessary;

- Verify the impact of the programme on final beneficiaries and the net effects of programmes on aggregate employment.

The guide is divided into five main parts. Part I describes the design of integrated employment programmes (identification of occupations required by the labour market, design of the key features of the programmes and review of eligibility criteria for individuals and partner enterprises). Part II offers a step-by-step approach to administer the programmes. This part is further divided into three sections: the first section describes the screening process for end-beneficiaries and partner enterprises, the second provides guidance in profiling individual participants, while the third deals with matching individuals to specific programmes/labour market opportunities through the development of an individual employment plan. Part III revolves around programme monitoring with special focus on performance monitoring, counselling sessions and enterprise visits and follow-up surveys. Part IV is dedicated to net employment and earning impact evaluation and its various approaches. Part V provides formats and samples to be used by the employment services in programme administration. Table 1 provides a description of the different sections of the guide.

**Table 1: Different sections of the guide**

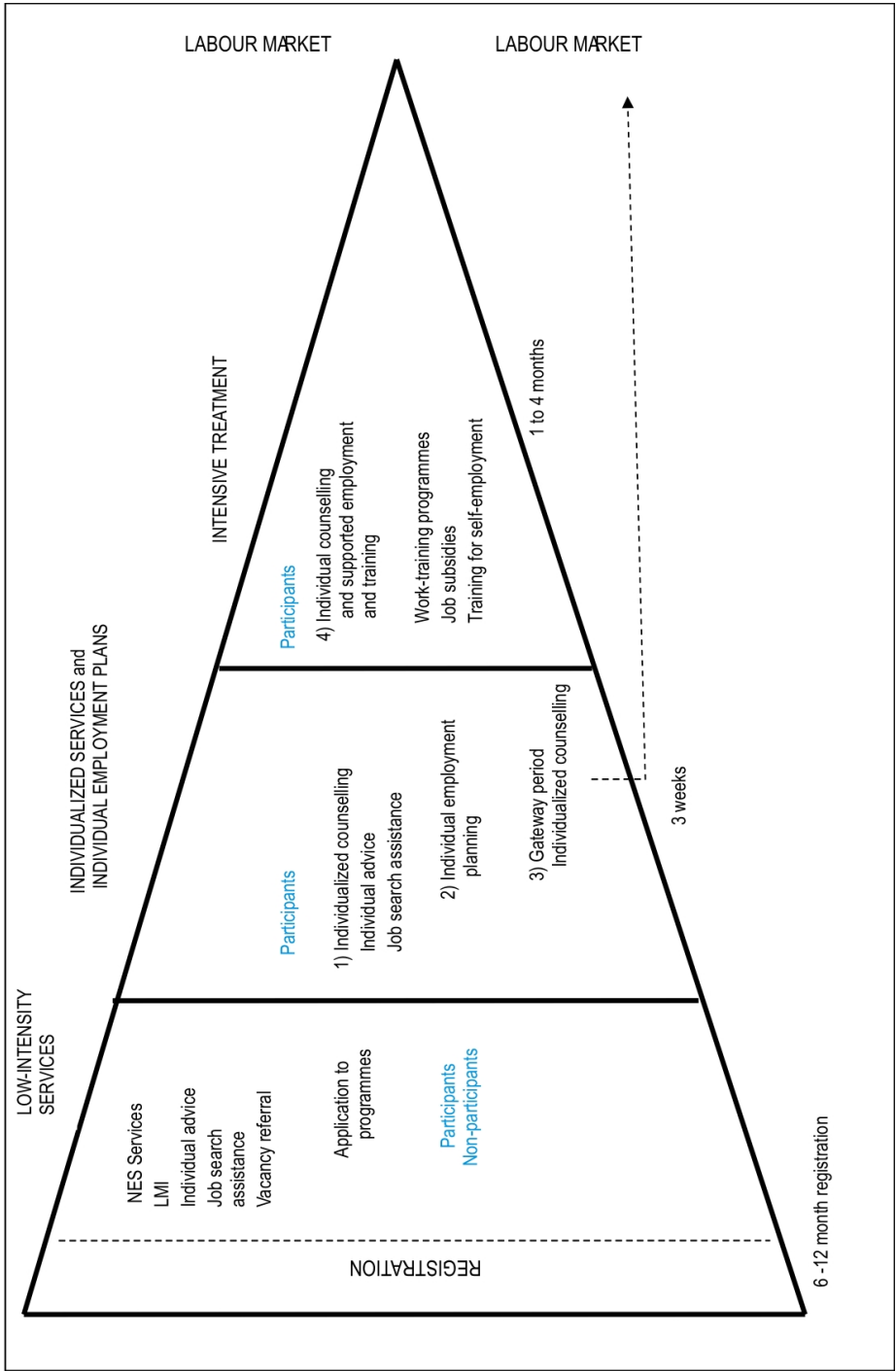
Section	Summary description
<b>Part I – Design of integrated employment programmes</b>	
1. Programme design	Suggests the steps to be followed to identify priority occupations and their skills content; describes key programme features, the eligibility criteria for end beneficiaries and partner enterprises and plans the deployment of human resources that will administer the measures
<b>Part II – Guidelines for the administration of programmes</b>	
1. Selection of participants and non-participants	Advises on the process to be followed to select individuals for programme participation and for establishing control groups.
2. Selection of partner enterprises and training providers	Suggests the steps to be taken to select partner enterprises and training providers
3. Delivery of programmes	Guides on matching individual needs to programmes and to labour market requirements through the development of individual employment plans.
<b>Part III– Monitoring</b>	
1. Monitoring of programmes	Guides in developing a system to monitor the implementation of the programmes.
<b>Part IV– Net impact evaluation of programmes</b>	
1. Evaluation of net employment and earning impact of programmes	Provides guidance on how to measure the employment and earning impact of programmes on end-beneficiaries and on aggregate employment.
<b>Part V– Toolkit and samples for the administration of training programmes</b>	
	Provides samples of individual employment plans, training plans, monitoring formats and tracer survey questionnaires.

With respect to the formulation and implementation of employment programmes, it is of the utmost importance to bear in mind that administration of these programmes is one of the core functions of many modern Public Employment Services (PES). Furthermore, employment programmes should be designed and implemented as part of the package of services usually offered by the National Employment Service.

The structuring of employment service delivery around a tiered model – including a more widespread use of self-service and group methods – allows the adoption of personalised services, while at the same time catering for increasingly large numbers of unemployed in a differentiated manner.

Figure 1 highlights the PES workflow – from low to high-intensity assistance – and indicates how programmes should be matched with the other functions and services. Such workflow starts with a wide range of services available to all unemployed registered (labour market information, advice on job search, referral to vacancies). Those unemployed who are unable to (re)integrate into the labour market through these services are screened to proceed to individualized counselling (step 1 in the figure). This stage introduces the client to individual employment planning (step 2) and to the range of the *gateway* services (step 3). Those unemployed who were unable to find jobs through these three stages proceed to intense treatment (step 4), which includes individualized counselling and matching to a combination of programmes that address the multiple disadvantages that the client faces in (re)entering the labour market.

Figure 1: Work-flow of employment promotion programmes





# **PART I**

## **DESIGN OF EMPLOYMENT PROGRAMMES**

## 1. Identification of priority economic sectors, occupations and skills

Guidelines to identify economic sectors, occupations and skills
<p><b>Purpose</b></p> <p>To identify emerging economic sectors and the occupations required by the labour market at national and local level to plan the provision of services and programmes</p>
<p><b>Tasks</b></p> <ul style="list-style-type: none"> <li>— Carry out a <i>Skills Needs Survey</i>;<sup>1</sup></li> <li>— Analyze the findings of the survey and benchmark data with other sources of labour market information;</li> <li>— Select emerging occupations (i.e. those currently demanded by the labour market) and their skills content;</li> <li>— Plan the allocation of resources that will be needed to implement active labour market programmes</li> <li>— Establish general guidelines for monitoring and evaluation.</li> </ul>

The identification of economic sectors that are creating jobs, occupations and skills demanded by enterprises is at the core of employment counselling, career guidance and vocational training services. It entails conducting enterprises' surveys to determine precisely which economic sectors are growing, which occupations are needed, the skills involved and the training needed to meet the requirements of such occupations.

*Skills Needs Surveys* serve various purposes for a number of labour market actors. The primary beneficiaries of data and information generated by a skills needs survey, however, are the employment services and training institutions.

The results of the *Survey*, once verified against other labour market information (for instance the occupations in most demand among the vacancies published in the prior months, increases in employment by economic sectors as reported by the Labour Force Survey), provide information to update labour market information, adjust counselling and vocational guidance, organize new training

<sup>1</sup> See ILO, *Guidelines on detecting the skills needs of enterprises*, 2008 for guidance on the steps needed to conduct establishment surveys.



courses and discontinue others. In addition, data disaggregated by geographical area allows the comparison of enterprise performance across regions, provides the employment service with information on vacancies and labour market programmes that can be offered to the unemployed registered in various employment offices.

Vocational guidance experts use the results of the survey to identify the mix of skills required by priority occupations to be completed – with the assistance of industry representatives – with job description and work processes. This will set the foundations for the design of training plans and training material.

The information generated by this exercise is primarily intended to bridge the mismatch between the skills possessed by individuals – workers and jobseekers – and the skills needed by enterprises. The information generated by the survey is used by the MOLSAEO to revise employment and training policies, by the NES to provide labour market information to clients, design employment promotion programmes, organize labour market training and match unemployed to labour market requirements. Training centres should use the findings of these surveys to expand/reduce training provision in skills most/least demanded by the labour market and design training plans that match the training needs with appropriate training solutions.

For planning purposes, the data of the *Survey* disaggregated by region are reviewed by the MOLSAEO and the NES to prepare a draft plan for the employment promotion programmes to be implemented in the next period, identify the population groups to be targeted and the resources to be deployed. Based on the employment policy priorities established and the resources available, the MOLSAEO finalizes the yearly plan for the implementation of active labour market policies (ALMPs) and assigns the financial allocation necessary for running the programmes. In this planning phase, the MOLSAEO also lays down general guidelines for monitoring performance and for measuring the impact of each measure on the employment and earnings of final beneficiaries.

Once this process is concluded and the resources made available, the NES can start planning the delivery of the labour market programmes.

## 2. Design of active labour market programmes

Guidelines to designing employment services and programmes
<p><b>Purpose</b></p> <p>To define the range and scope of employment services and programmes, establish eligibility criteria for beneficiaries, partner enterprises and training providers, and plan the deployment of human resources that will administer the measures at local level.</p>
<p><b>Tasks</b></p> <ul style="list-style-type: none"> <li>— Define the key features of the active labour programmes to be offered to the unemployed to facilitate their (re)entry in the labour market;</li> <li>— Establish eligibility criteria for end beneficiaries, partner enterprises and training providers;</li> <li>— Select priority geographical areas for intervention;</li> <li>— Decide the human resources that will be deployed for the administration of the training measures;</li> <li>— Launch the training programmes and advertise the measures among potential beneficiaries and partner enterprises.</li> </ul>

### 2.1. Key features of the active labour programmes

A correct diagnosis of the causes of employment problems is of the essence for the design of effective employment services and programmes. Such causes are normally grouped into three broad categories: i) mismatch between the skills level of jobseekers and the skills demanded by enterprises (mismatches between supply and demand of skilled labour); ii) low labour demand (the supply of workers seeking a job exceeds the demand of enterprises/vacancies available; this may also be caused by high labour costs that reduce the incentive for enterprises to invest); and iii) unemployment spells – which may be caused by imperfect information on the jobs available, skills mismatches or low demand for workers – induce a process of de-motivation and, as a result, individuals reduce their job search activity thus decreasing the probability of leaving unemployment. Each of these causes calls for a different solution. Unemployment caused by skills mismatches would be more effectively tackled by training programmes aimed at raising the qualifications of the unemployed; low labour demand can be addressed by providing incentives to employers to

recruit workers (employment subsidies); de-motivation and low job search intensity may be reduced by offering adequate labour market information, providing job search assistance, counselling and guidance and also by conditioning unemployment or social assistance benefits to mandatory job search activity.

In practice, however, the employment problems in many labour markets are the result of the combined effect of all the above mentioned causes. Therefore, integrated programmes, combining training with vocational guidance, labour market information, job search assistance and subsidized employment are generally preferred as they are more likely to lead to permanent employment. The impact evaluations of active labour market programmes carried out in several countries provide strong positive evidence to support this course of action.

The programme features described in the table and sections below, as well as the sequencing proposed in Part II, are geared to provide the NES with design modalities that are different from the ones currently used, which may prove to be more efficient and effective in easing the transition of the unemployed to the labour market. In addition, as these programmes will be implemented outside the legal parameters in force in Albania for the administration of employment promotion programmes, their piloting will inform future policy and programme development.

**Table 2: Key features of employment promotion programmes**

Name & Performance indicators	Description	Eligible unemployed	Eligible partners	Duration	Conditions
<b>Employment counselling</b>  <b>Performance indicators:</b>  <i>1. Proportion of beneficiaries employed during/at end of Gateway period (over total counselled)</i>  <i>2. Average cost per participant employed during/at end of Gateway period</i>  <i>3. Average cost per beneficiary treated</i>	Individualized employment counselling (including labour market information, job search assistance and vocational guidance) leading to the development of an Individual employment plan	All unemployed who have been registered with the NES for at least 6 months, who are: <ul style="list-style-type: none"> <li>Between 16 and 25 years old;</li> <li>45 years old or more;</li> <li>Have a low level of education/skills;</li> <li>Have no or limited work experience;</li> <li>Belong to households benefiting from social assistance</li> <li>Are persons with disabilities</li> </ul>	None	Throughout programme duration (from selection to participation in one of the programmes specified below, to programme's end).	<ul style="list-style-type: none"> <li>Active job search of the unemployed client during the gateway period</li> <li>Obligation of the unemployed client to report on job search to NES counsellors;</li> <li>Obligation on the participants to report regularly during programme implementation;</li> <li>Obligation on the NES to provide the services and programmes detailed in the Individual Employment Plan;</li> <li>Obligation on the participants to attend the services and programmes detailed in the Individual Employment Plan.</li> </ul>
<b>Work-training programmes</b>  <b>Performance indicators:</b>  <i>1. Share of beneficiaries employed at follow-up (of which share in same enterprise, share in different enterprise)</i>  <i>2. Share of beneficiaries employed at follow-up in occupation of training (of which share in same enterprise, share in different enterprise)</i>  <i>3. Average cost per participant employed at follow-up</i>  <i>4. Average cost per programme entrant</i>	An eligible unemployed person is employed by an enterprise with a definite or indefinite contract complying with the labour law. At least 20 percent of work time for 3 months is devoted to training for skills required by the labour market.  Possibility to mix this programme with employment subsidies for a maximum period of 2 months.	All unemployed who have been registered with the NES for at least 6 months, who are: <ul style="list-style-type: none"> <li>Between 16 and 25 years old;</li> <li>45 years old or more;</li> <li>Have a low level of education/skills;</li> <li>Have no or limited work experience;</li> <li>Belong to households benefiting from social assistance</li> <li>Are persons with disabilities</li> </ul>	Private sector enterprises which apply. Specifically: <ul style="list-style-type: none"> <li>Enterprises with minimum 3 and maximum 20 workers;</li> <li>With a registration period of at least 6 months prior to programme start;</li> <li>No history of workers' dismissal over the 6 months prior to programme start;</li> <li>Regular payment of tax liabilities and social security contributions and in possession of a enterprise bank account in an authorized banking institution;</li> <li>Safe construction, design and compliance with occupational health and safety standards;</li> <li>Ability to provide skills training in priority occupations.</li> </ul>	Minimum 3 months	<ul style="list-style-type: none"> <li>Obligation of the employer to employ the participant for a period that is double the duration of the training period;</li> <li>Obligation on the employer to prepare, in collaboration with NES, a training plan inclusive of end-of-programme skills assessment ;</li> <li>Obligation on the employer to provide training material, to put at disposition expert workers to supervise participants and to contract off-the-job training when required;</li> <li>Obligation on the employer to train the participant for a minimum of 20 percent of working time for at least 3 months;</li> <li>Obligation of the NES to provide a lump-sum training grant of ALL 25,000 per participant.</li> </ul>

Name & Performance indicators	Description	Eligible unemployed	Eligible partners	Duration	Conditions
<b>Employment subsidies</b>  <b>Performance indicators:</b>  <i>1. Share of subsidized workers employed at follow-up (of which share in same enterprise, share in different enterprise)</i>  <i>2. Average cost per participant employed at follow-up</i>  <i>3. Average cost per programme entrant</i>  <b>For mix WT/ES</b>  <i>1. Share of participants with mix WT and ES (as a share of WT participants and of ES participants)</i>  <i>2. Share of beneficiaries employed at follow-up (of which share in same enterprise, share in different enterprise)</i>  <i>3. Share of beneficiaries employed at follow-up in occupation of training (of which share in same enterprise, share in different enterprise)</i>  <i>4. Average cost per participant employed at follow-up</i>  <i>5. Average cost per programme entrant in mix of programmes</i>	<p>An eligible unemployed person is employed by an enterprise with a definite or indefinite contract complying with the labour law. The employer will receive the reimbursement of 100 per cent of the employer's share of social security contributions for a period ranging from 1 to 4 months.</p> <p>Possibility to mix this programme with work-training programmes for a maximum period of 2 months</p>	<p>All unemployed who have been registered with the NES for at least 12 months, who are:</p> <ul style="list-style-type: none"> <li>Between 16 and 25 years old;</li> <li>45 years old or more;</li> <li>Have a low level of education/skills;</li> <li>Have no or limited work experience;</li> <li>Belong to households benefiting from social assistance</li> <li>Are persons with disabilities</li> </ul>	<p>Private sector enterprises which apply Specifically:</p> <ul style="list-style-type: none"> <li>Enterprises with minimum 3 and maximum 20 workers;</li> <li>With a registration period of at least 6 months prior to programme start;</li> <li>No history of workers' dismissal in the 6 months prior to programme start;</li> <li>Regular payment of tax liabilities and social security contributions and in possession of a enterprise bank account in an authorized banking institution;</li> <li>Safe construction, design and compliance with occupational health and safety standards.</li> </ul>	<p>Minimum 1 maximum 4 months</p>	<ul style="list-style-type: none"> <li>Obligation of the employer to employ the participant for a period that is double the duration of the subsidy period;</li> <li>Obligation of the NES to reimburse 100 per cent of the employer's share of social security contributions upon presentation of receipt of payment.</li> </ul>

Name & Performance indicators	Description	Eligible unemployed	Eligible partners	Duration	Conditions
<b>Self-employment services</b>  <b>Performance indicators:</b>  <i>1. Share of beneficiaries in self-employment at follow-up</i>  <i>2. Share of beneficiaries with completed business plan at programme end</i>  <i>3. Average cost per participant self-employed at follow-up</i>  <i>4. Average cost per programme entrant</i>	1. Individualized counselling for self employment (including self-employment assessment, information on business advisory services, grant and credit opportunities)  2. Self-employment training for maximum 3 months (or 200 hours of training)	Eligible unemployed of at least 18 years of age who have been registered with the NES for at least 6 months and who are considering self-employment as a career option.	Training provider complying with the following: <ul style="list-style-type: none"> <li>▪ Approved legal status/licensing;</li> <li>▪ Capability of providing self-employment training of the required quality.</li> <li>▪ Capability of delivering individual or group training;</li> <li>▪ Qualified and experienced training staff;</li> <li>▪ Appropriate number of classrooms, workshops, training areas and general facilities;</li> <li>▪ Safe design, construction and working conditions and availability of basic furniture, training material and equipment;</li> <li>▪ Facilities (class rooms, workshops, laboratories, etc.) accessible and within acceptable distance.</li> </ul>	Maximum 3 months or 200 hours of training	<ul style="list-style-type: none"> <li>▪ Obligation of the training provider to provide the individual/group self-employment training agreed upon and an end-of-programme certificate;</li> <li>▪ Obligation of the NES to pay ALL 25,000 for 3-month training course or ALL 8,000 for each month of 64/training hours/month for each participant trained in self-employment</li> </ul>

### 2.1.1. Employment counselling and job search assistance

Individualized employment counselling and job search assistance, underpinned by timely and reliable labour market information, is at the core of any strategy to combat long-term unemployment and is widely acknowledged as the most cost-effective means to ease the transition to work. Employment counselling is a joint problem-solving process carried out by a counsellor and an unemployed client and focuses on identifying and discussing the client's employment options, establishing realistic employment or career goals with the client, identifying the solutions and corrective action needed to achieve these goals and implementing a plan of action aimed at labour market integration. Individualized service provision has the following key features;

- The employment service establishes a relationship with individuals registered as unemployed with a view to channelling them as soon as possible towards durable (re) employment.
- The jobseeker is addressed as a customer who deserves quality services tuned to her/his needs. The employment service and the jobseeker work together towards a common objective. This entails both service commitments for the employment service and substantial initiative on the part of the jobseeker.
- The jobseeker is diagnosed to determine her/his unique personal needs as defined by the personal characteristics that s/he brings to the market and by existing conditions in the labour market segment relevant to her/him. A tailor-made service offer is made.
- The service process extends over time until the final objective is achieved. It is characterised by forward planning of activities linked with regular feedback to assess fulfilment of agreed activities and their results and to modify the service offer if necessary.

