

## **DRAFT** WORKING DOCUMENT

# Common Evaluation Questions for Rural Development Programmes 2014-2020

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The Evaluation Expert Network operates under the guidance of DG AGRI – Unit L4. The contents of this publication do not necessarily reflect the official views of the European Commission.

#### 1. Introduction

This document discusses the role of evaluation questions (EQs) in the assessment of rural development policy impacts and suggests a draft set of Common Evaluation Questions for Rural Development (CEQ-RD) in the 2014-2020 programming period. The proposed CEQ-RD have been developed on the basis of the outcomes of a thematic workshop with evaluation experts and European Commission representatives hosted by the Evaluation Helpdesk for Rural Development in Brussels on 1 July 2013. As advocated by many evaluation stakeholders the set of EQs for Rural Development has been reduced to the minimum number capable of still covering the assessment of the common elements of the EU rural development policy framework. For programme-specific elements, Managing Authorities (MAs) are encouraged to apply Programme-Specific Evaluation Questions (PSEQ) in order to assess specific aspects of their RDP.

#### 2. Why evaluation questions?

**Evaluation questions (EQs)** are an important element of the EU Common Monitoring and Evaluation System for rural development. Namely, they define the focus of evaluations and help to demonstrate the progress, impact, achievements, effectiveness, efficiency and relevance of rural development policy<sup>1</sup>.

EQs are answered with the help of judgement criteria and indicators. **Judgement criteria** specify how the merits or success of programme interventions are assessed. Judgement criteria link EQs and **indicators**, which help to collect the evidence to develop the answers. Judgement criteria are designed to ensure evidence based evaluations, to allow the formulation of judgements on accepted terms, to enhance transparency by making the judgement explicit and to facilitate the development of structured answers to EQs as they determine the indicators, the nature of the data collected and the type of analysis<sup>2</sup>.

Two types of EQs are distinguished in the Common Monitoring and Evaluation System (a) Common Evaluation Questions for Rural Development and (b) Programme-Specific Evaluation Questions.

- a) **Common Evaluation Questions for Rural Development (CEQ-RD)** are designed by the EC to be commonly applied across all EU Member States with the aim to:
- Address evaluation matters relevant to policies at EU-level. CEQ-RD help to evaluate the
  effects of programme interventions towards the hierarchy of objectives of the EU rural
  development policy.
- Encourage programme bodies and other RD stakeholders to assess results and impacts. CEQ-RD ask for results and net impacts of the programme. The answers help to justify policy implementation and support policy formulation.
- Enhance comparability of evaluation results across Europe. CEQ-RD and the related common judgement criteria and indicators are part of an evaluation system commonly applied in all MS/regions. Thus the comparability of evaluation results among RDPs is enhanced.
- Demonstrate the contribution of EU rural development interventions in addressing the RDP territorial needs.

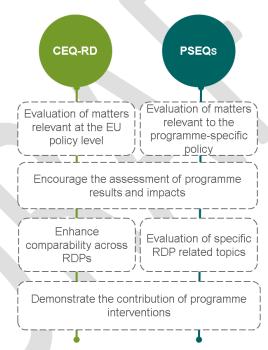
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<sup>&</sup>lt;sup>1</sup> Article 47 (1) of the CPR and article 75 (a) of the RDR

<sup>&</sup>lt;sup>2</sup> EuropeAid Guide to Evaluations: http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth\_cri\_en.htm

- **b) Programme-specific Evaluation Questions (PSEQs)** are designed by Managing Authorities (MAs) of RDPs with the aim to:
- Address evaluation matters relevant to programme-specific policies. PSEQs focus the evaluation on programme-specific interventions and their contribution towards programme-specific policy objectives. Answers to PSEQs are developed on the basis of programme-specific indicators and judgement criteria.
- Encourage programme bodies and other RD stakeholders to assess results and impacts. PSEQs aks for results and net impacts of programme-specific interventions which justify programme-specific policy objectives.
- Address evaluation of specific RDP related topics. PSEQs are designed to assess additional aspects of the programmes which are of particular interest for Managing Authorities (e.g. assessment of the programme implementation, management, delivery mechanisms, effectiveness of the communication strategy, etc.).
- Demonstrate the contribution of programme-specific interventions in addressing the identified specific RDP territorial needs.

