Ensuring result-orientation in Operational Programmes 2014-2020

25-26 January 2016
Structure of seminar

Day 1:
Intervention logic / result-orientation
Generating and selecting good projects

Day 2:
Monitoring and reporting
Evaluation Plans and evaluations

This training has been organised by EIPA-Ecorys-PwC under the Framework Contract Nr 2013.CE.16 B.AT 044. The opinions expressed are those of the contractor only and do not represent the EC's official position.
Intervention logic, specific objectives and result-orientation in 2014-2020

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Independent Consultant & Visiting Expert EIPA

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Partnership agreement

Partnership Agreement
Consistent with Europe 2020, CSF, NRP and 
Country-specific recommendations
(on basis of disparities, needs, challenges, potential)

<table>
<thead>
<tr>
<th>Thematic objective 1</th>
<th>Thematic Objective 2</th>
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<tbody>
<tr>
<td>ERDF – € and results expected</td>
<td>Cohesion Fund – € and results expected</td>
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ESF

ERDF

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<table>
<thead>
<tr>
<th>OP</th>
<th>CSF Fund</th>
<th>Thematic objective (ex ante conditionality shown)</th>
<th>Priority axis</th>
<th>Investment priorities</th>
<th>Specific objectives for investment priorities</th>
<th>Operations (Activities) Interventions</th>
<th>Indicators</th>
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<tbody>
<tr>
<td>OP1: Competitiveness through innovation and company growth</td>
<td>ERDF</td>
<td>RTD and Innovation</td>
<td>priority axis 1</td>
<td>Investment priority 1</td>
<td>Specific objective 1</td>
<td>Actions, contributing to objective</td>
<td>Common and Programme-specific</td>
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<td>RESULTS for SPECIFIC OBJECTIVES with BASELINE and TARGETS</td>
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<td>SME support</td>
<td>Priority axis 3</td>
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<td>OP2: infrastructure</td>
<td>ERDF</td>
<td>Sustainable transport</td>
<td>Roads</td>
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<td>Rail</td>
<td>Ports and waterways</td>
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<td></td>
<td>CF</td>
<td>Low carbon economy</td>
<td>Energy</td>
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<td>OP3: Human Resources</td>
<td>ESF</td>
<td>Promoting employment</td>
<td>Priority axis 1</td>
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<td>Social inclusion</td>
<td>Promoting employment</td>
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**Structure of Programmes and result-orientation – an intervention logic**
Specific objectives
what the MS wants to achieve, taking into account national and regional challenges, needs and potentials

Description of actions needed to achieve the specific objectives

Categories of intervention

Result indicators

Output Indicators

Thematic objectives + Investment priorities

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Operational Programmes

- Justify choice of thematic objectives, investment priorities and financial allocations...
- on the basis of regional/national needs and challenges of CSRs...
- expected results for the specific objectives...
- type of action under each investment priority and expected contribution to specific objectives...
- guiding principles for the selection of operations

Article 96, Common Provisions Regulation

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Investment priorities will have specific objectives, measured in terms of results to be achieved... (Article 96, CPR)

Priority Axis 1  
(thematic objective)

Investment priority 1

Specific objective 1
RESULT
RESULT
(baseline and target)

Type of action / operation and example; target groups? Territory? Type of beneficiary

OUTPUTS

Investment priority 2

Specific objective 2
RESULT

Specific objective 1
RESULT

RESULT

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## Performance framework uses outputs...

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<tr>
<th>Priority</th>
<th>Indicators (and unit of measurement)</th>
<th>Milestones for 2018</th>
<th>Targets for 2023</th>
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<tbody>
<tr>
<td>ERDF: P1</td>
<td>• Spend (€)* • Output – eg. no. new companies assisted • Stage of project / initiative</td>
<td>• Financial; • Output; • Key implementation step</td>
<td>• Financial; • Output; • (Result)</td>
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<tr>
<td>P2</td>
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<td>P3</td>
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**Priority**

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<td>ESF: P1</td>
<td>• Spend (€)* • Output – eg. no. of trainees (by age group etc.) • Result - eg. no. with jobs; no. active in labour market</td>
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<td>P2</td>
<td>(NB: *Spend = total certified eligible expenditure)</td>
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</tbody>
</table>
**OUTPUT**

- measures units of activity of an operation
- goods or services purchased by expenditure
- first concrete effect of expenditure

**RESULT**

- measures the change sought by the specific objective
- measures the ability to achieve the specific objective
- the knock-on effect, enabled by outputs

**Examples:**

- no. of course completions with qualifications
- no. active in labour market
- no. into employment
- travel time-saved
- accident rates
- No. of companies expanding into new markets
- No. of new company-research links
**PROGRAMME indicators:**

- impact = intermediate and final
- result = results OR outcomes
- output = outputs
- resource / financial = expenditure

**BASELINE** is starting point situation*
**TARGETS** reflected your objectives

**EU list of core indicators** (see SFC2007), for aggregation of different operations and activity groups

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2014-2020: orientation towards results

✓ output indicators

✓ result indicators

✗ dropping impact indicators

✓ core indicators replaced by COMMON indicators (listed on SFC2014)

✓ require quantified targets

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2014-2020: orientation towards results

- indicators need a **baseline** (starting) value for ERDF / CF / ESF; for ESF, it may be a reference value based on previous experience / studies*
- baseline for outputs = 0
- set targets for outputs and results
- ERDF/Cohesion Fund: **COMMON** indicators are all defined as output indicators...
- ESF: **COMMON** indicators are output **and** result indicators
  - outputs are basic information on participants; & number of projects
  - results are achievements (immediate and longer-term)

