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## PROJECT PREPARATION FACILITY

# Metodologija za selekciju i prioritizaciju infrastrukturnih projekata:

**Koraci 2&3: Procena strateške relevantnosti**

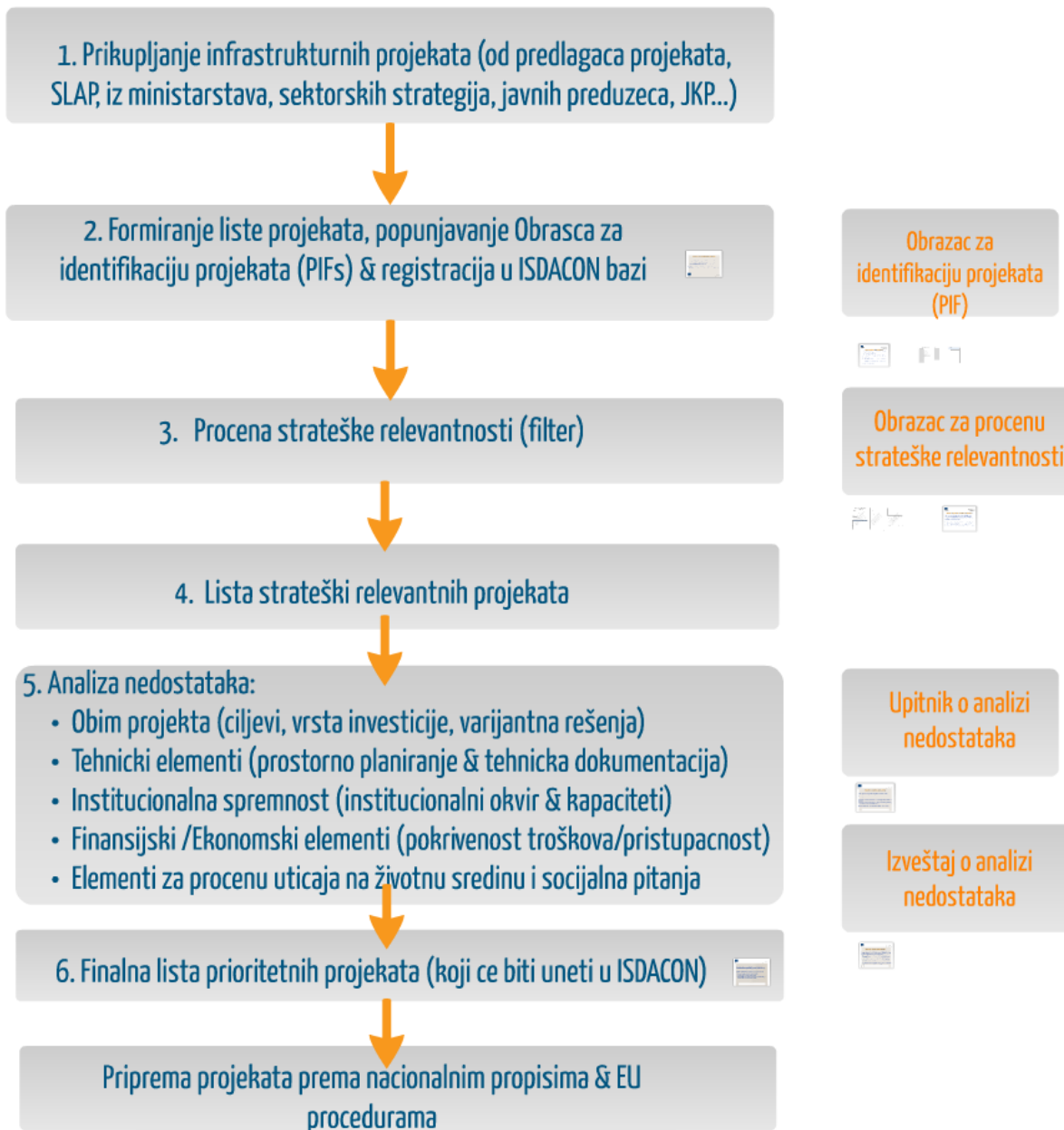
**Korak 5: Analiza nedostataka**

**Transport, životna sredina, energetika  
poslovna infrastruktura**

8. oktobar 2013 / ZRENJANIN



## Metodologija



## Metodologija

1. Prikupljanje infrastrukturnih projekata (od predlagaca projekata, SLAP, iz ministarstava, sektorskih strategija, javnih preduzeca, JKP...)