Labour market information (LMI) is key to individualized employment counselling and job search assistance. It provides insights on the community served by the employment service; the most significant players in the labour market; the critical employers to monitor; and current and forecasted employment opportunities. Local labour market information offers information to worker and employer clients on job openings, labour market conditions, available training courses and information on the programmes and services of the employment service as well as opportunities for entrepreneurship. To understand the dynamics of the local labour market, employment counsellors require industrial (economic sector) and occupational information. Industrial analysis is fundamental to understanding the economic base of an area and how the labour market is changing. Counsellors will need to know if the local labour market has a diversified industrial structure or not; in which economic sectors employment is concentrated; which economic sectors exhibit greater job opportunity potential; which industries may be affected by changing technology or markets; which firms exhibit significant (positive or negative) changes; and the impact of planned or current interventions by government. Such information can then be used to gain a clear picture of local labour market conditions; initiating employer contacts; human resource planning and development; and determining which employers should be given priority for services and

programmes. In using LMI, counsellors need to ensure that their information is; i) comprehensive and up to date; ii) reliable and deserving of a high degree of confidence iii) relevant, so that the information can be put to its intended use; and, iv) accessible, so that users can access it in an easily understandable format when required.

Effective job search assistance builds on a broad and diverse vacancy portfolio. To achieve this, the employment service needs to understand the requirements of employers and how these can be fulfilled by individuals on the register. A broad vacancy portfolio will enable the employment service to keep the unemployed jobseekers near to the market during their registration. This is particularly important when many become frustrated after numerous fruitless applications, losing motivation for self-search. In addition, the services provided to unemployed jobseekers seek to keep them or restore them into being good applicants for vacancies, preventing their gradual marginalisation. Finally, part of the decline in job opportunities for individuals with longer spells of unemployment is caused by the fact that employers hesitate to hire workers who have been unsuccessful over several months, in particular if they belong to socio-demographic categories who are over-represented in long-term unemployment (for instance beneficiaries of social assistance, ethnic minorities and so on). The employment service can play a key role in securing the confidence of employers for candidates who would not normally attract interest.

Job search monitoring, e.g. checking how the unemployed – especially those who receive benefits – search for jobs, how often they get job interviews and/or contact employers, whether they show up to referrals brokered by the employment service etc., is important to gauge whether clients are appropriately engaged in job searching and are preparing themselves for reintegration into the labour market. However, an adequate level of services should be provided and jobseekers should not be pushed into fruitless job searches or into applying for just any job.

As employment counselling and job search assistance is one of the most cost-effective measure to support the (re)employment of jobseekers and also maximizes the impact of other interventions, it will constitute the core active labour market programme to be offered throughout the delivery of other programmes as envisaged by the ILO Project (see Part II for details).



### 2.1.2 Work-training programmes

Training is the dominant active labour market measure implemented worldwide to develop skills among workers of all ages. While the record on how well these programmes function is mixed, recent evidence indicates that programme designs that combine different training approaches have a higher probability of yielding positive labour market impacts on the employment and/or earnings outcomes of the participants. In particular, compared to in-classroom training alone, the interaction of in-classroom and workplace training increases the likelihood of positive labour market impacts by 30 percentage points, and when combined with other employment services, the probability of a positive impact increases by 53 percent.<sup>2</sup>

There are three features that are key for the design of training programmes. First, training provision needs to reflect the areas in most demand on the labour market and strike a balance between occupational skills and core skills for employability. In this way, the final impact of training goes beyond the simple acquisition of enterprise-specific skills and allows beneficiaries to move more easily between jobs and enterprises. Second, a “work first” approach may prove more successful because of its strong links to local demand. In this approach, the first step is the identification of a job opportunity with a local employer, and the second is the subsidizing of training. Third, mixing institution- and on-the-job training provides an opportunity to maximize the benefits of both approaches by increasing the speed and flexibility of response to emerging skills needs.

Programmes that combine training with employment (also called work-training contracts<sup>3</sup>) are an example of multiple-service intervention that aim at achieving a double-pronged objective, i.e. increase the employability of the unemployed and provide them with employment opportunities. Normally, the “training” component of these active labour market programmes envisages a minimum period of learning (often expressed as a percentage of working time or total number of hours) which takes place in the enterprises recruiting the jobseeker (some programmes also include an off-the-job training component). This

<sup>2</sup> J. Fares, O.S. Puerto, *Towards comprehensive training*, World Bank Mimeo, Washington D.C. 2008.

<sup>3</sup> Work-training contracts differs from apprenticeship insofar as the former is an active labour market programme offered by the employment services to provide unemployed individuals – often young people or first time labour market entrants or unemployed facing specific labour market disadvantages – with work experience and job specific skills, while the latter is a form of vocational education that provides young people with mandatory enterprise-based practice periods as part of their regular school education.

learning process results in the attainment of skills that are recognized in the labour market. This takes the form of a certificate issued by the vocational training authority or by the enterprise or by the employment service. The “work” part of the programme envisages an employment contract that, in certain cases, offers a reduction of payroll costs for recruiting enterprises through a partial waive of social security contributions.

Under these programmes, enterprises recruit a registered unemployed person proposed by the employment service with a definite or indefinite (written) employment contract. Enterprises are entitled to a lump-sum training allowance for each trainee, provided that training makes up at least 20 percent of work time (e.g. 8 hours training for a 40-hour working week) for a minimum period of three months. The training allowance is intended to cover all training expenses (on- or off-the job, training material, instructors and so on) that the employer has to incur to prepare the worker to carry out the specific job.

The *Skills Needs Survey* provides, among other things, information on the key vocational and non vocational skills content of occupations required by enterprises. To complement the information of the *Skills Survey*, the NES counsellor will conduct a functional analysis in the partner enterprise, to define the knowledge and skills and their application to the performance required in the workplace. This will be necessary to align the structure of the training to be provided by the enterprise to the competencies of the occupation (an example of the relation between job competencies and training plan is provided in Box 1).

The content of the training and the training modality (purely on-the-job or mixed on- and off-the-job) will be jointly decided upon by the employer and the NES counsellor and will partly depend on the individual characteristics of the unemployed to be recruited and partly on the tasks of the job. As the training needs of the clients to be targeted will vary, the selection of the best training approach – on-the-job, mixed on-/off-the-job – as well as its optimal duration will differ from individual to individual. This is reflected in the Individual Employment Plan (IEP) compiled by the employment counsellor with the client during the counselling sessions.

The partner enterprise is also responsible for the selection of appropriate learning material and the design of a reliable assessment process.

## Box 1 Relation between competencies and training plan

COMPETENCIES		TRAINING PLAN	
<b>Description</b>	<p><b>Maintain daily financial records for accounting purposes</b></p> <p>This covers maintaining common financial records such as petty cash, cash journals, bank statements and accounts. This unit can be assessed alone or in combination with other units making up a job role.</p> <p>Related competencies:</p> <ul style="list-style-type: none"> <li>— Prepare and process financial documentation for cash flow and accounting records</li> <li>— Monitor cash control for accounting purposes</li> <li>— Maintain financial records for reporting purposes</li> </ul>	<b>Description</b>	<p><b>Maintain daily financial records for accounting purposes</b></p> <p>The learning covers maintaining common financial records such as petty cash, cash books, bank statements and accounts. It can be assessed alone or in combination with other programme component, such as</p> <ul style="list-style-type: none"> <li>— Prepare and process financial documentation for cash flow and accounting records</li> <li>— Monitor cash control for accounting purposes</li> <li>— Maintain financial records for reporting purposes</li> </ul>

<b>Elements of competency</b>	<p>Enter cash transactions into cash journals</p> <ul style="list-style-type: none"> <li>• Transactions are entered into cash journals and totalled</li> <li>• Cash journal entries are checked against individual documents</li> <li>• Cash journals are cross checked and proofed</li> <li>• Cash journal errors are noted and reported to nominated person/section for resolution within designated timelines</li> </ul>	<b>Learning outcomes</b>	<p>At the end of the programme the learner will be able to:</p> <p>Enter cash transactions into cash journals, specifically</p> <ul style="list-style-type: none"> <li>• Enter and total transactions into cash journals</li> <li>• Check cash journal entries against individual documents</li> <li>• Cross check and proof cash journals</li> <li>• Note and report cash journal errors to nominated person/section for resolution within designated timelines</li> </ul>
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Evidence guide	Critical aspects:	Assessment methods	Assessment elements:
	<ul style="list-style-type: none"> <li>• range of cash journals are identified and their purpose and function understood</li> <li>• appropriate source documents are identified</li> <li>• relevant information within source documents is identified</li> <li>• relevant information is transferred accurately into cash journals</li> <li>• journals are cross checked and checked against source documents for accuracy</li> <li>• errors are identified</li> <li>• corrections within own scope of responsibility are made according to enterprise policies and procedures</li> <li>• corrections outside of scope of own responsibility are referred to the appropriate authority</li> <li>• cash journals are totalled accurately according to enterprise policies and procedures</li> <li>• information is recorded in chronological order</li> <li>• cash is handled according to enterprise policies and procedures</li> <li>• different credit journals are identified and their purpose and function understood</li> <li>• information from source documents is transferred accurately into credit journals</li> <li>• credit journals are cross-checked , proofread and checked against source documents to ensure they are accurate</li> <li>• errors in credit journals are reported to appropriate person and rectified according to enterprise policies and procedures</li> </ul>		<p><u>To demonstrate competence, the candidate shall:</u></p> <ol style="list-style-type: none"> <li>1.1. identify a range of cash journals and explain concisely (in writing and orally) their purpose and function;</li> <li>1.2 identify the different types of source documents to be used in checking entries;</li> <li>1.3 identify relevant information within source;</li> <li>1.4 Transfer accurately relevant information into cash journals;</li> <li>1. 5 Cross checked journals against source documents for accuracy using mathematical functions;</li> <li>1.6 Identify errors by using various mathematical functions;</li> <li>1.7 Make corrections within own scope of responsibility and according to established policies and procedures;</li> <li>1.8 Refer corrections outside of scope of own responsibility;</li> <li>1. 9 Total cash journals accurately according to established policies and procedures;</li> <li>1.10 Record information in chronological order;</li> <li>1.11 Handle cash according to established policies and procedures</li> <li>1.12 Identify different credit journals and explain concisely (in writing and orally) their purpose and function (repeat from 1.2. to 1.8 for credit journals).</li> </ol>

### Context of assessment:

Evidence of competency can be met in different situations, including:

- on the job assessment
- off the job assessment
- placement in an enterprise
- use of a simulated work environment
- Recognition of Prior Learning

Evidence gathering methods may include:

- demonstration and questioning
- workplace performance
- role-play
- projects/assignments
- written tests (verbal usage and verbal comprehension)
- portfolio of work documents
- third party reports

### Assessment methods

The assessment can be carried out:

- on or off the job
- through use of a simulated work environment
- through Recognition of Prior Learning approaches

Assessment methods may include:

- demonstrations;
- workplace performance;
- role-plays;
- projects/assignments;
- written and oral tests (verbal usage and verbal comprehension);
- portfolio of work documents;
- third party reports.

### Knowledge and skills

#### Knowledge

- enterprise accounting system and procedures
- enterprise policies and procedures
- relevant source documents
- definition of credits/creditors and debits/debtors
- cross-checking techniques
- limit of scope of own responsibility

#### Skills

literacy: reads and understands an enterprise's financial procedures; selects and applies the procedures and strategies needed to perform a range of tasks after reading appropriate texts; follows sequenced written instructions

numeracy: uses knowledge of mathematical concepts; calculates with time; interprets, compares and calculates with whole numbers and money; decimal fractions and percentages in some unfamiliar contexts

problem solving: uses some approximation with reference to relevant experience to check for discrepancies

communication: listens to and follows oral instructions; questions to clarify information

proofreading: checks calculations

### Knowledge and skills

#### Specific knowledge and skills

- Enterprise accounting system and procedures
  - enterprise policies and procedures
  - relevant source documents
  - definition of credits/creditors and debits/debtors
  - cross-checking techniques
  - limit of scope of own responsibility
- literacy: read and understand financial procedures; select and apply the procedures and strategies needed to perform a range of tasks after reading appropriate texts; follow sequenced written instructions
- numeracy: use knowledge of mathematical concepts; calculate; interpret, compare figures; calculate with whole numbers, decimal fractions and percentages ; check calculations
- problem solving: use approximation with reference to relevant experience to check for discrepancies.
- communication: listen to and follows oral instructions; pose questions to clarify information

### 2.1.3 Employment subsidies

Employment subsidies are designed to provide incentives to enterprises to recruit workers by reducing the labour costs involved in hiring. These programmes may envisage a total or partial waive of the employer's share of social security contributions and/or the financing of a percentage of the worker's wage (normally calculated on the basis of the minimum wage). They also normally include an obligation for the employer to retain the worker hired with the subsidy for a minimum period after the termination of the programme.

The findings of a number of evaluations conducted on employment subsidy programmes suggest that these can increase the probability that disadvantaged people will be hired to fill available jobs. On the other hand, there is little evidence that these programmes actually increase the number of jobs available. The unemployed hired with employment subsidies will, for the most part, simply displace others who would have been hired without the programme, and the positive effects of the measure are offset by the losses experienced by those who are displaced by programme participants.<sup>4</sup> However, these programmes offer an advantage to those who are eligible to have their wages subsidised compared to other job seekers, and such a redistribution of job opportunities may be justified on equity grounds. Disadvantaged people can be provided a chance to gain work experience, keep a connection to the labour market and share in the benefits associated with paid employment. Therefore, if well-targeted to the most disadvantaged groups among the unemployed, wage subsidies have a positive impact.

Against this backdrop, the employment subsidy programmes to be offered under the aegis of the ILO Project envisage the reimbursement of the employer's share of social security contributions for a period ranging from one to four months, with an obligation on the employer to retain the workers for a minimum additional period equal to the duration of the subsidy.

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<sup>4</sup> *Deadweight loss* means that programme outcomes are no different from what would have happened in the absence of the program. *Displacement effect* refers to displacement in the product market. A firm with subsidized workers increases output, but displaces output among firms without subsidized workers. *Substitution effect* occurs when a worker hired in a subsidized job is substituted for an unsubsidized worker who otherwise would have been hired. The net employment effect is thus zero. See World Bank, *Impacts of Active Labour Market Policies*, Washington D.C., 2004

### 2.1.4 Self-employment training

Self-employment promotion involves two steps. The first step involves the provision of information and awareness-raising on what self-employment is and what it takes to start and manage a business, so that individuals can realistically consider it as a career option. Should an individual decide to explore this career option further or start his/her own business, the second step envisages the provision of a package of support measures that range from business skills training, to advice pre- and post-start-up as well as access to grants and/or credits. Today, assistance to enter self-employment is part of the packages of active labour market programmes offered by employment services.

The effectiveness of the self-employment initiatives managed by the employment service revolves around three key features:

- *Range of services provided:* programmes that have significant outcomes combine advisory, training and grant/credit services, thus recognizing that individuals embarking on self-employment have a variety of needs, each of which has to be addressed timely and effectively.
- *Well-trained support staff:* The technical and business competence of the support staff of a self-employment programme is of the essence to guarantee good results. The lack of impact of programmes can often be attributed to poor quality assistance. A corollary of this is flexibility and adaptability of programme service delivery.
- *Proper targeting and selection:* the unemployed are not a homogenous group and programmes should make an effort to identify differences amongst them in terms of skills, experience, status, aspirations and capacity to obtain resources – all of which influence their ability to establish and run a business successfully.

To enrich the offer of employment programmes available to NES, two types of self-employment services will be offered under the aegis of the ILO Project: i) counselling and guidance for self-employment and ii) business skills training to be entrusted to providers external to the NES.

## 2.2. Participation criteria for end beneficiaries

The minimum eligibility criteria for end beneficiaries build around the determinants of labour market disadvantage in Albania:

1. Age group: young people in the age cohort 16 to 25 years of age and people more than 45 years old. For beneficiaries less than 18 years of age the permission of parents is required. In addition, young unemployed should fulfil at least two out of the criteria set below (mainly educational level, occupational skills, work experience and household characteristics).
2. Length of unemployment spell: the minimum requirement is for beneficiaries to have been registered with the employment service for at least six months (twelve months or more for employment subsidies)
3. Educational attainment: Priority will be granted to registered unemployed with primary education or less and/or secondary education (among older unemployed – 45 years old and over – with secondary education attainment priority will be given to those who have a general education).
4. Occupational skills: Priority will be given to unemployed with no skills or who have skills that are no longer demanded in the labour market.
5. Sex: To promote equality of opportunities, the programme will reserve 50 per cent of available measures for women. If a local employment office cannot reach the envisaged number of women participants, available measures will be reassigned to another local office able to achieve a gender balance.
6. Work experience: programmes will target primarily first time jobseekers with no prior work experience and unemployed whose work experience is in occupations no longer required by the labour market.
7. Household characteristics: priority will be granted to those unemployed belonging to households receiving social assistance. Beneficiaries of social assistance need to be informed in advance that if they participate in the measures, the competent social work office will be informed and provided a copy of the individual employment plan, with start and end dates. If a job is offered and the beneficiary refuses, the individual will lose the right to be registered as unemployed.



8. Disability: all measures are available to people with disabilities whether they are entitled or not to the disability pension/benefit.

