



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.


## Welcome!




# Module 2 – Purpose of evaluation


*What is evaluation?*  
*Clarifying the concepts in the evaluation neighbourhood.*  
*Main types of evaluation.*  
*Evaluation process.*  
*Evaluation stakeholders.*






Building a better working world







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## What is evaluation?







### Exercise 2-1 – What is evaluation





### Exercise 2-2 – Evaluation neighbourhood






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## What is evaluation?




- Evaluation is the systematic application of scientific methods to assess the design, implementation, improvement or outcomes of a program *(Rossi, Lipsey and Freeman 2004)*.
- The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability *(OECD 2002)*.








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## What is evaluation?



- Evaluation is both science and art.
- Main task of evaluation is to provide reliable and usefull information on given policy/programme/project/service that can be used as a useful feedback loop to help decision making.







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## Clarifying the concepts in the evaluation neighbourhood



Research

Monitoring


Audit








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## Emerging evaluation neighbourhood





Action research


Rapid prototyping

Human/User Centered Design

Discussed in the last module!







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## Clarifying the concepts in the evaluation neighbourhood



- Link to practice distinguishes evaluation from research – there is similar methodology, but different objectives and specific political and organisational context.



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## Brainstorming



## Evaluation & control




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## Is evaluation a part of control mechanisms?



- It depends... on the definition of control.
- It should not be in a narrow (and typical) understanding of control.
- It is part of control systems in its wider meaning.

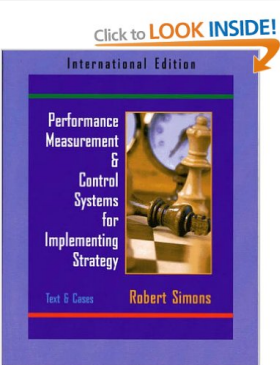



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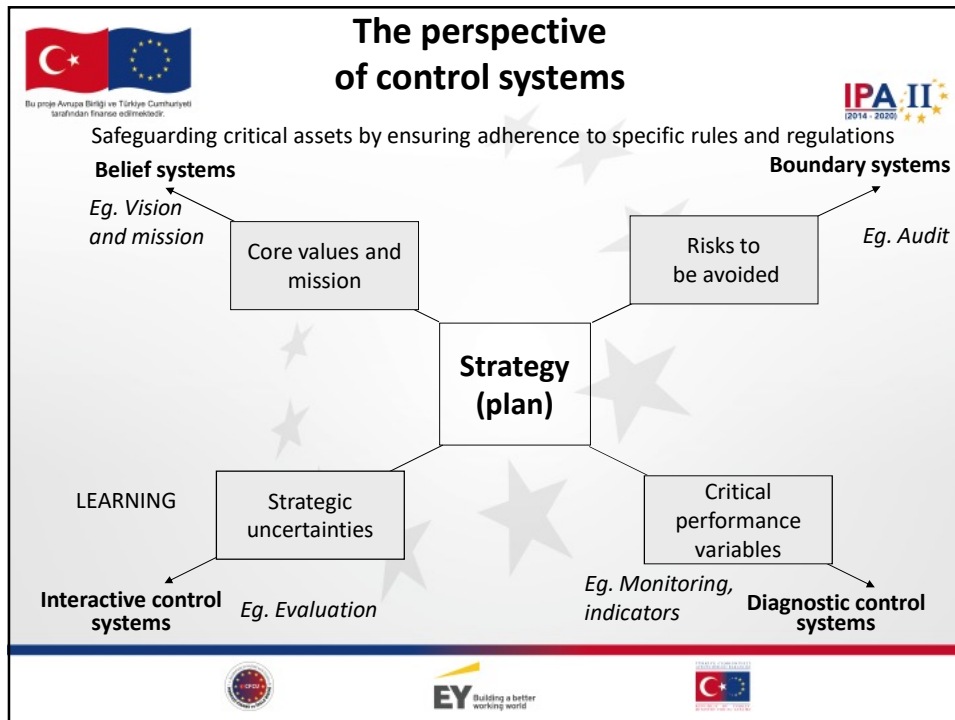
## A broader understanding of the concept of “control”





Bob Simons is the Charles M. Williams Professor of Business Administration at Harvard Business School. Over the last 30 years, Simons has taught accounting, management control, and strategy implementation courses in both the Harvard MBA and Executive Education Programs.

