IPA II
(2014 - 2020)

Advanced Training on IPA II Monitoring, Reporting and Evaluation Framework Training overview

Avrupa Birliği Bakanlığı
IPA II Teknik Destek Projesi

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Technical Assistance for IPA II

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EVALUATION OF IPA II ASSISTANCE –

EVALUATION REQUIREMENTS AND STANDARDS

Legal Base

- Financial Regulation
- Framework Agreement
  - Article 55-57, Annex A
- Financing agreements

Framework Agreement

- Framework Agreement
  - Establishes that the aim of the evaluations are to improve relevance, coherence, quality, efficiency, effectiveness, Union added value, consistency and synergy with the relevant policy dialogue
  - Types of evaluations and specific objectives of the evaluations
  - Defines evaluation criteria to be used in interim and ex-post evaluations

  Presented in the section on evaluation objectives

Framework agreement

- Framework agreement does not put standard requirement on the mandatory evaluation – refers to Financial regulation provisions
- Additional guidelines is provided in the DG NEAR – Guidelines on Linking Planning/Programming, Monitoring and Evaluation

Requirements presented in the presentation on evaluation planning

Role of OS

- The Framework Agreement establishes that each OS is 'responsible for:

- drawing up an evaluation plan

- conducting, *as appropriate*, ex-ante, interim and ex-post evaluations of the programmes it manages' (Clause 4 (3) of Annex A).

OS and NIPAC

- The Role of NIPAC is to coordinate the drawing up of <u>an evaluation plan</u> in consultation with the Commission and to coordinate the respective evaluation activities that are under direct responsibility of the OSs.

- The NIPAC may plan and conduct evaluations of actions, not covered by the evaluations of the OS or national level evaluations focused on the specific aspects of the assistance.

Support to evaluations of the Commission

OS and NIPAC has to support evaluations conducted by the Commission and where required

- provide to the evaluators all the necessary data and information
- facilitate contacts with IPA II bodies and structures.

Types of evaluations

By scope

- Activity /project
- Action
- Programme
- Sector
- Country
- Thematic
- Meta-evaluations

By PCM phase

- Ex-ante
- Interim
- Ex-post

NORMS AND STANDARDS FOR EVALUATiONS

Evaluation Standards

- EU Better Regulation
- DAC Evaluation Quality Standards
- United Nations norms for evaluation in the UN System
- European court of auditors standards
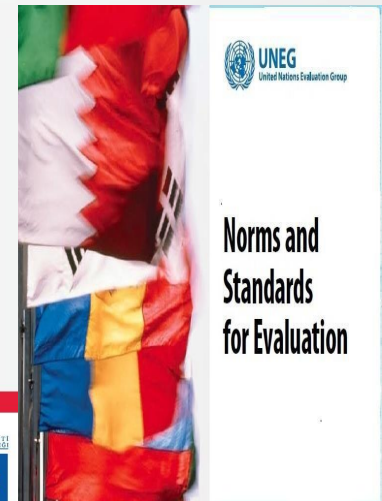
Why Standards?

- Promote accountability
- Facilitate comparability
- Enhance reliability and quality of services provided

Usefulness

- Evaluation address issues that are relevant to intended users / decisions that it is intended to support
- Evaluation is delivered on time and in an appropriate manner

Credibility

Credibility is grounded on independence, impartiality and a rigorous methodology

- The credibility of evaluation depends on the expertise and independence of the evaluators and the degree of transparency of the evaluation process

- Credibility requires evaluations to report successes as well as failures

Transparency

Transparency of the evaluation process is crucial to its credibility:

- Evaluation reports must distinguish between findings and recommendations.

- Relevant information to support findings should be included in a way that does not compromise source

- The evaluation process as a whole should be as open as possible with results made widely available

Independence

Independence is necessary for credibility, influences the ways in which an evaluation is used and allows evaluators to be impartial and free from undue pressure throughout the evaluation process. Two key aspects:

(1) Behavioral independence - ability to evaluate without undue influence by any party.

- Evaluators must have the full freedom to conduct their evaluative work impartially, without the risk of negative effects on their career development, and must be able to freely express their assessment.

- free access to information that evaluators should have on the evaluation subject

Independence (2)

(2) Organizational independence requires that the central evaluation function is positioned independently from management functions

- Evaluation function carries the responsibility of setting the evaluation agenda and is provided with adequate resources to conduct its work
- evaluation managers have full discretion to directly submit evaluation reports to the appropriate level of decision-making and that they should report directly to an organization's governing body and/or the executive head
- evaluation managers - directly commission, produce, publish and disseminate duly quality-assured evaluation reports in the public domain without undue influence by any party.