## 2.3 Participation criteria for partner enterprises

Enterprises that wish to partner with the NES need to comply with the following minimum criteria:

1. Registration/licensing of the enterprise for a minimum period of 6 months prior to the commencement of the programme. Employment offices will partner only with enterprises in the formal economy that comply with employment protection legislation;
2. Regular payment of all tax liabilities and social security contributions up to the last quarter prior to application and holding of an enterprise bank account in an authorized banking institution;
3. Minimum three workers (including the owner). Access to programmes will be granted only to enterprises that have 3 to 20 workers. Enterprises will be allowed a number of beneficiaries proportional to their workforce (for example, an enterprise with three workers may have only one beneficiary, a company with six workers can get 2, and so on).
4. No history of worker dismissal in the 6 months prior to application;
5. Safe construction, design, and compliance with occupational health and safety standards.

To avoid abuses, the local employment offices will verify, upon application, whether the enterprise has previously partnered with the employment service for the implementation of active labour market programmes and whether it has retained the workers employed through the measure. If the enterprises dismissed the workers employed through an active programme– through no fault of the workers – the enterprise will not be allowed to participate in new measures for a minimum of 24 months.

Priority will be given to private enterprises in those economic sectors that – based on the results of the Skills Survey – are expected to increase their level of employment in the target districts. Additional eligibility criteria apply for enterprises partnering with the NES for work-training programmes (see Part II).

## 2.4. Human resources allocation at local level

The employment promotion programmes described above will be implemented in districts selected among those experiencing higher unemployment rates than the national average (standing at 13.1 percent), equally distributed among the North, Centre and South of Albania.

Each local employment office should plan in advance and deploy the resources that will be needed to manage and monitor the implementation of the active labour market programmes. This planning needs to be done on the basis of the overall number of end beneficiaries and the monitoring requirements established. At the very least the human resources that need to be engaged comprise: i) a sufficient number of NES staff to provide counselling and other types of assistance to beneficiaries and partner enterprises, ii) a vocational guidance expert responsible for preparing individual training plans and verifying the attainment of work competencies, iii) senior staff responsible for monitoring the performance of the programme and reporting at central level, and iv) a financial officer responsible for the disbursement envisaged under the programme.

## 2.5 Advertising and launching the programmes

A *Call for Applications* is published on the national/regional media and in the Official Advertisements Bulletin. An announcement will also be posted in the employment offices calling for expression of interest of all registered unemployed who comply with the eligibility conditions set.

However, the most effective advertising is done at local level, by disseminating information among NES clients (both unemployed and enterprises), local employers' organizations and chambers of commerce, as well as among groups representing the interests of beneficiaries (youth offices, non-governmental organizations, associations of persons with disabilities and so on).

All the staff of the local employment office need to be familiar with the basic features of each programme (target group, criteria and application requirements) and be able to provide accurate information to the unemployed and enterprises. Unless specific start and end dates are established for the implementation of the programmes, NES staff are required to provide information on programmes to potential clients from the date of programme launch.

## **PART II**

# **ADMINISTRATION OF EMPLOYMENT PROGRAMMES**

## 1. Delivery of employment promotion programmes

Guidelines to administer multi-faceted employment services and programmes	
<b>Purpose</b>	To ease the transition of disadvantaged unemployed to the labour market
<b>Tasks</b>	<ul style="list-style-type: none"> <li>— Select individuals and partner enterprises for programme participation according to the criteria established;</li> <li>— Establish ex-ante control groups for monitoring and evaluation purposes;</li> <li>— Provide employment counselling and job search assistance to end-beneficiaries</li> <li>— Match individual needs to programmes and to labour market requirements through the development of individual employment plans (IEPs)</li> </ul>

### 1.1 Selection of end-beneficiaries and partner enterprises

All the applications received – either through individual application or through referral by counsellors – are screened for compliance with the general eligibility criteria established (see Part I). This preliminary screening is purely administrative and it is carried out on the basis of the documents available to the employment office, e.g. the information contained in the unemployment registration record and those provided by employers. The local employment office is required to keep records of all the applications received and of the screening process (see tables 3 for templates).

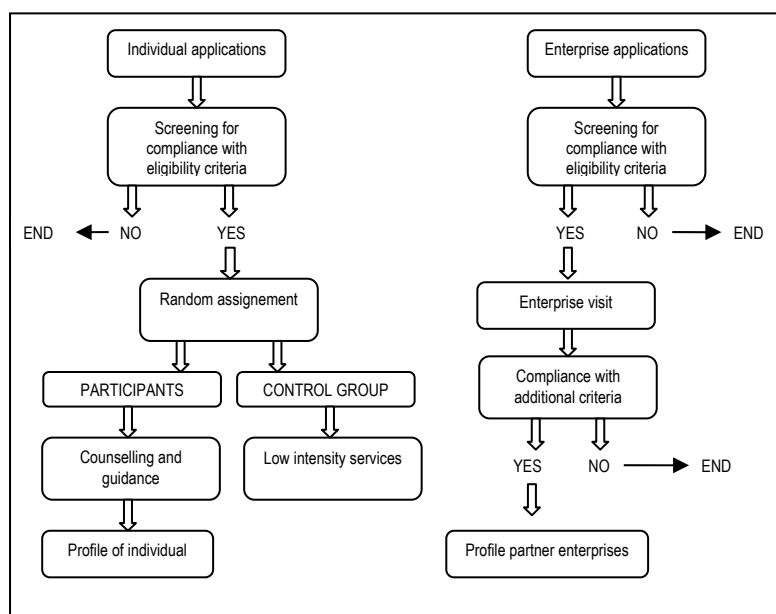
Once individual applicants have been screened for compliance with the entry criteria established, they are randomly assigned to two separate groups (participants and non-participants). Random assignment can be done either through date of birth (all those born from the 1st to the 15th of the month are participants, while those born from the 16th onward are non participants) or by registration number (for example all those whose registration number ends with an odd number are participants). This will allow the establishment of a random *ex-ante* control group against which the performance of participants will be measured.

Each local employment office will be assigned a maximum number of participants. This number will be decided on two bases: i) the inflow-outflow ratio of the office and ii) number of counsellors providing services to clients. If

the number of potential participants screened exceeds the number assigned for inclusion, a waiting list will be prepared for future intervention. Again, this second-level selection will be made randomly, on the basis on the last digit of the unemployment register number (even number=participant; odd number= control group or date of birth depending on the primary screening means selected). If the number of potential participants is lower than that assigned for inclusion, participants will be selected randomly from the individuals in the control group (randomly, on the basis of the last digit of the unemployment register number or date of birth). The allocation of NES counsellors will be made on a caseload basis (e.g. each counsellor will be responsible for a specific number of unemployed participants).

The group of unemployed that is randomly assigned to participate in the programme is invited to a counselling session. The unemployed assigned to the control group will receive only low-intensity services (labour market information and job search assistance). The number of unemployed to be assigned to the control group will be approximately 10 percent of the number of final beneficiaries. Records on this latter group are kept separately and their labour market performance monitored regularly. A flow chart of this first stage is provided in figure 2.

**Figure 2: Selection of programme participants and partner enterprises**



For enterprises, the second level screening to verify eligibility is done through direct observation, i.e. the enterprise is visited by an employment counsellor to verify that minimum conditions are met. The visit to enterprises is to be used to generate/update the information contained in the enterprise registration card and to verify: i) ability of the enterprise to offer employment and/or training in the priority occupations; ii) compliance with occupational health and safety standards; and iii) (for work-training programmes) availability of qualified workers to supervise trainees and transfer knowledge. The enterprise visit is also functional, to gather information on job requirements: occupation, job task and skills required, working time/hours, other working conditions and so. One of the objectives of the enterprise visits is to build a profile of the enterprise and of the job/training places available. This information will be used to match the requirements of enterprises with the characteristics of the individual unemployed. If the enterprise has previously partnered with the employment service for other types of programme, the second level screening is also aimed at verifying whether prior beneficiaries are still in employment.

Enterprises applying for work-training programmes, in addition to the minimum eligibility criteria set, need to have workshops, equipment and general facilities that are adequate for delivering individual training and be able to provide a skills certificate that is recognized on the labour market.<sup>5</sup>

The documents recording the selection process of individuals and of partner enterprises are prepared by the NES counsellors and approved by the Director and the Tripartite Local Council of the local employment office. These records will be submitted to the Regional Board during the approval of the matching between the beneficiary and the partner enterprise.

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<sup>5</sup> The *Guidelines to assess internal and external efficiency of training systems*, published by the ILO may be used as a frame to assess the training capacity of enterprises.

**Table 3a Example of report card selection of individual participants/non-participants (randomly by day of birth)**

No register	Name	Individual characteristics						Household characteristics				Preliminary status
		Date birth	Date of registration	Sex	Education	Work experience	Other characteristics	No members	Unemployed members	Monthly income	Social assistance	
11111	PersonA	5-May-64	21-Apr-06	M	Primary (U)	Yes (not relevant)	Disability leg arm	6	2	€ 100	✓	Participant
11123	PersonB	22-Dec-87	25-May-07	F	Primary(C)	No	NA	5	2	€100	X	Control
11127	PersonC	1-Apr-85	2-Feb-05	F	Primary(C)	Yes	NA	4	1	€150	✓	Participant
11131	PersonD	6-Jan-61	2-Jan-08	M	Primary(U)	No	NA	7	1	€150	X	Participant
	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....	.....

Date \_\_\_\_\_  
 Prepared by: \_\_\_\_\_  
 Approved by \_\_\_\_\_

**Table 3b Example of report card selection of partner enterprise**

N.	Name	First level screening (compliance with published criteria)						Second level screening (direct observation)				Approval status
		Registration (prior 1-Mar-08)	Occupation required	N. workers	Tax compliance	Social security payment	Prior experience NES	Worker dismissal	Workshop	Experience staff	OHS compliance	
1	Enterprise A	22-Jan-08	✓	10	✓	✓	X	NA	✓	X	X	Denied
2	Enterprise B	22-Apr-08	✓	5	✓	✓	X	NA	X	✓	X	Denied
3	Enterprise C	1-Mar-07	✓	8	✓	✓	✓	No	✓	✓	✓	Approved
...	.....	...	...	...	...	...	...	...	...	...	...	...

Date \_\_\_\_\_  
 Prepared by: \_\_\_\_\_  
 Approved by \_\_\_\_\_

## 1.2 Building the profile of individual participants

Individuals assigned to participate in the programme will meet with an employment counsellor to undergo an in-depth counselling session. This session serves to collect the information required to build a profile of the unemployed client. This profile is the basis for the development of an Individual Employment Plan (IEP) (see Tools section for a template). Some tips on how to structure interviews are provided in Box 2.

The first stage of assistance – e.g. the first step in individual employment planning –envisages the provision of targeted counselling and guidance, so that the counsellor can establish a relationship with their client, with a view on channelling her/him as soon as possible towards durable employment. During the first counselling session (which may last from one hour to an hour-and-a-half) the counsellor:

1. Completes the information that is available on the individual in the registration record, namely educational attainment, skills acquired in formal or informal settings, prior work history/experience and personal interests. This first part of the counselling session should also be used to gather information on the household (family composition and the activity status of its members; affiliation to a minority group, the economic support available – from social assistance, family and relatives) and on impairments that may affect the performance of certain tasks (for example allergies to substances, balance problems, cardiovascular afflictions, and so on).
2. Verifies whether the client fulfils all the requirements of the programme;
3. Assesses the job interests of the beneficiary, including expectations about the job, acceptable working time/hours; availability to accept work at some distance from the place of residence and so on.
4. Checks which methods the jobseeker has been using for finding a job and provide advice on how to improve job searching efforts. The counsellor also helps the client to draft a CV and cover letters for applying for vacancies;
5. Provides the client with information on labour market demand (enterprises and sectors that are creating more jobs at that particular time, as well as current vacancies, etc.).



A key feature of this first counselling session is job search assistance. The counsellors discuss the participant's job search methods, the enterprises to which they have applied, the frequency of job interviews and the reasons why s/he was unable to get the job s/he applied for. Based on the profile of the jobseeker, the counsellor will direct them towards economic sectors and enterprises that are creating jobs, provide information on current vacancies, assist in writing a CV and in preparing for job interviews. This part of the programme is geared to support unemployed clients to become more effective in job-search and to focus more intensive services only on those participants who will not be able to (re)enter the labour market without additional, more intensive assistance.

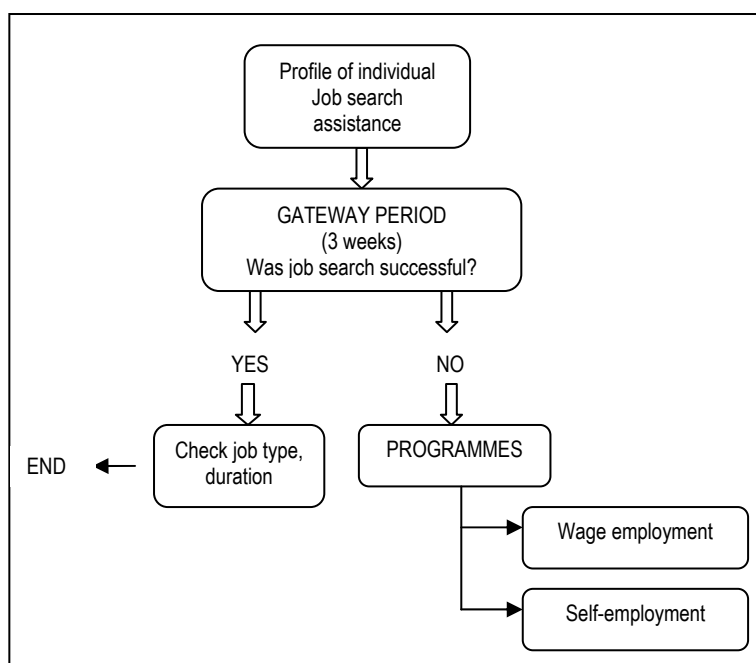
The counsellor will inform the client that the assistance package envisages a period of independent job search of three weeks (gateway period). During the gateway period the client reports weekly to the counsellor on progress (or lack of it), e.g. number of job applications made, job interviews attended, number and types of enterprises approached and so on. During these weekly sessions (job search monitoring) the NES counsellor verifies if the jobseeker has found a job, whether s/he received any job offers and whether the advice provided for job search was useful or not. These sessions are also to be used to enrich the information on the clients and, specifically, to pinpoint the specific disadvantage that the individual is facing in obtaining work. During one of these sessions the unemployed will also undergo a training needs assessment administered by a vocational guidance counsellor to verify the level of vocational and non-vocational skills possessed. This may become useful at a later stage if the client is unable to find a job independently due to lack of skills required by the labour market.

### Box 2 Tips to interviewing clients

- Use active listening skills (“listening” to verbal and non verbal messages), to lead the client to speak openly. Focus on what the person is saying; take some notes, but maintain eye contact.
- Demonstrate interest in what the person is saying: do not do anything else while the person is talking to you. If possible, also reduce telephone calls or at least reduce them to the minimum length possible. Long telephone conversations show a lack of respect for the client and concentration on what is being said is lost.
- Do not hesitate to ask open questions if something is not clear enough, but avoid interrupting too often. Interrupting is sometimes necessary, particularly if the client is talkative and leads the conversation astray. In such cases redirect the conversation to the topics of interest: do not forget that you are the listener, but also that you have to lead the conversation.
- Be curious: ask yourself the reasons for certain answers. This will allow you to gather more exhaustive information, but never ask information unconnected to the purpose of the interview.
- Prove your concern for the clients’ personal data and privacy. Do not leave personal folders unattended, readable to unauthorized persons (the client will notice it and will not dare to give confidential information).

The information on job search results – especially the feedback of the enterprise to the client – is to be recorded by the counsellor in the individual employment plan. If the client was unable to improve his/her position in the labour market in the three weeks of the gateway period— e.g. the person still has no concrete job prospect — a more intensive approach is required. At this stage the counsellor moves to the second stage of the IEP (which envisages rights and obligations for all parties involved and financial commitment). If the client was able to find a job, the counsellor will record the details (employer, type of job, duration and so on) and verify that employment is in compliance with the labour law. The graphic illustration of this process is provided in figure 3.

**Figure 3: First stage of individual employment planning**



### 1.3 Matching individual needs to programmes and labour market requirements

The second stage of individual employment planning requires the counsellor to identify the specific problem faced in entering the labour market with the client who was unable to find a job during the gateway period. A precise identification of the specific labour market difficulty of the client will help the counsellor select the best mix of services and programmes.

The IEP is a written plan outlining an individual's employment goal and the services to be provided to reach that goal. The IEP formalizes the planning process through which the employment goal, service delivery and its timing are determined. The IEP identifies the individual's employment objective consistent with his/her strengths, resources, priorities, difficulties and capabilities, and provides a frame to monitor progress. The IEP also informs the individual of his/her rights and responsibilities in the process of securing a job. The IEP must be jointly developed, agreed upon and signed by the client and the counsellor.

The plan is developed using the individual planning template (Tool 1), which contains the following entries:

1. A summary of the labour market disadvantage of the individual, his/her occupation and code (according to the Albanian Classification of Occupation), and the number of the client as it appears on the employment register;
2. Employment goal;
3. The specific service/programme to be provided (description);
4. The identification of the partner enterprises and the process used to attain the services (the result of the matching process);
5. The beginning date of each programme and the anticipated duration;
6. Criteria/indicators to be used to determine progress toward achieving the employment goal;
7. The terms and conditions under which the programme will be provided;
8. The individual rights and responsibilities during the programme;
9. Signature of the client and the counsellor and date.

The selection of the specific programme is carried out through the matching process, e.g. the characteristics and aspiration of the client as well as the disadvantage faced are matched to the features of available programmes. At this stage the individual profile and the aspirations of the individual will indicate whether a programme for wage or for self-employment is more appropriate. If the individual decides to pursue self-employment, s/he will be provided further counselling and advice that will lead to self-employment training (see paragraph 1.3.3). If the employment objective of the individual is wage-employment, s/he is guided through programme matching (either training or employment subsidy).

A second matching process occurs to identify the partner enterprise where the beneficiary will be placed: the profiling of enterprises will allow matching the requirements of enterprises to programmes and to individual characteristics (see figure 4 below for a flow chart of this process). The counsellor needs to overview all the providers that applied and identify those that can best offer what is needed by the individual. If work-training seems to offer the best match for the disadvantage faced by the client, the counsellor will ask applicant

enterprises if any of them can take on the client (the enterprise can be offered to interview the client and to trial-test him/her for a maximum 2 weeks). If a job subsidy is considered, the counsellor will check among the profiles of enterprises which best matches the characteristics of the participant. If the client cannot be matched with any of the applicant enterprises, the counsellor is required to identify, among the enterprises operating in the region, a company that is available to partner with the NES and to take the unemployed on board.

Getting the right employee is critical for an enterprise. This is why the collection of all the employer's requirements and specifications for the position (profiling of the enterprise) is critical to successful matching. When a counsellor contacts an employer for placing a beneficiary, the counsellor will already have made a preliminary match of the job to the profile of the jobseeker, to his/her employment objectives, capacity to perform on the job and interests and attitudes.

### *1.3.1 Matching individual needs to partner enterprises for work-training programmes*

In work-training programmes the partner enterprises recruit participants on an employment contract (which may be for a definite or indefinite period of time) and provide training for a minimum period of three months. The training period should not be less than 20 percent of work time (e.g. 8 hours training for a 40-hour working week, totalling a minimum 96 hours of training). The employment contract cannot be less than double the minimum duration of training (e.g. 6 months) and it is signed by the employer and the newly recruited worker (the NES keeps a copy of the employment contract in the personal folder of the participant). Enterprises are entitled to a lump-sum training allowance for each trainee of ALL 25,000, (USD 250) to cover training expenses (on- or off-the job, training material, instructors and so on).

