Evaluation requirements for 2014-2020 - the challenge of measuring results and impact of operations and programmes

Trainer: Robin Smail
Independent Consultant & Visiting Expert EIPA
Evaluation highlights:

- Evaluation Plans
- Evaluations during the programming period

Articles 54-57, Art.114, CPR

*plus* Articles 47-50 (PMC) and Art.27, Art.96 (OP) and Fund Regulations
Cohesion Policy is economic development...

- **WEALTH** creation in less developed Member States, regions and communities – jobs, businesses, higher incomes...
- receiving **LIMITED** resources – Financial Allocations?
- what **CHOICES** to make: OP / priorities / operations?
- …evaluation process is imperative
  - assessing options and making good choices
  - checking and ensuring value for money in achieving the stated objectives / desired results and impacts

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the evaluation-policy cycle

Policy feedback and design

Ex post impact assessments

Evaluations during the programming period

Monitoring

Ex ante Programme appraisal

Ex ante Project Appraisal

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key evaluation requirements

• “improve programme design and implementation; assess effectiveness, efficiency and impact”

• Evaluation Plan for every OP/multiple (was optional before)

• 2014-2020 evaluations:
  - ex ante of OPs (describe logic of intervention...)
  - evaluation during the programming period - performance of funds in achieving objectives of each priority axis
  - ex post studies with Commission

• report - summary of evaluations of each OP to Commission by end 2022 (with key OP outputs and results achieved)

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<table>
<thead>
<tr>
<th>Ex ante evaluation tasks, 2014-2020 (from Regulations and Guidance)</th>
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<tbody>
<tr>
<td>Contribution to Europe 2020 objectives, linking to national and regional needs</td>
<td>Intervention logic of OP and each priority; Identify target groups; Rationale for types of support</td>
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<tr>
<td>Link to NRP and country recommendations</td>
<td>Causal links: how outputs lead to results? (evidence?)</td>
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<td>Consistency of thematic objectives, priorities, with CSF/Europe 2020 and NRP;</td>
<td>Coherence with other instruments (synergies);</td>
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<td><strong>Realistic targets, related to funding</strong></td>
<td>Allocation of budget, in relation to objectives</td>
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<td><strong>Milestones and performance framework</strong></td>
<td>Good indicators, measuring progress towards objectives (relevant and clear?) and degree of change</td>
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<td>Management and administrative capacity; sufficient resources</td>
<td>Set-up for monitoring and evaluation, and collection of data</td>
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<td>Equal opportunities (eg. engagement of stakeholders; disabled access)</td>
<td>Promoting sustainable development</td>
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<td>Strategic Environmental Impact Assessment (SEIA)</td>
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**Method for the ex ante appraisal of projects**

**See major projects application form**

<table>
<thead>
<tr>
<th>1. project description / competence of beneficiary</th>
<th>6. economic analysis</th>
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<tbody>
<tr>
<td>2. project context and objectives and contribution to specific objective / results</td>
<td>7. risk and sensitivity analysis</td>
</tr>
<tr>
<td>3. project rationale / demand</td>
<td>8. environmental impact?</td>
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<tr>
<td>4. option &amp; feasibility appraisal</td>
<td>9. compliance with legislation</td>
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<tr>
<td>5. financial analysis</td>
<td>10. horizontal and non-quantifiable aspects / project outputs / other impacts? project synergies?</td>
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Ex ante Programme appraisal

Ex post impact assessments

Evaluations during the programming period

Monitoring
evaluations during the programme period

“assessing effectiveness, efficiency and impact of programmes”

- identifying changes for improving Operational Programme implementation procedures
- understanding divergences from planning; suggesting change of course
- supplementing monitoring data: from outputs to.... results (impact)...

- distinguish “implementation” (early)
- and “impact” (later) evaluations:

- “at least once during the programming period – how ESI funds have contributed to the objectives of each priority..”

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evaluations during the programme period

- budget commitments; level/type of expenditures and expenditure profiles; payments; by grouping / sector
- use monitoring data to review outputs and results (against targets); cost-efficiency and cost-effectiveness ratios and benchmarks; review of targets
- quality of delivery mechanisms; operational procedures and issues; monitoring system & flexible responses?
- engaging beneficiaries and other stakeholders
- *is it working how we thought it would?*

- calculating some impacts, using studies /surveys...
evaluations of impact

- monitoring – observing outputs and some results (esp. ESF)
- but many results (and impact) come later; effects unseen
- final impact not observable through monitoring:
  - effect of improved railway on bus companies? effect of training grants or new business support on non-supported businesses? (displacement)
  - did employers/trainees need the whole grant to participate? (deadweight)
  - knock-on effects of new investment / employment / businesses? (multipliers)
- question of attribution (did your intervention cause the whole change?)

- want to understand the effects, or “impact”, of the intervention on the result
- what level of attribution to the intervention?

- **theory-based evaluation**: what is the logic of why the intervention was chosen? *(Why/how does the change take place?)*

- **counterfactual evaluation**: what is the size of the effect, as against the policy-off scenario? *(how much is attributable to the intervention?)*
method for ex post impact assessment of projects and programmes

1. Desk Research (secondary research)
   Reports of progress / data and problems/issues
   Describe expenditure, activities, outputs, results
   Hypotheses – theory of change – logic chain – logic of intervention - causality model

2. Fieldwork (primary research)
   Survey work: stakeholders; check motives for behaviour and changes; check relationships and processes

3. Analyses, Conclusions, Recommendations
   Measure changes, relationships, external factors; determine causality; conclusions / recommendations.
Evaluations Guidance Documents, 2014–2020

- **DG REGIO**: Concepts and recommendations
- **DG REGIO & DGEMPL**: Guide on ex-ante evaluation
- **DG EMPL**: Evaluation and Impact Assessment
- **DG EMPL**: ESF Monitoring and Evaluation Guidance
- **DG EMPL**: Guidance on the Evaluation of the YEI
- Additional documents DG REGIO
- Impact evaluation center


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Evaluation Plans

- submit to PMC - within 1 year of OP adoption
- sound planning, collection of data, ensure inputs to AIRs and (Strategic) Progress Reports (2017 & 2019)
- Evaluations during programming period
- and assess support of ESF/YEI on Youth Guarantee – twice during period (2015, 2018)

Article 114, CPR; Guidance Document on Evaluation Plans

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Evaluation Plans - content

- who does what, involvement of partners, sources of expertise
- how it will be organised, training needed?
- timetable for evaluations
- budget and resources
- proposed list of evaluations:
  - rationale, themes, scope, methods
  - data requirements, practical arrangements
  - timeframes, estimated budgets
- how the evaluation process will provide the evidence

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