

MARKT Evaluation Charter

Introduction

In its commitment towards achieving better regulation, simplification and joined-up policy-making, DG MARKT recognises the importance of more systematic evaluation of all types of EU action. By providing key data, justification and sound knowledge that allows policy- and decision-makers to plan, design, implement and manage complex EU policies with ambitious objectives, evaluation is an integral component for DG MARKT's better regulation objectives. The following Charter and its accompanying innovative Guide to Evaluating Legislation demonstrate DG MARKT's commitment to evaluating its policies and activities.

Why do we need an Evaluation Charter?

The new Communication on Evaluation (SEC[2007]213) reinforces the Commission's evaluation framework and clearly sets out evaluation's role within the context of better regulation and informed policy-making. One requirement of this Communication is that all DGs establish an Evaluation Charter to ensure the implementation of the revised evaluation standards within their respective procedures. To this end, the purpose of this MARKT Evaluation Charter is to

"clearly define the tasks, responsibilities, organisation and procedures for all actors involved in planning, designing and conducting evaluations, and disseminating and using evaluation results" (Evaluation Standard A3).

Detailed advice can be found in the guidance, but generally speaking ALL evaluation projects must be carried out according to the principles of this Charter.

WHAT is an evaluation?

Evaluation is *"the judgement of interventions according to their results, impacts and needs they aim to satisfy"*. In other words, evaluation is an evidence-based assessment of how well actions (e.g. legislation) have achieved their stated objectives, by looking at both the positive and negative aspects of unexpected as well as expected effects through a range of direct and indirect impacts.

WHY do evaluation?

In an ever-changing environment, evaluation can help identify what elements of an action have matched expectations and remain valid, as well as where needs/problems have evolved, providing a key knowledge-base to improve future policy- and decision-making.

WHEN is an evaluation done?

Evaluation is carried out at pertinent stages in a policy's life-cycle. Previously the legal base has not always stipulated the precise evaluation requirements. However, since 2002, proposals should include evaluation articles, clearly setting out both the timing of evaluations and their requirements (building on the relevant section of the accompanying Impact Assessment). Where a review of policy objectives is required, the evaluation must be scheduled sufficiently in advance to provide the relevant information.

HOW is an evaluation conducted?

An evaluation is spread out over several key stages, each of which must receive the appropriate attention. The following stages must be respected, regardless of whether an evaluation is conducted by external contractors, DG MARKT staff or as a mixture involving both.

Planning	exactly what will need to be evaluated and the relevant criteria and indicators must be considered from the outset of a proposal and must be clearly outlined in its impact assessment. Subsequently, careful planning must be <u>carried out sufficiently in advance</u> to identify and provide adequate resources (including staff, time and money), thereby ensuring that evaluation results are readily available to feed into policy revision or decision making in a timely manner.
Design	an evaluation mandate must be drawn up, defining the context, purpose, scope and justification of the evaluation along with an overview of the policy objectives and expected achievements. It will include the evaluation questions,

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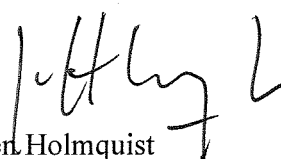
	success criteria, data sources, and if appropriate, terms of reference for any external study. The mandate structures and focuses the evaluation, facilitating good quality analysis that can be integral to better policy making.
Manage/Conduct study	evaluation must be carried out in a way which ensures a high quality end product within the given timeframe. Each evaluation will be <u>managed</u> by a designated desk officer from the operational unit working in close cooperation with B2. A <u>Steering Group</u> will also be created, to ensure that the quality of the analysis is adequately balanced and unbiased. <u>Quality Assessments</u> will be carried out in accordance with established criteria.
Dissemination	in the interests of transparency and accountability, evaluation results must be communicated to the widest possible audience. A dissemination strategy will establish what should be communicated to whom.
Exploitation	it is important that the <u>results</u> of evaluations <i>are used</i> both in policy making and a broader sense. Evaluation results will also feed into the strategic planning & programming cycle at the appropriate juncture e.g. Annual Policy Strategy (APS), Activity Statements (PDB), Annual Activity Reports (AAR),
Follow-up	the evaluation's recommendations and any resulting action(s) must be clearly outlined in an action plan to be implemented in an appropriate time-frame. Bi-annual progress reports from the operational unit should be presented until the action plan is completed. These will form the basis of B2's annual report to Directors.

WHO does WHAT, WHEN?

WHO	ROLE (WHAT)	STAGE (WHEN)
Director General	<ul style="list-style-type: none"> Approves MARKT evaluation plan as part of the Annual Management Plan 	Planning
Directors	<ul style="list-style-type: none"> In the event of cross-cutting evaluations, Directors decide on the appropriate allocation of work between units Approve the evaluation mandate Approve final report, dissemination strategy, and follow-up action plans 	Planning Design Dissemination and Follow-up
Operational Unit - Head	<ul style="list-style-type: none"> Ensures proper timely planning, including resource request Designates a desk officer to supervise the evaluation (to work in close cooperation with B2) Sets up a steering group of appropriate interested parties Feeds evaluation results into strategic planning and programming (APS, AMP, AAR, PDB) and other exercises 	Planning Exploitation
Operational Unit - Desk Officer	<ul style="list-style-type: none"> Building on the relevant section of the impact assessment that accompanied the legislative proposal, prepares the evaluation mandate (with assistance from B2) Drafts terms of reference for any external assistance required coherent with the above mandate Manages/conducts the evaluation (working in close cooperation with B2) 	Design Conduct/Manage

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WHO	ROLE (WHAT)	STAGE (WHEN)
	<ul style="list-style-type: none"> • Establishes a Quality Assessment for elements of the evaluation undertaken by external contractors (if relevant) • Reviews the relevant data input for the EIMS database (DG BUDG) • Drafts the dissemination strategy and ensures the evaluation findings are presented in a usable form (i.e. no technical jargon) to the appropriate audience • Drafts and ensures implementation of a follow-up action plan and provides the bi-annual progress report 	<p style="text-align: center;">Dissemination</p> <p style="text-align: center;">Follow-up and Exploitation</p>
Evaluation Function - Unit B2	<ul style="list-style-type: none"> • Draws up the evaluation plan for the DG • Advises the Operational Unit on the contents of the evaluation mandate • Provides input to terms of reference for any external assistance required • Assists the operational unit with managing/conducting the evaluation • Establishes a Quality Assessment for elements of the evaluation undertaken by internal staff (if relevant) • Coordinates with DG BUDG on evaluation issues • Inputs necessary data to EIMS database (DG BUDG) • Feeds evaluation results into strategic planning and programming (APS, AMP, AAR, PDB) and other exercises • Advises on the dissemination strategy • Reports to Directors annually on the implementation of action plans 	<p style="text-align: center;">Planning</p> <p style="text-align: center;">Design</p> <p style="text-align: center;">Conduct / Manage</p> <p style="text-align: center;">Exploitation</p> <p style="text-align: center;">Dissemination</p> <p style="text-align: center;">Follow-up</p>
Steering Group	<ul style="list-style-type: none"> • Assists with drafting the mandate and any associated terms of reference, facilitating work of the evaluator with information, contacts, etc. • Monitors progress and quality of the evaluation study • Contributes to the quality assessments • Assists with dissemination, if appropriate 	<p style="text-align: center;">Design</p> <p style="text-align: center;">Conduct / Manage</p> <p style="text-align: center;">Dissemination</p>


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 Director General

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Work Flow of Key Evaluation Stages & Actors

