



Strategic programming and *ex ante* evaluation: requirements, expectations and state of play.

**Good practice workshop
The *ex ante* evaluation of SWOT analysis and needs assessment
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Outline

FIRST PART

- Legal requirements
- Key points
- What we expect
- Importance of the iterative process
- Specific tasks for ex-ante evaluation on SWOT – Need assessment
- Conclusions

SECOND PART

- RDPs 2014-2020 state of play

Legal requirements Common Provisions Regulation

- Art. 48: common requirements for ex-ante evaluations:
 - **Improve quality of the design** of each programme
 - **Responsibility** of Managing Authority (MA)
 - Ex-ante has to be
 - submitted with the programme
 - coordinated with other programmes
 - Incorporate the requirements for **Strategic Environmental Assessment**

Legal requirements

Common Provisions Regulation

- Art. 48: **Content** of ex-ante evaluation in the common framework:
 - Contribution to Europe 2020 strategy
 - Internal – external coherence
 - Consistency of budgetary resources and objectives
 - Adequacy of measures to promote transversal priorities (equal opportunities, sustainable development)
 - Consistency with Common Strategic Framework, Partnership Agreement, Country-specific recommendations
 - Relevance of indicators
 - Adequacy of resources for programme management, monitoring and evaluation

Legal requirements

Rural Development Regulation

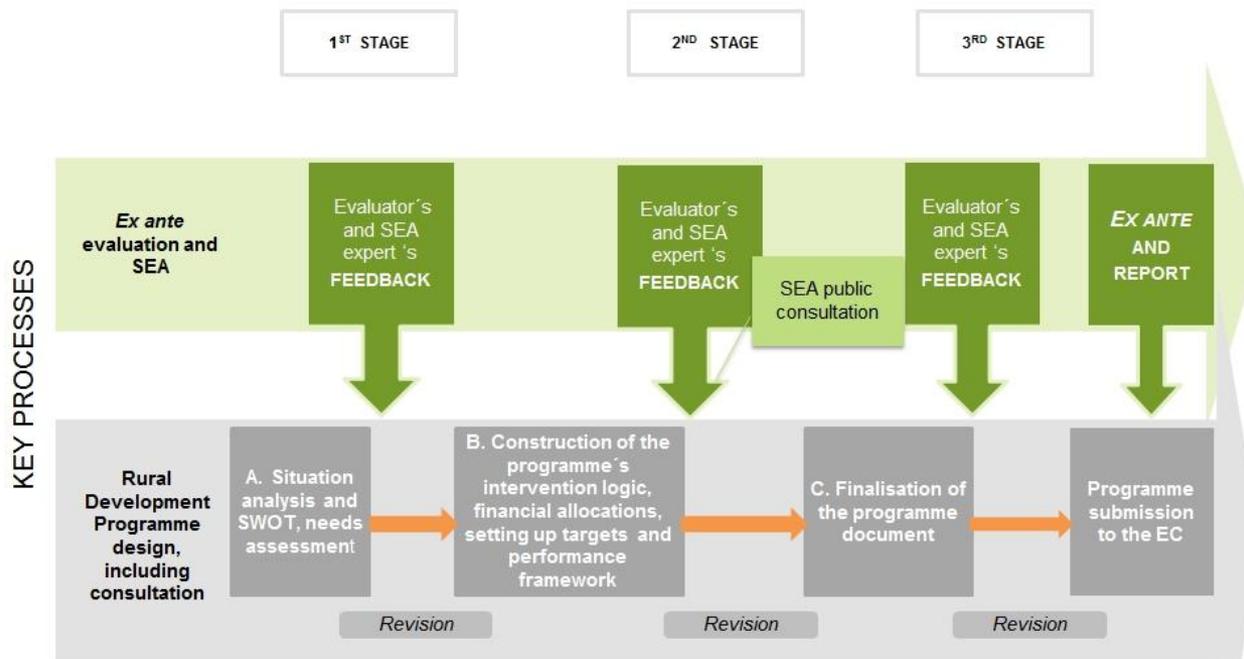
- Art. 9: each RDP shall **include**:
 - **ex-ante evaluation** in order to improve quality of the design
 - **SWOT analysis** and **needs assessment**
 - a description of the **strategy** and **intervention logic** (including target setting for each priority)
- Art. 84:
 - MS shall ensure the **early involvement** of the evaluator
 - Including SWOT analysis, needs assessment, design of the intervention logic, establishment of targets

What do we expect from ex-ante evaluations?

