

EVALUATION ROADMAP									
TITLE OF THE EVALUATION/FC	Mid-term evaluation of Erasmus+								
LEAD DG - RESPONSIBLE UNIT	DG EAC A.3	DATE OF THIS ROADMAP	01/2016						
TYPE OF EVALUATION	Evaluation Interim and Final Mixed	PLANNED START DATE PLANNED COMPLETION DATE	Q4 / 2015 Q4 / 2017						
		PLANNING CALENDAR	http://ec.europa.eu/smart- regulation/evaluation/index_en.htm						
This indicative roadmap is provided for information purposes only and is subject to change.									

# A. Purpose

#### (A.1) Purpose

The Erasmus+ mid-term evaluation will:

- Assess the effectiveness of the Erasmus+ actions to achieve the programme's objectives and evaluate the efficiency of the Programme and its European added value. The report will also address the Programme's internal and external coherence, the continued relevance of its objectives, and the scope for simplification.
- Assess the long-term results and impact of the predecessor programmes (Lifelong Learning, Youth in Action, Erasmus Mundus, ALFA, Tempus, Edulink, Sport preparatory actions).

The evaluation will comply with the requirements of the Better Regulation Guidelines<sup>1</sup>, next to the above listed criteria defined by the legal base<sup>2</sup>. The results of the evaluation will be used to feed into the impact assessment for a possible successor programme for Erasmus+. They will also be used to improve implementation of Erasmus+ during the current MFF period.

#### (A.2) Justification

Article 21.2 of the Erasmus+ legal base requires the Commission to submit a mid-term evaluation report by 31 December 2017. This mid-term evaluation should also take into account the results of an evaluation of the long-term impact of the predecessor programmes. According to Article 21.3 of the same Regulation, the report should be submitted to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

<sup>&</sup>lt;sup>1</sup> <u>http://ec.europa.eu/smart-regulation/guidelines/toc\_guide\_en.htm</u>

<sup>&</sup>lt;sup>2</sup> Regulation No 1288/2013 of the European Parliament and of the Council of 11 December 2013 establishing 'Erasmus+': the Union programme for education, training, youth and sport (OJ L 347, 20.12.2013, p. 50).

# B. Content and subject of the evaluation

# (B.1) Subject area

The Erasmus+ programme (2014-2020) has integrated all previously existing programmes in the domains of Education, Training, Youth and Sport, and includes an international dimension that is funded by the different external action instruments<sup>3</sup>.

In the fields of Education, Training and Youth, the programme pursues its objectives through three types of actions: Key Action 1 (KA1): learning mobility of individuals, including the Student Loan Guarantee Facility; Key Action 2 (KA2): cooperation for innovation and the exchange of good practices; and Key Action 3 (KA3): support for policy reform. The Jean Monnet Activities are also supported under the Education and Training field. In the Sport field, Erasmus+ supports transnational activities, which focus in particular on grassroots sport.

The programme is primarily implemented through (currently 60) National Agencies in the programme countries and through the executive agency EACEA. The National Agencies implement the following actions through indirect management: mobility actions (KA1) and Strategic Partnerships (under KA2). EACEA implements the following actions through direct management: Joint Master degrees, Master courses/Joint Doctorates, Large-scale European Voluntary Service under KA1, other (usually larger than Strategic Partnerships) projects under KA2, most of the KA3 actions, the Jean Monnet activities, and Sport actions.

Under Erasmus+, no direct support is given to individual participants; all support is channelled through institutions, which distribute the support to their individual staff and/or learners.

#### (B.2) Original objectives of the intervention

The legal base of Erasmus+ states the objectives as follows:

# General objectives (Article 4)

The Programme shall contribute to the achievement of:

- (a) the objectives of the Europe 2020 strategy, including the headline education target;
- (b) the objectives of the strategic framework for European cooperation in education and training ('ET 2020'), including the corresponding benchmarks;
- (c) the sustainable development of partner countries in the field of higher education;
- (d) the overall objectives of the renewed framework for European cooperation in the youth field (2010-2018);
- (e) the objective of developing the European dimension in sport, in particular grassroots sport, in line with the Union work plan for sport; and
- (f) the promotion of European values in accordance with Article 2 of the Treaty on European Union.