As these programmes are aimed at achieving the double-pronged objective of increasing the employability of the unemployed and providing them with employment opportunities, they are particularly suited to unemployed people who have a low skills level or whose skills are no longer in demand. The training needs assessment undertaken by the client during the gateway period will be instrumental to the development of an individualized training plan that outlines the type of training that simultaneously responds to the needs of the individuals and of the partner enterprise. A template training plan is available in Tool 2. This will be compiled by the enterprise in collaboration with the NES

counsellor. The training plan becomes an integral part of the contract that the employer signs with the NES. This contract specifies the rights and obligations of the employer (training of the individual for a minimum of 96 hours in the specified occupation, provision of certificate attesting the skills acquired at the end of the training cycle and keeping the individual in employment for a period that is at least double the duration of the training) and those of the NES (monitoring and verification of skills acquired and payment of training allowance).

If the necessary training cannot be provided fully on-the-job, it will be the responsibility of the enterprise to contract off-the-job training and to pay for it with the funds of the training allowance. The length of the training – and its modes – may vary according to individual needs. The beginning date and the anticipated duration of the programme, as well as training modes – need to be discussed with the enterprise once the matching has been concluded, e.g. when the enterprise has, in principle, accepted the new worker and prior to the signature of the contract with the NES.

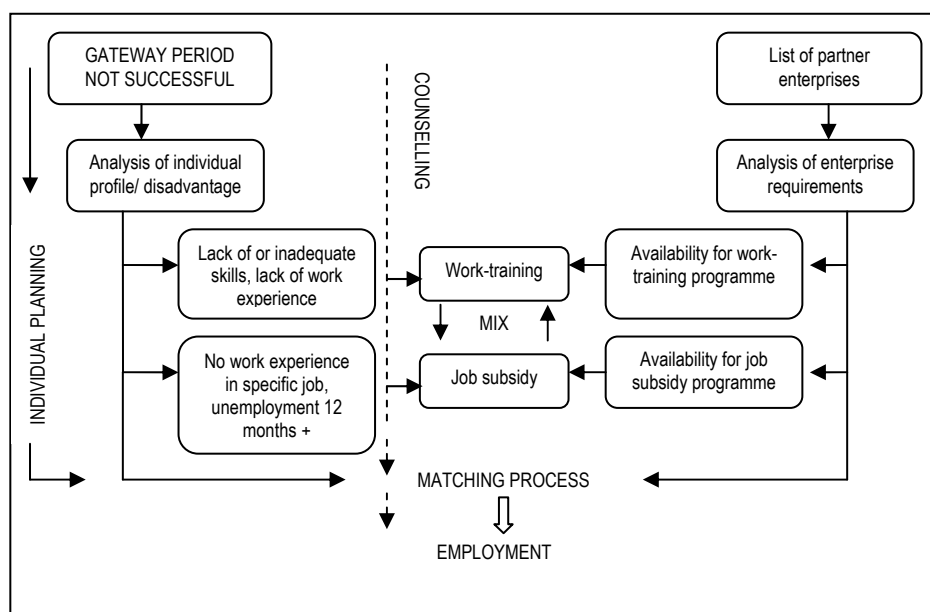
The total number of beneficiaries that can be placed with a single enterprise will primarily depend on the size of the company and the capacity to adequately train and supervise more than one participant at the time. The proportion workers/trainees in any given company should never exceed 3:1. Micro companies (3 to 5 workers) will be allowed to train a maximum of one unemployed person; enterprises with 6-10 workers can train up to two beneficiaries and so on.

Once the individual employment plan has been drafted (providing the details of the programme) and a preliminary matching carried out, the employment office will submit the relevant IEP and the draft contract with the partner enterprise to the Tripartite Local Council for approval. The Tripartite Local Council will review the socio-economic benefit of the matching process for the individual and for the local economy. The Regional Board will review the selection and the matching process, the individual plan prepared and its compliance with the criteria established. The approvals (or rejection) of the Regional Board will be communicated both to the client and to the enterprise (in writing). Upon approval, and once the employment contract between the client and the enterprise has been concluded, the local employment office can sign the agreement with the enterprise.

During the period of the work-training programme, the responsible counsellors will maintain contact with both the participant and the enterprise (see Part III for details). Constant monitoring of the individual's progress is required to detect

emerging problems (for instance the duration of the programme may need to be adjusted); verify the satisfaction of the enterprise with the individual placed; and assess whether the programme is leading to permanent employment. If a problem arises during the implementation of the programme, the counsellor needs to negotiate with both the participant and the enterprise to ascertain the best method to overcome the situation. For instance, if the period of training originally envisaged proves to be too short, the counsellor may suggest that the participant and the employer combine the work-training contract with a period of employment subsidy (for a maximum of 2 months). Such a course of action needs to be reported to the Tripartite Local Council and approved by the Regional Board as it constitutes a fundamental adjustment to the individual plan and it requires an additional contract between the NES and the employer.

**Figure 4: Matching process among individual, programme and partner enterprise**



### *1.3.2 Matching individual needs to partner enterprises for employment subsidy programmes*

Employment subsidies provide incentives to enterprises to recruit workers that they would not normally recruit, by reducing the enterprise's labour costs. The employment subsidy envisages the full reimbursement (100 percent) of the employer's share of social security contributions for a period ranging from one to four months (depending on the severity of the disadvantage), with an obligation on the employer to retain the workers for a minimum additional period of the same duration as the subsidy. The partner enterprise concludes an employment contract (which may be for a definite or indefinite period of time) with the participant, in compliance with the parameters of the labour law. The length of the contract cannot be less than double the duration of the employment subsidy (for instance an employment subsidy of four months requires a minimum employment contract length of eight months). The NES keeps a copy of the employment contract countersigned by the enterprise and the worker in the personal folder of the participant. The duration of the employment subsidy needs to be negotiated with the partner enterprise and will depend on the more or less exact matching of individual characteristics and skills with enterprise requirement (e.g. the less exact the matching the longer the employment subsidy). The result of this negotiation is detailed in the contract to be signed between the NES and the partner enterprises. This contract summarizes the rights and obligations of the partner enterprise (reimbursement of social security contribution upon presentation of receipt of their payment, obligation to retain the workers for a certain period and so on) and of the NES (monitoring of employment status and payment of employer's share of social security contributions for the agreed period).

Given their nature and the substitution and displacement risks they involve, employment subsidies will be offered to clients who face serious disadvantages in entering the labour market. One indication of disadvantage is an unemployment spell longer than 12 months.

The total number of beneficiaries that can be placed with a single enterprise will primarily depend on the size of the company. The proportion of workers in any given company should never exceed 3:1. Micro companies (3 to 5 workers) will be allowed to employ one participant; enterprises with 6-10 workers can employ up to two beneficiaries and so on.

Once the individual employment plan has been drafted (providing the details of the job subsidy programme) and a preliminary matching carried out, the



employment office will submit the relevant IEP and the draft contract with the partner enterprise to the Tripartite Local Council for approval. This Council will review the socio-economic benefit of the matching process for the individual and for the local economy. The Regional Board will review the selection and the matching process, the individual plan prepared and its compliance with the criteria established. The approvals (or rejection) of the Regional Board will be communicated both to the unemployed person and the enterprise (in writing). Upon approval, and once the employment contract between the client and the enterprise has been concluded, the local employment office can sign the agreement with the enterprise.

During the job subsidy programme, the counsellor responsible will maintain contact with both their client and the enterprise (see Part III for details). Constant monitoring of the client's progress is required to detect emerging problems (for instance the duration of the programme may need to be adjusted); to verify the satisfaction of the enterprise with the individual placed and to assess whether the programme is leading to permanent employment. If a problem arises during the implementation of the programme, the counsellor needs to negotiate with both the participant and the enterprise to ascertain the best method to overcome the situation. For instance, if it becomes clear during the job subsidy programme that the beneficiary needs training to do the job, the counsellor may suggest that the client and employer mix the job subsidy with a work-training contract (for a maximum of 2 months). In such a case, the employer will be granted a training allowance amounting to ALL 8,000 for every 32 hours of training provided. This will require the design of a training programme and the provision of a certificate of skills acquired by the participant. The Local Tripartite Council must be informed, and the approval of the Regional Board obtained as it constitutes a fundamental adjustment to the individual plan and requires an additional contract between the NES and the employer.

### *1.3.3 Matching individual needs to self-employment programmes*

The counselling sessions for individual employment planning will provide indications on whether the individual wants to pursue self-employment. If this is the case, and such aspirations are confirmed at the end of the gateway period, the counsellors will guide the participants through the self-employment services available (Figure 5 provides a graphic illustration of this process). These comprise:

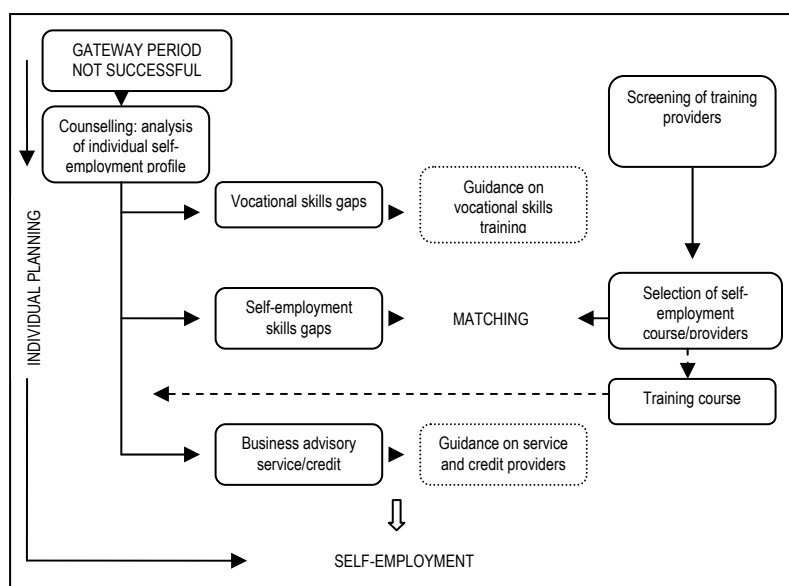
- *Counselling for self-employment*: this first stage is geared to identify whether the client has what it takes to become an entrepreneur, whether their prior work experience has provided them with the vocational skills needed to carry out the work and whether they have the business and management skills to open and run a business. The tools necessary to carry out such assessment will be provided to counsellors by the ILO Project.<sup>6</sup> If no gaps are identified, the client will be referred to external providers of specific business and financial advice (see below). If the client faces skills gaps in pursuing self-employment, the role of the counsellor is to help plan the best course of action to overcome them. For instance, if the client lacks the vocational skills required to carry out the work, they receive information about the training programmes available in private or public training centres (the programme will not cover the cost of vocational training courses). If the individual has the vocational skills to carry out the job, but is found lacking in business skills, self-employment training may be suggested.
- *Vocational and/or business skills training*: as mentioned above, the ILO Project will not cover the costs involved in providing clients with the vocational skills necessary to carry out the self-employment activity. Training courses to provide clients with the self-employment skills necessary to open and run a business will be contracted by the NES in the market. This will require each local employment office to research local training providers, verify their training capacity and check their availability to partner with the NES in training its clients for self-employment. The process to select and contract training providers is presented below).
- *Information on advisory services and commercial and non-commercial credit providers*: each local employment office will also be required to research providers of business advisory services and grant/credit institutions. Such research will make it possible to provide clients with timely and fresh information about the agencies that can best help in the final stages of enterprise start-up. The costs of such services, however, will not be covered by the programme.

The results of this counselling and matching process are recorded in the individual employment plan.

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<sup>6</sup> See *Biz-Up: Self-employment skills for young people*, ILO 2007.

**Figure 5: Matching individuals to self-employment programmes and training providers**



### *Selecting self-employment training providers*

Training institutions should meet certain minimum eligibility criteria to be short-listed for further assessment. To be eligible, the candidate training institutions must comply with the following minimum criteria:

1. Approved legal status and ownership;
2. Capability of providing self-employment/business start-up training of the required quality. Quality can be assessed by verifying how many participants to the self-employment/business start courses produced a business plan and how many actually opened a business;
3. Capability of delivering individual or group training according to trainees' and local market's needs;
4. Qualified and experienced training staff;
5. Appropriate number of classrooms, workshops, training areas and general facilities;

6. Safe design, construction and working conditions and availability of basic furniture, training material and equipment;
7. Facilities (class rooms, workshops, laboratories, etc.) accessible and within an acceptable distance.

In addition, the training institution will need to undergo a through quality assessment to be carried out by NES counsellors. The second level screening is done through direct observation, i.e. the training provider is visited to verify that minimum training conditions are met and that the provider is able to offer training programmes in self-employment. The local employment office is required to keep records of this screening process (see Table 4 for a template).

The selection of training providers, i.e. the training institution where the beneficiary will be placed, is carried out through the matching process. The counsellor needs to overview all the providers screened and identify those that can best offer the training programme needed by the individual. The counsellor will check with the training provider whether the individual can be inserted into self-employment training and if the answer is positive, the counsellor will negotiate the duration of the programme – which cannot exceed three months or 200 hours of training – as well as the rights and obligations of the NES and of the provider. The NES will cover the training cost up to a maximum of ALL 25,000 (250USD) per participant, which means an average of ALL 8,000 for each calendar month of training (for a minimum of 64 training hours/month).

Once the individual employment plan has been drafted (providing the details of the programme) and a preliminary matching carried out, the employment office will submit the relevant IEP and the draft contract with the partner training provider to the Tripartite Local Council for approval. The Council will review the socio-economic benefit of the matching process for the individual and for the local economy. The Regional Board will review the selection and the matching process, the individual plan prepared and its compliance with the criteria established. The approvals (or rejection) of the Regional Board will be communicated both to the individual and to training provider. Upon approval, the local employment office can sign the agreement with the training provider.

**Table 4: Example of report card selection of training provider for self-employment training**

N.	Name	First level screening (compliance with minimum criteria)						Second level screening (direct observation)			Approval status
		Legal status	Indiv. training	Business Skills	N. staff	Facilities	N. part. successful	Classrooms	Workshops	OHS compliance	
1	Provider A	✓	X	✓	✓	X	X	✓	X	✓	Denied
2	Provider B	✓	✓	✓	✓	✓	✓	✓	✓	✓	Approved
3	Provider C	✓	✓	✓	✓	X	X	✓	X	X	Denied
..	...	...	...	...	...	...	...	...	...	...	...
Date _____ Prepared by: _____ Approved by _____											



## **PART III**

# **MONITORING OF EMPLOYMENT PROGRAMMES**

## 1. Establishing a monitoring system for employment promotion programmes <sup>7</sup>

Guidelines to monitor employment promotion programmes	
<b>Purpose</b>	To verify a client's progress during and after programme participation and record administrative data for evaluation purposes
<b>Tasks</b>	<ul style="list-style-type: none"> <li>— Establish a monitoring system that allows the collection of comparable data across regions on programmes and individuals;</li> <li>— Conduct monitoring visits and counselling sessions during programme implementation;</li> <li>— Record data on programme implementation;</li> <li>— Conduct follow-up surveys to measure gross placement rates (re-employment of participants);</li> <li>— Report on the implementation of the programmes.</li> </ul>

To verify the progress of the client towards the attainment of the final objective of employment programmes – i.e. (re)employment – it is necessary to establish a monitoring system that allows performance to be measured across individuals, programmes and regions.

Monitoring judges the gross outcomes of the programme against set targets. These may include the number of participants from the target group, the expected cost of the programme, the completion rate, the employment status and the qualification reached after participation. Monitoring is a useful exercise to assess the success or failure of a programme, but it does not provide explanations for either. Its main advantage is that it provides rapid information about the programme (as opposed to evaluation, which is often a longer-term process). It provides useful feedback for improving the implementation of the monitored programme and it directly helps the administrators in their work.

By assessing the policy implementation and outcomes, evaluation aims at determining why a programme has been successful or not. Evaluation can take

<sup>7</sup> This section draws on C. O'Leary, A. Nesporova, A. Samorodov, Manual on the evaluation of labour market policies in transition economies, ILO Geneva, 2001.



place at all stages of the programme: formation, implementation and outcomes.<sup>8</sup> At the outcome stage, it is called impact evaluation. The effects of the programme are measured and compared to what would have happened without the programme to provide feedback for future policies. Monitoring complements evaluation, but it is not sufficient in itself to have a complete view on the effectiveness of programmes because it does not take their secondary effects into account.

Systems to monitor the re-employment success of programme participants are the basis of performance management. The monitoring data is summarized in concise measures called performance indicators that are standardized across the regions where programmes are implemented. These systems produce evidence on *programme outcomes* and when these are expressed in relative terms, they facilitate cross-region and cross-programme comparisons. Performance monitoring of gross programme outcomes is usually done yearly.

There are two key advantages in using performance monitoring: i) it provides the basis for a management information system for programme operations; and ii) it allows the central authorities to decentralize decisions about programme use to the local level. When performance monitoring includes follow-up surveys (tracer questionnaires), the information system thus generated provides the foundation for conducting net impact evaluations.

An effective performance monitoring system should provide information about programme performance to assist programme administrators, but should not impose an excessive administrative burden on local employment offices. Therefore, the list of performance indicators for each programme should be short; their calculation should be standardized across regions and they should be designed to measure outcomes, rather than process and outputs.

Stating indicators in relative terms help compare performance across regions that vary in economic performance and industrial base and across programmes of different duration and scale. Such systems organize the information on the characteristics of jobseekers, employers recruiting workers, available employment services and service providers.

If the employment service uses a computerized system for the registration of jobseekers, the performance monitoring system should be an integral part of it

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<sup>8</sup> What is called process evaluation covers the formation and implementation stages. Process evaluation uses the information provided by the monitoring exercise, but its aim will be to explain why targets are not reached. See P. Gaele, *A Framework for active labour market policy evaluation*, ILO, Geneva, 1999.

(see Box 3 for an example). If the employment register is not computerized, a database software can be used to record summary information on individuals, partner enterprises, training providers, duration of programmes, as well as their overall costs (see Tools section for a sample).

The calculation of the overall costs involved in assisting individuals into (re)employment is important to measure cost-effectiveness. Such costs include the disbursements made (for training allowance, employment subsidies, self-employment assistance) as well as an estimate of the administrative cost accrued to run programmes. Administrative costs can be calculated in two ways. The first way is to divide all the administrative costs of the employment service by the total number of unemployed registered to get an average amount per client per year. The second way is to calculate hours spent by a counsellor on one client (this is derived by multiplying the number of hours/staff provided to an individual during programme implementation by the hourly cost of a counsellor). This amount is then added to average administrative costs (minus front staff costs), i.e. average cost/unemployed/month. The estimation of hours/staff spent to assist individuals includes: job search assistance, counselling, preparation of individual employment plan, matching with training provider or partner enterprise, monitoring visits and counselling during programme participation.