DG NEAR Guidelines

Flexibility in the requirement for organisational independence is allowed –

- Experts responsible for monitoring may manage evaluations if credibility and impartiality of the evaluation is ensured, e.g. structures that ensure quality of evaluations

Impartiality

- Key elements of impartiality are objectivity, professional integrity and absence of bias
- The requirement for impartiality exists at all stages of the evaluation process, including planning an evaluation, formulating the purpose and scope, selecting the evaluation team, providing access to stakeholders, conducting the evaluation and formulating findings and recommendations
- Evaluators need to be impartial, implying that evaluation team members must not have been (or expect to be in the near future) directly responsible for the policy setting, design or management of the evaluation subject
- Impartiality - the reported conclusions should be free from bias and fairly reflect evaluation findings

Ethics

Evaluators must:

- respect the rights of institutions and individuals to provide information in confidence
- ensure that sensitive data is protected and that it cannot be traced to its source
- validate statements made in the report with those who provided the relevant information
- obtain informed consent for the use of private information from those who provide it.
- When evidence of wrongdoing is uncovered, it must be reported discreetly to a competent body (irregularities officers).

Standards for evaluation systems

STANDARDS FOR EVALUATiON SYSTEMS

European Court of Auditors Standards and indicators

Defines 3 groups of indicators:

1. Management of demand
2. Ensuring the quality of the supply
3. Encouraging the use of results

Support from the top

A good evaluation system should ensure that:

- High level decision makers value evaluation e.g. evaluation reports are read and commented upon, active involvement in the development of evaluation policy and plans
- Experienced and permanent staff in evaluations
- Evaluations are routinely carried out and widely used

1. Management of demand

Reasonable expectations

Managing expectations is important for ensuring evaluation is supported and used. Standards:

- Evaluation training is given to senior staff and/or those managing activities evaluated, covering the potential benefits and inherent limitations of evaluations

- Stakeholders participate in the design and management of evaluations e.g. through steering groups

- Awareness of users is raised and their needs are identified, e.g. through surveys

- Feedback on the use of evaluation results is organised, e.g. internal through seminars, workshops and the intranet

- An active internal evaluation network, involving representatives of all operational units and those responsible for strategic planning and programming (SPP), meets regularly

1. Management of demand

Sufficient links with decision making

Links with decision-making processes creates an expectation for information from evaluations. Standards:

- Procedures for monitoring and evaluation arrangements are explained in action documents
- Decision-making documents are available for comment by those most likely to be aware of relevant evaluation results e.g. the evaluation function

1. Management of demand

Mix of incentives

A balance of "sticks, carrots and sermons" is important for ensuring sufficient evaluations are carried out. Standards:

- Clear and realistic requirements to evaluate (sticks)

- Appropriate funding arrangements i.e. in terms of amounts available and who controls them (carrots)

- Evaluation is encouraged through awareness raising exercises such as seminars, workshops, training, the intranet (sermons)

1. Management of demand

Training and support

Training and support are crucial for ensuring the competence of those involved in the evaluation process and for learning over time. Standards:

- Needs of staff in their respective roles in the evaluation process have been identified and tailored training / guidance developed e.g. for project managers, steering group participants, and programme managers
- Evaluation training has been developed
- Workshops / seminars are regularly held to exchange good practice and experience
- Helpdesk has been set up for advice on evaluation issues

2. Ensuring the quality of the supply

Link to monitoring and audit systems

Making effective use of available information is important for ensuring the cost-effectiveness of evaluations. The system should ensure that:

- Evaluators have access to monitoring data for the activities evaluated
- Monitoring systems are designed to facilitate evaluation
- Evaluations are designed to facilitate meta-analysis or meta-evaluation, e.g. to draw conclusions at a higher level or of more general relevance than would be possible on the basis of an individual evaluation
- The evaluation system is periodically audited by the Internal Audit

2. Ensuring the quality of the supply

Planning of evaluations

Planning standards:

- Mechanisms are in place for anticipating decisions that should or could be supported by evaluation results
- Criteria have been developed for prioritising / selecting evaluations
- Sufficient resources are available and allocated to implement plans
- The purpose of evaluations and the reason for their selection are clear
- Realistic deadlines are set (e.g. taking proper account of the time it takes to procure external expertise)
- The implementation of the evaluation plan is monitored and reported on to senior management

2. Ensuring the quality of the supply

Involving stakeholders where appropriate

Stakeholders include both those involved in or affected by the activity being evaluated and stakeholders in the evaluation itself. Standards:

- Main categories of stakeholders are identified
- Consultation with stakeholders is valued and encouraged
- Requirements or guidance exists covering the composition and role of evaluation steering groups
- Due consideration is given to involving those with access to data needed, those responsible for managing the activity evaluated, addressees and beneficiaries, and other intended users