**Discussion – Results**

- There is a general call for „results orientation“ in the use of European funds.
- More focus on results seems like a good idea.
- Well, what do you mean by „RESULTS“?

Logos: Turkey, EU, IPA II (2014-2020), EY (Building a better working world), and a small EU flag.




## Results defined




- “The most evident weaknesses which indicate the need for reform of cohesion policy are:
  - A remarkable lack of political and policy debate on results in terms of the well-being of people, at both local and EU level, most of the attention being focused on financial absorption and irregularities.”

*April, 2009: Independent report “An Agenda for a Reformed Cohesion Policy” delivered at the request of Commissioner for Regional Policy, Ms Hübner  
„Barca’s Report“*






## Results defined




- “Results and result indicators
  - The intended **result** is the specific dimension of well-being and progress for people that motivates policy action, i.e. what is intended to be changed, with the contribution of the interventions designed.
  - **Result indicators** are variables that provide information on some specific aspects of results that lend themselves to be measured”

*March, 2014: Guidance Document on Monitoring and Evaluation (EC, DG Regio)*


⇒Suggested further study: Amartya Sen’s Capability Approach.  
 ⇒[https://en.wikipedia.org/wiki/Capability\\_approach](https://en.wikipedia.org/wiki/Capability_approach)





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## The logic of results orientation




- EU funds are here to deliver results at the level of well-being of people.
- Programmes and projects need to have clear objectives and intervention logic to guide their efforts towards well-being improvement.
- In order to achieve this clarity, they should use indicators that provide for a quantitative measure of these objectives.
- In addition, to motivate, targets should be set for these indicators at a realistic, yet challenging level.
- Performance (or the lack of it) is therefore defined as the degree to which the targets are achieved (or not).

Do you agree with these statements?

YES

NO





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## Assumptions behind this results orientation



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## Assumptions behind this results orientation






- EU funds are here to deliver results at the level of well-being of people.


Any assumptions here?

↓


What is necessary to make sure programme objectives are relevant for well-being and progress for the people?

- Programmes and projects need to have clear objectives and intervention logic to guide their efforts towards well-being improvement.
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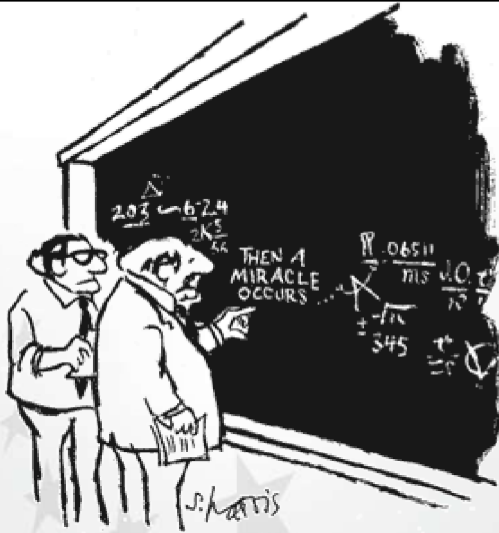






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Don't set challenging goals if you do not know how to reach them



J. Harris


"I THINK YOU SHOULD BE MORE EXPLICIT HERE IN STEP TWO."



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Any assumptions here?

↓

When do indicators capture all relevant features of policy objectives?


- In order to achieve this clarity, they should use indicators that provide for a quantitative measure of these objectives.
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Any assumptions here?

↓

When do targets motivate in desired way?