### Box 3. Data Warehousing in Austria's public employment service (PES)

The PES Data Warehouse (DWH) is a central Management Information System of Austrian labour market policy. It is a monitoring and planning tool designed to perform both strategic planning functions (management by objectives) and employment statistics functions. The system pools information from various sources in one database to have them ready for comparatively simple, rapid and standardised evaluation. The different data sources primarily stem from IT applications in use in PES everyday business, the most important being:

- the central register of unemployed individuals, job-seekers and apprenticeship-seekers, including individualised information complete with people's periods of registration and benefit recipient status (unemployment benefit, unemployment assistance, social assistance);
- applications for labour market support schemes, including information on type and duration of support; information on the operators of a measure or programme, e.g. training provider, partner enterprise and so on;
- The register of enterprises and vacancies, including applications to partner into programmes;  
For the purpose of programme monitoring the PES relies on the information provided by all the above data sources. The monitoring system is subdivided into three modules:
- Follow-up monitoring of the careers of individuals who participated in PES-driven measures, i.e. it tries to find out the "destination of exits". In so doing, the system evaluates the times prior to and after programme participation according to defined criteria with the aim of determining the effectiveness of the measure.
- Career monitoring analyses the developments of employment systems as a whole and focuses on flows underlying the observed changes in stock. For instance, how many new employment relationships are begun, by whom, in which sectors; how many of the existing ones are terminated; where do unemployed individuals come from (employment, non-employment) and where do they go, and so on.
- Enterprise monitoring deals with the human resources situation of companies and whole sectors. For example, where there are staff net increases and staff cuts; where there is a high/low staff fluctuation; do enterprises with subsidised jobs differ from non-subsidised enterprises and so on? Enterprise monitoring includes all employer account numbers registered; hence it only captures individuals who, in insurance terms, are linked to an employer account.

The DWH uses as indicators: i) personal dimensions (individual attributes such as sex, age, nationality, educational attainment, disability, occupation), ii) policy-related dimensions (region, date, type of measure, period of participation, code of termination) and iii) career-related dimensions (relating to *ex ante* and *ex post* careers, i.e. duration of unemployment prior to measure, labour market position, PES status main indicator – employment, unemployment, out of labour force– *ex ante* and *ex post* period of monitoring, NACE economic activity and size of the employer).

Source: A. Buzek et al, *Labour market monitoring based on the Data Warehouse of the Public Employment Service*, Bundesministerium für Wirtschaft und Arbeit Bundesminister, Vienna, March 2004, downloadable at: <http://www.bmwfj.gv.at/NR/rdonlyres/3BD3E38A-3839-4E35-AC40-609E55A5621E/17765/LabourMarketMonitoringDWH2003.pdf>

The information produced during the implementation of programmes is systematized every quarter by the local employment office for reporting to the Ministry in charge of employment and the central employment service. Examples of data to be provided in quarterly reports are presented in Table 5.

**Table 5: Examples of programme implementation data for reporting purposes**

Participants	Partner enterprises	Control group
Number of applications received (by individual characteristics)	Number of applications received (by enterprise characteristics)	Individuals in control groups by individual characteristics
Proportion of approvals	Proportion of approvals	Total number of counselling hours provided
Number of participants as percentage of all unemployed (or groups of unemployed)	Average number of workers/trainees per enterprise	Share of individuals who find jobs by individual characteristics and type of employment (outflow and other administrative data)
Number of participants as percentage of long-term unemployed	Average monthly cost per partner enterprise/training provider	
Total number of counselling hours provided	Number of monitoring visits per enterprise/training provider	
Number of IEPs developed		
Number of entrants into each programme by individual characteristics		
Number of individual participants leaving the programme prior to completion (drop out)		
Average monthly cost per programme entrant		

Setting up a performance monitoring system involves two main steps: i) establishing the programme objectives and ii) developing performance indicators to measure the attainment of objectives. The development of performance indicators should be the result of a consultative process between policy-makers (the Ministry in charge of employment) and the administrator (Central and local employment offices).

The overarching objective of labour market programmes is the (re)employment of unemployed persons. Two categories of performance indicator measure success in achieving this goal: the rate of (re)employment (based on measurement of employment at follow-up) and the costs of programmes.

Table 6 provides examples of performance indicators for training, employment subsidy and self-employment programmes, as well as their calculation method.

**Table 6: Performance indicators  
(training, employment subsidy and self-employment programmes)**

Performance indicator	Calculation method
<b>Training</b>	
Average cost per trainee employed at follow-up	= total cost for training courses /number of trainees employed at follow-up
Proportion of trainees employed at follow-up	= number of trainees who are employed at follow-up /number of trainees who entered training courses
Average cost per training programme entrant	= total cost for completed courses/number of persons entering training courses
Average cost per trainee per hour of training	= total cost for completed courses/number of client hours of training provided
Proportion of entrants who successfully complete training courses	= number who finish training courses/number who entered training courses
Proportion of employed trainees working in occupation of training at follow-up	= number of trainees working in occupation of training/number of trainees employed at follow-up
<b>Employment subsidy</b>	
Proportion of subsidized workers in regular employment at follow-up, of which	= number of subsidized workers who are employed at follow-up /number of jobseekers who entered subsidy programme
Share of subsidized workers employed at follow up in subsidized enterprise	= number of subsidized workers who are employed at follow-up in subsidized enterprise/ number of subsidized workers who are employed at follow-up
Average cost per subsidized worker still employed at follow-up	= total cost for employment subsidy/number of subsidized workers employed at follow-up
Average cost of wage subsidy per subsidized employee	= total cost subsidy/number of persons entering employment subsidy
<b>Self-employment assistance</b>	
Average assistance per person still self-employed at follow-up	= total cost of assistance/number of self-employed at follow-up
Proportion of persons still self-employed at follow-up	= number of participants self-employed at follow-up /number of persons who entered self-employment programme
Average subsidy per self-employed person	= total cost of assistance/number of persons entering self-employed programme
Average added employment resulting from self-employment assistance at follow-up	= number of additional jobs created/workers employed by self-employed assisted by the programme

To operationalize a performance monitoring system, data from administrative records (reporting individual characteristics such as age, sex, education level, unemployment history, skills possessed and information on barriers to employment – early school leaving, long-term unemployed or degree of disability) are combined with evidence on participant outcomes at follow-up, gathered either through existing administrative records or through tracer surveys of programme participants (see paragraph 3 for details on follow-up surveys). To measure employment at follow up through administrative records, the data on clients' outflow is examined to verify whether the client was deleted from (and did not re-enter) the register. When the employment service system is linked to other IT-based systems recording social security contribution payments or payroll taxes, the data on the outflow from the register is checked with the data on registered workers (wage-employees and self-employed). The main flaw in computing employment at follow-up through administrative data is the failure to capture beneficiaries that are (self)-employed in the informal economy. If employment in the informal economy is a common occurrence, the re-employment measurement at follow-up is likely to be underestimated.

The data for computing performance indicators is collected and organized at the level of the individual. In addition, data on the characteristics of the local labour market, for instance the unemployment rate, employment growth in the previous twelve months, inflow and outflow rate from the register by individual characteristics can be used to set regional targets and adjust the indicators to reflect the labour market conditions and demographic characteristics of the population served.

To compare the performance of programmes across regions, it is necessary to adjust performance indicators to regional economic conditions that may have an impact on the probability of (re)employment (contextual factors). Also, such adjustment may improve targeting and avoid creaming, e.g. the practice of selecting the best qualified candidates for programme participation to increase programme success. Variations (positive or negative) from the national average of factors such as the unemployment rate, average monthly earnings, population density, percentage of registered unemployed receiving unemployment benefit/assistance and inflow/outflow rate need to be taken into consideration when calculating the (re)employment rate and its costs. For instance, programmes implemented in a region that scores higher than the national average in terms of unemployment rate and proportion of unemployed receiving benefits and lower in average earnings and employment growth will tend to

have a lower (re)employment rate and higher cost per participant employed at follow-up.

The adjustment can be made by using “weights” that are developed on the basis of the data produced at local level during the implementation of programmes for the first time. By looking at the differences in (re)employment rates and costs experienced by the different regions in terms of the national average and benchmarking them against the variations in labour market conditions, it is possible to calculate the variation point for each region.<sup>9</sup>

## 2. Counselling sessions and enterprise visits during programme implementation

Throughout the duration of programme participation the counsellor is required to conduct a number of counselling sessions with the individual client, e.g. the programme participant needs to visit the counsellor in his/her office and discuss progress, problems, things that are going well, level of satisfaction with the services, complaints against the enterprise, and so on. The results of each of these sessions need to be recorded in the individual employment plan. It may be that, after a certain period, the IEP is not really adequate anymore. If this is the case the counsellor can, in agreement with the client, modify its content to make it more realistic. Individual counselling sessions during programme participation should be organized outside the work/training place, to give individuals the opportunity to discuss freely the problems and difficulties they may be encountering. In this way the counsellor can detect early potential problems that may cause participants to drop out from a training programme or to be dismissed early from the workplace. Counselling sessions during programme participation can range from two, for short programmes, to four for longer programmes and should be timed near monitoring visits to partner enterprises/training providers.

The counsellor in charge of a client needs also to conduct monitoring visits to the partner enterprises during the programme period, on average three times per programme duration: at the start of programme participation, at half course and one near the end. If the duration of the programme is short, for instance three months, the visits can be limited to two (one at the onset and one towards the

<sup>9</sup> For illustrative examples, see C. O’Leary, A. Nesporova, A. Samorodov, *Manual on the evaluation of labour market policies in transition economies*, ILO Geneva, 2001, Annex 2 and H. Mosley, K. U. Mueller “Benchmarking employment Services in Germany”, in J. de Koning (ed.), *The evaluation of active labour market policies. Measures, public private partnership and benchmarking*, 2007.

end). If the programme is of longer duration, for instance nine or twelve months, the number of visits needs to be approximately four. Such visits are instrumental to verify the progress of the individual and to check that the enterprise is meeting its employment/training obligations.

Also, employers' visits are important to gauge the level of satisfaction of the enterprise/training provided with the individual participants matched to them. Monitoring visits to partner enterprises and training providers should be carefully planned to provide counsellors the opportunity to discuss the performance of the client with the employer, trainers, supervisors and fellow workers/trainees, and to verify the presence of the individual in the training/working place and training/working conditions.

Enterprise visits should be announced, i.e. the counsellor should inform the training provider/enterprise in advance in order to speak with informed staff (trainers, supervisors and so on). Setting appointments in advance avoids multiple trips to find/meet responsible persons. If, however, a potential problem is detected, either during individual counselling sessions or enterprise/training provider visits, the counsellor may wish to conduct spot checks (unannounced visits).

During monitoring visits the counsellor should verify: i) the regular presence of the individual at the training/work place; ii) the presence of trainers/supervisors assigned to the client; iii) compliance with the work/training tasks assigned or agreed upon (for instance, a subsidized worker recruited to carry out a specific job should spend most of his/her working time carrying out the tasks of that job; if the client is found carrying out tasks that are outside his/her job description, this requires explanation); and iv) learning of behaviours and attitudes regarding punctuality, modes of dress and communication, which are associated with work-readiness.



### 3. Follow-up (tracer) surveys to measure programme impact

If the data on participants' employment after the programme cannot be derived with certainty from existing data sources (such as the outflow data of the unemployment register, records on social security contributions or payroll tax payments), it is necessary to conduct follow-up (or tracer) surveys on programme beneficiaries to measure their (re)employment rate.<sup>10</sup>

If an *ex-ante* control group has been established, the follow-up survey – administered to participants and non-participants – serves also to compute the net impact of programmes (experimental evaluation). If the two groups are homogeneous and have been randomly selected, the difference in the average means of the respective employment rates will measure the deadweight effect, i.e. how many participants would have found a job anyway in the absence of the measure.

Six months after the termination of the last programme, each local employment office administers a tracer questionnaire to participants to verify their status in employment and level of earnings. Ideally, all participants need to be interviewed – either through a one-to-one interview or by telephone or mail. That is why it is important to keep and update as much as possible the contact information of clients (both individuals and enterprises). As monitoring and evaluation of programmes should be a standard practice of the employment service, participation in follow-up surveys should be a condition set in the agreement drafted by the employment service.<sup>11</sup>

At the very least, a minimum of 80 percent rate of return on the questionnaire is required for the survey to provide reliable data. If the number of participants is large, a representative sample needs to be drawn for each region that implemented the programme to ensure the validity and robustness of the data collected.<sup>12</sup>

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<sup>10</sup> These surveys are called tracers as they “trace” participants and non-participants after a period of time to verify their employment and earning status.

<sup>11</sup> This can be done by inserting in the individual employment plan and in the agreement concluded with training providers and partner enterprises a clause that reads: “The employer/training provider and employee/trainee may be required, upon completion of the programme or at various stages in its progress, to participate in an evaluation.”

<sup>12</sup> An example of how to design a sample for quantitative research and the steps to be undertaken to conduct such research is provided in *Guidelines to detect the skills needs of enterprises*, ILO Budapest, 2009.

The questionnaire is designed to verify both quantity and quality of employment and measure the relevance of service provision to employment outcomes (see Tools section for a sample). The questionnaire is divided into five subsections. Section A is aimed at gathering general information on the individual and the programme they attended. This section of the questionnaire can be skipped if the personal data collected through registration in the employment service and during programme monitoring is reliable and updated. This data – generated through the registration/monitoring system or through the survey – will report information on the individual (sex, age, educational attainment/qualification, length of unemployment history and information on barriers to employment – early school leaving, long-term unemployed or degree of disability) and on programmes (type of programme, dates of attendance, completion/non-completion and so on).

Please note question A10 whereby the current labour status of the interviewee is identified (in education/training, unemployed, employed or self-employed). According to the resulting classification, the interviewer will administer only sub-section B, C, D or E or ending the interview if the person is out of the labour force. Section B is aimed at gathering data on participants who returned to education or are in further training. Section C is aimed at finding information on participants who are unemployed; section D is to be administered to participants who are wage employees and section E to those who are self-employed. For non-participants, the questionnaire needs to skip all those questions relating to programme participation and focus only on questions regarding the current activity status (an example is provided in the Tools section of this Guide). If participation in the unemployment or social assistance benefit system is a pre-condition for employment programme participation, the questionnaire needs also to register the overall number of month/benefit received while participating in a programme.

The questionnaires are sent to the statistics department of the NES for data entry. At central level the questionnaires are checked for inconsistencies and the relevant data is entered using a computer program format that allows the exclusion of inadmissible entries and automatically follows the skip pattern designed. Once data entry is concluded and data have been cleaned, statistical tables can be generated. The minimum information that should be generated by the follow-up survey is presented in Table 7.

**Table 7: Impact indicators to assess performance of training programmes**

Impact indicators	Description	Disaggregation
Rate of immediate transition	Number of beneficiaries hired at the end of the scheme (or with better income) ----- Total placed in the period	– By sex, age group, ethnic belonging, unemployment duration and type of disadvantage
Net placement rate (*) (individuals)	Gross placement minus deadweight and substitution ----- Total placed	– By sex, age group, ethnic belonging, unemployment duration and type of disadvantage
Net placement rate (companies)	Gross placement minus deadweight and substitution ----- Total hiring	– By sector and size
Quality jobs	% of hired beneficiaries in full time and permanent job after 6 months ---- % of full time and permanent jobs in the region	– By sex, age group, ethnic belonging, unemployment duration and type of disadvantage
Average cost per participant employed at follow-up	Overall cost of programme ---- Number of individuals employed at follow-up	– By direct cost (disbursements to individuals and enterprises) – By indirect cost (cost of NES staff involved in the programme and administrative costs)

(\*) Alternatively, the gross placement rate of participants minus the gross placement rate of non-participants will provide an indication of the net effect of the programme.

The data generated by surveying participants and non-participants in the programme will allow identification of differences between the employment and earning levels of the two groups, which can be attributed to programme participation.

As the full benefits of programme participation may be yielded by beneficiaries only in the longer term, the labour market performance of participants should be measured at regular intervals (after 12 months from termination of the programme and again after 24 months). It is quite possible, in fact, that the returns of the programme unfold in terms of higher employability and increased

capacity of participants to move from one enterprise to another. In addition, for programmes involving training it is of particular importance to verify whether the participants who are employed or self-employed are using the skills learnt and/or are employed in the occupation for which they were trained.

## **PART IV**

# **EVALUATION OF EMPLOYMENT PROGRAMMES**

## 1. Evaluating net employment and earning impact

Guidelines to measure the net impact of employment promotion programmes	
<b>Purpose</b>	To measure the net impact of programmes on employment and earning of beneficiaries and which programmes work best for whom
<b>Tasks</b>	<ul style="list-style-type: none"> <li>— Estimate the net impact of programmes on (re)employment and earnings;</li> <li>— Report findings to central employment authorities;</li> <li>— Adjust design of programmes based on findings.</li> </ul>

The impact of all programmes implemented needs to be evaluated in terms of the employment and earnings of participants compared to the employment and earnings of non-participants. Net impact evaluations measure the net effects of programmes on aggregate employment by estimating deadweight, substitution and displacement effects. Such evaluation is indispensable to: i) decide whether the programmes were adequately designed, targeted, sequenced and administered; ii) measure the impact on individuals in terms of employment and income; iii) compare the outcomes of different programmes; and iv) demonstrate what works and for whom.

In net impact estimation the outcomes of programme participants are judged in relation to an appropriate comparison (control) group. An appropriate group can be specified either as part of a classical field experiment involving random assignment to participant and comparison groups (experimental evaluation), or by quasi-experimental methods which attempt to achieve the fiction of random assignment through statistical means (non-experimental evaluation). Classically designed experiments are the ideal for net impact evaluation, but generally evaluations use quasi-experimental methods because they are cheaper and faster than classical experiments and they can often be carried out with existing administrative data.

Net impact analysis complements performance monitoring: net impact estimates provide evidence of the added value of interventions, but they are only a snapshot taken at a particular moment. Performance monitoring regularly provides consistent information covering a wide geographical area. Standards

for the gross outcome measures, generated by a performance monitoring system can be benchmarked using net impact estimates.

The data for estimating net impact come from three sources: 1) the administrative data of the employment service on registered unemployed and on programme implementation; 2) data on the activity status of participants after completion of the programme (tracer surveys) and 3) data on the activity status of the comparison (control) group.

#### Box 4: Commonly Used Terms for Impact Evaluation

**Deadweight Loss:** Program outcomes are not different from what would have happened in the absence of the program. For example, wage subsidies place a worker in a firm which would have hired the worker in the absence of the subsidy.

**Substitution Effect:** A worker hired in a subsidized job is substituted for an unsubsidized worker who would otherwise have been hired. The net employment effect is thus zero.

**Displacement Effect:** This usually refers to displacement in the product market. A firm with subsidized workers increases output, but displaces/reduces output among firms who do not have subsidized workers. This can also occur in helping individuals start up enterprises.

**Additionality:** This is the net increase in jobs created. It is the total number of subsidized jobs less deadweight, substitution and displacement effects.

**Treatment and Control Group:** Program beneficiaries are the “treatment” group. In a scientific evaluation, their outcomes are compared with a “control” group of individuals who did not participate in this program. The treatment and control groups could be assigned at random *ex-ante* (before the program) or chosen *ex-post*.

**Selection Bias:** Program outcomes are influenced by unobservable factors not controlled for in an evaluation (e.g. individual ability, willingness to work). Such factors can also arise as a by-product of the selection process into programs where individuals “most likely to succeed” are selected into programs (“creaming”).