Figure 1: Purpose of Common Evaluation Questions for Rural Development (CEQ-RD) and Programme-Specific Evaluation Questions (PSEQs)



Source: Helpdesk of the European Evaluation Network for Rural Development.

# 3. Draft set of Common Evaluation Questions for Rural Development

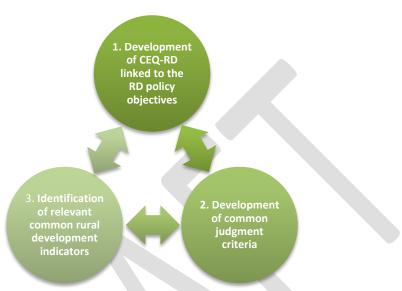
A total of 30 CEQ-RD are suggested for the 2014-2020 programming period. Common judgement criteria are developed for the set of CEQ-RD and linked to common rural development indicators. The approach applied is as follows:

(1) **Development of CEQ-RD linked to RD policy objectives**. CEQ-RD ask for the contribution of the programme interventions in achieving the RD policy objectives defined in the RD regulation, in terms of programme results and impacts. The proposed CEQ-RD are mainly cause-effect questions ("to what extent...?").

- (2) **Development of common judgment criteria.** For each CEQ-RD, common judgement criteria are proposed. The judgement criteria set the foundation to assess the success of the intervention in a given RDP context.
- (3) Identification of relevant common rural development indicators linked to CEQ-RD and common judgment criteria to provide evidence-based answers.

The outlined approach can be applied by MAs and evaluators when developing PSEQs.

Figure 2: Approach for developing Common Evaluation Questions for Rural Development (CEQ-RD)



Source: Helpdesk of the European Evaluation Network for Rural Development.

Two groups of CEQ-RD are suggested:

i. <u>18 Focus-area-related EQs (See table 1)</u> are linked to the objectives of the Focus areas (FA) of rural development priorities. FA-related EQs capture the contribution of the interventions under the respective FA (set of measures and sub/measures) in terms of **programme results**. Hence, the assessment is conducted on the basis common judgement criteria and on the evidence provided by common target and complementary result indicators. Additional information will be needed in cases where common RD indicators are not sufficient to provide sound answers on the achievements of the FA. This may be the case for FAs, where the target is output based and there is no complementary result indicator.

FA-related EQs will be used to present the evaluation results in the 2017 and 2019 AIRs and in the *ex post* evaluation.

ii. 12 Horizontal EQs (See table 2) are linked to the overall policy objectives and cross-cutting elements (EU2020 objectives, CAP objectives, RD cross-cutting priorities, National Rural Networks (NRN), Technical Assistance (TA), synergies among measures). Horizontal EQs aim to capture the impacts of the programme towards the overall policy objectives. Common impact indicators, common context indicators and complementary result indicators<sup>3</sup> will provide the evidence to assess the intervention on the bases of common judgement criteria. Also here, additional information may be needed in cases where common RD indicators are not sufficient to provide sound answers on the achievements of the FA.

Horizontal EQs will be applied to present the evaluation results in the 2019 AIR and in the *ex post* evaluation.

<sup>&</sup>lt;sup>3</sup> For TA and NRN common indicators are still to be published by the relevant EC services

