Evaluation Plan Guidelines
State of Play

Isabel Naylon
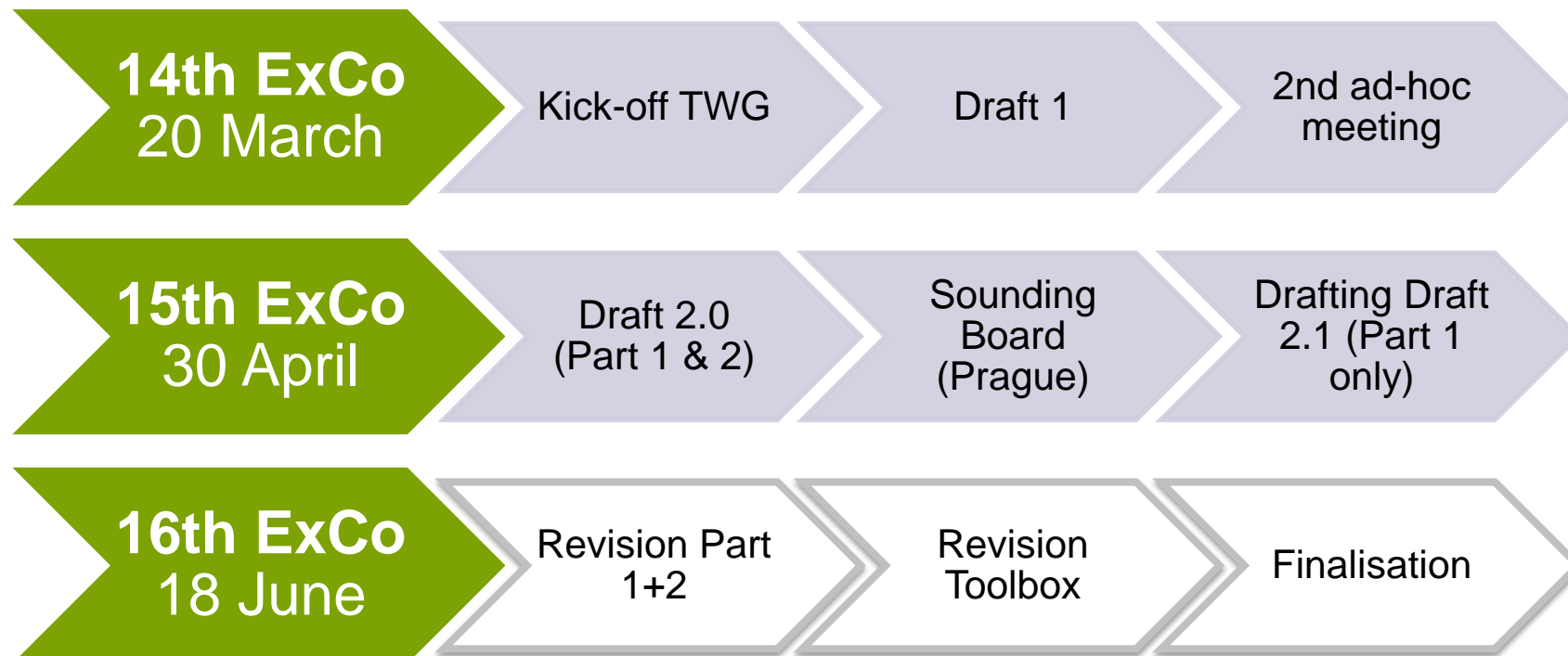**Jela Trvdonova, Hannes Wimmer**

Contents

1. The process of drafting the guidelines

2. The feedback from the Sounding Board

3. EP Guidelines Draft 2.1 - Part 1

4. Next steps

Thematic Working Group

- **Drafting experts** developed the chapters of the Guidelines: Rolf BERGS, Lenka BROWN, Simona CRISTIANO, Judit HABUDA, Miroslav KOSIK, Sari RANNANPAA