**Randomization Bias:** This refers to bias in random-assignment experiments. In essence, this says that the behaviour of individuals in an experiment will be different because of the experiment itself and not because of the goal of the experiment. Individuals in an experiment know that they are part of a treatment group and may act differently, and the same could hold true of individuals in the control group.

Source: ILO

## 2. Selecting the evaluation

Techniques for evaluating the effectiveness of employment programmes are of two types: experimental and quasi-experimental. Experimental or classically designed evaluations require selection of both the "control" and "treatment" groups – those who receive the assistance and those who do not – prior to the intervention. If large numbers of individuals are randomly assigned to treatment and control groups, the average characteristics of the two groups should not differ significantly. Thus, any difference in outcomes can be attributed to programme participation. Quasi-experimental studies select treatment and control groups after the intervention. To compute programme effectiveness, statistical techniques are used to correct for differences in characteristics between the two groups.

### *2.1. Experimental techniques*

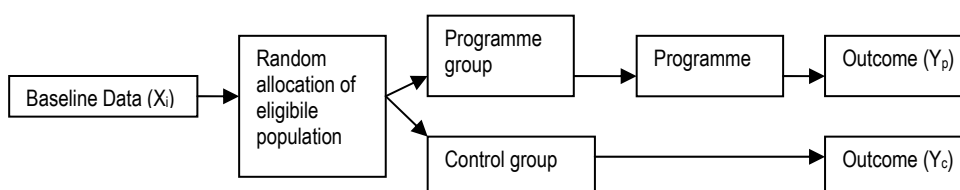
In terms of policy guidance, simple (unadjusted) impact estimates are the easiest to understand. This is the main appeal of programme evaluation using a classical (social) experiment involving random assignment. When random assignment has been achieved, modelling of behaviour and complex econometric methods are not needed to estimate reliable net programme impacts. With large samples randomly assigned to treatment and control groups, there should be no difference between the observable and unobservable characteristics of the two groups, so that any difference in outcomes may be attributed to exposure to the programme. Programme impacts are calculated as the simple difference between the mean of the sample of programme participants and control group members on the outcome measures of interest (re-employment and earnings).<sup>13</sup>

Central to a social experiment is the concept of random allocation (random assignment or randomization). Figure 6 illustrates a simple random allocation design.

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<sup>13</sup> Normally, net impact evaluation detect: i) whether participants and non-participants were ever re-employed in a non-subsidized job or self-employment; ii) whether they are currently employed in a non-subsidized job or self-employed; iii) average monthly wage or earnings in current job; iv) months of unemployment compensation drawn while unemployed and v) amount of unemployment compensation drawn while unemployed.



**Figure 6: Simple random allocation design*****Example of evaluation with experimental techniques***

As educational attainment is a key determinant of employment success, the Ministry of Labour is planning to implement a programme aimed at raising the qualification level of the young unemployed (youth 15 to 24 registered with the employment service) with low educational attainment (primary education or less), who have been unemployed for six months or more. To construct a social experiment, the following steps need to be undertaken.

1. The first step is the extraction from the unemployment register of all individuals who are eligible. The first criterion regards age-group, e.g. all registered unemployed who are at the date of selection over 15 and less than 25 years old (for instance, if the date of selection is 1<sup>st</sup> January 2009, all people born after 31<sup>st</sup> December 1984 up to 31<sup>st</sup> December 1993). The second selection criterion is level of education, e.g. all registered unemployed who were born after 31<sup>st</sup> December 1984 and up to 31<sup>st</sup> December 1993 and who are recorded with primary education attainment or less (normally this also includes those people who enrolled in secondary education, but did not complete the course of study). The third criterion is unemployment spell, e.g. all those registered individuals complying with the first two criteria and whose registration date with the employment services precedes 1<sup>st</sup> July 2008. If the employment service uses an IT-based registration system, the target population can be extracted by querying the database according to the above-mentioned parameters. If the employment service does not have an electronic registration system, the process has to be done manually. This first step will provide the eligible (target) population of the envisaged programme.
2. Once the eligible population has been extracted, the programme is announced to solicit eligible individuals to apply. This serves two objectives. First, not everybody who may be eligible for a programme

will apply to participate (this may be due to work in the informal economy, care duties or unawareness of the programme). It is good practice to contact individuals who are eligible but did not apply, to investigate the reasons. If the employment service has a sanctioning system – i.e. registered unemployed, especially those on benefits, are obliged to accept adequate employment when offered or to participate to programmes – those not applying or refusing to participate may be deleted from the register. Second, the application to participate in a programme will point to the “motivation” of individuals, which is one of the most difficult unobservable characteristics to measure. All individuals applying for a programme and complying with the eligibility criteria set will form the “Baseline” of Figure 6. An example of baseline is offered below.

**Table 8: Extraction of data from register to build baseline**

<b>Employment Office No1</b>			
	<b>Total</b>	<b>Men</b>	<b>Women</b>
<b>Total registered unemployed</b> (01.01.2009) of which	36,890	18,220	18,670
<b>Young people</b> (date of birth after 31.12.1984 and before 31.12.1993), of which	11,290	5,790	5,500
<b>Low educated</b> (Level education I and II), of which	8,740	4,850	3,890
<b>Unemployed 6 months+</b> (registered before 01.07.2008)	5,210	2,616	2,594
<b>Eligible population total</b>	<b>5,210</b>	<b>2,616</b>	<b>2,594</b>
<b>Valid applications/baseline</b>	<b>4,302</b>	<b>2,252</b>	<b>2,050</b>
<b>Employment Office No2</b>			
	<b>Total</b>	<b>Men</b>	<b>Women</b>
<b>Total registered unemployed</b> (01.01.2009) of which	92,346	46,248	46,098
<b>Young people</b> (date of birth after 31.12.1984 and before 31.12.1993), of which	18,496	9,354	9,142
<b>Low educated</b> (Level education I and II), of which	11,254	6,246	5,008
<b>Unemployed 6 months+</b> (registered before 01.07.2008)	8,520	4,322	4,198
<b>Eligible population total</b>	<b>8,520</b>	<b>4,322</b>	<b>4,198</b>
<b>Valid applications/baseline</b>	<b>5,960</b>	<b>3,108</b>	<b>2,852</b>
<b>TOTAL</b>			
<b>Total eligible population</b>	<b>13,730</b>	<b>6,938</b>	<b>6,792</b>
<b>Baseline (total valid applications)</b>	<b>10,262 (74.7%)</b>	<b>5,360 (52.2%)</b>	<b>4,902 (47.8%)</b>

3. Eligible applicants will undergo random assignment to participant and non participant groups. The individual data of eligible applicants is extracted from the register and the random criterion is applied (for instance day of the month of birth). This will produce the list of participants (to be exposed to the programme) and the list of non-participants.
4. At programme's end, the list of non-participants is cleaned, i.e. the individuals who did not complete the programme are separated from the main list. At six months from completion the verification of (re)employment and earnings takes place. If this is done through administrative records, the individual data on "outflow into employment" is checked to compute how many participants and non-participants were deleted because they found employment. This data is matched with the individual records of registered employment (social contribution payments and/or payroll tax). If the data does not match for a specific individual (e.g. the person appears as employed from the employment service records, but s/he is not registered as (self) employed) this individuals cannot be considered as "re-integrated into regular employment". The data on social security contributions and/or payroll tax also provide information on current level of earnings. This will need to be compared with the unemployment register data on "level of earnings in last job". If the measurement of (re)employment and earnings is carried out through tracer surveys, the employment services contacts participants and non-participants to administer the questionnaire (often this is done through telephone interviews). The data stemming from the questionnaire is elaborated to measure rate of (re)employment and level of earnings. The mean differences between participants and non-participants will provide the net impact of the programme.

Randomization is important because, provided that the sample is large enough, it ensures that there are no systematic differences between individuals in the programme and control groups, at the point when they are allocated or assigned. The main advantages of this technique are that: i) if the experiment is properly carried out, it provides strong evidence of net programme impacts and the results are clear and easy to explain; ii) contrary to non-experimental techniques, it does not need to use complex statistical techniques; iii) it can be a fair mechanism for allocating interventions where there are limited resources; and iv) the results, combined with measures of the costs of the programme, can easily be incorporated into a cost-benefit analysis.

The main disadvantages of experimental techniques revolve around public utility, methodological and ethical constraints as well as costs. With regard to public utility, many of the questions of interest for policy-makers (for instance, why the programme did or did not work; which factors affect the decision of individuals to take part in non-mandatory interventions; what are the costs of various interventions) cannot be answered. Methodologically, these evaluations are often unable to detect the unintended consequences of a programme. Information about outcomes generally provides average impact estimates or gain scores. An average score can hide variations in impact across individuals who receive treatment. This is especially problematic where treatment effects have a large variance, especially for a sub-group (like younger and older people, women and men).

Another argument against experimental techniques regards the ethical dimension of denying available services – which are meant to be beneficial – to members of the control group for evaluation purposes. Finally, social policy experiments are expensive and results take time to become available (in most cases at least two to three years). The questions to be considered in deciding whether experimental evaluation is the appropriate evaluation methodology for a particular programme are: i) whether the budget is large enough to warrant a full-scale experimental evaluation; ii) can the decisions that need to be taken wait until results are available, iii) does the administrator and/or the evaluating agency have the administrative and technical capacity to carry out an evaluation based on social experiment.

## 2.2. *Non experimental techniques*

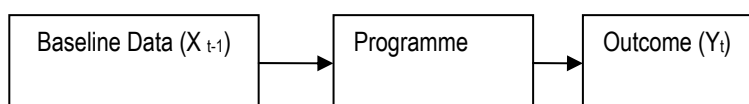
When there is non-random assignment to participants/non-participants from the population of jobseekers, then statistical methods of correction must be used to reveal the net impacts of programmes. An estimation of net impacts involves correcting for the possible selection bias that is present if persons entering programmes are on average different from comparison group members in their job skills and aptitude. A quasi-experiment mimics a classical experiment by using statistical means to create participant and comparison groups which are representative of the sampling frame.

In these techniques, the treatment and control groups are selected *after* the intervention. To ascertain the effect of the program, econometric techniques correct for the differences in characteristics between the two groups. The main appeal lies in the relatively low costs, and that interventions can be made at any

time. The main drawback is that these techniques - if used properly - are statistically complex. The attributes of individuals in treatment and control groups are different; techniques for adjusting for differences in observable attributes (e.g., sex, education, age, region) are relatively straightforward but subject to specification errors; correcting for unobservable characteristics (e.g., motivation, family connections) requires a complex procedure that can yield wildly different results depending upon the specification used.

The least costly approach is to use the prior experience of programme participants so that they act as a comparison group for themselves (pre- vs. post-programme participation). This approach is inexpensive because it either relies on administrative data or else it halves the number of follow-up interviews. Using participants as their own comparison group automatically adjusts the impact estimates for both observable and unobservable characteristics. Generally such designs are considered to be weak because they are unable to account satisfactorily for a wide variety of alternative explanations for any observed programme impacts. That is, this type of design does not really provide any valid and reliable information about what would have happened if the policy or programme had not been offered or if some other intervention had been provided. Indeed, a single group pre and post-test design is seldom implemented without some additional refinements (or design controls) to draw valid causal inferences. For the purpose of explaining the design, however, a simple example is described in Figure 7.

**Figure 7: Single group pre and post-test design**



The programme under investigation is directed at a target population or a subset of this population. Prior to the introduction of the new programme, data is collected on the outcomes (or dependent variables) that the programme seeks to influence ( $Y_{t-1}$ ). This stage in the design is referred to as the baseline data collection stage or pre-test. Once baseline data has been collected, the new programme can be introduced. At some point following the introduction of the programme, follow-up or post-test data is collected on outcomes ( $Y_t$ ). The

impact of the new programme is simply computed as the difference of  $Y_t - Y_{t-1}$ . This computation can be adjusted (using regression analysis) to account for factors known to affect outcomes other than the programme. Such an adjustment attempts to control for changes that might have influenced the difference observed independently of the effect of the programme. The problem with this design is that many events and factors could be responsible for the difference. These events are often referred to as 'threats' to internal validity.

***Example of evaluation pre and post-test design (quasi experimental with non equivalent comparison group)***

The scenario is the same of the previous example, i.e. training programme targeting poorly educated young people. The variables of interest are: qualification level (the programme aims at increasing the level of qualification of participants to III), unemployment spell (the programme aims at reducing the number of months of unemployment in a period of 12 months for poorly educated youth). The individual data on eligible applicants is extracted from the register/collected prior to participation (see Table 9 column labelled “pre-test”).

Two years after the programme has been closed, the two variables of interest are measured either through administrative data or through tracer surveys (see example 1 for an explanation). The data stemming from the analysis is elaborated to measure how many participants have achieved a qualification level III and the average length of unemployment spell within any given 12-month period after participation. Examples of the data (unadjusted) that can be generated are shown in Table 9.

The table shows that the participants in the programme administered by employment office No 1 experienced a 3 percent drop out level; that 55.5 percent of the participants who completed the programme achieved a level of qualification III and that the average length of the unemployment spell for participants in any 12 month period decreased (more so for participants with the lowest level of education). However, suppose that during the period of programme implementation the government introduced an exemption from social security contribution for enterprises employing individuals with education level I and II. The reduction of the unemployment spell of our participants may well be due to this intervention, rather than as a result of the training programme. Statistical methods of correction can be applied to take account of this change (because the intervention is known).

**Table 9: Example of pre- post-test data gathering**

Employment Office No1	Pre-test			Post-test			
	Total	Men	Women		Total	Men	Women
<b>Valid applications</b>	<b>4,302</b>	<b>2,252</b>	<b>2,050</b>	<b>Participants (- dropout)</b>	<b>4,172</b>	<b>2,196</b>	<b>1,976</b>
Applicants level I	974	410	564	a) Attained level II	160	120	40
Applicants level II	3,328	1,842	1,486	b) Attained level III	2,318	1,432	886
AU (*) months (in 12m) level I	9,5m	9m	10m	a) AU spell (12 month)	8,5	8,5m	8,5m
AU months (in 12m) level II	8,5m	9m	8m	b) AU spell (12 month)	8,25	8,5	8m
Employment Office No 2	Pre-test			Post-test			
	Total	Men	Women		Total	Men	Women
<b>Valid applications</b>	<b>5,960</b>	<b>3,108</b>	<b>2,852</b>	<b>Participants (- dropout)</b>	<b>5,960</b>	<b>3,108</b>	<b>2,852</b>
Applicants level I	2,042	436	1,606	a) Attained level II	1,250	148	1,102
Applicants level II	3,918	2,672	1,246	b) Attained level III	2,174	1,298	876
AU months (in 12m) level I	9,5m	8m	11m	a) AU spell (12 month)	8,5m	8m	9m
AU months (in 12m) level II	8,5m	8m	9m	b) AU spell (12 month)	8m	7m	9m

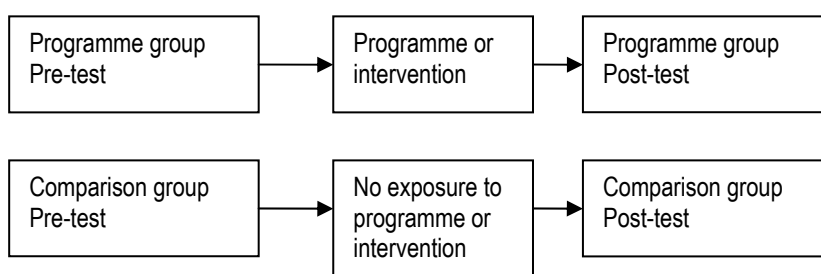
(\*) Average number of months in unemployment in a 12 month period.

An alternative to pre-post analysis is to select a comparison group and use statistical methods of adjustment. This means selecting a participant group and a comparison group for the same time frame; gathering data on observable characteristics such as age, sex, prior occupation and educational attainment for both participants and non-participants. These factors will make it possible to use statistical methods to control for heterogeneity across the two groups in estimating programme net impacts. The concept underlying such selection is to obtain a comparison group that is as similar as possible to the programme group



in all respects. It is a stronger form of design than the one-group pre and post test design because it includes a comparison group.

**Figure 8: Non-equivalent comparison group design**



The matching on observable and unobservable characteristics builds a model which predicts whether an individual will choose to participate in a programme. Ideally this model would include observable factors plus other factors which explain participation, but which do not explain employment success. Once the model is estimated on the whole sample, it can be used to select non-participants with the scores closest to each participant. The participant score is found by evaluating the participation model with individual characteristics.

***Example of non-equivalent comparison group design (quasi-experimental evaluation)***

The scenario is the same as example 1 and 2. Specifically, the calculation of the data at the top of figure 8 above is carried out as in example 2. To construct the comparison group, the evaluator needs to gather the same type of data for another group of unemployed. This group can be unemployed individuals with the same characteristics as the participants, but registered in an earlier period (for instance, if the programme is carried out in 2009 and 2010, the comparison group could be extracted from the register for the years 2006-2007), or individuals registered in the same period as the participants with more or less the same characteristics, but who did not apply for the programme. In the first instance, the model will have to take into account the differences arising from selecting the control group from a previous period, such as the different stage of the macro-economic cycle; in the second instance, the model will have to take

into account individual differences (for instance the motivation that induced participants to apply and non-participants not to apply, or differences in employment spell duration, level of education and so on).

Regression discontinuity design is a method that has been developed relatively recently but it is already established as the quasi-experiment that comes closest to an experimental design in eliminating selection bias. All persons in the study are assessed before they receive treatment and are then re-assessed after receiving treatment. However, the unique feature is the allocation process, whereby study participants are allocated to the control and treatment conditions solely on the basis of a cut-off score on a pre-programme measure. In other forms of quasi-experiment the allocation process is not controlled, and the treatment and comparison groups are self-selected. It is this feature that makes this approach so much more robust than other forms of quasi-experiment. The only bias between the treatment and comparison groups is the difference in scores on the pre-programme measure (for instance the number of weeks of unemployment spell). No other variable influences the selection process. This is not the case in other forms of quasi-experiment where only a limited number of variables are controlled and where an infinite number of unknown variables could influence the results of the evaluation. Moreover, the source of the selection bias is not only known but has been quantified by the pre-programme measure. This therefore allows it to be controlled for by the use of regression analysis.

### 2.3 Macroeconomic evaluations

Since the ultimate aim of active policies is to cut overall unemployment and/or raise earnings, an obvious approach to assessing their effectiveness is to seek to establish robust econometric relationships between key macroeconomic aggregates such as unemployment or real wages and various measures of the size of active policies.

Two types of analysis can be used, each corresponding to a different timing. First, the evaluators can use a macroeconomic model – today the most used is the Layard-Nickell model – and macroeconomic data to assess what has happened in the economy and estimate the effects of particular employment policies. Second, they may use macroeconomic models to simulate what would happen in the economy if the programme was implemented.<sup>14</sup>

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<sup>14</sup> For a simple explanation of the Layard-Nickell model see P. Gaëlle, *A framework for active labour market policy evaluation*, ILO Employment and Training Papers N. 49, Geneva, 1999.

This approach allows the effects of active labour market policies on several labour market variables to be investigated. The active policies (expressed as expenditure per unemployed person) are, generally, the provision of public employment services, training programmes for unemployed adults and those at risk, subsidies for regular employment in the private sector and direct job creation in the public or non-profit sector. Employment services, training and subsidies are also added together to create a variable measuring the overall expenditure directed towards improving labour market efficiency. The objective is to estimate the impact of active labour market policies on variables such as the unemployment rate; incidence of long-term unemployment; growth rate of employment, labour force participation rates and wage dispersion.