Table 1 Draft set of Focus Area-related Evaluation Questions

F	RD PRIORITY		FOCUS AREA	FOCUS AREA-RELATED EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION ?
		P1A	Fostering innovation, cooperation and the development of the knowledge base in rural areas	To what extent has the RDP intervention contributed to fostering innovation, cooperation and the development of the knowledge base in rural areas?	Sufficient economic resources have been spent to foster innovation, cooperation and development of the knowledge base in rural areas     Increased number of actions has been supported to foster innovation, cooperation and development of the knowledge base in rural areas	% of expenditure for the 3 measures:     'Knowledge transfer & information action'     + 'advisory services' + 'cooperation' in relation to the total expenditure for the RDP (target indicator)	Total number of supported actions under the 3 measures: 'Knowledge transfer & information action' + 'advisory services' + 'cooperation'  Total number of supported action actions under the support of t
P1	Fostering knowledge transfer and innovation in agriculture, forestry, and rural areas	P1B	Strengthening the links between agriculture, food production and forestry and research and innovation, including for the purpose of improved environmental management and performance	2. To what extent has the RDP intervention contributed to strengthening the links between agriculture, food production and forestry and research and innovation, including for the purpose of improved environmental management and performance?	Sufficient cooperation operations have been supported to strengthening the links between agriculture, food production and forestry and research and innovation, including for the purpose of improved environmental management and performance      Sufficient number of innovative actions have been implemented and disseminated by the EIP operational group	Total number of co-operation operations realised under the cooperation measure (groups, networks/clusters, pilot project) [across all focus areas] (target indicator)	Main characteristics of supported cooperation operations     % of cooperation operations continuing after the RDP support      Number of supported innovative actions implemented and disseminated by EIP operational groups
		P1C	Fostering lifelong learning and vocational training in the agriculture and forestry sectors	3. To what extent has the RDP intervention contributed to fostering lifelong learning and vocational training in the agriculture and forestry sectors?	Increased number of rural people have participated in lifelong learning and vocational training in the agriculture and forestry sectors     Sufficient economic resources have been destined to fostering lifelong learning and vocational training	Total number of participants trained [across all focus areas] (target indicator)	% of expenditure for measure: Knowledge transfer and information action (art 15) in relation to the total expenditure of the RDP

	RD PRIORITY		FOCUS AREA	FOCUS AREA-RELATED EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION ?
P2	promoting innovative farm technologies	P2A	Improving the economic performance of all farms and facilitating restructuring and modernization, notably with a view to increase market participation and orientation as well as agricultural diversification	4. To what extent has the RDP intervention contributed to improving the economic performance of all farms and facilitating restructuring and modernization?	Agricultural output per annual working unit of supported agricultural holdings has increased     Investments for the restructuring and modernization of agricultural holdings have been sufficiently supported     Farms have been modernized     Increased economic size of farms	<ul> <li>Change in agricultural output on supported farms/ AWU (complementary result indicator)</li> <li>% of agriculture holdings with RDP support for investments in restructuring (target indicator)</li> </ul>	<ul> <li>% of agriculture holdings with RDP support for investments regarding modernization</li> <li>Farm size structure</li> <li>??</li> </ul>
	and sustainable management of forests	P2B	Facilitating entry of adequately skilled farmers into the agricultural sector and in particular generational renewal	5. To what extent has the RDP intervention contributed to facilitating entry of adequately skilled farmers into the agricultural sector and to generation renewal?	Sufficient number business development plans for adequately skilled young farmers have been supported     The share of adequately skilled young farmers in the agricultural sector has increased	% of agriculture holdings with RDP supported business development plan for young farmers (target indicator)	% of adequately skilled young farmers in the agricultural sector     Definition of adequately skilled young farmer
ı	Promoting food chain organization, including processing and marketing of agricultural products, animal welfare and risk management in agriculture	РЗА	Improving competitiveness of primary producers by better integrating them into agri-food chain through quality schemes, adding value to the agricultural products, promoting local markets and short supply circuits, producers groups and inter branch organization	6. To what extent has the RDP intervention contributed to improve competitiveness of primary producers by better integrating primary producers into the agrifood chain through quality schemes, adding value to the agricultural products, promoting local markets and short supply circuits, producers groups and inter branch organization?	Competitiveness of supported primary producers has improved Increased share of final price of agriculture products retained with primary producers  Increased added value of agricultural products of primary producers  More primary producers have introduced quality schemes.  More primary producers have started taking part in short circuit schemes, quality-oriented producer group and/or inter branch organization	% (of total farms) of farms supported under quality production schemes, short circuit schemes or producer groups and inter-branch organization (target indicator)	<ul> <li>Agricultural output on supported farms</li> <li>Margin of primary producer in the final price of agricultural products</li> <li>Number of primary producers introducing quality schemes</li> <li>Definition of local markets</li> <li>Definition of short circuits</li> </ul>