- **Peer reviewers** provided feedback on the drafts: John GRIEVE, Maria COTO SAURAS, Morten KVISTGAARD, Angelos SANOPOLOUS

- **Sounding board members** provided feedback on the consolidated 2nd version

- **Helpdesk experts** facilitated the drafting process

- **European Commission** provided quality control

Workflow

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| 14th ExCo 20 March | Kick-off TWG | Draft 1 | 2nd ad-hoc meeting |

| 15th ExCo 30 April | Draft 2.0 (Part 1 & 2) | Sounding Board (Prague) | Drafting Draft 2.1 (Part 1 only) |

| 16th ExCo 18 June | Revision Part 1+2 | Revision Toolbox | Finalisation |

Challenge: Interlinked processes

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Developing the legal framework for a reinforced monitoring and evaluation system (CPR, RDR)

Establishing Minimum Requirements for the EP (RDR implementing act)

V1 March 2013
V2 April 2013
V3 June 2013

Feed back loops with MS (EXCO meetings and consultation)

EP discussed in March and April 2013

Provision of non-binding guidance by the Helpdesk

How to draft & implement the EP?
Part I: first presentation 06/2013
Part II & III: under revision

The feedback from the sounding board on draft 2.0

- **Length of guidance:**
  - detailed and exhaustive vs. short and concise

- **Clarifications needed with respect to**
  - division of what goes into the EP and what goes into other parts of the RDP (e.g. concerning data collection)
  - distinction between monitoring and evaluation
  - coordination with ESIF & Pillar I and how to do it
  - scope of evaluation tasks and activities
  - use of Evaluation Questions

- **Harmonisation of langugage**
  - Definitions in a glossary

The feedback from the sounding board on draft 2.0

- **Specific remarks**
  - **Inlcude the role of implementation bodies (in governance)**
  - **Mention ex ante evaluation of the programming period after 2014-2020**
  - **Specify informatin needed for enhanced AIRs**
  - **Include practical examples**

Structure of the guidance

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ESTABLISHING AND IMPLEMENTING THE EVALUATION PLAN

Part I

How to fulfill the minimum requirements for drafting the EP

Part II

Recommendations on how to implement the EP

Part III

Toolbox

Evaluation Plan Guidelines – Draft 2.1

PART I

Introduction

- EP is **new formal element** within the RD monitoring and evaluation system for 2014-2020

- **Based on previous experiences** of Member States

- The legal proposals for the 2014-2020 Programming Period published in October 2011 by the European Commission establish a **reinforced monitoring and evaluation system** compared to previous periods.