# Specific objectives

Education and Training (Article 5)

- (a) to improve the level of key competences and skills, with particular regard to their relevance for the labour market and their contribution to a cohesive society, in particular through increased opportunities for learning mobility and through strengthened cooperation between the world of education and training and the world of work;
- (b) to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders;
- (c) to promote the emergence and raise awareness of a European lifelong learning area designed to complement policy reforms at national level and to support the modernisation of education and training systems, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices;
- (d) to enhance the international dimension of education and training, in particular through cooperation between Union and partner-country institutions in the field of VET and in higher education, by increasing the attractiveness of European higher education institutions and supporting the Union's external action, including its development objectives, through the promotion of mobility and cooperation between the Union and partner-country higher education institutions and targeted capacity-building in partner countries;
- (e) to improve the teaching and learning of languages and to promote the Union's broad linguistic diversity and intercultural awareness;
- (f) to promote excellence in teaching and research activities in European integration through the Jean Monnet

<sup>&</sup>lt;sup>3</sup> The Development Cooperation Instrument (DCI), the European Neighbourhood Instrument (ENI), the Partnership Instrument for cooperation with third countries (PI), the Instrument for Pre-accession Assistance (IPA) and the European Development Fund, for the period 2016-2020 (EDF)

activities worldwide.

Youth (Article 11)

- (a) to improve the level of key competences and skills of young people, including those with fewer opportunities, as well as to promote participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity, in particular through increased learning mobility opportunities for young people, those active in youth work or youth organisations and youth leaders, and through strengthened links between the youth field and the labour market;
- (b) to foster quality improvements in youth work, in particular through enhanced cooperation between organisations in the youth field and/or other stakeholders;
- (c) to complement policy reforms at local, regional and national level and to support the development of knowledge and evidence-based youth policy as well as the recognition of non-formal and informal learning, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices;
- (d) to enhance the international dimension of youth activities and the role of youth workers and organisations as support structures for young people in complementarity with the Union's external action, in particular through the promotion of mobility and cooperation between the Union and partner-country stakeholders and international organisations and through targeted capacity-building in partner countries.

Sport (Article 16)

- (a) to tackle cross-border threats to the integrity of sport, such as doping, match-fixing and violence, as well as all kinds of intolerance and discrimination;
- (b) to promote and support good governance in sport and dual careers of athletes;
- (c) to promote voluntary activities in sport, together with social inclusion, equal opportunities and awareness of the importance of health-enhancing physical activity through increased participation in, and equal access to, sport for all.

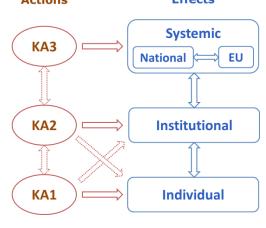
(B.3) How the objectives were to be achieved

The EU mandate in the Education, Training, Youth and Sport areas sets the scope for the intervention logic. According to the Treaty, EU intervention aims at contributing to the development of quality education by encouraging cooperation and supporting and supplementing Member States' actions. This involves a challenge in terms of attributing and quantifying the specific effects of the EU intervention (considering the overwhelming dominance of the "external factor" of Member States' policy making and spending in these areas).

The programme's specific objectives can be grouped into three broad categories, according to the level at which the results are likely to occur: individual, institutional and systemic levels. Distinguishing between these three levels of intervention facilitates the identification of different types of effects that each specific objective is expected to produce:

- at the individual level, the intervention seeks to increase participants' competences as well as change their attitudes and perceptions;
- at the institutional level, the interventions seek changes in services, pedagogies, methodologies, content and practices;
- at the systemic level, the interventions aim at the improvement of systems at country level and at the development of a European dimension. International actions also aim at systemic changes in partner countries.

As the simplified chart to the right indicates, there are potential spillover effects between these levels. For instance, the mobility of learners, teachers, trainers, researchers and other staff could – in addition to individual-level results – lead to improvements in the performance of the institutions and impact on national systems, especially in terms of outcome recognition. Also, the performance of individual institutions could be affected by European cooperation initiatives in the areas of education and training policies, including through their effects on national education and training systems and through reforms prompted by the open method of coordination at EU level. These spill-over effects explain why most of the specific objectives are expected to deliver results at more than one level. The table in annex 1 shows at what level each objective is aiming to produce results.