- In addition, to motivate, targets should be set for these indicators at a realistic, yet challenging level.
- Performance (or the lack of it) is therefore defined as the degree to which the targets are achieved (or not).

Target setting at  
the aggregate  
level...



⇒Suggested further study: Wauters, B. (2013) SMART or not: are simple management recipes useful to improve performance in a complex world? A critical reflection based on the experience of the Flemish ESF Agency

⇒[http://www.latitudeconsulting.eu/images/paper\\_plo\\_gent.docx](http://www.latitudeconsulting.eu/images/paper_plo_gent.docx)



## Assumptions behind this results orientation



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Any assumptions here?



When all the abovementioned  
assumptions hold?

- Performance (or the lack of it) is therefore defined as the degree to which the targets are achieved (or not).





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## Problem of targets



- "The more any quantitative [social indicator](#) (or even some qualitative indicator) is used for social decision-making, the more subject it will be to corruption pressures and the more apt it will be to distort and corrupt the social processes it is intended to monitor." *Campbell's law*
- "When a measure becomes a target, it ceases to be a good measure." | „Any observed statistical regularity will tend to collapse once pressure is placed upon it for control purposes." *Goodhart's law*


By using targets as a tool for evidence-based policy-making we just create an environment of policy-based evidence-making.

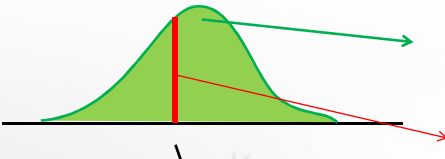




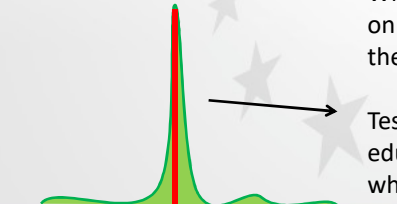
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## Goodhart's Law






When not incentivised, test results could be a good proxy of education.




When incentivised, teachers start to teach only what is in the tests, help students with the tests or even cheat the results.






**Based on a true story...**  
<https://www.youtube.com/watch?v=SK95fJB8aSs>







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## Measurement vs. target setting




- The problems of targets setting is not to say that measurement is dangerous or futile.
- Just many people do not distinguish measurement from target setting.
- Measurement is necessary, without measurement we cannot perceive well our performance and we cannot learn to improve.



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## Multiple use of performance information







There are many reasons why we collect monitoring or in general performance information:

- To budget/plan, to control, to evaluate, to promote, to learn, to motivate...
- ...ultimately, to improve, to do our job in a better way.

As a consequence of Goodhart's law we cannot use the same information for some combinations of abovementioned tasks.


Essentially, measurement for budgeting/planning and for control should be totally separate from measurement for learning (incl. via evaluation) and improvement!







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## A better way?




- In many (probably most) cases learning goals rather than performance goals are required!
- YES/NO targets to be avoided)
  - On one side sits success, on the other failure (you hit the target or you don't). E.g. 10% reduction in costs, 98% of incoming call to be answered within 30 seconds, defect level of less than 1% etc.
- What is not problematic are overall (beneficial) goals:
  - "Close as you can": pursuit of perfection without actually assuming you can achieve this e.g. no accidents, zero defects, getting nearer to the best (benchmark),... Indeed, it can never make sense to have as a target "x% of employees have an accident"
  - "Far as you can": when there is no concept of "perfection" to get close to, but rather a concept of going further and further e.g. increasing the number of website visitors




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## Conclusions: Results in EU Funds




- What matters is the end-to-end process:
  - From Euro invested to positive change in the well-being of the citizens.




- You can spend billions of € in programmes that were well written respecting the partnership principle, have close-to-zero error rate, disburse payments within 15 days and reach all the target values of your indicators and still make no change in the well-being.
  - You can be effectively and efficiently irrelevant.