F	RD PRIORITY		FOCUS AREA	FOCUS AREA-RELATED EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION ?
		РЗВ	Supporting farm risk prevention and management	7. To what extent has the RDP intervention contributed to supporting farm risk prevention and management?	More farms have participated in risk prevention and management schemes	% (of total farms) of farms participating under risk management schemes (target indicator)	
P4	Restoring, preserving and enhancing	P4A	Restoring and preserving and enhancing biodiversity, including in Natura 2000 areas, areas facing natural or other specific constraints and HNV farming, and the state of EU landscape	To what extent has the RDP intervention contributed to restoring, preserving and enhancing biodiversity?	Sufficient agricultural and forestry land have been under enhanced management practices to support restoration, preservation and enhancement of biodiversity	<ul> <li>% Forest or other wooded area under management contracts supporting biodiversity (target indicator)</li> <li>% Agricultural land under management contracts supporting biodiversity and/or landscapes (target indicator)</li> </ul>	
		P4B	Improving water management, including fertilizer and pesticide management	9. To what extent has the RDP intervention contributed to improving water management, including fertilizer and pesticide management?	More agricultural and forestry land has been under enhanced water management practices	% of Agricultural land under management contracts to improve water management (target indicator)      % of forestry land under management contracts to improve water management (target indicator)	
		P4C	Preventing soil erosion and improving soil management	To what extent has the RDP intervention contributed to preventing soil erosion and improving soil management?	<ul> <li>More agricultural and forestry land has been under enhanced management contracts to prevent soil erosion</li> <li>More agricultural and forestry land has been under enhanced soil management contracts</li> </ul>	of Agricultural land under management contracts to improve soil management (target indicator)     of forestry land under management contracts to improve soil management (target indicator)	<ul> <li>% of Agricultural land under management contracts to prevent soil erosion.</li> <li>% of forestry land under management contracts to prevent soil erosion</li> </ul>
P5	Promoting resource efficiency and supporting the shift towards a low carbon and climate resilient	P5A	Increasing efficiency in water use by agriculture	To what extent has the RDP intervention contributed to increasing efficiency in water use by agriculture?	Efficiency in water use by agriculture has increased	% of irrigated land switching to more efficient irrigation system (target indicator)  Increase in efficiency of water use in agriculture in RDP supported projects (m3 water used/standard output/) (complementary result indicator)	
	economy in agriculture, food, forestry sectors	P5B	Increasing efficiency in energy use in agriculture and food processing	12. To what extent has the RDP intervention contributed to increasing efficiency in energy use in agriculture and food processing?	Efficiency of energy use in agriculture and food processing has increased	Increase in efficiency of energy use in agriculture and food-processing in RDP supported projects (output/MJ energy used) (complementary result indicator)	

