



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

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# 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

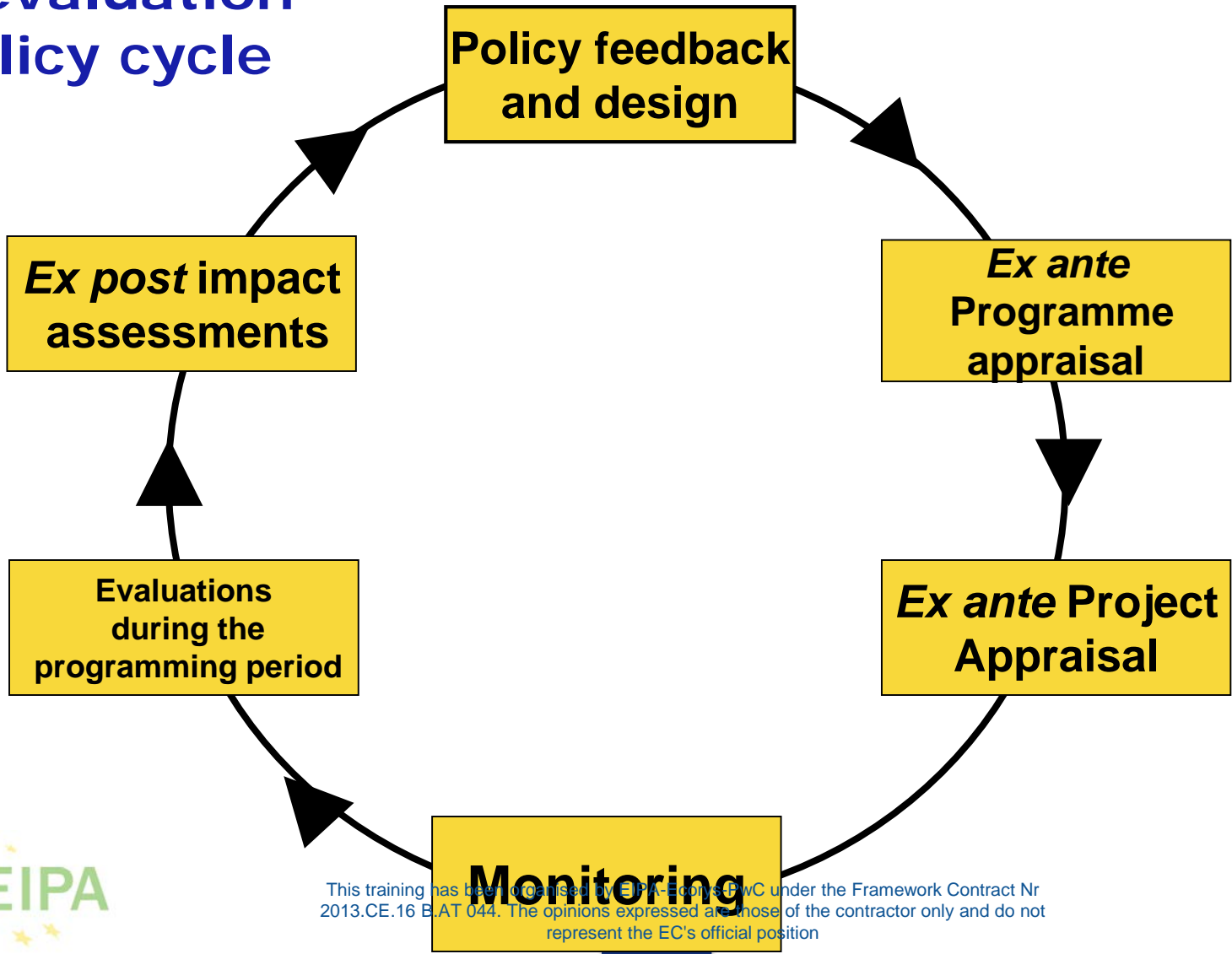


# Cohesion Policy is economic development...

- **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



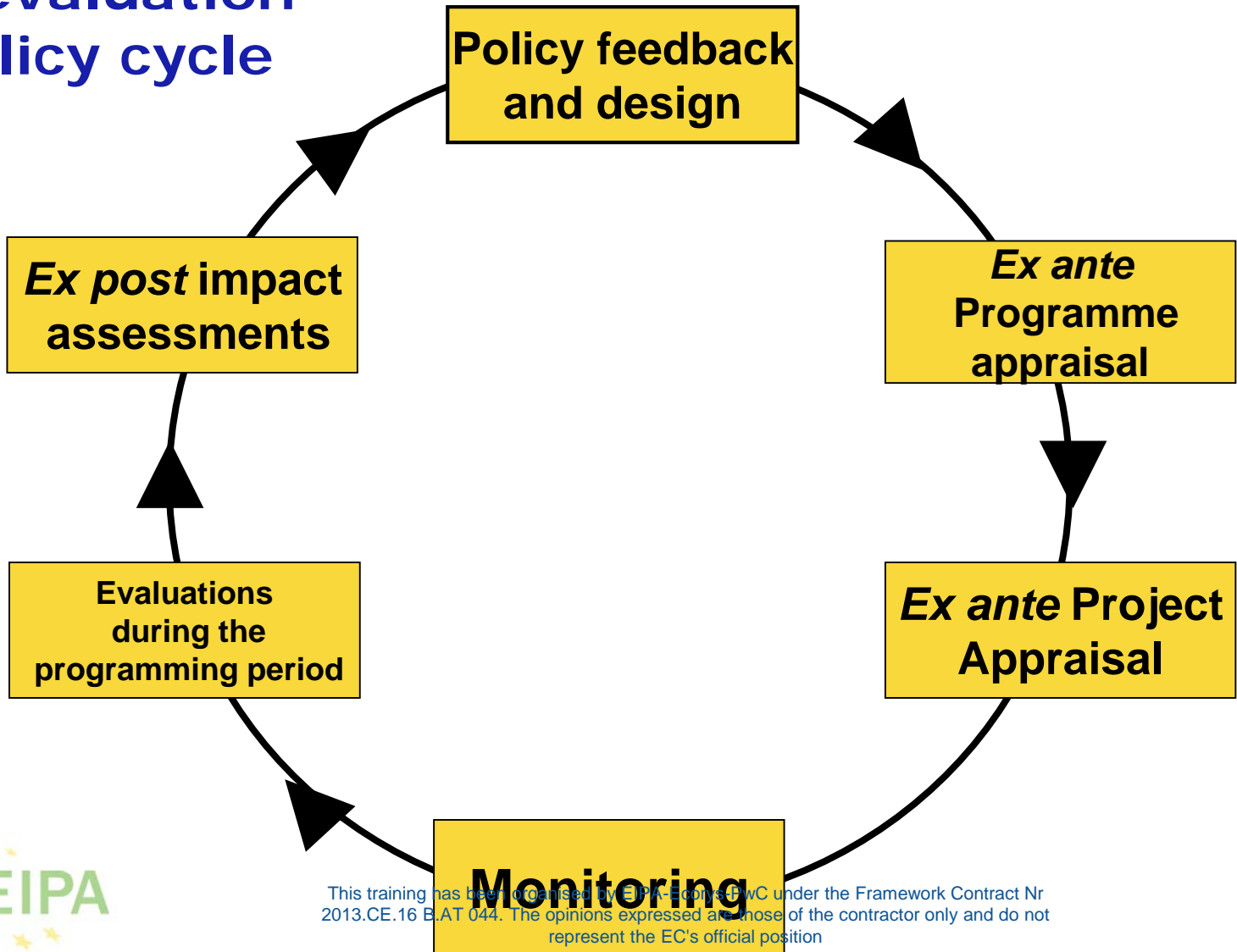
# the evaluation- policy cycle



## 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)**

# the evaluation- policy cycle



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

# method for the ex ante appraisal of projects – *see major projects application form*

1. project description /  
competence of beneficiary

6. economic analysis

2. project context and objectives  
and **contribution to specific  
objective / results**

7. risk and sensitivity analysis

3. project rationale / demand

8. environmental impact?