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## Conclusions: Results in EU Funds



- Indicators are not sufficient to answer the question „Do we deliver results“.
- Indicators (and targets in particular) may distort the system in unintended and dangerous way.
- Indicators may serve well within the „diagnostic control system“, to indicate that there may be something wrong needing your attention, to trigger „interactive control system“. Wrong can be the indicator itself.
- You need intelligent discussion (interactive control system) to discover what is going on.
- **Evaluation has important role here**, if there is the **TITLE**
- (True Intent To Learn from Evaluation).




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## Back to evaluation and its purpose



- There are several types of evaluation related to its main purpose.
- Terms are overlapping.











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## Purposes at different stages

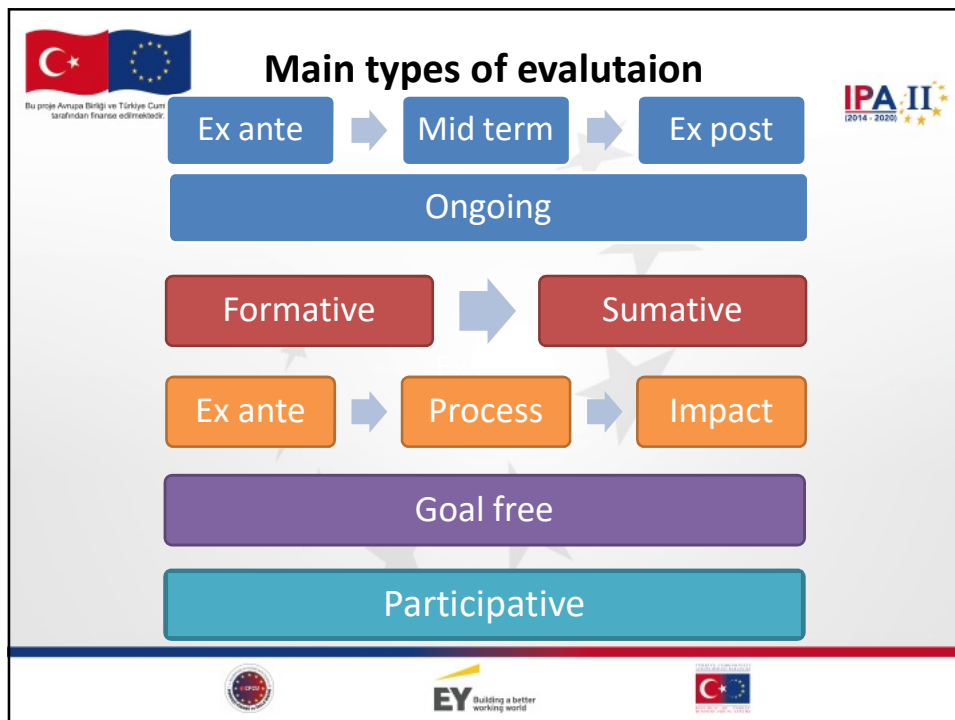
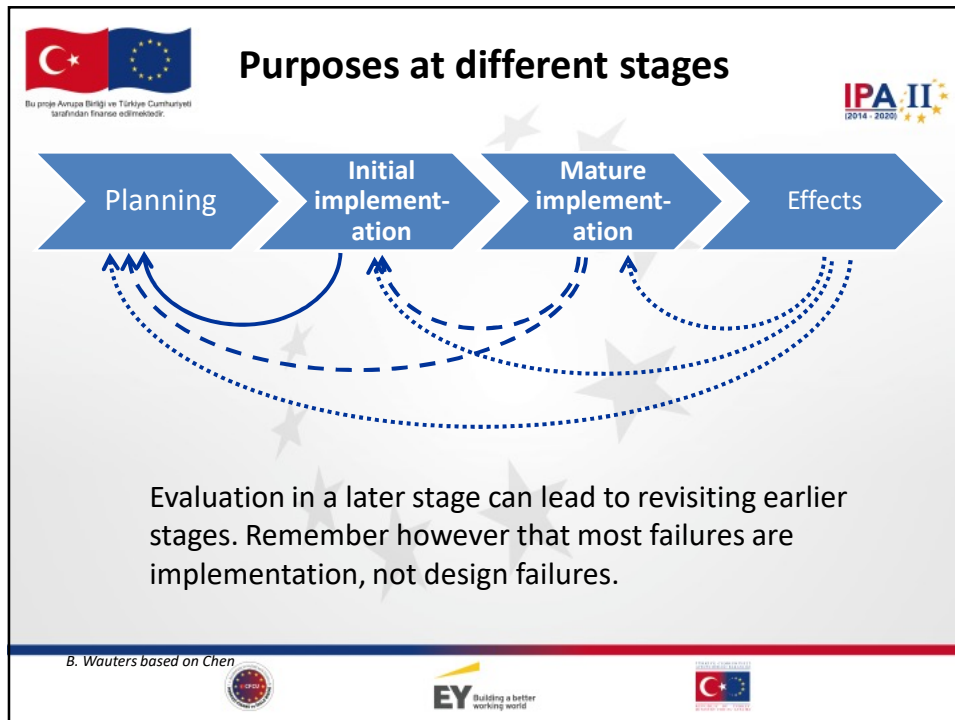