2. Formiranje liste projekata, popunjavanje Obrasca za identifikaciju projekata (PIFs) & registracija u ISDACON bazi



3. Procena strateške relevantnosti (filter)

Obrasci za  
identifikaciju projekata  
(PIF)



Obrasci za procenu  
strateške relevantnosti



## Obrazac za identifikaciju projekata

Posle prikupljanja infrastrukturnih projekata, resorno ministarstvo koordinira popunjavanje PIF-ova.

**PIF-ove popunjavaju predlagači projekata** (JKP, JP ...) i nadležno ministarstvo pomaže da se PIF-ovi popune u roku.

Nakon kompletiranja PIF-ova, nadležno ministarstvo podatke unosi u ISDACON bazu i formira Listu potencijalno strateških projekata za svaki sektor.



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## Metodologija

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Obrasci za  
identifikaciju projekata  
(PIF)



Obrasci za procenu  
strateške relevantnosti



# Obrazac za identifikaciju projekata (PIF)



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## Obrazac za identifikaciju projekata

PIF-ovi treba da obezbede dovoljno informacija za prvi filter korak u procesu prioritizacije projekata.

Svaki PIF **sadrži sledeće informacije:**

1. Osnovne informacije i podaci (nosiocu i korisniku projekta, ukupnoj investiciji, odgovornim licima, institucionalnom okviru na nacionalnom nivou)
2. Kvalifikovanost (EU politike, IPA prioriteti, nacionalni strateški okvir, sektorske strategije)
3. Pitanja koja se odnose na stratešku relevantnost na koja treba odgovoriti sa a, b ili c
4. Kratak opis projekta (rezime)



ECORYS



naxta

epcco





**PROJECT IDENTIFICATION FORM**  
for submission of strategic infrastructure projects to SEIO/SDAKON  
Sector: TRANSPORT

|   |  |
|---|--|
| <b>1. GENERAL INFORMATION AND DATA</b>  |  |
| Project title:  |  |
| Lead project Beneficiary/Propositor:  |  |
| Other beneficiaries (if any):   |  |
| Location(s):  |  |
| Region/Member States affected by the project:   |  |
| Total investment estimated:   |  |
| <ul style="list-style-type: none"> <li>Preparatory activities (planning, documentation, technical documentation, land acquisition etc.)</li> <li>Construction works</li> <li>Supervision</li> </ul> |  |
| Financial resources secured/funding:  |  |
| Including indication of sources/s:  |  |
| <b>Responsible or authorized person for contact:</b>  |  |
| Name – Position:  |  |
| Email address – Telephone:  |  |
| Institutional set up:   |  |
| Sector Lead Ministry:   |  |
| Other key ministries/institutions involved:   |  |
| Department/Division for policy:   |  |
| Head of Department/Division:  |  |
| Department/Division responsible for project preparation:  |  |
| Head of Department/Division:  |  |
| Names of Project managers responsible for project preparation:  |  |
| Department/Division responsible for project monitoring of implementation:   |  |
| Head of Department/Division:  |  |
| Names of Project managers responsible for project monitoring of implementation:   |  |

**2. ELIGIBILITY**

|  |  |
|--|--|
| <b>A. Fit with policies</b>                        | Demonstrate project's consistency/alignment with the relevant EU policies by mentioning specific Goals – Targets – Objectives – Programs – Measures to which the project is related.   |
| <b>B. IPA/Operational – Country Strategy Paper</b> | Demonstrate project's consistency/alignment with the CIP by mentioning specific Goals – Targets – Objectives – Programs – Measures to which the project is related.  |
| <b>C. National Strategic Frameworks</b>            | Demonstrate project's consistency/alignment with the following National Strategies by mentioning specific Goals – Targets – Objectives – Programs – Measures to which the project is related: <ul style="list-style-type: none"> <li>National Framework for International Assistance (NAI) 2014-2017 with 2020 projections</li> <li>National programme for the adoption of the smart (PNA)</li> <li>National Sustainable Development Strategy (NSDS) 4: Development of infrastructure and balanced regional development</li> </ul> |
| <b>D. Sector referenced Strategies</b>             | Demonstrate project's consistency/alignment with the Sector Strategies by mentioning specific Strategies – Goals – Targets – Objectives – Programs – Measures to which the project is related.   |