2. Ensuring the quality of the supply

Ensuring quality

Quality control during the course of the evaluation and quality assessments of final reports provide information and assurance to users about the reliability of the results. Standards:

- Quality criteria developed
- Quality requirements included in the terms of reference for evaluators
- The quality of successive documents produced by evaluators is controlled before they are accepted
- The final evaluation report is subject to a formal quality assessment in writing
- There are appropriate arrangements for ensuring the objectivity of published quality assessments

2. Ensuring the quality of the supply

Choosing appropriate evaluators

A good evaluation system should ensure that:

- Selection criteria for choosing external experts take account of experience of both evaluation and the policy area
- Evaluation committees for tender are made up of people with knowledge or experience of evaluation
- Calls for tender and longer term evaluation needs and resources available are suitably publicised within the evaluation profession
- Evaluators are required to disclose circumstances that might lead to conflicts of interest

2. Ensuring the quality of the supply

Identifying users and theirs needs

The evaluation system needs specific measures to ensure the results of evaluations are used both individually and in aggregate. Evaluations should focus on the information needs of specific groups or individuals. Standards:

- Consideration is given to the needs of users (e.g. internal and external, at the different levels in the hierarchy, other institutions) at the programming, planning and dissemination phases
- There is coherence in the identification and treatment of user needs at the programming, planning and dissemination phases

3. Encouraging the use of results

Ensuring the relevance of questions

- A policy, requirements or guidance provides for including standard questions in evaluations

- Users participate in the setting of questions

- Incentives exist for addressing interesting / controversial issues

- High level approval is required at the stage at which questions are developed

3. Encouraging the use of results

Making judgements and recommendations

Evaluations need to produce interesting and credible results with recommendations that are relevant and feasible in order to maximise their impact and use. Self-censure and "blocking" by participants in the evaluation process can lead to controversial issues being avoided or the dilution of messages.

Standards:

- Evaluators are encouraged to make explicit judgements and specific recommendations (e.g. through terms of reference)
- There is an option for preserving confidentiality for the results of some types of evaluation

3. Encouraging the use of results

Communicating findings

Dissemination activities need to be properly planned and managed. Standard:

- Requirements or guidance have been developed for disseminating the results of evaluations

- Dissemination plans are drawn up

- Dissemination activities are monitored to ensure results are successfully transmitted and to provide feedback on the impact of the dissemination methods used

- Forms of dissemination are adapted to the needs of users e.g. meetings, press conferences, confidential briefings, publication on the internet

- General publication is the norm rather than the exception

3. Encouraging the use of results

Monitoring use and follow up of results

Monitoring the use and following up the results of evaluations helps to provide evidence of the difference evaluations can make to the quality of decision-making and accountability. Thus, the value attached to evaluations will increase and hence they will be more widely used.
Standard:

- Managers of activities evaluated are required to reply formally to evaluation reports
- Action plans are drawn up in response to evaluations and endorsed at a high level with their implementation monitored
- The use of findings, results, conclusions and recommendations is monitored to provide feedback on the usefulness of evaluations

3. Encouraging the use of results

Main weaknesses according to Court of Auditors

- Insufficient supervision of programme evaluations
- Weaknesses in the selection of programme evaluations and timely delivery of evaluations
- Procedures to ensure the quality of programme evaluations and ROMs are implemented inconsistently
- Evaluation and ROM systems do not sufficiently ensure relevant and robust findings
- Evaluation and ROM systems do not provide adequate information on results achieved – programme objectives and indicators are not well defined, focus is more on the implementation of programmes than on results achieved , reporting does not provide much evidence on results achieved
- Evaluation and ROM systems do not ensure the maximum use of the findings made - there are weaknesses in the follow-up and dissemination

EVALUATİON PLANNİNG

Planning of evaluation standard

1. Mechanisms are in place for anticipating decisions that should or could be supported by evaluation results
2. Criteria have been developed for prioritizing / selecting evaluations
3. Sufficient resources are available and allocated to implement plans
4. The purpose of evaluations and the reason for their selection are clear
5. Realistic deadlines are set (e.g. taking proper account of the time it takes to procure external expertise)
6. The implementation of the evaluation plan is monitored and reported on to senior management

Importance

Planning is essential for ensuring the relevance and timely delivery of evaluation results:

Legal requirements -

- Multi-annual planning - rolling 5 years plan or planning of evaluations in the programming period
- Planning of each evaluation

Audit Trail is Needed

- Define clear selection criteria to prioritise evaluations and document how they were applied in establishing the evaluation plans
- Establish a system to monitor and report on the implementation of evaluation plans, including an analysis of the reasons for delays and the description of measures adopted to address them

Deciding to evaluate

- Factors to consider in selecting actions and programmes for evaluation:
  - Legal requirements – compulsory evaluations;
  - Benefits of evaluating a specific action
  - Response to evaluation "triggers" during action/ programme implementation

Compulsory evaluations

1. Financial Regulation - for each annual or multiannual programme with an EU contribution above EUR 5 million ether interim evaluation or ex-post evaluation or both have to be planned and executed.