- Respect of **legal requirements**
- Improve RDP **design and coherence**:
 - Effectively help MA in build a RDP that **meets the needs** of the territory
 - Verify that the programme is following the framework strategy
 - Ensure a good balance between overall strategy, objectives, measures and resources
 - Complementarity to the other policy instruments
- **Iterative process**: follow the drafting, suggesting corrections
- **Exhaustive** and **well supported**: based on evidence from SWOT analysis and needs assessment but completed with evaluation recommendations

Enhancing the iterative process

- **Constant relationship** between MA and evaluator is the key issue to improve the design of the RDP



Describing the process

- Evaluators will be asked to **describe the interactions** between ex-ante suggestions and the different stages of the programming process
- It is necessary to **document the process**, however these intermediate documents do not have to be formally submitted
 - Give visibility to the interaction
 - Better understanding for Desk Officers → Facilitation for RDP approval process
- Reference to chapter 2.4.4 of the Guidelines

Date	Topic	Recommendation	How recommendation has been addressed, or justification as to why not taken into account
	The SWOT analysis, needs assessment		
	Construction of the Intervention logic		
	Establishment of targets, distribution of financial allocations,		

How ex-ante evaluation has to address SWOT analysis – needs assessment

Ex-ante evaluation has to **assess the quality** of the following elements and suggest improvements

- **SWOT analysis**
 - Completeness
 - Consistency
- **Needs assessment**
 - Structured along the six priorities and focus areas
 - Include needs of particular sectors, stakeholders groups and territories
- **Overall issues and linkages**
 - Use of previous evaluations, findings and analysis
 - Proper and logical justification of needs in SWOT analysis
 - Consultation process, especially stakeholders involvement
 - Justification for thematic sub-programs

The negotiation process

Who looks at the RDP within the Commission?

- RD Desk Officer
- AGRI specialist units (environment, food quality, climate change, forestry, etc)
- AGRI horizontal units (coordination, financial management, audit, etc)
- Other DGs

Not all will know the territory

- Key importance of a well-structured, comprehensive and clear context-SWOT analysis
- Related definition of needs

To sum up

- **Early start**
 - context analysis lead to SWOT
 - involvement of evaluator
- **Role of ex-ante** for better SWOT analysis and needs assessment
- Frequent and effective **interactions**
 - Between MA and evaluator
 - Between MA and other subjects (other programmes, environmental authority)
- Documentation on **consultation and corrective actions** taken

State of play for next programming period

Scoreboard for preparation of PAs and RDPs 2014-2020
based on inputs received from 26 MS

- 1) First submission of AP** - Majority of MS (**17 MS**) envisages the first submission of the PA before summer break (June-July mostly) while other **8 MS** after summer break (September-October), ES no date indicated;
- 2) SWOT** – Majority of member states (**21 MS**) started SWOT before 2013 (in 2012 or even 2011) while five of them (EL, PT, PL CY and LT) in 2013 and most of MS envisage to complete it before summer 2013 (mainly June/July). BE (Flanders) and several regions in ES envisages its completion in autumn 2013 and DE does not indicate a date;
- 3) Ex-ante evaluation** – while in most of the MS (**16MS**) ex-ante is on-going, in 10 MS ex-ante evaluation has not started;
- 4) Submission of first draft RDP** – Most MS envisage sending the 1st draft RDP in 2013 around the summer (June-July 6 MS) or in the last quarter 2013. Others BE (Flanders), CY , NL , 1 IT RDP , PL, RO and all DE programmes (early 2014);

- 5 Sub-programmes** - few MS (BG, IT, HU, RO, UK) envisages sub-programmes, other two EL and IRL are considering but the rest do not consider developing sub-programmes;
- 6 Multi-funds CLLD** decided in **9 MS** (BG, IT, CZ, EL, FI, HU, LV, PL, UK) one country BE decided not to apply and all the others are still in discussion about using it including two German regions while the other regions in DE decided not to use it;
- 7 Financial instruments** – four MS (AT, BE, CZ, SK) decided not to programme financial instrument, 7 MS (BG, EE, IT, HU, NL, RO, UK) decided to use them while in the other MS discussion and assessment is on-going.

Note: The conclusions are based on the information received from 26 MS



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Thank you!