The influence of passive labour market policies and institutional arrangements can be controlled by introducing variables such as the replacement ratio, the duration of unemployment benefits, the degree of centralisation of wage bargaining, the degree of institutional efficiency, degree of employment protection legislation and so on.

## 2.4 Cost-benefit analysis

Cost-benefit analysis counts, in money terms, the costs and benefits of a particular programme. It compares two alternative courses of events, which must be clearly defined, and evaluates the programme's impact as the difference between the two. The alternative can be what happens under another project, but it generally represents what happens if no policy is carried out at all. The benefits include the net impacts of the programme on the participants (compared to the non-participants) as well as other benefits arising for the rest of the economy (for example, a decrease in crime). The costs include the spending that the programme involves. This technique is generally used as an *ex-ante* analysis of initiatives that are under deliberation, but it can also be carried out *ex-post*.

The evaluation determines which impacts should be estimated and how these should be valued (gains and losses) and aggregated. Generally, the final choice will include losses for some people, but the principle is to implement an intervention that is in the interest of the public. The evaluation is based on the "willingness to pay" of the individuals affected, i.e. an opportunity cost analysis. A favourable impact is evaluated by the maximum amount that the beneficiaries would be willing to pay and an unfavourable one is assessed by the minimum amount that the sufferers would be willing to accept as compensation.

The cost benefit ratio (value of benefits divided by value of costs) is the indicator of the effectiveness of a programme.

This technique is quite ambitious and it is difficult in practice to have a clear alternative to the programme under scrutiny. Moreover, certain effects are difficult to measure in money terms. For instance, to estimate the value of psychological effects, the method of revealed preferences is often used. This is based on the observation of the behaviour of individuals with similar characteristics to the programme's participants (in particular, the way they choose between two alternatives). Another issue is that the impacts of the programme do not all occur at the same time. A period of evaluation has to be chosen. In general, only short-term effects are considered. However, when one wants to evaluate the long-term effects, costs and benefits have to be considered over a number of years. In this case, one has to calculate the value in the present year of all future benefits and costs (i.e. their present value). The future value of benefits is discounted by a rate similar to interest rates.

This type of analysis allows us to study not only the net benefit for society, but also for different groups of people (re-distributional effect of the programme). Its results can be a very useful tool in the formulation of future policy. Even though a perfect evaluation may never be reached, cost benefit analysis may decrease the risk that decisions are made inefficiently, and thus contribute to making the decision-making more accountable.

### 3. Use of the evaluation findings

The evaluation of active labour market programmes is expected to assess indirect impact, determine heterogeneity of impact across categories of beneficiaries (by sex, age-group, education level and region), discuss long term sustainability of jobs and identify lessons learnt for the formulation of new programmes or the improvement of existing ones. The evaluation report also reviews the fit of programme design according to the relevance of labour market requirements and participants' needs, as well as the other services that were administered before and/or after the programme (e.g. career guidance, job-search skills, employment planning, placement services, etc.). Based on the estimated impact of the programmes and using administrative data on programme costs, the evaluation will: i) provide an estimation of the rate-of-return of each programme in terms of total cost per participant and cost for person employed; and ii) assess whether budgetary resources have been efficiently used and have contributed to the achievement of the training programmes objectives.

The findings of the evaluation will help identify the programmes that were most successful, those that failed to improve the employment and earning prospects of participants and also provide information on the total use of financial and human resources.



## **PART V**

## **TOOLS**

## Tool 1

### Template of Individual Employment Plan

Number in the unemployment register <input style="width: 50px;" type="text"/>		Occupation <input style="width: 250px;" type="text"/>		Code <input style="width: 50px;" type="text"/>										
Summary of disadvantage/s in the labour market		<div style="border: 1px solid black; padding: 5px;">Employment goal</div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Measures undertaken <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 20px; text-align: center;">1</td><td style="height: 20px;"></td></tr> <tr><td style="text-align: center;">2</td><td style="height: 20px;"></td></tr> <tr><td style="text-align: center;">3</td><td style="height: 20px;"></td></tr> <tr><td style="text-align: center;">4</td><td style="height: 20px;"></td></tr> </table> </div>			1		2		3		4			
1														
2														
3														
4														
<input type="checkbox"/>	1. Low education attainment													
<input type="checkbox"/>	2. Lack of/limited skills													
<input type="checkbox"/>	3. Lack of/low work experience													
<input type="checkbox"/>	4. Sex belonging													
<input type="checkbox"/>	5. Age cohort belonging													
<input type="checkbox"/>	6. Disability													
<div style="border: 1px solid black; padding: 5px;">SERVICES</div>		<div style="border: 1px solid black; padding: 5px;"> 1. Employment Counselling and job search assistance <input style="width: 20px;" type="checkbox"/> </div>												
Notes:														
		<div style="border: 1px solid black; padding: 5px;"> Provider Local/Regional Employment Office of _____  From: ____/____/2009 To: ____/____/2009  Indicators: <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Nr. of counselling sessions</td> <td style="width: 20%; border-bottom: 1px solid black;"></td> <td style="width: 20%;">Employment +3 weeks</td> <td style="width: 10%; text-align: center;">Y</td> <td style="width: 10%; text-align: center;">N</td> </tr> <tr> <td>Nr. of interviews in enterprises</td> <td style="border-bottom: 1px solid black;"></td> <td>Mediation/Matching</td> <td style="text-align: center;">Y</td> <td style="text-align: center;">N</td> </tr> </table> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Conditions <p>The <b>counsellor</b> will provide the client with all the necessary advice and guidance and labour market information and assist him/her in job searching in order for the client to enter unsubsidized employment.</p> <p>The <b>client</b> will attend all counseling sessions with the counsellor and undertake the actions that are suggested and agreed on, based on his/her skills, as the most appropriate towards his/her employment. The client will openly indicate all facts relevant to job search.</p> </div> <div style="text-align: right; margin-top: 10px;"> ____/____/2009      ____/____/2009      ____/____/2009 </div> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Counselling sessions  Notes from counselling sessions </div>			Nr. of counselling sessions		Employment +3 weeks	Y	N	Nr. of interviews in enterprises		Mediation/Matching	Y	N
Nr. of counselling sessions		Employment +3 weeks	Y	N										
Nr. of interviews in enterprises		Mediation/Matching	Y	N										



## 2. Work-training programme

Notes:

Providers:	Name of the enterprise _____		
From:	___/___/2009	To:	___/___/2009
	Completed on: ___/___/2009		
	Name of the training institution _____		
From:	___/___/2009	To:	___/___/2009
	Completed on: ___/___/2009		
Indicators:	Employment contract with job description _____		
	Number of working hours per week _____		
	Number of training hours per week _____		
	Number of relevant skills acquired (Training Plan) _____		
	Certificate issued by: _____		
	Enterprise's satisfaction _____		
	Client's satisfaction _____		
	Number of counselling sessions during the training : _____		
Conditions:	<p>The <b>Counsellor</b> will advise and guide the client, check the employment contract and the training plan and ensure that the measure is implemented by an eligible enterprise that meets the individual's needs.</p> <p>The <b>client</b> will observe the training schedule as determined in the training plan. He/she will continue meeting with the counsellor and undertake all actions that are suggested and agreed, based on his/her skills, as the most appropriate towards his/her employment. The client will indicate all facts relevant to job search. The client is aware that he/she will undergo training for a minimum of 20 percent of working time for at least 3 months and will have an employment contract for at least 6 months, a monthly wage and full insurance coverage to be received from the employer.</p>		

\_\_\_/\_\_\_/2009

\_\_\_/\_\_\_/2009

\_\_\_/\_\_\_/2009

Counselling sessions

Notes from counselling sessions

### 3. Employment Subsidies



Notes:

Provider: Name of the enterprise \_\_\_\_\_

From: \_\_\_\_/\_\_\_\_/2009 To: \_\_\_\_/\_\_\_\_/2009

Indicators: Employment contract with job description \_\_\_\_\_

Number of working hours per week \_\_\_\_\_

Enterprise's satisfaction \_\_\_\_\_

Client's satisfaction \_\_\_\_\_

Conditions

The **Counsellor** will advise and guide the client, ensure that the measure is implemented by an eligible enterprise that meets the client's needs and that a regular employment contract is established.

The **client** will receive the same treatment as the other employees of the enterprise. He/she will continue meeting with the counsellor and undertake all actions that are suggested and agreed, based on his/her skills, as the most appropriate towards his/her lasting employment. The client will indicate all facts relevant to job search. The client is aware that he/she will have an employment contract, a monthly wage and full insurance coverage for at least two to eight months, to be received from the employer.

\_\_\_\_/\_\_\_\_/2009

\_\_\_\_/\_\_\_\_/2009

\_\_\_\_/\_\_\_\_/2009

Counselling sessions

Notes from counselling sessions

#### 4. Self-Employment training



Notes:

Provider:	Name of the training provider _____	
From:	___/___/2009	To: ___/___/2009
Completed on:	___/___/2009	
Indicators:	Number of training hours per week	_____
	Number of business-related skills acquired (Training Plan)	_____
	Certificate issued by:	_____
	Number of contacts with credit providers	Y _____ N _____
	Number of counselling sessions with business advisory services:	_____
	Number of counselling sessions during the programme:	_____
Conditions	<p>The <b>Counsellor</b> will advise and guide the client, check the training plan and ensure that the measure is implemented by an eligible training provider that meets the individual's needs.</p> <p>The <b>client</b> will observe the training schedule as determined in the training plan. He/she will continue meeting with the counsellor and undertake all actions that are suggested and agreed, based on his/her entrepreneurial skills, as the most appropriate towards his/her self-employment. The client will indicate all facts relevant to self-employment. The client is aware that he/ she shall be covered for the costs of the training course which cannot exceed 200 hours for three months and will be provided information on vocational skills training providers and on advisory services and commercial and non-commercial credit providers.</p>	

Counselling sessions

Notes from counselling sessions

___/___/2009	___/___/2009	___/___/2009

I have read and fully understood the terms and conditions of services to be provided to me by the employment office and the service provider. I certify that the present employment plan was prepared with and has the consent of the NES counsellor. I agree to participate in the programme evaluation.

First name/last name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_/\_\_\_/\_\_\_

I certify that the present employment plan was prepared with and has the consent of the NES client.

First name/last name \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_/\_\_\_/\_\_\_

Approval of the Regional Employment Board: Y \_\_\_\_\_ N \_\_\_\_\_

Date \_\_\_/\_\_\_/\_\_\_

Contract (Memorandum of Understanding) signed: Y \_\_\_\_\_ N \_\_\_\_\_

Date \_\_\_/\_\_\_/\_\_\_

## Tool 2

### Sample training plan

#### Part A – Details

	(Given names)	(Family)
<input type="checkbox"/> 1 Name and Surname	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> 2 Date of Birth	<input type="text" value="___/___/___"/>	Sex <input type="checkbox"/> Male <input type="checkbox"/> Female
<input type="checkbox"/> 3 Address	<input type="text"/>	
	City <input type="text"/>	Phone <input type="text"/>
<input type="checkbox"/> 4 Company	<input type="text"/>	
<input type="checkbox"/> 5 Company Address	<input type="text"/>	
	City <input type="text"/>	Phone <input type="text"/>
<input type="checkbox"/> 6 Company Contact Person	<input type="text"/>	Tel <input type="text"/> Email <input type="text"/>
<input type="checkbox"/> 7 Occupational Profile	<input type="text"/>	
<input type="checkbox"/> 8 Commencement Date	<input type="text" value="___/___/___"/>	Expected Completion Date <input type="text" value="___/___/___"/>

## PART B - Training Plan

1	<b>Learning Objectives</b> Which new skills and abilities the trainee will have at the end of the training (e.g. <i>the trainee will be able to...</i> ) Learning objective should be specific and measurable.	
2	<b>Activities to be undertaken to achieve the qualification</b> Sequencing of units of competency should be specified wherever possible	
3	<b>Key learning resources to be made available to the trainee</b>	
4	<b>Competencies list</b>	
5	<b>Monitoring dates</b> At least two per cycle:	
6	<b>Assessment dates and tools</b>	
7	<b>Arrangements made with training provider</b>	

## Part C. Undertaking

**I was provided with a copy of this training plan and I understood the conditions** *(beneficiary)*

Signature \_\_\_\_\_ Date: \_\_\_\_\_

**This training plan has been prepared in consultation with the enterprise that will provide the training.**

Signature \_\_\_\_\_ Date \_\_\_\_\_ *(enterprise)*

Signature \_\_\_\_\_ Date \_\_\_\_\_ *(NES counsellor)*

## Tool 3

### Template summary information on programme participants

LOCAL EMPLOYMENT OFFICE XXXXX

Age-group 16-25

INDIVIDUAL CHARACTERISTICS											EMPLOYMENT AT FOLLOW-UP									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
N	Register number	Surname and name of beneficiary	Birth date	Age	Sex	Address (street, number, village)	Telephone (landline and mobile)	Date of entry in register	Level of education	Unempl. Duration (months)	Prior work experience	Occupation (ISCO Code)	Benefiting from social assistance	Disability	Date follow-up	Employment at follow up	Regular employment	Earning (gross/net)	Occupation (ISCO Code)	Economic sector (NACE)
1	11111								III (G)	7	Y	113456	N	N		N	N	1500		
2																				
3																				
4																				
5																				
6																				
7																				
8																				

## Tool 4

### Sample tracer questionnaire (PARTICIPANTS)

#### A. General information

A1. Full name of respondent: \_\_\_\_\_

A2. Birth date: Day: \_\_\_\_\_ Month: \_\_\_\_\_ Year: \_\_\_\_\_

A3. Sex:

Female 1

Male 2

A4. Address of respondent: \_\_\_\_\_

A5. Level of formal schooling before entering the programme

Primary school (uncompleted) 1

Primary school (completed) 2

Secondary school (general) 3

Secondary school (vocational) 4

Higher education 5

A6. Type of programme attended

Work-training programme 1 **Go to A7**

Employment subsidy 2 **Go to A7**

Self-employment services 3 **Go to A8**

A7. How much was your wage level during programme participation? \_\_\_\_ALL

A8. Programme attended from \_\_\_\_\_ to \_\_\_\_\_

In (occupation) \_\_\_\_\_ (sector, NACE) \_\_\_\_\_



- A9. How did you find the guidance/advice/information provided during programme participation?
- |             |   |
|-------------|---|
| Very useful | 1 |
| Useful      | 2 |
| Not useful  | 3 |
- A10. What has been your situation with regard to employment in the last month? (Choose the one that best describes your current situation.)
- |   |   |                          |
|---|---|--------------------------|
| Attending training                              | 1 | <b>Go to questions B</b> |
| Available and actively looking for work         | 2 | <b>Go to questions C</b> |
| Working for salary/wage with an employer        | 3 | <b>Go to questions D</b> |
| Working as self-employed/own account worker     | 4 | <b>Go to questions E</b> |
| Engaged in home duties (including child care)   | 5 | <b>End of interview</b>  |
| Unable to work owing to sickness and disability | 6 | <b>End of interview</b>  |
| Rentier (independent, own-income)               | 7 | <b>End of interview</b>  |

## B. In Training

- B1 Which was the reason for leaving the job you had during the programme?
- |                                   |   |                  |
|-----------------------------------|---|------------------|
| I was dismissed                   | 1 | <b>Go to B2</b>  |
| I left the job at my own volition | 2 | <b>Go to B 3</b> |
- B2 Why do you think the company dismissed you?
- |   |    |
|---|----|
| Unsuitable, low level of skills                         | 1  |
| Requirements for job higher than skills possessed       | 2  |
| Not enough jobs available                               | 3  |
| Insufficient work experience                            | 4  |
| Considered too young/too old                            | 5  |
| Being male/female                                       | 6  |
| Discrimination, prejudices                              | 7  |
| Enterprise had to reduce production/dismiss workers     | 8  |
| Discrimination, prejudices (individual characteristics) | 9  |
| Other, specify _____                                    | 10 |

- B3. Why did you leave the enterprise?
- |                                       |   |
|---------------------------------------|---|
| Discrimination, prejudices            | 1 |
| Low wage level                        | 2 |
| Poor working conditions               | 3 |
| Wanted to undergo additional training | 4 |
| Other, specify _____                  | 5 |
- B4. After how many months/years will you complete your current training?  
\_\_\_\_\_ months/years
- B5. What do you plan to do after completing your current training programme?
- |  |   |                         |
|--|---|-------------------------|
| Look for a job                                     | 1 | <b>Go to B6</b>         |
| Enter self-employment                              | 2 | <b>Go to B8</b>         |
| Stay at home (personal or family responsibilities) | 3 | <b>End of interview</b> |
| Immediately go for further training                | 4 | <b>End of interview</b> |
| Do not know  | 5 | <b>End of interview</b> |
- B6. Have you already started looking for a job?
- |     |                          |                      |
|-----|--------------------------|----------------------|
| Yes | <input type="checkbox"/> | <b>Go to B7</b>      |
| No  | <input type="checkbox"/> | <b>End interview</b> |
- B7. How are you looking for a job? (Mark up to four methods)
- |   |   |
|---|---|
| Through training institution                      | 1 |
| Through employment service                        | 2 |
| Through job fairs                                 | 3 |
| Through advertisements (newspaper, internet, etc) | 4 |
| Through friends or relatives                      | 5 |
| Through a private employment agency               | 6 |
| Other, specify _____                              | 7 |

B8. Which steps have you taken to enter self-employment? (Mark up to four methods)

Attended self-employment training	1
Applied for a loan from a commercial bank	2
Applied to a grant/credit scheme	3
Borrowed money from family/relatives	4
Contacted a business partner	5
Other, specify _____	6

**End of interview**

## C. Unemployed

C1 Which was reason for leaving the job you had during the programme?

I was dismissed	1	<b>Go to C2</b>
I left the job of my own volition	2	<b>Go to C 3</b>

C2 Why do you think the company dismissed you?

Unsuitable, low level of skills	1
Requirements for job higher than skills possessed	2
Not enough jobs available	3
Insufficient work experience	4
Considered too young/too old	5
Being male/female	6
Discrimination, prejudices	7
Enterprise had to reduce production/dismiss workers	8
Discrimination, prejudices (individual characteristics)	9
Other, specify _____	10

C3. Why did you leave the enterprise?

- |                                       |   |
|---------------------------------------|---|
| Discrimination, prejudices            | 1 |
| Low wage level                        | 2 |
| Poor working conditions               | 3 |
| Wanted to undergo additional training | 4 |
| Other, specify _____                  | 5 |

C4. How long have you been available for work and actively looking for a job?

- |                   |   |
|-------------------|---|
| Less than a week  | 1 |
| 1-4 weeks         | 2 |
| 1-2 months        | 3 |
| 3-6 months        | 4 |
| 6 months - 1 year | 5 |
| More than 1 year  | 6 |

C5. While job searching, have you ever worked for pay?

- |     |                          |                 |
|-----|--------------------------|-----------------|
| Yes | <input type="checkbox"/> | <b>Go to C6</b> |
| No  | <input type="checkbox"/> | <b>Go to C8</b> |

C6. Which type of work was it?