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OUTPUTS

- Numbers of projects (by social partners etc.)
- Number of enterprises supported (eg. social economy)
- Numbers of trainees from target group
- Numbers of curricula developed
- Numbers of new job and vacancy sites

RESULTS

- Immediate: active/ training / qualified/ employed on leaving/disadvantaged, and as above
- YEI: as above, after completing YEI supported intervention
- Longer-term: employed 6 months later etc.; as above, older/disadvantaged
- YEI: as above
- Numbers gaining qualifications
- Number of curricula introduced
Annex I
(1) Output indicators on participants – employment status, age, education, disadvantage
(2) Output indicators on entities – types of projects, by sponsor, target group; enterprises supported

---------------------------------------------------------------------------------------------------------------------
(3) Immediate result indicators – upon leaving - becoming active, into education or training, in work (disadvantaged?)
(4) Longer-term result indicators – 6 months after leaving – in work (over 54, disadvantaged?)

Annex II : YEI indicators
(1) Immediate result indicators – unemployed, LTU, inactive – completing; offer, education or training, in work upon leaving
(2) Longer-term result indicators – 6 months after leaving – in work or education and training
ERDF Common and programme specific indicators, 2014-2020

**OUTPUTS**

- no. of projects; no. of companies assisted; no. of companies cooperating..
- *matching private investment (€m)*
- km of new or upgraded road or railway line/tram/canal
- waste recycling capacity (tonnes); energy generation capacity (MW); m² provided/renovated; hectares prepared land; households connected/population benefitting
- capacity of infrastructure for services (persons)
- employment in supported enterprises
- FTE/Researcher posts in enterprises supported
- *Tourist visits to supported projects*
- *Reduction of energy consumption or greenhouse gases*

**RESULTS**

- *jobs created in SMEs*
- freight carried; passenger trips
- no. of new products introduced to market
- no. of tourist visits to area/region
- *travel time saved, accident rates*
- companies accommodated
- energy intensity in sector
- use of e-business / e-health services /
- new products exported
- new business survival rates (2 yrs)
- utilisation rates / productivity
- investment in region / sector
OUTPUTS

• km of new or upgraded road or railway line/tram/canal
• waste recycling capacity (tons); renewable energy generation capacity (MW); hectares prepared land
• Population /additional population or households connected or linked to service or benefiting from investment; additional users
• Reduction of energy consumption or greenhouse gases

RESULTS

• freight carried; passenger trips
• travel time saved, accident rates
• energy intensity in sector
• cleanliness of beaches or water courses

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Indicators listed in Operational Programmes

✓ RESULT indicators (with ID numbers) for each Specific Objective, by Investment Priority

✓ OUTPUT indicators (with ID numbers), by Investment Priority

✓ Plus Performance Framework Indicators (with ID numbers) (by priority axis)

Implementing Regulation 288/2014, Annex I, Tables 3 to 6
Categorisation of interventions

Data collection & maintenance

✓ CATEGORIES of INTERVENTION – codes in tables relating to field, financing, territory, theme etc. (Implementing Reg. 215/2014, Annex I)

✓ Monitoring system project data for all OPERATIONS (Art.125.2(d), CPR and Annex III of Delegated Reg. 480/2014, 3.3.2014), including the categories of intervention as above

✓ data on ESF PARTICIPANTS (as above, and Annexes of ESF Reg.)
Performance Framework and performance review
### Performance framework uses outputs...

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Performance framework

- measuring progress and success – indicators
  - where 1 or 2 indicators per priority, all must reach 85% of milestone or target
  - where more than 2 indicators per priority, all but one must reach 85% (the other must reach 75%)

- measuring progress and “serious failure” – indicators
  - where 1 or 2 indicators per priority, where either fails to reach 65% of milestone or target
  - where more than 2 indicators per priority, at least 2 do not reach 65% of milestone or target
<table>
<thead>
<tr>
<th>Priority</th>
<th>Indicators (choose unit of measurement)</th>
<th>Success</th>
<th>“Serious Failure”</th>
<th>Final (2023) Achievement/Absorption Coefficient</th>
<th>Correction scale (on final values)</th>
</tr>
</thead>
<tbody>
<tr>
<td>P1</td>
<td>1 or 2 indicators used</td>
<td>All indicators reach 85% of milestone or target</td>
<td>any indicator does not reach 65% of milestone or target</td>
<td>Calculate average achievement rate (A) of both indicators Divide by S (absorption rate of €)</td>
<td>60-65%: Flat 5% financial correction to priority contribution</td>
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<td>Financial (F)</td>
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<td>50-60%: Flat 10% financial correction</td>
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<td>Output (Q)</td>
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<td>Below 50%: Flat rate 25% financial correction</td>
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<td>Result (R)</td>
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<td>Key Implementation step (K)</td>
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<td>P2</td>
<td>More than 2 indicators used</td>
<td>All indicators reach 85% of milestone or target</td>
<td>2 indicators do not reach 65% of milestone or target</td>
<td>Average achievement rate (A) of all indicators Divide by S (absorption rate of €)</td>
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<td>Financial (F)</td>
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<tr>
<td>Note:</td>
<td>Q and R and K correspond to more than 50% of priority €</td>
<td>By priority, assessed for each Fund, each category</td>
<td>YEI assessed separately</td>
<td>A and S are both = final value / target value</td>
<td>Correction rates can be reduced by up to 50%</td>
</tr>
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</table>