- These include an Evaluation Plan (Article 49(1) (EU) No [CSF/v. 6.2 2013]) corresponding to the **Minimum Requirements** (Article 83 (1) (EAFRD)) laid down by the Commission in an implementing act.
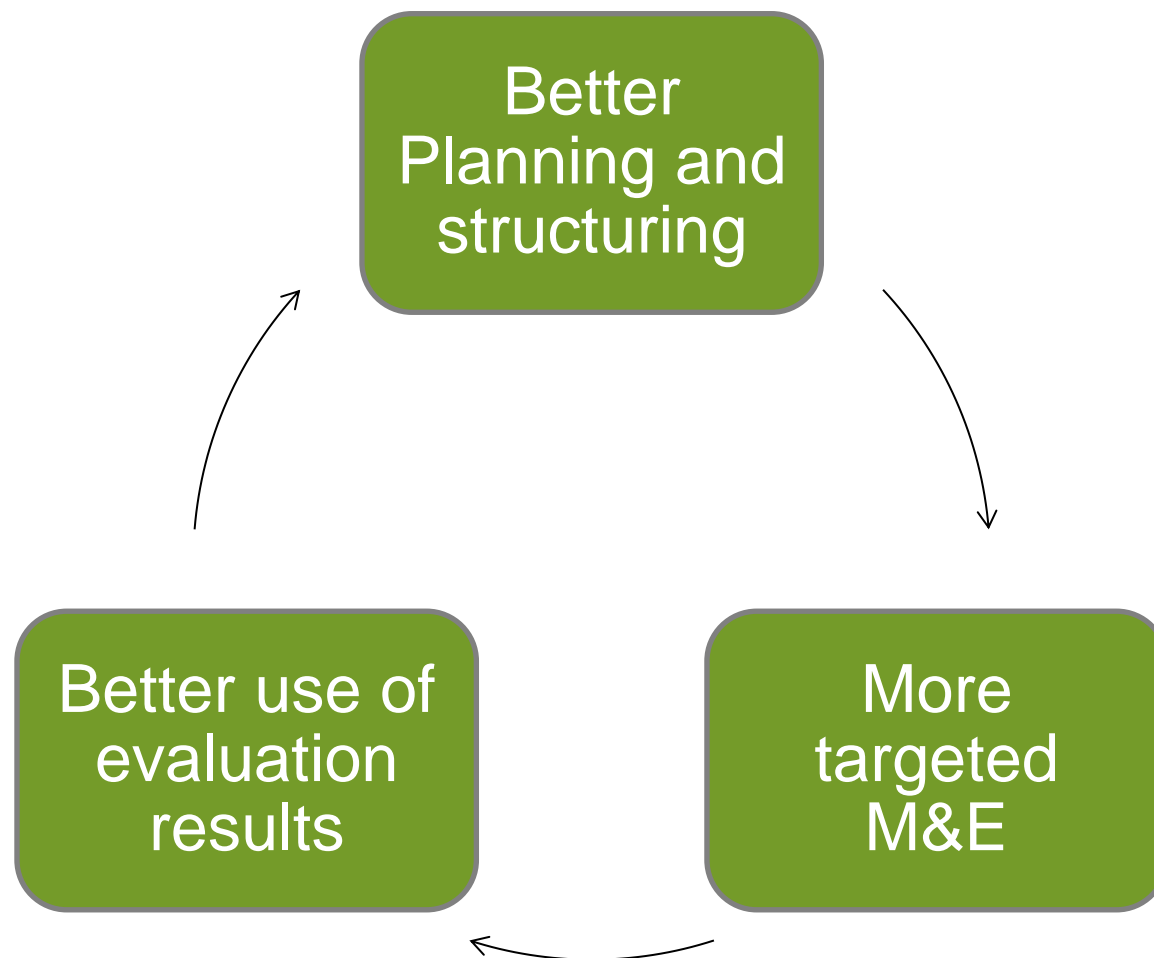
The purpose of the Evaluation Plan Guidelines

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- The Evaluation Plan guidelines are **non-binding** in nature and complement related legal acts

- They illustrate **what an EP consists of**, outline **why it is important** and show **how it can help** carrying out evaluation activities in an effective way

- They **assist** Managing Authorities of Rural Development Programmes **to interpret the binding minimum requirements** of the EP, **to draft the EP** as part of the RDP

- They **provide some recommendations** on how to set up and run evaluation during the programming period.

The stakeholders of the Evaluation Plan

- The Managing Authorities and programming bodies or evaluation units

- Evaluators

- EC Desk Officers

- Other evaluation stakeholders such as Paying Authorities, members of Monitoring Committees, bodies managing local development strategies, RDP beneficiaries

Benefits of the EP?

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      ┌─────────────────┐
      │     Better      │
      │  Planning and   │
      │   structuring   │
      └─────────────────┘
   ↗                        ↘
┌──────────────┐      ┌──────────────┐
│ Better use of│      │    More      │
│  evaluation  │  ←   │  targeted    │
│   results    │      │    M&E       │
└──────────────┘      └──────────────┘
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Elements of the EP to be covered in the RDP

- 7 sub-sections follow to minimum requirements

- Part 1 of the guidance provides answers to:
  - *What is the minimum requirement?*
  - *What are related key-terms?*
  - *What should be covered when drafting this section of the EP?*
  - *Practical tips when drafting the EP chapter*
  - *Where can further information be found?*

1. Objectives and purpose

Overall EP objectives

- According to the minimum requirements the aim is to:
    - Ensure that sufficient and appropriate **evaluation activities** are undertaken, and
    - appropriate **resources** are available in (AIR 2017, 2019, data for evaluation).

