





# Workshop on the ex-ante assessment

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### The Methodology tool box





#### 5 handbooks

Vol. III
Thematic objective 3
Enhancing the competitiveness of SMEs, including agriculture, microcredit and fisheries

Vol. II
Thematic
objective 1
Strengthening
research, technological
development and
innovation

Vol. I General Methodology All thematic objectives

Vol. V
Urban + Territorial
Financial instruments
for urban and territorial
development

Vol. IV
Thematic
objective 4
Supporting the shift
to low-carbon
economy



#### Video



### **Case study**



Quick Guide



Already Available at: http://www.fi-compass.eu/resources/product



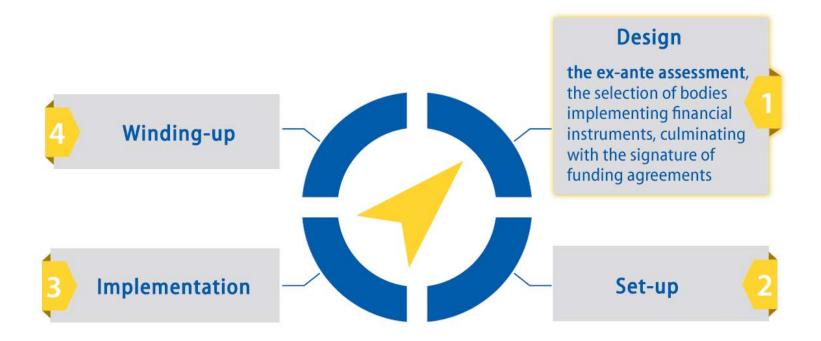
#### What is it?

An assessment which precedes the European Structural and Investment Funds (ESIF) programme contribution to a financial instrument and which establishes evidence of market failures or sub-optimal investment situations and the estimated level and the scope of public investment needs, including types of financial instruments".

**Guidance for Member States on Financial Instruments - Glossary** 



### When does it take place?

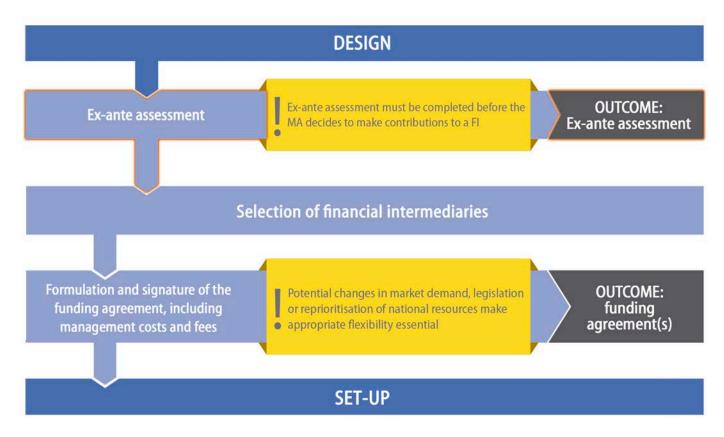








### **Design phase**









#### How is it made?

#### **Block 1: Market assessment**

Article 37(2)(a)

Market failure, suboptimal investment situations and investment needs

Article 37(2)(b)

Article 37(2)(c)

Additional resources to be potentially raised

Lessons learnt

### **Block 2: Delivery and management**

Article 37(2)(e)

Proposed investment strategy

Article 37(2)(f)

Expected results

Article 37(2)(g)

Provisions for the update and review of the ex-ante assessment







#### **Block 1: Market assessment**

Article 37(2)(a)

Market failure, suboptimal investment situations and investment needs

Article 37(2)(b)

Value added

Article 37(2)(c)

Additional resources to be potentially raised

Article 37(2)(d

Lessons learn

#### Cross-reference Article 37(2)(g)

Market conditions can change and may need to be revised during the ex-ante assessment and during the implementation of the FI.

Cross-reference Article 37(2)(c)

State aid implications refer to other components including market failure, suboptimal investment situation, investment need, mechanism of preferential remuneration.

Cross-reference Article 37(2)(b)

The capacity to attract additional resources is part of the value added of a Fl.

Cross-reference Article 37(2)(a), (b), (c), (e) and (f)

Lessons learnt can be drawn from different types of experiences and can therefore refer to both market assessment and delivery and management.











### **Block 2: Delivery and management**

Article 37(2)(e)

Proposed investment strategy

Article 37(2)(f)

Expected results

Article 37(2)(g)

Provisions for the update and review of the ex-ante assessment

Cross-reference to Article 37(2)(a) and (b)

Proposed investment strategy has to be consistent with the results of the market assessment and value added assessment. This will have already narrowed the options for the envisaged financial instrument.

Cross-reference to Article 37(2)(a) and (e)

Expected results are directly linked to the investment needs identified in the market assessment and to the proposed investment strategy.

Cross-reference to Article 37(2)(a), (b), (c), (d), (e) and (f)

The context may evolve during the implementation of the financial instrument. These changes can affect all components of the ex-ante assessment.



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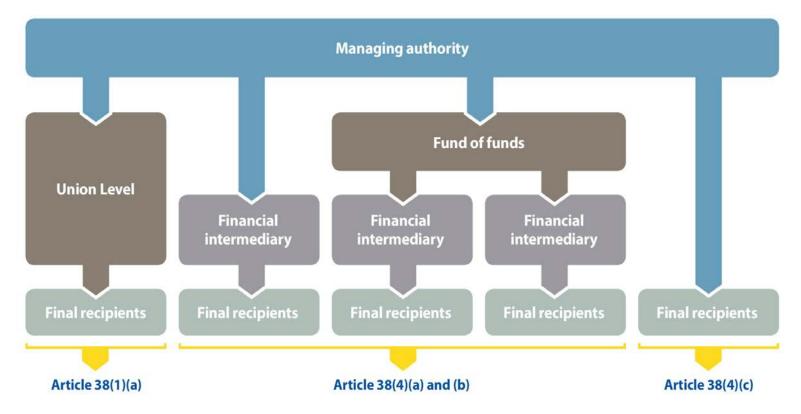








### Implementation options under the CPR









## Thank you

www.fi-compass.eu