- |                                   |   |
|-----------------------------------|---|
| Manual job, specify _____         | 1 |
| Clerical job, specify _____       | 2 |
| Technical job, specify _____      | 3 |
| Administrative job, specify _____ | 4 |
| Managerial job, specify _____     | 5 |

- C7. How much was your average wage in these jobs? \_\_\_\_\_
- C8. How much was your average wage during programme participation? \_\_\_\_\_
- C9. How are you looking for a job? (Mark up to four ways)
- |   |   |
|---|---|
| Through employment service                        | 1 |
| Through job fairs                                 | 2 |
| Through advertisements (newspaper, internet, etc) | 3 |
| Through friend or relatives                       | 4 |
| Through a private employment agency               | 5 |
| Other, specify _____                              | 6 |
- C10. What is, in your opinion, the main obstacle in finding a good job?
- |  |    |
|--|----|
| No education   | 1  |
| Unsuitable general education                                 | 2  |
| Unsuitable vocational education                              | 3  |
| No suitable training opportunities                           | 4  |
| Requirements for job higher than education/training received | 5  |
| No work experience   | 6  |
| Not enough jobs available                                    | 7  |
| Considered too young   | 8  |
| Being male/female  | 9  |
| Discrimination, prejudices                                   | 10 |
| Low wages in available jobs                                  | 11 |
| Poor working conditions in available jobs                    | 12 |
| Other, specify _____   | 13 |

C11 Do you feel the programme you attended will be useful in getting a job?

Very useful	1
Somewhat useful	2
Not useful	3
Do not know	4

### End of interview

## D. Workers

D1. Are you still working for the same employer that recruited you under the NES programme?

Yes	<input type="checkbox"/>	<b>Go to D5</b>
No	<input type="checkbox"/>	<b>Go to D2</b>

D2 Which was reason for leaving the job you had during the programme?

I was dismissed	1	<b>Go to D3</b>
I left the job of my own volition	2	<b>Go to D4</b>

D3 Why do you think the company dismissed you?

Unsuitable, low level of skills	1
Requirements for job higher than skills possessed	2
Not enough jobs available	3
Insufficient work experience	4
Considered too young/too old	5
Being male/female	6
Discrimination, prejudices	7
Enterprise had to reduce production/dismiss workers	8
Discrimination, prejudices (individual characteristics)	9
Other, specify _____	10

D4. Why did you leave the enterprise?

- |                                       |   |
|---------------------------------------|---|
| Discrimination, prejudices            | 1 |
| Low wage level                        | 2 |
| Poor working conditions               | 3 |
| Wanted to undergo additional training | 4 |
| Other, specify _____                  | 5 |

D5. Please provide the details of your employer:

Name of company \_\_\_\_\_  
 Industry \_\_\_\_\_  
 Number of workers \_\_\_\_\_

D6. Occupation: \_\_\_\_\_

D7 Do you have an employment contract with your employer?

Yes	1	written_____	oral_____	<b>Go to D8</b>
No	2			<b>Go to D9</b>

D8 What kind of employment contract are you currently working under?

- |                                   |   |
|-----------------------------------|---|
| Unlimited duration                | 1 |
| Limited duration (12 - 36 months) | 2 |
| Seasonal (under 12 months)        | 3 |
| Other, specify: _____             | 4 |

D9. In your current job, are you entitled to the following?

Facility/Benefit	Yes	No
1. Transport or allowance for it	_____	_____
2. Meals or meal allowance	_____	_____
3. Annual paid leave (holiday time)	_____	_____
4. Paid sick leave	_____	_____
5. Pensions/Old-age insurance	_____	_____
6. Severance/end of service payment	_____	_____
7. Medical insurance coverage	_____	_____
8. Bonus/reward for good performance	_____	_____
9. Social security contribution	_____	_____
10. Educational or training courses	_____	_____
11. Occupational safety/protective equipment, clothing	_____	_____
12. Childcare facilities	_____	_____
13. Others (specify _____)	_____	_____

D10. How much do you earn now? \_\_\_\_\_

D11. How much did you earn during the programme? \_\_\_\_\_

D12. How much did you earn before the programme? \_\_\_\_\_

D13. When you finished the programme, did you expect to earn:

More than now?	1
Less than now?	2
About the same?	3
Do not know	4



D14. Is your present occupation related to your training?

Yes ☐ **Go to D16**

No ☐ **Go to D15**

D15. Why?

I did not find work in the occupation for which I trained 1

I did not wish to work in the occupation for which I trained 2

D16. What type of knowledge do you think is primarily needed for performing efficiently in your job?

Theoretical 1

Practical 2

Experience 3

Theoretical and practical 4

Theoretical and experience 5

D17. Are you applying in your work what you learned during the programme?

No 1 **Go to D19**

A little 2 **Go to D18**

A lot 3 **Go to D18**

D18. Of all the things you learned during the programme, what is the one thing that is most useful for your work?

Use of machinery/tools 1

Theoretical instruction 2

Advice of co-workers 3

D19. In your work, are you using equipment similar to that used during the programme?

Yes ☐

No ☐

D20. Was the experience gained during the programme suitable to enable you to perform successfully in your job?

Yes ☐ **Go to D22**

No ☐ **Go to D21**

D21. Why?

Programme did not provide suitable experience 1

Programme did not provide theoretical knowledge 2

Programme did not provide useful skills 3

Programme was too short 4

Programme was too long 5

Other \_\_\_\_\_ 6

D22. Do you think having gone through the programme has paid off?

Yes ☐ **Go to D23**

No ☐ **Go to D24**

D23. If you think it has paid off, why?

I got a good job 1

I am earning more money than without the programme 2

I have more prestige than somebody without the training 3

It opened up possibilities for employment and advancement 4

D24. If you do not think it has paid off, why?

I did not get a good job 1

I am not earning more than I would have earned otherwise 2

I have little status at work 3

It did not open up possibilities for advancement 4

**End of interview**

## E. Self-employed

E1 Why did you choose to be self-employed or an own-account worker rather than to work for someone else (as a wage or salaried worker)?

- |  |   |
|--|---|
| Could not find a wage or salary job                      | 1 |
| Greater independence as self-employed/own account worker | 2 |
| More flexible hours of work                              | 3 |
| Higher income level                                      | 4 |
| Other, please specify _____                              | 5 |

E2 When did you establish your present business? Month: \_\_\_\_ Year: \_\_\_\_

E3 In which industry does your enterprise/organization operate?

- |                              |    |
|------------------------------|----|
| Finance                      | 1  |
| Public administration        | 2  |
| Manufacturing                | 3  |
| Hotels and restaurants       | 4  |
| Real estate                  | 5  |
| Transport and communication  | 6  |
| Construction                 | 7  |
| Social and personal services | 8  |
| Public utilities             | 9  |
| Other, specify: _____        | 10 |

- E4      Where do you mainly undertake your work?
- |  |   |
|--|---|
| At your home (no special business space)                           | 1 |
| Business, space inside or attached to your home (e.g. garage sale) | 2 |
| Factory, office, workshop, shop independent from your home         | 3 |
| Farm or individual agricultural plot                               | 4 |
| Homes or workplaces of clients                                     | 5 |
| Construction sites   | 6 |
| Markets, trade fairs, street stall                                 | 7 |
| No fixed location (mobile)   | 8 |
- 
- E5      Who do you mainly sell the goods or services to?
- |   |   |
|---|---|
| Private individuals or households             | 1 |
| Small businesses, traders                     | 2 |
| Middlemen, agents, contractors                | 3 |
| Large shops or enterprises in domestic market | 4 |
| International market, export products         | 5 |
| Government agencies/public enterprises        | 6 |
| Others (please specify) _____                 | 7 |
- 
- E6      Do you have anyone helping you in your business/economic activity?
- |                        |   |                 |
|------------------------|---|-----------------|
| Paid employees         | 1 | How many? _____ |
| Family members         | 2 | How many? _____ |
| No help, working alone | 3 |                 |

- E7 From where did you get the money to start your current business?  
(Code all that applies)
- |  |   |
|--|---|
| No money needed                              | 1 |
| Own savings                                  | 2 |
| Savings of other family members              | 3 |
| Loan from family or friends                  | 4 |
| Loan from bank or commercial institution     | 5 |
| Loan/assistance from government institution  | 6 |
| Loan/assistance from NGO, donor project, etc | 7 |
| Funds from savings and credit/group          | 8 |
| Other sources, specify _____                 | 9 |
- E8 Do you still have outstanding loans for the business?
- |     |                          |
|-----|--------------------------|
| Yes | <input type="checkbox"/> |
| No  | <input type="checkbox"/> |
- E9 Does your business/enterprise have a trading licence?
- |     |                          |
|-----|--------------------------|
| Yes | <input type="checkbox"/> |
| No  | <input type="checkbox"/> |
- E10. Is your business/economic activity:
- |                 |   |
|-----------------|---|
| Making a profit | 1 |
| Making a loss   | 2 |
| Breaking even   | 3 |

E11 What are the two most important problems you face in running your business?

	<b>Most important problem</b>	<b>Second most important problem</b>
1. Business information	_____	_____
2. Marketing services	_____	_____
3. Financial services	_____	_____
4. Accounting	_____	_____
5. Legal services	_____	_____
6. Counselling/advice	_____	_____
7. Business training	_____	_____
8. Language training	_____	_____
9. Skills training	_____	_____
10. Internet services	_____	_____
11. Access to technology	_____	_____
12. Product development	_____	_____
13. Other, specify _____	_____	_____

E12 Do you feel the programme you participated to was useful in establishing your business?

Very useful	1
Somewhat useful	2
Not useful	3
Do not know	4

E13. How long were you looking for work before establishing your current business?

Less than a week	1
1-4 weeks	2
1-2 months	3
3-6 months	4
6 months - 1 year	5
More than 1 year	6

E14 What was, in your opinion, the main obstacle in finding a good job?

- |  |    |
|--|----|
| Unsuitable education/ level of skills                        | 1  |
| Requirements for job higher than education/training received | 2  |
| No work experience   | 3  |
| Not enough jobs available                                    | 4  |
| Considered too young   | 5  |
| Being male/female  | 6  |
| Discriminatory prejudices                                    | 7  |
| Low wages in available jobs                                  | 8  |
| Poor working conditions in available jobs                    | 9  |
| Other, specify _____   | 10 |

**End of interview**

## Tool 5

### Sample tracer questionnaire (NON-PARTICIPANTS)

#### A. General information

*(Questions A1 to A5 to be skipped if already available)*

A1. Full name of respondent: \_\_\_\_\_

A2. Birth date: Day: \_\_\_\_\_ Month: \_\_\_\_\_ Year: \_\_\_\_\_

A3. Sex:

Female 1

Male 2

A4. Address of respondent: \_\_\_\_\_

A5. Level of formal schooling

Primary school (uncompleted) 1

Primary school (completed) 2

Secondary school (general) 3

Secondary school (vocational) 4

Higher education 5

A6. What has been your situation with regard to employment in the last month?  
(Choose the one that best describes your current situation.)

Attending training 1 **Go to questions B**

Available and actively looking for work 2 **Go to questions C**

Working for salary/wage with an employer 3 **Go to questions D**

Working as self-employed/own account worker 4 **Go to questions E**

Engaged in home duties (including child care) 5 **End of interview**

Unable to work owing to sickness and disability 6 **End of interview**

Rentier (independent, own-income) 7 **End of interview**



## B. In Education/Training

- B1. After how many months/years will you complete your current training?  
\_\_\_\_\_ months/years
- B2. What do you plan to do after completing your current training programme?
- |  |   |                         |
|--|---|-------------------------|
| Look for a job/                                    | 1 | <b>Go to B3</b>         |
| Enter self-employment                              | 2 | <b>Go to E1</b>         |
| Stay at home (personal or family responsibilities) | 3 | <b>End of interview</b> |
| Immediately go for further training                | 4 | <b>End of interview</b> |
| Do not know  | 5 | <b>End of interview</b> |
- B3. Have you already started looking for a job?
- |     |                          |                      |
|-----|--------------------------|----------------------|
| Yes | <input type="checkbox"/> | <b>Go to B4</b>      |
| No  | <input type="checkbox"/> | <b>End interview</b> |
- B4. How are you looking for a job? (Mark up to four methods)
- |   |   |
|---|---|
| Through training institution                      | 1 |
| Through employment service                        | 2 |
| Through job fairs                                 | 3 |
| Through advertisements (newspaper, internet, etc) | 4 |
| Through friends or relatives                      | 5 |
| Through a private employment agency               | 6 |
| Other, specify _____                              | 7 |

**End of interview**

## C. Unemployed

C1. How long have you been available for work and actively looking for a job?

Less than a week	1
1-4 weeks	2
1-2 months	3
3-6 months	4
6 months - 1 year	5
More than 1 year	6

C2. While job searching, have you ever worked for pay?

Yes ☐ **Go to C3**  
No ☐ **Go to C5**

C3. Which type of work was it?

Manual job, specify_____	1
Clerical job, specify_____	2
Technical job, specify_____	3
Administrative job, specify_____	4
Managerial job, specify_____	5

C4. How much was your average wage in these jobs? \_\_\_\_\_

- C5. How are you looking for a job? (Mark up to four ways)
- |   |   |
|---|---|
| Through employment service                        | 1 |
| Through job fairs                                 | 2 |
| Through advertisements (newspaper, internet, etc) | 3 |
| Through friends or relatives                      | 4 |
| Through a private employment agency               | 5 |
| Other, specify _____                              | 6 |
- C6. What is, in your opinion, the main obstacle in finding a good job?
- |  |    |
|--|----|
| No education   | 1  |
| Unsuitable general education                                 | 2  |
| Unsuitable vocational education                              | 3  |
| No suitable training opportunities                           | 4  |
| Requirements for job higher than education/training received | 5  |
| No work experience   | 6  |
| Not enough jobs available                                    | 7  |
| Considered too young   | 8  |
| Being male/female  | 9  |
| Discrimination, prejudices                                   | 10 |
| Low wages in available jobs                                  | 11 |
| Poor working conditions in available jobs                    | 12 |
| Other, specify _____   | 13 |
- C7. Do you think that the employment services you received are/will be useful in getting a job?
- |                 |   |
|-----------------|---|
| Very useful     | 1 |
| Somewhat useful | 2 |
| Not useful      | 3 |
| Do not know     | 4 |

**End of interview**

## D. Workers

D1. Please provide the details of your employer:

Name of company \_\_\_\_\_

Industry \_\_\_\_\_

Number of workers \_\_\_\_\_

D2. Occupation: \_\_\_\_\_

D3 Do you have an employment contract with your employer?

Yes 1 written \_\_\_\_\_ oral \_\_\_\_\_ **Go to D4**

No 2 **Go to D5**

D4 What kind of employment contract are you currently working under?

Unlimited duration 1

Limited duration (12 - 36 months) 2

Seasonal (under 12 months) 3

Other, specify: \_\_\_\_\_ 4

D5. In your current job, are you entitled to the following?

Facility/Benefit	Yes	No
1. Transport or allowance for it	_____	_____
2. Meals or meal allowance	_____	_____
3. Annual paid leave (holiday time)	_____	_____
4. Paid sick leave	_____	_____
5. Pensions/Old-age insurance	_____	_____
6. Severance/end of service payment	_____	_____
7. Medical insurance coverage	_____	_____

	<b>Facility/Benefit</b>	<b>Yes</b>	<b>No</b>
8.	Bonus/reward for good performance	_____	_____
9.	Social security contribution	_____	_____
10.	Educational or training courses	_____	_____
11.	Occupational safety/protective equipment, clothing	_____	_____
12.	Childcare facilities	_____	_____
13.	Others (specify _____)	_____	_____

D6. How much do you earn at your job? \_\_\_\_\_

D7. Is your present occupation related to your education/training?

Yes    ☐    **Go to D9**

No    ☐    **Go to D8**

D8. Why?

I did not find work in the occupation for which I was educated/trained 1

I did not wish to work in the occupation for which I was educated/ trained 2

D9. What type of knowledge do you think is primarily needed for performing efficiently in your job?

Theoretical 1

Practical 2

Experience 3

Theoretical and practical 4

Theoretical and experience 5

**End of interview**

## E. Self-employed

E1 Why did you choose to be self-employed or an own-account worker rather than to work for someone else (as a wage or salaried worker)?

- |  |   |
|--|---|
| Could not find a wage or salary job                      | 1 |
| Greater independence as self-employed/own account worker | 2 |
| More flexible hours of work                              | 3 |
| Higher income level                                      | 4 |
| Other, please specify _____                              | 5 |

E2 When did you establish your present business? Month: \_\_\_\_\_  
Year: \_\_\_\_\_

E3 In which industry does your enterprise/organization operate?

- |                              |    |
|------------------------------|----|
| Finance                      | 1  |
| Public administration        | 2  |
| Manufacturing                | 3  |
| Hotels and restaurants       | 4  |
| Real estate                  | 5  |
| Transport and communication  | 6  |
| Construction                 | 7  |
| Social and personal services | 8  |
| Public utilities             | 9  |
| Other, specify: _____        | 10 |

E4 Where do you mainly undertake your work?

- |  |   |
|--|---|
| At your home (no special business space)                           | 1 |
| Business, space inside or attached to your home (e.g. garage sale) | 2 |
| Factory, office, workshop, shop independent from your home         | 3 |
| Farm or individual agricultural plot                               | 4 |
| Homes or workplaces of clients                                     | 5 |
| Construction sites   | 6 |
| Markets, trade fairs, street stall                                 | 7 |
| No fixed location (mobile)   | 8 |

E5 Do you have anyone helping you in your business/economic activity?

Paid employees 1 How many? \_\_\_\_\_

Family members 2 How many? \_\_\_\_\_

No help, working alone 3

E6 From where did you get the money to start your current business?

(Code all that applies)

No money needed 1

Own savings 2

Savings of other family members 3

Loan from family or friends 4

Loan from bank or commercial institution 5

Loan/assistance from government institution 6

Loan/assistance from NGO, donor project, etc 7

Funds from savings and credit/group 8

Other sources, specify \_\_\_\_\_ 9

E7 Do you still have outstanding loans for the business?

Yes ☐

No ☐

E8 Does your business/enterprise have a trading licence?

Yes ☐

No ☐

E9. Is your business/economic activity:

Making a profit 1

Making a loss 2

Breaking even 3

E10 What are the two most important problems you face in running your business?

	<b>Most important problem</b>	<b>Second most important problem</b>
1. Business information	_____	_____
2. Marketing services	_____	_____
3. Financial services	_____	_____
4. Accounting	_____	_____
5. Legal services	_____	_____
6. Counselling/advice	_____	_____
7. Business training	_____	_____
8. Language training	_____	_____
9. Skills training	_____	_____
10. Internet services	_____	_____
11. Access to technology	_____	_____
12. Product development	_____	_____
13. Other, specify _____	_____	_____

E11. How long were you looking for work before establishing your current business?

Less than a week	1
1-4 weeks	2
1-2 months	3
3-6 months	4
6 months - 1 year	5
More than 1 year	6



E12 What was, in your opinion, the main obstacle in finding a good job?

- |  |    |
|--|----|
| Unsuitable education/ level of skills                        | 1  |
| Requirements for job higher than education/training received | 2  |
| No work experience   | 3  |
| Not enough jobs available                                    | 4  |
| Considered too young   | 5  |
| Being male/female  | 6  |
| Discriminatory prejudices                                    | 7  |
| Low wages in available jobs                                  | 8  |
| Poor working conditions in available jobs                    | 9  |
| Other, specify _____   | 10 |

**End of interview**