Specific objectives

- What other objectives do you aim for?

Make sure to cover all objectives listed in minimum requirements!

Add additional objectives if needed

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2. Governance & coordination

Monitoring & evaluation system

- Who does what in relation to M&E?
- What division of labour is foreseen?
- Which lessons from last period?

Bodies involved & responsibilities

- What are the roles of MA, MC, PA, beneficiaries. LAGs, NRN, SG, technical working groups, beneficiaries, data providers, evaluators in relation to evaluation?

Coordination with RDP implementation

- How does the coordination with monitoring work?

Use organigramms!

Avoid naming companies that change

Focus on monitoring and evaluation

3. Evaluation topics and activities

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Evaluation topics

- What are the evaluation needs?
- What will be the focus of evaluation?
- Which evaluation topics are foreseen? In which time?

Evaluation activities

- What evaluation activities in relation to assessment of programme results and impacts (incl. net effects) are foreseen?
- Which activities in relation to cross-cutting issues?
- What activities in relation to NRN, LDS, leader, partnership principle?

Emphasize cornerstones in relation to evaluation focus, tasks and evaluation elements!

Only major evaluation topics

Do not specify methods!

4. Data and information

System of RDP statistical information
- Overall provisions to ensure data availability?
- Links between application forms and monitoring?
- Mechanism to ensure data quality?

Data sources
- How to use monitoring data and data from other existing sources?
- What data collect by evaluators?
- What strategies to ensure for control groups?

Data gaps/bottlenecks/issues
- How to ensure data availability already in programme design stage?
- What are the conditions and legal consequences to access restricted data?
- How can different data donors be involved?

Be specific on different data types

Refer to mid-term evaluation concerning bottlenecks

Consult with ex ante evaluator

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5. Timeline

Major milestones

- What are the mandatory elements and deadlines at EU and national level?
- What is needed by the end of 2016, 2018, 2022?
- Additional milestones at programme level?

Indicative outline of the timing

- What are the lessons from the previous period?
- Risks in timing?
- Preparatory steps needed to achieve the milestones?
- When will tenders be launched?
- How will the indicative outline be fine-tuned and followed up?

Calculate indicative lengths on experiences of the previous period!

Be specific regarding preparatory steps!

6. Communication

Making evaluation results available

- What are the lessons? Who is responsible? How will the communication strategy be monitored?

Target recipients & info needs

- Who are they? What do they need? How will it be answered with evaluation results?

Information channels

- Which channels will be used?

Follow-up of evaluation results

- What procedures and mechanisms?
- What feedback loop to programme implementation?

Summarize strategy in a table (who? Who for? What? When? How?)

Don't name contractors!

Don't put fixed dates!

7. Resources

Financial resources

- What is the total cost for the outlined EP activities? What other national or regional funds go into the M&E budget? What funds are set aside for emerging evaluation and data needs?

Staff resources

- What are the staff resources needed for implementation of EP? Profile? Recruiting?

Capacity building

- What lessons from the previous period? How to assess training needs? What activities are planned? For whom?
- What manuals and support material is developed?

Make an indicative break down of the financial resources for M&E per year

Reserve resources for ad-hoc evaluations

Next steps

- Taking into account the feedback from the sounding board, the two parts of the Guidelines are being reviewed

- **Part I** has been redrafted already on the basis of the new minimum requirements

- **Part II & III** will be redrafted by the end of July

Thank you!

Evaluation Helpdesk
Chaussée Saint-Pierre 260
B-1040 Brussels
Tel. +32 2 736 18 90
E-mail info@ruralevaluation.eu
http://enrd.ec.europa.eu/evaluation/