| Planning   | Initial<br>implement-<br>ation | Mature<br>implement-<br>ation                                      | Effects                         |
|--|--------------------------------|--|---------------------------------|
| Improving<br>planning<br><br>Efficient<br>deployment | Improving<br>implementation    | Improving<br>implementation<br><br>Accountability<br><br>Knowledge | Accountability<br><br>Knowledge |

B. Wauters based on Chen












## Types of evaluation







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- **Formative** – to improve the object of evaluation by investigation of the way it works, of the quality of its implementation and of its organisational context  
=> **learning, knowledge generation**
- **Summative** – general assessment of the effects of the policy/programme/project  
=> **accountability**


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- ~~**Compulsory evaluation** – useless exercise, unless having a serious formative or summative objective in the same time~~






## Participatory evaluation




Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

- Evaluation focus on needs of beneficiaries rather than funder
- Participants communicate and negotiate on
  - how to improve the program – what problems to address
  - Interpretation of evaluation results
- Input from all participants is desired and acknowledged
- Evaluation is flexible and results form participatory group processes






D. Svoboda





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## Participatory evaluation




- Lessons learned from the community are used to improve program implementation and determine program effectiveness
- Outside/external evaluators serve a facilitator role
- Multiple methods (qualitative, quantitative, mixed methods) are used to yield data on which to make judgments and decisions about the program
- Evaluation capacity building is an intentional objective of a participatory evaluation approach





Building a better working world



D. Svoboda



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## Group work!