**3. STRATEGIC RELEVANCE**

| Strategic relevance – criteria                  | Strategic relevance – assessment factors  | Brief justification   |  |
|---|---|---|--|
| 1. Demand/supply and origin/destination factors | <b>A. What is the number of jobs affected by the project?</b><br>a. More than 500 000 inhabitants<br>b. Between 20 000 and 500 000 inhabitants<br>c. 10 000 to 200 000 inhabitants<br><b>B. Transport demand</b><br>Is the project mainly targeted for:<br>a. providing certain connections for improving social quality of the population, connections with university centers, cultural centers,<br>b. engineering connections for social movements, and for use connections with major economic development (business, tourism, agriculture...)<br><b>C. Transport supply/facility selection</b><br>Is there any alternative transport solution in the same corridor/region?<br>a. No<br>b. Yes, but more expensive and consuming more resources, less capacity, less safety/comfortability, etc.<br>c. Yes, with superior performance | a. 1, 1, 1<br>b. 1, 1, 1<br>c. 1, 1, 1  |  |
|   | <b>2. Reduction with other transport corridors/strategies</b>   | <b>A. Connectivity and interoperability</b><br><b>Will the project provide better connectivity and existing links on:</b><br>a. TEN-T corridor/lines<br>b. Local routes<br><b>B. Will the project improve interoperability?</b><br>a. By improvement of basic technical capacity with the access connections<br>b. By improvement of connections to existing intermodal centers, or an intermodality application  | a. 1, 1, 1<br>b. 1, 1, 1<br>c. 1, 1, 1 |
|   | <b>3. Traffic safety and security of transport</b>  | <b>A. Will the project contribute to improvement of safety features?</b><br>a. Improvement of safety by removal of "black spots" (critical sections)<br>b. Improvement of safety by introduction of ETCS, ETCS, signaling   | a. 1, 1, 1<br>b. 1, 1, 1               |
|   | 4. Economy systems and sectors affected by the project  | <b>A. Will or are the goods that could be transported once project is completed?</b><br>a. Final consumption goods (Consumer goods) e.g. food, cars, etc.<br>b. Goods used for production of other goods (Production goods) e.g. fertilizers, medicines<br>c. There is no indication whether goods will be transported<br><b>B. Will the project provide improved transport services to existing markets?</b><br>a. Improves transport performance (e.g., increased service frequency or reduced road, street and maritime crossing times) (e.g., increase in maritime service speed, such as maintenance, or more reliability improvements to a given mode of operation of existing services and facilities)<br>b. More services/sectors<br><b>C. Will the project improve access to job opportunities?</b><br>a. More than 2000<br>b. Between 1000 and 2000<br>c. 100 or 2000 | a. 1, 1, 1<br>b. 1, 1, 1<br>c. 1, 1, 1 |
|   |   |   | a. 1, 1, 1<br>b. 1, 1, 1<br>c. 1, 1, 1 |
|   |   |   | a. 1, 1, 1<br>b. 1, 1, 1<br>c. 1, 1, 1 |

**4. BRIEF PROJECT DESCRIPTION**

Including project purpose, intended results and technical justification

1. Prikupljanje infrastrukturnih projekata (od predlagaca projekata, SLAP, iz ministarstava, sektorskih strategija, javnih preduzeca, JKP...)

2. Formiranje liste projekata, popunjavanje Obrasca za identifikaciju projekata (PIFs) & registracija u ISDACON bazi



Obrasci za identifikaciju projekata (PIF)



3. Procena strateške relevantnosti (filter)

Obrasci za procenu strateške relevantnosti



4. Lista strateški relevantnih projekata

5. Analiza nedostataka:

- Obim projekta (ciljevi, vrsta investicije, varijantna rešenja)
- Tehnicki elementi (prostorno planiranje & tehnicka dokumentacija)
- Institucionalna spremnost (institucionalni okvir & kapaciteti)

Upitnik o analizi nedostataka

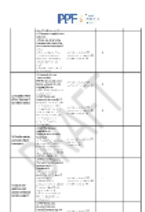


Finansijski /Ekonomski elementi (pokrivenost troškova/pristupacnost)

Izveštaji o analizi



# Obrazac za procenu strateške relevantnosti



**STRATEGIC RELEVANCE ASSESSMENT CRITERIA**  
**sector: TRANSPORT**

**Eligibility check**

Eligibility (= the right to run for funding) of the proposed infrastructure can be demonstrated through:

- a) Inclusion of the proposed infrastructure in related sector Strategies Action Plans;
- b) Clear demonstration of **Consistency/Coherence** (= not to be in contradiction with) of the proposed infrastructure with specific Strategic Goals – Targets – Objectives – Programs – Measures to which the project is referred.