2. Interim evaluations are not compulsory by legislation. They are recommended, if they can bring benefit of improved performance of on-going programmes or for the planning of future ones.

Legal Requirements

3. It is not compulsory to evaluate each action of an annual or multiannual programme. However, DG NEAR recommends to plan ether interim or ex-post evaluation of all IPA II actions with an EU contribution above EUR 10 million. It is also highly recommendable to plan evaluations of innovative actions.

4. If evaluation is not conducted, all IPA II actions with EU contribution above EUR 5 million have to present a Final report, with an in-depth assessment of the achieved results and level of achievement of objectives.

DG NEAR recommendations for planning

Take into account

- Level - Contract, Activity, Action or Programme – (e.g. all actions above EUR 10 million)

- Timing

- Funding

- Complementarity with ROM

EU Reccomendations

- DG NEAR recommendations
  - Do more Action level evaluations
- European Court of Auditors recommendations
  - Do more ex-post evaluations
  - Maintain monitoring data 3 years after the end of the action – in order to be in a position to evaluate
  - Improve quality of evaluations

DG NEAR Guidelines

Criteria to prioritise evaluations:

- Interest from stakeholders – EU, NIPAC, partners, etc.

- Use of results

- Feasibility within the timeframe and resources available

What level to choose?

Sector Operational Programme or
Sector Planning Document

Action Document(s)
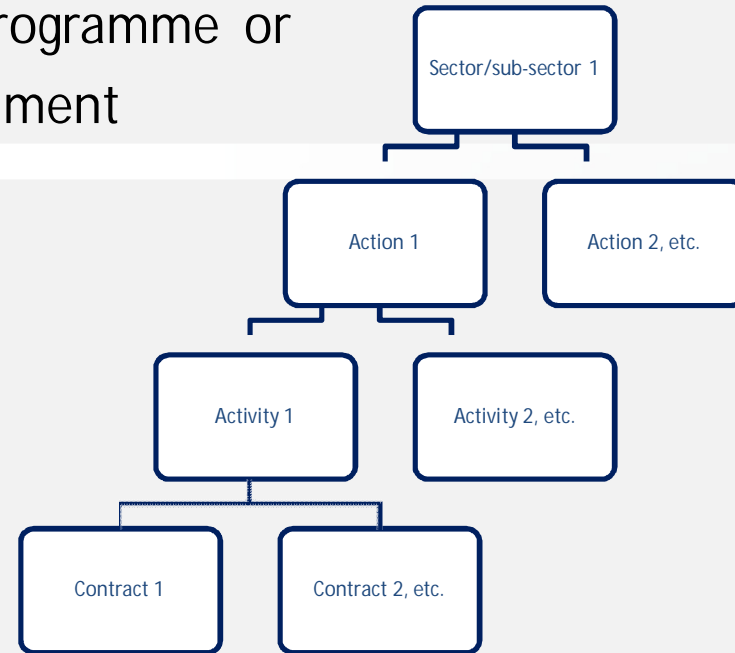
Sector/sub-sector 1

Action 1

Action 2, etc.

Activity 1

Activity 2, etc.

Contract 1

Contract 2, etc.

Sub-sector level

Sub-action 1: Legislative environment for active citizenship

Sub-action 2: Strengthening cooperation between public sector and CSOs

CIVIL SOCIETY ACTION

Sub-action 3: Strengthening the capacities of and networking between organised active citizens / CSOs