R	D PRIORITY		FOCUS AREA	FOCUS AREA-RELATED EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION ?
		P5C	Facilitating the supply and use of renewable source of energy, of by-product, wastes, residues and other non food raw material for purposes of the bio-economy	13. To what extent has the RDP intervention contributed to facilitating the supply and use of renewable source of energy for purposes of bio-economy?	The supply of renewable energy has increased  The use of renewable energy has increased	<ul> <li>Total investment in renewable energy production (€) (target indicator)</li> <li>Renewable energy produced from supported projects (Tonnes of oil equivalent) (complementary result indicator)</li> </ul>	Total investment for the use of renewable energy (€)     Renewable energy used in supported holdings (Tonnes of oil equivalent)
		P5D	reducing GHG and ammonia emissions from agriculture	14. To what extent has the RDP intervention contributed to reducing GHG and ammonia emissions from agriculture?	GHG and ammonia emissions from agriculture has been reduced	<ul> <li>LU concerned by investments in livestock management in view of reducing the N2O, methane and ammonia emissions (target indicator)</li> <li>% of agricultural land under management contracts targeting reduction of N2O, methane and ammonia emissions (target indicator)</li> <li>Reduced emissions of methane and nitrous oxide (measured in CO2 equivalent) (complementary result indicator)</li> <li>Reduced emissions of ammonia from agriculture (tonnes) (complementary result indicator)</li> </ul>	
		P5E	Fostering carbon conservation and sequestration in agriculture and forestry	15. To what extent has the RDP intervention contributed to fostering carbon conservation and sequestration in agriculture and forestry?	More agricultural and forestry land has been under enhanced management contracts contributing to carbon conservation      More agricultural and forestry land have been under enhanced management contract contributing to carbon sequestration	% of agricultural and forest land under management contracts contributing to carbon conservation and sequestration (target indicator)	
P6	Promoting social inclusion poverty reduction and economic	P6A	Facilitating diversification, creation and development of small enterprises and job creation	16. To what extent has the RDP intervention contributed to facilitating diversification, creation and development of small enterprises and job creation?	More small enterprises have been created     More small enterprises have diversified their economic activity.     Jobs have been created	Jobs created in supported projects (target indicator)	Number of small enterprises in the non agricultural sector.     Number of new small enterprises created     Number of existing small

RD	PRIORITY		FOCUS AREA	FOCUS AREA-RELATED EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION ?
1	development in rural areas						enterprises receiving RDP support
		P6B	Fostering local development in rural areas	17. To what extent has the RDP intervention contributed to fostering local development in rural areas?	Rural people have participated in local development action Rural people have benefited from the local development action Sufficient RDP economic resources have been destined to support Local Development Strategies	% of rural population covered by LAGs funded through the RDP (target indicator)      Rural population benefiting from improved services / infrastructures supported under the RDP (target indicator)      Jobs created in supported projects (Leader) (target indicator)	<ul> <li>Number of projects/initiatives supported by the Local Development Strategy</li> <li>% of RDP expenditure in Leader measures with respect to total RDP expenditure: art. 42-45</li> </ul>
		P6C	Enhancing accessibility to, use and quality of information and communication technologies (ICT) in rural areas	18. To what extent has the intervention contributed to enhancing accessibility to, use and quality of information and communication technologies (ICT) in rural areas?	Rural people have benefited from new or improved services / infrastructure (ICT)	Rural population benefiting from new or improved services / infrastructures (ICT) (target indicator)	

Table 2 **Draft set of Horizontal Evaluation Questions** 

	HORIZONTAL EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION
EU 2020 headline targets	<ul> <li>19. To what extent has the programme contributed to achieving the EU 2020 headline targets:</li> <li>Raise the employment rate of the population aged 20-64 from the current 69% to at least 75%?</li> <li>Investing 3% of GDP in R&amp;D in particular by improving conditions for R&amp;D investment by the private sector, and develop a new indicator to track innovation?</li> <li>Reduce green house gas emissions by at least 20% compared to 1990 levels or by 30% if the conditions are right, increase the share of renewable energy in the final energy consumption to 20%, and achieve 20% increase in energy efficiency?</li> <li>Reduce the number of Europeans living below national poverty lines by lifting 20 million people out of poverty?</li> </ul>	<ul> <li>The rural employment rate of population aged 20-64 has increased</li> <li>Investment for R&amp;D have increased</li> <li>GHG emissions have been reduced</li> <li>Energy efficiency and the use of renewable energy have increased</li> <li>The number of people living below national poverty rate has decreased</li> </ul>	<ul> <li>Rural employment rate (impact indicator 14)</li> <li>% of expenditure for the 3 measures: 'Knowledge transfer &amp; information action' + 'advisory services' + 'cooperation' in relation to the total expenditure for the RDP (target indicator)</li> <li>Total number of co-operation operations planned under the cooperation measure (groups, networks/clusters, pilot project) [across all focus areas] (target indicator)</li> <li>Green house gas emissions from agriculture (impact indicator 7)</li> <li>Increase in energy efficiency (Complementary result indicator 5B)</li> <li>Degree of rural poverty (impact indicator 15)</li> </ul>	RDP expenditure in R&D as a % of the GDP
CAP objectives	<ul> <li>20. To what extent has the programme contributed to achieving the CAP objectives of:</li> <li>Viable food production?</li> <li>Sustainable management of natural resources and climate change?</li> <li>Balanced territorial development?</li> </ul>	Viable food production:     The agricultural entrepreneurial income has increased     The agricultural factor income has increased     Agricultural productivity has increased     Sustainable management of natural resources and climate change:     GHG emission from agriculture have been reduced     Farmland bird index has increased or maintained     The % of HNV farming land has increased or maintained     Water abstraction in agriculture has been reduced     Water quality has improved     The content of organic carbon in soils	Viable food production: Sectoral impact indicators (impact indicator 1-3)     Sustainable management of natural resources and climate change: environmental impact indicators (impact indicator 7-13)      Balanced territorial development: Socio economic impact indicators (impact indicator 14-16)	