Eligibility of the proposed infrastructure **MUST** be clearly demonstrated for all the following Strategic levels:

- A. EU policies
- B. IPA priorities - Country Strategy Paper
- C. National Strategic framework
- D. Sector referenced Strategies

In case National Sector Strategies (D) are still lacking, or under preparation, then it must be clearly stated. Assessment of Consistency/Coherence will be based on the Strategic Relevance Criteria defined in the following Section 3 – Strategic Relevance (obligatory for all the identified projects).

**Strategic Relevance**

| Strategic relevance – criteria                  | Strategic relevance – assessment factors   | Strategic relevance – assessment   | Weight | Score | Weighted Score |
|---|--|--|--------|-------|----------------|
| 1. Demand/supply and origin/destination factors | <b>A. What is the number of inhabitants affected by the project?</b><br>a. More than 800,000 inhabitants<br>b. Between 150,000 and 800,000 inhabitants<br>c. Up to 150,000 inhabitants   | a = high relevance (3)<br>b = medium relevance (2)<br>c = low relevance (1)                  | 2      |       |                |
|   | <b>B. Transport demand is the project mainly targeted to:</b><br>a. provide better connections for improving social quality of life and better connectivity with university centers, clinical centres...<br>b. improve connections for new investments and better connectivity with zones in economic development (business, | a + b = high relevance (3)<br>a only = medium relevance (2)<br>b only = medium relevance (2) | 2      |       |                |

|  |  |   |   |  |  |
|--|--|---|---|--|--|
|  | tourism, agriculture ]<br><b>C. Transport supply/mode selection</b><br><b>Is there any alternative transport solution in the same connection/scope?</b><br>a. No<br>b. Yes, but worse (more time consuming, more expensive, less capacity, less safe/comfortable, etc.)<br>c. Yes, with same level of performances | a = high relevance (3)<br>b = medium relevance (2)<br>c = low relevance (1) | 2 |  |  |
| 2. Relation with other transport corridor/routes       | <b>A. Connectivity and Intermodality</b><br><b>Will the project provide better connectivity and missing links on</b><br>a. TEN-T corridors/routes<br>b. Local routes   | a = high relevance (3)<br>b = medium relevance (2)                          | 2 |  |  |
|  | <b>B. Will the project improve intermodality?</b><br>a. by construction of new intermodal centers with the access connections<br>b. by improvement of connections to existing intermodal centers<br>c. no intermodality implications   | a = high relevance (3)<br>b = medium relevance (2)<br>c = low relevance (1) | 2 |  |  |
| 3. Traffic safety and security of transport            | <b>A. Will the project contribute to improvement of safety features?</b><br>a. Improvement of safety by removal of "black spots"/critical sections<br>b. Improvement of safety by introduction of ICT (ITS, ERTMS, RIS/ATO/S)  | a + b = high relevance (3)<br>a or b = medium relevance (2)                 | 1 |  |  |
| 4. Economy systems and sectors affected by the project | <b>A. What are the goods that could be transported once project is completed?</b><br>a. Final consumption goods (Consumer goods) e.g. food, cars,<br>b. Goods used for production of other goods (Producers goods) e.g. plants, machinery<br>c. There is no indication whether goods will be transported           | a = high relevance (3)<br>b = medium relevance (2)<br>c = low relevance (1) | 1 |  |  |
|  | <b>B. Will the project provide improved transit/transport service to existing markets?</b><br>a. Improves transit performance (e.g., increased service   | a = high relevance (3)<br>b = medium relevance (2)                          | 1 |  |  |