Sub-action 4: Connecting people for mutual understanding between citizens in Turkey and the EU
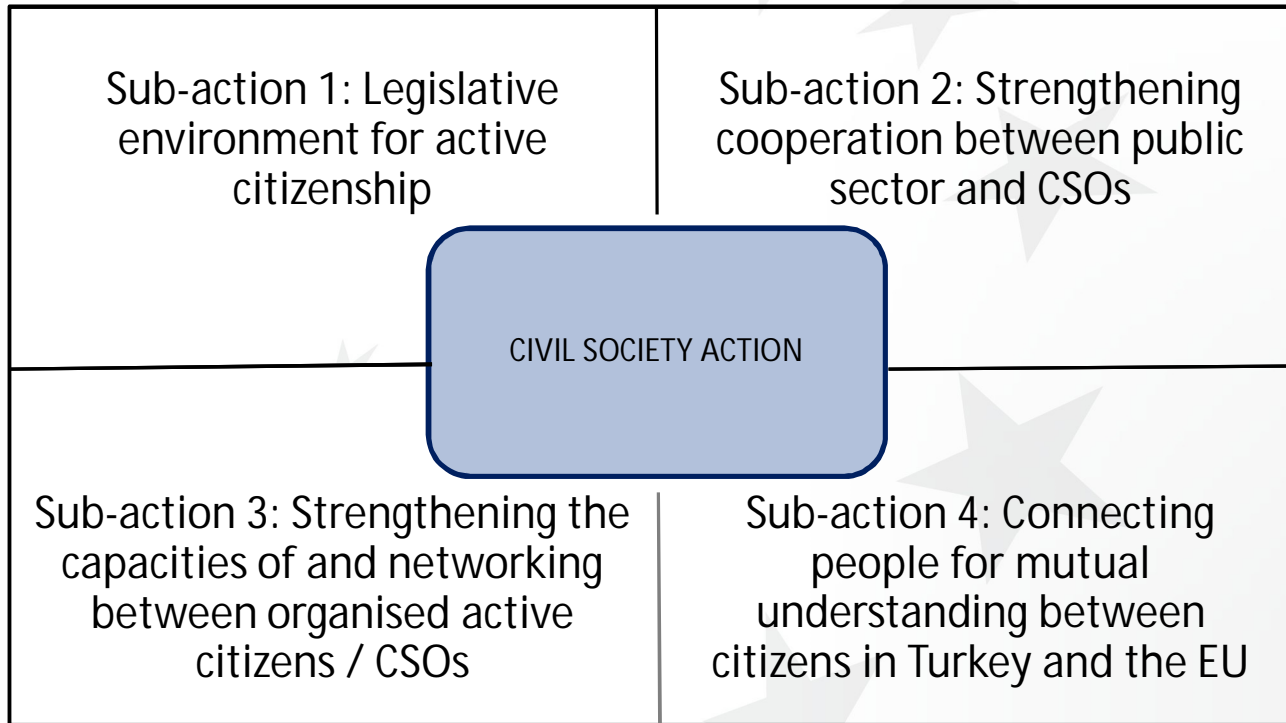
Timing - Action level

- Community centres

Construction & furnishing   Delivery of services

START   END

Resources of Evaluation

- DG NEAR recommends an appropriate budget to be earmarked in the planning/ programming stage (within the Action Document, or the Action Programme) for carrying out evaluations.

- 2% of the total value of the annual and/or multi-annual programmes

Evaluation Plan

The objectives of the evaluation plan are to:

- Improve the quality of evaluations through proper planning, including through identification and collection of necessary data
- Enable informed programme management and policy decisions on the basis of evaluation findings; - provide a framework to plan impact evaluations
- Ensure that evaluations provide inputs for annual implementation and progress reports
- Facilitate the synthesis of findings from different Member States by the Commission and the exchange of available evidence;
- Ensure that resources for funding and managing the evaluations are appropriate

Minimum content

The plan has to be multi-annual and as a minimum has to cover the following topics:

- Responsibilities for the plan:
  - the entity responsible for drafting and updating it each year;
  - for deciding in-year revisions of the plan, if necessary;
  - for activating the units and individuals responsible for each evaluation;
  - for ensuring that the resources are available and used;
- Time frame of the plan
- An indication of the resources available (include both financial resources and their source for managing the evaluations or conducting them);
- Complementarities and synergies with the OS evaluation planning and with other donors' evaluation planning;
- Planned capacity building actions for evaluation.

Rolling Bi-annual Evaluation Plan

Evaluation plan 2017 EUD/Unit…(evaluation to be implemented in 2017)								
N.	Title	CRIS Decision/contract n.	Project (Action) (A) / Contract (C)	Project (M-T, final); thematic; other	Start date (XX/2017)	End date	Planned cost (€)	Source of funding
1								
2								
3								
.								

Evaluation plan 2018 EUD/Unit…(evaluations to be implemented in 2018)								
N.	Title	CRIS Decision/contract n.	Project (Action) (A) / Contract (C)	Project (M-T, final); thematic; other	Start date (XX/2018)	End date	Planned cost (€)	Source of funding
1								
2								
3								
.								

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Procedures

- OS prepare the evaluation plans and submit to NIPAC Secretariat;

- After NIPAC secretariat review and consultations with the Commission, the evaluation plans are approved by the OS;

- A good practice is evaluation plans to be considered and approved by the SMCs.

Procedure

- The evaluation plan is reviewed and updated on an annual basis (ad-hoc if required).

- The updated plan has to be presented to the NIPAC Secretariat no later than 15 November each year. The update has to include titles and details on evaluations planned in the next two years.

- The NIPAC M&E Unit monitors the implementation of the OSs evaluation plans and conducts evaluations included in its plan.