### Task 2-A – The intervention



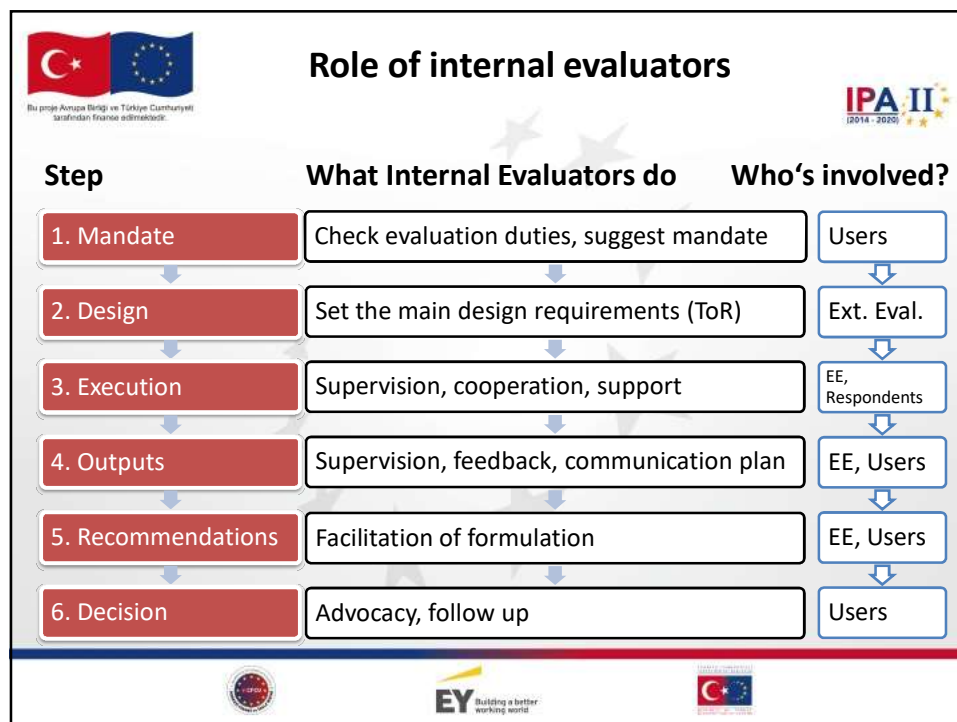
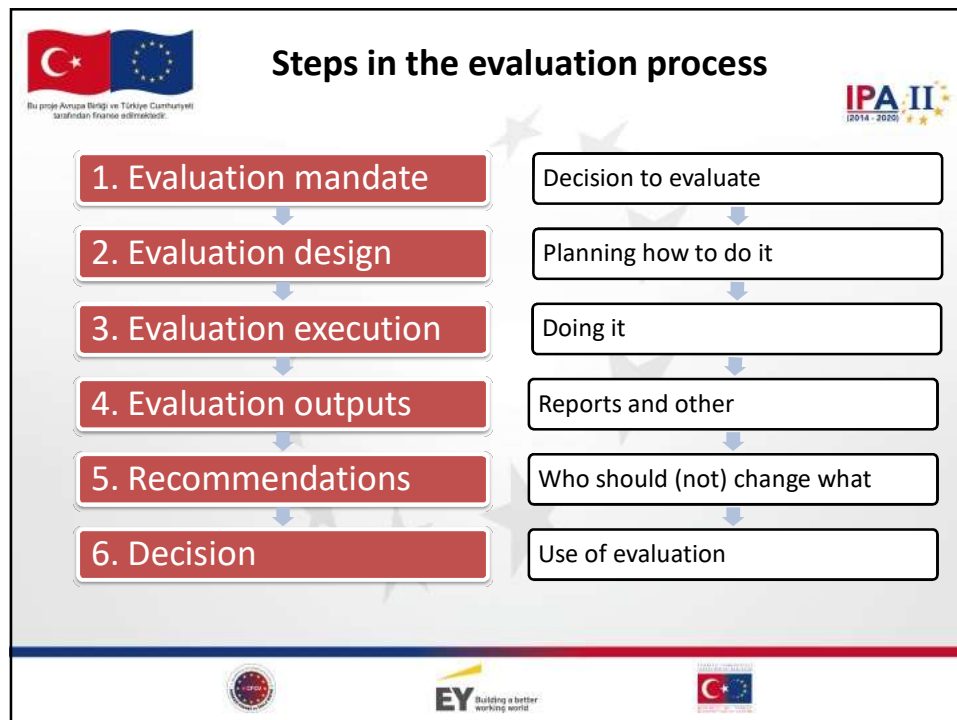
### Task 2-B – Purpose of your evaluation





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## Evaluation stakeholders



- There are many people interested in evaluation...
- ... they are called evaluation stakeholders.







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## Group work!





### Task 2-C – Who are your evaluation stakeholders?



### Task 2-D – Locate your stakeholders








  
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## Exercise for reflection

  
IPA II  
(2014 - 2020)

 Exercise 2-3 – Reflection of Module 2





  
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## Module 2 – Take aways

  
IPA II  
(2014 - 2020)

- Always be sure about the main purpose of evaluation
- Know the evaluation stakeholders and be in contact with them