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
|                             | frequency or reduced travel time) and maintains existing service (e.g., project to maintain service speed, track maintenance, system reliability improvements; prevention of degradation of existing service and reliability)<br>b. Maintains existing service<br><b>C. Will the project improve access to job opportunities?</b><br>a. More than 5000<br>b. Between 1000 and 5000<br>c. Up to 1000 | a = high relevance (3)<br>b = medium relevance (2)<br>c = low relevance (1) | 1 |  |  |
| <b>Final weighted score</b> |   |   |   |  |  |

The Strategic assessment is based on **multi-criteria analysis** which is designed to make a comparative assessment between projects. This is based on the **European Commission's evaluation methodology** which **utilises multi-criteria analysis as an ex-ante evaluation tool** to make **strategic selection choices** with EU funded interventions.  
[http://ec.europa.eu/europeaid/evaluation/methodology/examples/too\\_cri\\_res\\_en.pdf](http://ec.europa.eu/europeaid/evaluation/methodology/examples/too_cri_res_en.pdf)

Strategic relevance criteria have been developed based on the policy objectives in the strategies and action plans for each sector. The scoring system for the strategic relevance criteria is the following:

- Score 3: High relevance
- Score 2: Medium relevance
- Score 1: Low relevance.

The individual result per criterion (e.g. number of inhabitants affected by the project) was obtained by multiplying the score (e.g. score 2 - medium relevance, between 150,000 and 800,000 inhabitants) by the weight attached to the criterion (which reflects its importance, e.g. weight 2).

The results from each criterion (e.g. score 2 multiplied by weight 2 for criterion addressing the number of inhabitants affected by the project) were then added up to obtain a specific number for each criterion related to the policy objective.

Threshold for the projects to proof the strategic relevance and pass the filtering step in order to be shortlisted is calculated as follow: **Total score of the project ≥ Maximum score for the applied number of questions for each project x 2/3.**



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## Obrazac za procenu strateške relevantnosti

**Obrazac za procenu strateške relevantnosti će se koristiti za ocenu** odgovora na pitanja o strateškoj relevantnosti u PIF-u. **Strateška relevantnost može biti definisana kao stepen do kojeg pojedinačni** projekat doprinosi dostizanju opštih i sektorskih ciljeva politike prema nacionalnom strateškom okviru.

**Kancelarija za evropske integracije će:**

- ➔ Proveriti Institucionalni okvir (na nacionalnom nivou) i verifikovati kvalifikovanost projekata za IPA i drugo medjunarodno finansiranje.
- ➔ Uraditi preliminarnu stratešku procenu, a rezultate diskutovati i usvojiti na sastanku Sektorske radne grupe (SWG)
- ➔ Registrovati procene i formirati listu strateški relevantnih projekata.



### 3. Procena strateške relevantnosti (filter)

### 4. Lista strateški relevantnih projekata

### 5. Analiza nedostataka:

- Obim projekta (ciljevi, vrsta investicije, varijantna rešenja)
- Tehnicki elementi (prostorno planiranje & tehnicka dokumentacija)
- Institucionalna spremnost (institucionalni okvir & kapaciteti)
- Finansijski /Ekonomski elementi (pokrivenost troškova/pristupacnost)
- Elementi za procenu uticaja na životnu sredinu i socijalna pitanja

### 6. Finalna lista prioritetnih projekata (koji ce biti uneti u ISDACON)

Priprema projekata prema nacionalnim propisima & EU procedurama

Obrazac za procenu strateške relevantnosti



Upitnik o analizi nedostataka



Izveštaj o analizi nedostataka



# Upitnik o analizi nedostataka







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## Upitnik za analizu nedostataka

**Nadležno ministarstvo kontaktira predlagače projekata / krajnje korisnike (JKP, JP itd.) da popune Upitnike za analizu nedostataka.**

Svrha ovog upitnika je da se prikupe detaljne i najnovije informacije o statusu projekta.

**Kancelarija za evropske integracije će registrovati kompletan upitnik sa priloženim dokumentima koje dobije od nadležnog ministarstva kroz ISDACON bazu.**

**Kancelarija za evropske integracije će zatim formirati Panel (radno telo) za ocenu tehničke spremnosti projekata (AP).**

**Članovi ovog Panela će proveriti popunjen upitnik i započeće proces procene.**









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## Izveštaj o analizi nedostataka

S obzirom da priprema Izveštaja o analizi nedostataka (GAR) zahteva **specifično tehničko znanje, Izveštaje će pripremati tehnički procenitelji**, koje odobri Kancelarija za evropske integracije i nadležno ministarstvo.