The chart also shows in a stylised way how the different key actions of the programme<sup>4</sup> are each aimed primarily at having effects on one of the three levels. For example, mobility actions (KA1) are mainly aimed at having an effect at the individual level. However, under Erasmus+, mobility actions are not contracted at the individual level, but at the level of the institution, which has to define a strategy showing how it will benefit from the individual staff and/or learner mobility. Similarly, while the cooperation projects focus on the cooperation between institutions and have effects at that level, the individuals that participate in the projects will also directly develop their competences. This is, for example, particularly true in the schools domain, where no individual learner mobility is organised, but where pupils can be mobile in the framework of KA2 Strategic Partnerships.

Furthermore, synergies between the Key Actions can produce multiplier effects at the different levels, such as the results of KA2 projects being raised to the policy level through KA3 actions or, vice-versa, KA3 projects leading to concrete follow-up through pilots at grass-root level under KA2.

# C. Scope of the evaluation

#### (C.1) Topics covered

As required by the Erasmus+ legal base, the evaluation will include the interim evaluation of Erasmus+ as well as the long-term effects of its predecessor programmes (2007-2013). As such, it will cover programme actions for the period 2007-2016 in all programme countries (currently all Member States, Former Yugoslavian Republic Of Macedonia, Iceland, Liechtenstein, Norway, Turkey) and partner countries.

The evaluation will have to draw conclusions on the different actions included in Erasmus+ and assess to what degree these conclusions are different across the fields<sup>5</sup> included in the programme and across the different target levels (individuals, institutions, systems). It will also have to assess the extent to which the programmes have been contributing to policy development and implementation in the programme countries.

Previous actions that were discontinued in Erasmus+ will not be fully evaluated. However, the possibility will be foreseen to seek feedback from stakeholders on (the scrapping of) these actions. Actions that were already discontinued during the previous programming period<sup>6</sup> will not be covered at all by the evaluation.

(C.2) Questions/issues to be examined

In compliance with the Better Regulation Guidelines and the Erasmus+ legal base, the following issues will be examined:

- Efficiency of Erasmus+, including an assessment of the simplified grants and the scope for further simplification.
- Cost-effectiveness of Erasmus+ comparing the efficiency between alternative actions or clusters of actions (relative efficiency).
- Effectiveness of Erasmus+, including its contribution to the realisation of its general objectives and to the broader policy agenda of the Union. Given the limited time of implementation of the programme, it will be too soon to draw firm conclusions on its impact. Building on the long-term impact of the predecessor programmes and the fact that significant parts of their actions are being continued in Erasmus+, it should however be possible to draw conclusions on the likely impact of Erasmus+.
- European value added of Erasmus+ (including sustainability and strategic role<sup>7</sup>).
- Internal and external coherence of Erasmus+ (including complementarity).
- Continued relevance of Erasmus+ objectives.

#### (C.3) Other tasks

Before launching the request for service to the evaluation consultants, an inventory of existing knowledge on results and impact of the programme actions (e.g. of mobility) will be made by the Commission, in cooperation with

<sup>&</sup>lt;sup>4</sup> As the actions under Jean Monnet and Sport are of different types, they are not included in the chart.

<sup>&</sup>lt;sup>5</sup> The fields of the programme are defined in Article 1.3 of the legal base. They consist of education and training (including school education, higher education, international higher education, vocational education and training, and adult learning), youth, and sport.

<sup>&</sup>lt;sup>6</sup> The external cooperation agreements in higher education, training and youth with the USA and Canada were already discontinued before the end of the previous programming period because of decisions by the USA and Canada to stop foreseeing matching funds.

<sup>&</sup>lt;sup>7</sup> Including the role Erasmus+ actions/beneficiaries can play in reinforcing EU's public diplomacy efforts.

EACEA, the National Agencies and National Authorities. This will be done in order to avoid repeating existing work done by RAY, Eurydice, etc.

The following tasks will be conducted in the framework of the evaluation by external consultants, and will be reported on in separate reports that will feed into the overall evaluation report provided by the evaluation consultants or into the Commission's Staff Working Document on the evaluation.