- The implementation of the plan(s) is reported to the IPA MC, SMC and in the Annual reports on the implementation of IPA II assistance

MANAGEMENT OF EVALUATIONS

Tasks

1. Appointment of an exert responsible for the management of the evaluation
2. Establishment of the evaluation reference/steering group (highly recommended)
3. Preparation of evaluation road map (highly recommended)
4. Preparation of ToR
5. Selection and contracting of evaluators
6. Support for evaluators and management of quality
7. Dissemination of evaluation findings
8. Follow-up of evaluations

Key requirement

Appoint one experienced expert to be responsible for the management of each evaluation ....

- inexperienced expert - could undermine almost all aspects of the evaluation

Evaluation reference/ steering group

- Possible role:
  - Advise – review material and make suggestions or recommendations to decision makers
  - Decide – have final control over decisions in the evaluation – approval of roadmap, evaluation reports, etc.
  - They also have a role to play in facilitating the evaluators access to information and providing methodological support and assessing quality
  - May include a range of stakeholders in the activity / intervention, which helps ensuring that the judgement of its effectiveness is 'fair' or 'balanced
- Composition – 3-5 experts – beneficiary institutions, stakeholders, evaluation experts

Time planning

- For each evaluation, included in the evaluation plan, the evaluation expert has to prepare an evaluation schedule stating important milestones in the preparation and execution of the evaluation

- and to estimate the duration of each phase based on previous experience, <u>and</u> taking into account scope and size of the evaluation.

- The evaluation expert has to establish the time for the start of the preparation of the evaluation

Time planning – evaluation phases

- Structuring of the evaluation work: documentary review, interviews with key stakeholders, identification of the contacts to interview, organisation of the data collection plan

- Data collection: collection of the quantitative data needed for the evaluation, interviewing of the key contacts, etc.;

- Analyses and judgment: analysis of the data collected, completion of the common indicators, drafting of the necessary analyses, responses to the evaluation questions;

- Conclusions and recommendations: drafting the main conclusions and recommendations of the evaluation.

Time planning (1)

Tasks and outputs	Time (example)
Evaluation roadmap	2 months

Preparation and approval of evaluation roadmap
    Consultation with the NIPAC, Commission and stakeholders
    Approval of the roadmap	

Terms of reference	1 month
Preparation of the Terms of reference Review and internal quality control Ex-ante control of the ToR and approval	
Contracting	3 months
Establishment of an evaluation committee Drafting of approval of tender dossier Invitation to tender and evaluation of tenders Award contract	

Time planning (2)

Tasks and outputs	Time (example)
Inception report of the evaluation	1 month
Kick-off meeting • Initial consultation with the stakeholders • Collection and initial review of documents • Preparation of the Inception report	
Draft evaluation report	4 months
• Data collection • Data analysis • Preparation of draft conclusions and recommendations • First draft report submitted • Internal review of the report • Preparation of final draft	Depends on the scope - at least 3 months for an evaluation on action level

Time planning (3)

Tasks and outputs	Time (example)
Final report	1 month

Submission of final report to the ERG
    Review and comments by ERG
    Preparation of final report
    Approval of final report
    Public presentation to stakeholders	

Evaluation road map

1. Stating the purpose of the evaluation: explaining why the evaluation is being carried out and any particular aspects of analysis that will be conducted

2. Defining the scope: setting out clearly what actions, what period and what geographical coverage will be covered by the evaluation and what will not (with any associated explanation)

3. Explaining the intervention logic: summarising how the intervention was expected to work

4. Drafting good evaluation questions: clarifying the questions the evaluation will answer

5. Considering appropriate methods and required data: it is very important that the evaluation is set up to collect and analyse a range of different data, using the appropriate methodologies used.

Evaluation Purpose

The evaluation Purpose should explain why the evaluation is being undertaken:

- Legal requirement /or triggered?
- what management purposes will it serve?

To conduct an evaluation of the SME support programme

Scope of Evaluation

Coverage of the evaluation

- Actions and programmes covered – all actions or some part of them

- Period covered/ phase of implementation

- Geographical area

Evaluation objectives and questions

Explain what issues evaluation is expected to cover and achieve

Three types

- descriptive questions - "what is"

- normative questions – compare "what is" to what it should be

- cause-effect questions - "what difference the intervention makes" (See DG NEAR guidlines)

Evaluation questions standards

- Ideally, no more than 10
- Linked to the intervention logic
- Include questions that really need answers and questions relevant to mandatory evaluation criteria
- One question should raise only one issue
- Select carefully evaluation questions and iinvolve relevant stakeholders
- Allow flexibility for adding questions during the evaluation
- In line with the budget

Objectives of evaluation

Framework agreement – Article 55

The objectives of evaluation shall include:

- assessing the conditions for the implementation of the assistance, its performance, both prospective and actual, and its consistency with the policy objectives set out in view of achieving long-term, impacts and objectives;
- assessing the relevance of agreed result and impact indicators to achieve long-term, global impacts and objectives;
- assessing the programming process and monitoring system and, where appropriate, implementation arrangements;
- achieving accountability of the assistance to the institutions of the EU and to the public with respect to the value for money and the use of funds;
- drawing useful lessons aiming at improving the quality and design of future policies and interventions.