**Izveštaj o analizi nedostataka okvirno sadrži sledeće:**

- Obim projekta (ciljevi, vrsta investicije, varijantna rešenja)
- **Tehnički elementi** (prostorno planiranje & tehnička dokumentacija)
- Institucionalna spremnost (institucionalni okvir & kapaciteti)
- Finansijski /Ekonomski elementi (pokrivenost troškova/**moгуćnost** gradjana da plate)
- Elementi za procenu uticaja na životnu sredinu i socijalna pitanja.

**Poseta lokaciji radi provere postojećih uslova i razgovora sa predlagačima** projekta neophodni su deo ove analize nedostataka.



## 5. Analiza nedostataka:

- Obim projekta (ciljevi, vrsta investicije, varijantna rešenja)
- Tehnicki elementi (prostorno planiranje & tehnicka dokumentacija)
- Institucionalna spremnost (institucionalni okvir & kapaciteti)
- Finansijski /Ekonomski elementi (pokrivenost troškova/pristupacnost)
- Elementi za procenu uticaja na životnu sredinu i socijalna pitanja

6. Finalna lista prioritetnih projekata (koji ce biti uneti u ISDACON)



Priprema projekata prema nacionalnim propisima & EU procedurama



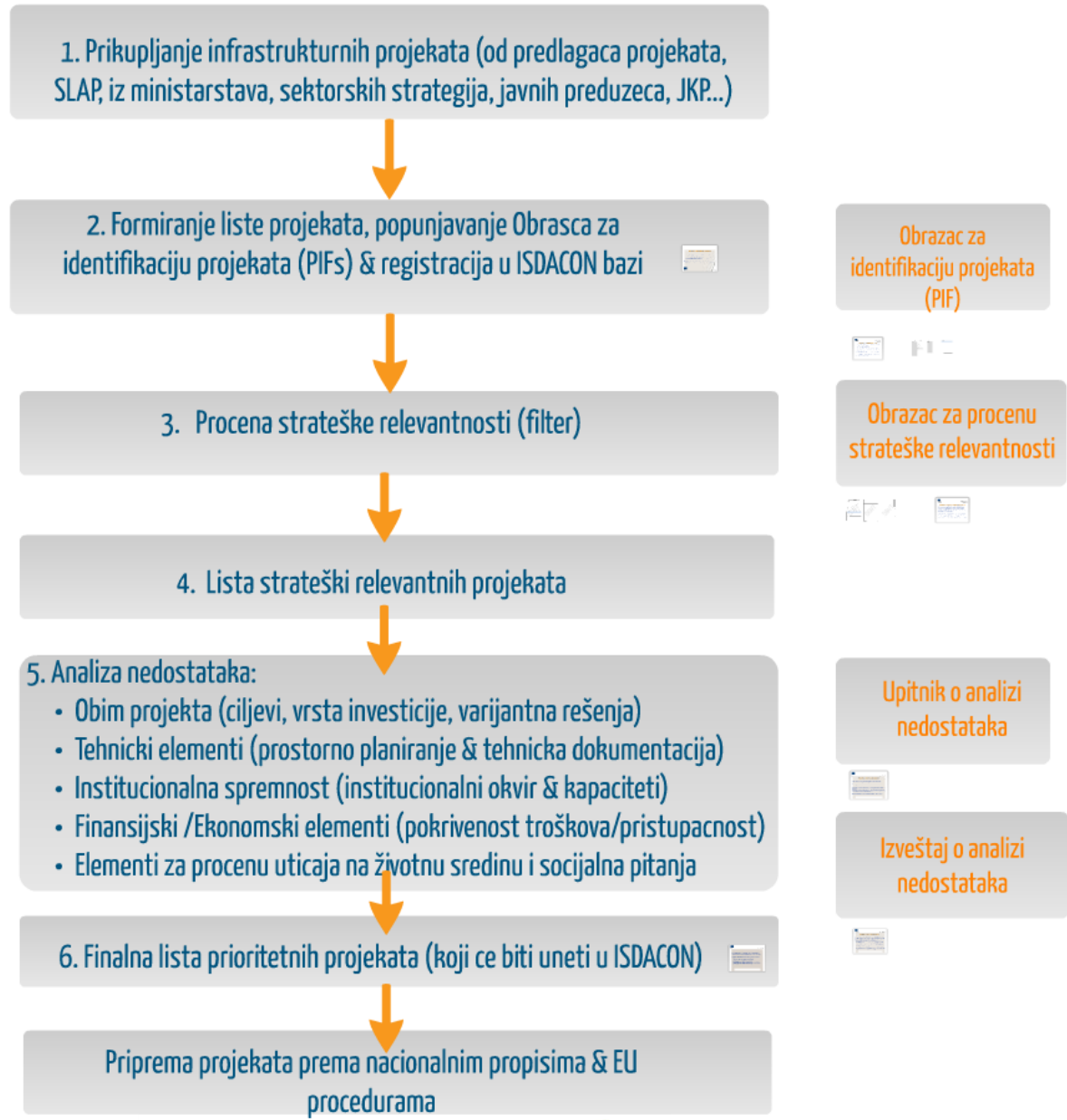
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## Metodologija