- Summary of National Reports from programme countries on the implementation and impact of Erasmus+ in their country (to be delivered by 30 June 2017, as foreseen by Article 21.4 of the legal base).
- Synopsis report on public consultation(s) carried out for the evaluation.

The consultants will also be asked to develop a problem definition (intervention logic) for the possible successor programme as an outcome of the evaluation.

# D. Evidence base

(D.1) Evidence from monitoring

Erasmus+ project information and results are made available on the dissemination and exploitation platform VALOR.<sup>8</sup> In addition, the Commission has several internal databases containing monitoring information on projects and actions conducted under Erasmus+ and its predecessor programmes, including project outputs and feedback of beneficiaries and participants regarding the results of the programme.

National Agencies have to report annually on programme implementation. Under Erasmus+ this reporting is accompanied by a Management Declaration on the proper implementation of the programme.

In Article 21.4, the legal base also foresees that Member States<sup>9</sup> shall submit a report on the implementation and impact of the Programme in their respective territories to the Commission by 30 June 2017. The findings of these reports will be reflected in the Commission's Staff Working Document on the evaluation.

(D.2) Previous evaluations and other reports

An impact assessment was conducted when the Commission proposed the Erasmus+ programme.<sup>10</sup> This report provided the analysis and arguments for establishing the integrated programme and reasoning for discontinuation of some actions under the old programmes. As such, it should be an important basis to assess whether the programme is attaining its intended effects.

Interim evaluations have been conducted on the predecessor programmes to Erasmus+. They will need to be complemented by an assessment of the longer-term impact of these programmes.

- Interim evaluation of the Lifelong Learning Programme (February 2011)<sup>11</sup>
- Interim evaluation Youth in Action Programme (February 2011)<sup>12</sup>
- Interim evaluation of external cooperation agreements in higher education, training and youth with the US and Canada (April 2011)<sup>13</sup>
- Evaluation of Preparatory Actions and special events in the field of sport (July 2011)<sup>14</sup>
- Interim evaluation of Erasmus Mundus II (March 2012)<sup>15</sup>
- Interim evaluation of Tempus IV (November 2012)<sup>16</sup>

<sup>8</sup> <u>http://ec.europa.eu/programmes/erasmus-plus/projects</u>

<sup>9</sup> In line with Article 24.2 of the Erasmus+ regulation, all programme countries are subject to the same obligations as Member States. All 33 programme countries will, therefore, have to submit a National Report.

<sup>10</sup> SEC(2011)1403 of 23 November 2011, accompanying the Commission Proposal for a Regulation of the European Parliament and of the Council establishing "ERASMUS FOR ALL", The Union Programme for Education, Training, Youth and Sport (COM(2011) 788).

<sup>11</sup> <u>http://ec.europa.eu/dgs/education\_culture/more\_info/evaluations/docs/education/llp2011\_en.pdf</u>

- <sup>12</sup> <u>http://ec.europa.eu/dgs/education\_culture/more\_info/evaluations/docs/youth/youth2011\_en.pdf</u>
- <sup>13</sup> <u>http://ec.europa.eu/dgs/education\_culture/more\_info/evaluations/docs/education/external-agreement\_en.pdf</u>
- 14 http://ec.europa.eu/dgs/education\_culture/more\_info/evaluations/docs/sport/actions\_en.pdf
- <sup>15</sup> <u>http://ec.europa.eu/dgs/education\_culture/more\_info/evaluations/docs/education/mundus2012\_en.pdf</u>
- <sup>16</sup> <u>http://eacea.ec.europa.eu/tempus/tools/documents/mid-term-evaluation-tempus-iv\_final-report.pdf</u>

# • Interim evaluation of ALFA III (2010)

An evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries 2007-2014 is currently being conducted by DG DEVCO. The results should be available by mid-2016.

An overall Erasmus+ annual implementation report will be issued for the first time in Q4 2015, covering the implementation and first results of the programme in 2014.