Objectives of
ex-ante evaluations

- to optimise the allocation of budgetary resources under programmes and improve programming quality.
- to identify and appraise the disparities, gaps and potential for development,
- the goals to be achieved, the results expected,
- the quantified targets, the coherence, if necessary, of the strategy proposed and the
- quality of the procedures for implementation, monitoring, evaluation and financial management.

Objectives – interim ex-post evaluations

- Interim evaluations - assess the performance of the assistance and results obtained and lessons learned in terms of the human and financial resources allocated in order to verify that they are consistent with the objectives set

- *Ex-post* evaluations assess the relevance, Union added value, efficiency, effectiveness, impact and sustainability of IPA II assistance in view of achieving the set objectives

Mandatory criteria

	All	Ex-ante	Interim	Ex-post
1. Relevance	FA	Ö	Ö	FA
2. Coherence	FA	Ö	Ö	Ö
3. Quality	FA	Ö	FA	
4. Efficiency	FA	Ö	FA	FA
5. Effectiveness	FA	Ö	FA	FA
6. EU added value	FA	Ö	FA	FA
7. Consistency and synergy with the relevant policy dialogue	FA	Ö	FA	
8. Impact		Ö		FA
9. Sustainability		Ö		FA

1. Relevance - questions

Needs

Relevance

Objectives

- Are the objectives relevant and realizable? Should alternative objectives be considered?
- To what extent the objectives of the intervention (still) valid?
- How well do the (original) objectives (still) correspond to the needs?
- To what extent have the (original) objectives proven to have been appropriate for the intervention in question?
- How well adapted is the intervention to subsequent technological or scientific advances? (N.B. Could include issues related to the specify policy here e.g. social, environmental)

2. Internal coherence - questions

Activities- Outputs

Outputs - outcomes

Outcomes - objectives

- To what extent is the intervention coherent internally?

- How do the intervention components fit in with one another and with the objectives?

- Are the activities and outputs consistent with the overall goal and the attainment of its objectives?

- Are the activities and outputs of the interventions consistent with the intended impacts and effects?

External coherence questions

Objectives of the intervention

External Coherence

Policy objectives – EU, national, etc.

- To what extent is the intervention coherent with the Indicative Countr Strategy?
- To what extent is the intervention coherent with wider EU policy in the sector?
- To what extent is this action coheren with other interventions which have similar objectives?

3. Quality - meaning

Meaning of quality is not defined in the FA

Usually means quality of implementation:

- Quality of management
- Quality of the partnership and coordination - assess the extent to which they are efficient and contribute to the effectiveness of the intervention
- Quality of programming process and monitoring system and implementation process

3. Quality – Questions

- To what extent does the implementation and management processes in place, from application to payments, enable the effective implementation of actions that best achieve the programme's objectives?

- Is there an effective coordination system including partner, donors and other relevant stakeholders?

- Etc.

4. Efficiency questions

Inputs

Efficiency

**Outputs
Outcomes**

- To what extent are the costs involved justified, given the changes/effects which have been achieved?

- To what extent are the costs proportionate to the benefits achieved? What factors are influencing any particular discrepancies?

- What factors influenced the efficiency with which the achievements observed were attained?

- Was the programme or project implemented in the most efficient way compared to alternatives?

5. Effectiveness - questions

Outcomes

Effectiveness

Objectives

- Are the outputs likely to lead to the expected outcomes?
- What have been the (quantitative and qualitative) effects of the intervention?
- To what extent do the observed effects correspond to the objectives?
- To what extent were the original objectives achieved? Or are likely to be achieved?
- What were the major factors influencing the achievement or non-achievement of objectives?
- To what extent can these changes/effects be credited to the intervention?

6. EU added value
- questions

Benefits of EU intervention vs National level interventions - coordination gains, legal certainty, greater effectiveness, complementarities.

- What is the additional value resulting from the EU intervention(s), compared to what could be achieved at national and/or regional levels?

- To what extent do the issues addressed by the intervention continue to require action at EU level?

- What would be the most likely consequences of stopping or withdrawing the existing EU intervention?