	HORIZONTAL EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION
		has increased  The share of agricultural area in affected by soil erosion by water has been reduced  Soil loss by water erosion has been reduced  Balanced territorial development  Rural employment rate has increased  Degree of rural poverty has decreased  Rural GDP per capita has increased		
RD cross cutting priorities	<ul> <li>21. To what extent has the programme contributed to the three cross cutting objectives of:</li> <li>Innovation?</li> <li>Environment?</li> <li>Climate change mitigation and adaptation?</li> </ul>	<ul> <li>Innovation has been fostered</li> <li>The environment has improved</li> <li>Climate change has been mitigated, the agricultural, forestry and food sector adapted</li> </ul>	Innovation: % of expenditure for the 3 measures: 'Knowledge transfer & information action' + 'advisory services' + 'cooperation' in relation to the total expenditure for the RDP (target indicator)      Environment: FBI, HNV farming, water quality, soil organic matter and soil erosion.(CCI and impact indicators)      Climate change mitigation and adaptation: Green House Gas (GHG) emissions from agriculture, water abstraction from agriculture, soil organic matter and soil erosion (impact indicators); Increase efficiency of water use, increase efficiency in energy used, renewable energy produced (Complementary result indicator)	Innovation: Number of beneficiaries of measures 'Knowledge transfer & information action (art 15) + 'advisory services' (art 16)' + 'cooperation' (art 36)
Operational performance	22. To what extent have the synergies among priorities and focus areas enhanced the effectiveness of the RDP?	The supported RDP measures are complementary so as to produce synergy through their interaction	Synergies: Not available	

	HORIZONTAL EVALUATION QUESTION	JUDGEMENT CRITERIA	COMMON RD INDICATORS	ADDITIONAL INFORMATION
Technical Assistance	<ul> <li>23. To what extent has Technical Assistance contributed to supporting the institutional strengthening and administrative capacity building for the effective management of the RDP?</li> <li>24. To what extent has Technical Assistance contributed to disseminating information, supporting networking, carrying out communication activities, raising awareness and promoting cooperation and exchange of experience?</li> <li>25. To what extent has Technical Assistance contributed to improving evaluation methods and the exchange of information on evaluation practices?</li> <li>26. To what extent Technical Assistance contributed to reduce the administrative burden on beneficiaries?</li> </ul>	Not yet available	Not yet available	
National Rural Networks (NRN)	<ul> <li>27. To what extent has the National Rural Network contributed to increasing the involvement of stakeholders in the implementation of RDP?</li> <li>28. To what extent has the National Rural Network contributed to improving the quality of implementation of RDP?</li> <li>29. To what extent has the National Rural Network contributed to informing the broader public and potential beneficiaries on rural development policy?</li> <li>30. To what extent has the National Rural Network contributed to fostering innovation in agriculture, food production, forestry and rural areas?</li> </ul>	Not yet available	Not yet available	