4. option & feasibility appraisal

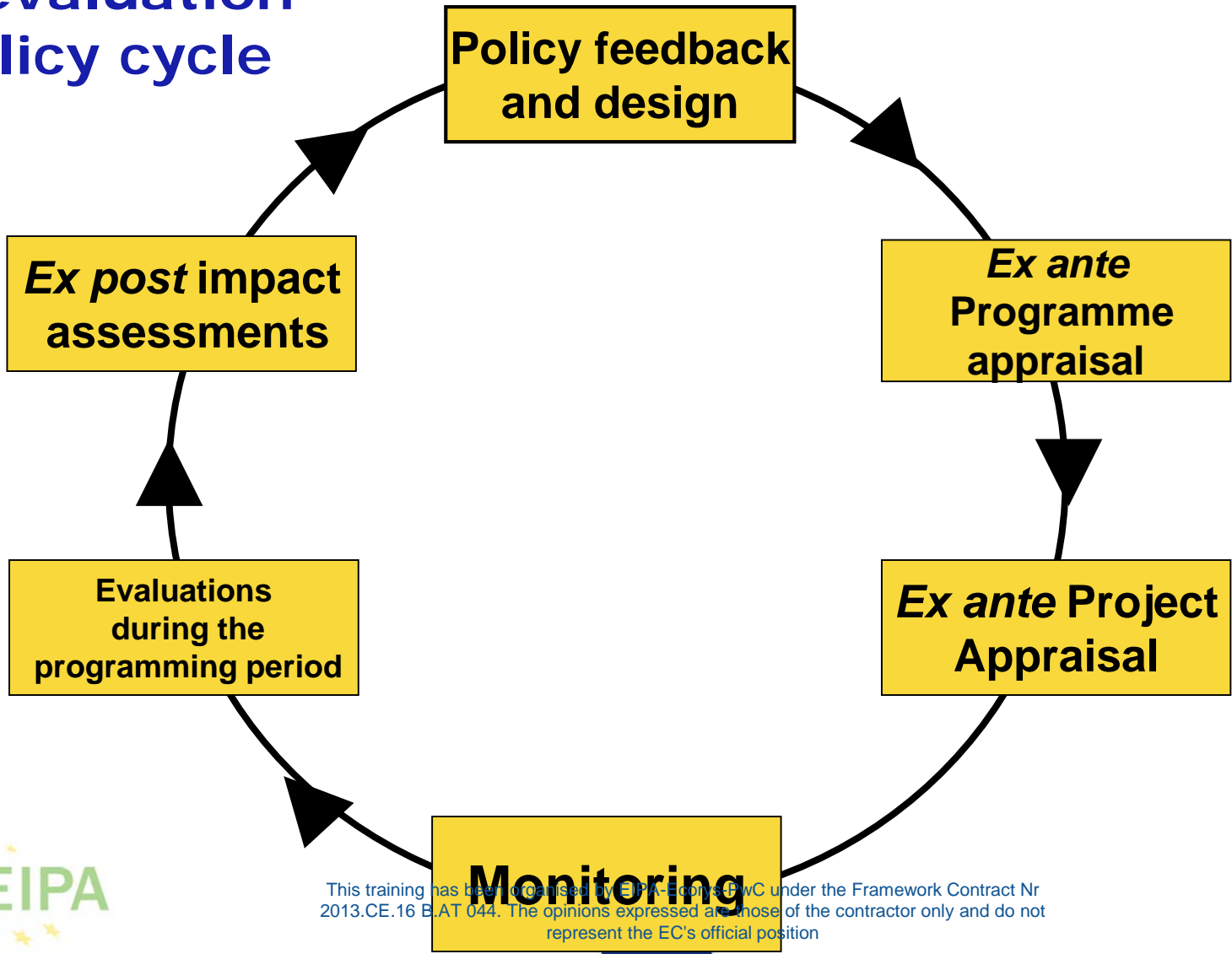
9. compliance with legislation

5. financial analysis

10. horizontal and non-  
quantifiable aspects / project  
outputs / other impacts? project  
**synergies?**



# the evaluation- policy cycle



## 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..”***

## 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?*

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- 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?)

## 2014-2020: measuring effects - why? and how much?

- 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

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## 2. Fieldwork (primary research)

Survey work: stakeholders; check motives for behaviour and changes; check relationships and processes

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## 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](#)  
<http://ec.europa.eu/social/BlobServlet?docId=7884&langId=en>
  
- [DG EMPL: Guidance on the Evaluation of the YEI](#)
  
- **Additional documents DG REGIO**
- **Impact evaluation center**

[http://ec.europa.eu/regional\\_policy/index\\_en.cfm](http://ec.europa.eu/regional_policy/index_en.cfm)



## 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



## 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