8. Impact questions

DG NEAR Guidelines
- What has happened as a result of the project/programme? - not only direct outputs but, very importantly, the basic impacts and effects on the social, economic, environmental and other development indicators resulting from the activity, intended and unintended results and must also explain the positive and negative impact of external factors, such as changes in basic policy environments, general economic and financial conditions
- Which changes has the intervention produced, regardless of its objectives?
- Which of these changes are long-term?
- Which changes have affected which groups?

9. Sustainability questions

- How likely the effects are to last after the intervention ends?

- Which institutional arrangements allow for maintaining the benefits achieved?

- Which financial resources are available to fund the continuation of the services provided by the intervention? How long are they likely to be available and from which sources?

Risk factors

Ill-defined evaluation purpose or questions - undermine the coherence, clarity and usefulness of the evaluation as it is difficult to:

- develop appropriate data collection and analysis methods if the questions they are supposed to answer are not clear, and

- meet user needs that have not been sufficiently identified

A lack of pre-existing monitoring information can limit usefulness and cost-effectiveness as information is costly to create through evaluations, thus reducing the scope for analysis and the number of questions that can be addressed

Data Sources

- Secondary data - strategic documents, programme/ action programming documents and reports

- Monitoring data

- Primary data collected for the purposes of evaluation

Data Sources (2)

	(+)	(-)
Documentary review	Good source of secondary data Leverage existing information Assists in preparation of primary data collection	Provides only part of the information picture Potentially dated information
Interviews	Direct data collection with people intimately involved in the programme Access to qualitative information on difficulties encountered, best practices, user perceptions	Provide a large representativeness of view points Important to maintain independence of judgement Secure a homogeneous and structured data collection through set interview guidelines developed for each type of stakeholder, and used for all projects Potential for staff turnover, preventing an exhaustive overview of the project progress

Data Sources (2)

	(+)	(-)
Survey	Gathers the opinions of a large sample of stakeholders on the implementation of the programme Obtains recent and quantitative information	Sample must be representative Complex to implement and administer
Focus group	Discuss a specific issue with relevant stakeholders Discuss different scenarios for improvements Assess in a participative manner.	Stakeholders' willingness to participate
Case studies	Obtain detailed information on the effects of the programme Illustrate the evaluation with concrete examples Understand the causal links between the activities and their effects Identifying best practices	Representativeness of the case study: extent to which situation is applicable at a larger scale.

Evaluation budget

- The most appropriate basis for determining the budget is the nature and scope of the work required.
- Cost depend on:
  - Type of the project (e.g. simple/complex, years of implementation)
  - Purpose and scope of the evaluation
  - Methodology of the evaluation and the characteristics of the evaluated intervention (not on the budget of the intervention)
  - How are the evaluation results going to be used

(not on the budget of the intervention)

IPA II
(2014 - 2020)

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Evaluation Budget

- Evaluations of relatively small interventions which are innovative, very controversial, or which are key for future strategies may require more resources than evaluations of large interventions that can mostly rely on desk research

What to do when there is limited budget available?

- Have a very focused evaluation that requires only a limited budget
  - Wrong - Demand a smaller number of beneficiary surveys, less detailed data collection and fewer stakeholder consultations
- Do more preparatory work within the programme, e.g. in terms of information collection and compilation. Aiding the evaluation with concrete inputs can help reduce the evaluation budget.

Budget calculation

- Make an estimate of the resources.
  - How many days of work for how many people would be expected?
    - A frequent mistake is that the number of days are calculated for 1 person, whereas there will probably be a team working on the project who will come jointly to progress meetings, discussion etc. (e.g. in-depth interviews – standard is 2 persons)
    - Some techniques for data collection and data analysis are very labour intensive
  - Will a lot of travel and accommodation be needed?
  - How many meetings will there be (with programme, workshops?)
  - Any other specific costs needed, e.g. workshop venues, publications?

Human Resources

	Total	Team leader	Evaluator 1
1. Structuring – Inception phase			
Document review		X	X
Questionaries'/interview guide		X	X
Initial meetings with key stakeholders		X	X
Preparation of inception report		X	X
2. Field work		X	X
3. Data analysis 4. Preparation of draft and final evaluation report		X	X

Costs

- Ask contracting department about fee rates - good evaluation requires input from good evaluators

- Check market prices, if not know

- Put some contingency calculation

Costs

	UNIT	Number of Units	Unit cost	Total cost
Human resources				
Team leader	days			
Evaluators	days			
Travel	Flights			
Per diems	nights			
Translation	pages			
Publications	copy			

Low budget risk

- Low budget may result in problems of coherence or robustness as cost pressures on evaluators may result in:
  - Methodological weakness (e.g. smaller sample sizes)
  - Weaknesses in data collection and analysis activities are carried out (e.g. use of less qualified or experienced researchers).

- Poor response to calls for tender selection of poor evaluators - no experience and/or impartiality