The Commission has published an impact study on Erasmus in 2014, which analysed the effects of mobility on the skills and employability of students and the internationalisation of higher education institutions.<sup>17</sup>

(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)

#### Not applicable

(D.4) Consultation

An open online public consultation will be conducted to collect general assessments of the performance of the programme, be it from beneficiaries and participants of Erasmus+ or from people or institutions that did not participate. The consultation will also contain forward-looking questions to cover the needs of the impact assessment, in order to avoid – to the extent possible – repeating two consecutive very similar general consultations for the evaluation and the impact assessment.

As a key element of the evaluation, the external consultants will also have to conduct targeted consultations of beneficiaries and participants of the programme and other key stakeholders (e.g. national and European policy makers, staff of National Agencies and of EACEA...) to collect their assessment of the programme and the effects it had on individuals (e.g. on their skills and competences), on institutions and on national or EU policies. The exact way that this consultation will be conducted (survey, interview, focus groups...) will have to be proposed by the interested consultants in their tender.

To assess the value added of the programme, it will be necessary to ensure that a sufficient number of institutions and individuals that did not participate in the programme, as well as participants in other programmes, are consulted, in order to establish a counterfactual reference group. Again, the exact form this would take will be determined by the consultants in their tender.

The Consultation strategy will be further developed and made publicly available on the central consultation website of the Commission.

(D.5) Further evidence to be gathered

Not applicable

# E. Other relevant information/ remarks

Not applicable

<sup>&</sup>lt;sup>17</sup> <u>http://ec.europa.eu/education/library/study/2014/erasmus-impact\_en.pdf</u>

		Envisaged effect at:					
	Specific objective	Individual level	Institutional level	Systemic level			
	Specific objective			EU	National		
E	Education and training						
а	To improve the level of key competences and skills, with particular regard to their relevance for the labour market and their contribution to a cohesive society, in particular through increased opportunities for learning mobility and through strengthened cooperation between the world of education and training and the world of work	****	***	**	*		
b	To foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders	***	****	**	**		
С	To promote the emergence and raise awareness of a European lifelong learning area designed to complement policy reforms at national level and to support the modernisation of education and training systems, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices	**	**	****	***		
d	To enhance the international dimension of education and training, in particular through cooperation between Union and partner-country institutions in the field of VET and in higher education, by increasing the attractiveness of European higher education	****	****	*	*		
	institutions and supporting the Union's external action, including its development objectives, through the promotion of mobility and cooperation between the Union and partner-country higher education institutions and targeted capacity-building in partner countries	Envisaged effect in partner countries					
		****	****	*	**		
е	To improve the teaching and learning of languages and to promote the Union's broad linguistic diversity and intercultural awareness	****	****	*	*		
f	To promote excellence in teaching and research activities in European integration through the Jean Monnet activities worldwide	***	****	*			

		Envisaged effect at:			
	Specific chicotive	Individual level	Institutional level	Systemic level	
	Specific objective			EU	National
Y	outh				
a	To improve the level of key competences and skills of young people, including those with fewer opportunities, as well as to promote participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity, in particular through increased learning mobility opportunities for young people, those active in youth work or youth organisations and youth leaders, and through strengthened links between the youth field and the labour market	***	***	**	*
b	To foster quality improvements in youth work, in particular through enhanced cooperation between organisations in the youth field and/or other stakeholders	***	****	**	**
С	To complement policy reforms at local, regional and national level and to support the development of knowledge and evidence-based youth policy as well as the recognition of non-formal and informal learning, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices	**	**	****	***
	To enhance the international dimension of youth activities and the role of youth workers and organisations as support structures for young people in complementarity with the Union's external action in	****	****	*	*
	in complementarity with the Union's external action, in particular through the promotion of mobility and	Envisaged effect in partner countries			
	cooperation between the Union and partner-country stakeholders and international organisations and through targeted capacity-building in partner countries	****	****	*	**
S	port		•		
а	To tackle cross-border threats to the integrity of sport, such as doping, match-fixing and violence, as well as all kinds of intolerance and discrimination	**	**	****	***
b	To promote and support good governance in sport and dual careers of athletes	***	***	****	****
С	To promote voluntary activities in sport, together with social inclusion, equal opportunities and awareness of the importance of health-enhancing physical activity through increased participation in, and equal access to, sport for all	****	****	*	**