# ZAKLJUCCI I DALJI KORACI



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1. Faza testiranja metodologije pocela je 12. avgusta, a okoncana je 20. septembra. Karakterisana je aktivnim ucescem resornih ministarstava i drugih predlagaca projekata (javnih preduzeca itd).

2. U tom periodu dostavljeno je 96 PIFova, iz sektora transporta, energetike, životne sredine (otpadnih voda i otpada).

| <b>Sektor/pod-sektor</b>              | <b>Dostavljeni PIFovi</b> |
|---------------------------------------|---------------------------|
| <b>Transport</b>                      | 31 od 31                  |
| <b>Energetika</b>                     | 27 od 42                  |
| <b>Zivotna sredina - otpad</b>        | 20 od 23                  |
| <b>Zivotna sredina – otpadne vode</b> | 18 od 21                  |
| <b>Poslovna infrastruktura</b>        | 0 od 22                   |
| <b>UKUPNO</b>                         | <b>96 od 139</b>          |



3. Metodologija je primenjena na projekte koji su proizlazili iz strateskih dokumenata, baza podataka, akcionih planova koji su trenutno vaze i/funkcionalni u sektorima na koje se Metodologija odnosi. To je uradjeno sa idejom da se ni jedan projekat sada ne izostavi (osim onih za koje je vec obezbedjeno finansiranje), vec da se za sve projekte sprovede analiza njihove strateske relevantnosti, a u narednoj fazi (korak 5) izvrsi ocena tehnickih nedostataka projekata.

4. Tokom faze testiranja, identifikovana je potreba za nekoliko izmena u PIFovima, što je i ucinjeno. Medjutim, finalno uskladjivanje PIFova sa zakljuccima faze testiranja ce biti obavljeno do 10. oktobra, nakon cega ce biti obavljena analiza njihove strateske relevantnosti. Za ocekivati je da ce se znacajan broj projekata pokazati strateski relevantnim.

5. Strateski relevantni projekti ce biti predmet Analize nedostataka (korak 5) koji se pokazati koji je nivo tehnicke spremnosti svakog od projekta, tacnije koje aktivnosti je potrebno sprovesti kako bi se krenulo u realizaciju konkretnog projekta.

6. Finalni rezultat ovih koraka bice pregled strateski relevantnih projekata koji ce imati svoje dosijee (project passports), a koji ce sadrzati podatke koje je potrebno znati da bi se objektivno ocenila vremenska dinamika realizacije projekata. Dosijei projekta ce sadrzati i pregled nadležnih institucija za svaki od potrebnih koraka, procenu vrednosti svake od pripremnih aktivnosti, njihov redosled, kao i vremenski okvir njihove realizacije.

7. U cilju azurnog pracenja izmena u formatima PIFova, GAPova ali i kreiranju sveobuhvatne baze projekata bice tehnicki omoguceno koriscenje ISDAKON baze podataka Kancelarije za evropske integracije.

8. Naravno, sve postojeće baze podataka, odnosno projekata, će biti od velike koristi prilikom primene Metodologije na proces selekcije i odabira projekata. Dalje unapredjenje tih baza (SLAP itd.) su vrlo prepoznati kao naredni koraci.



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**Hvala na pažnji !**

