

Guidelines for the ex post evaluation of 2007-2013 RDPs

Table of contents, draft 1.1

Foreword

List of acronyms

Introduction

- What is ex post evaluation?
 - Definition of ex post
 - Rational of ex post evaluation
- Why do we need guidelines for the ex post evaluation of 2007-2013 RDPs?
 - Enhancement of the quality of evaluation
 - Support evaluation stakeholders
- Who are target group(s) for these guidelines?
 - Managing Authorities
 - Evaluators,
 - Other evaluation stakeholders
 - DG Agri
- How to use the ex post evaluation guidelines?
 - Part I
 - Part II
 - Tool box
- How and by whom have the guidelines been developed?

Part I Mainly for Managing authorities

1. *Why do ex post evaluation?*

- Ex post evaluation as part of policy cycle
- Why is ex post evaluation of 2007-2013 RDPs necessary?

2. *What is the scope of ex post evaluation?*

2.1 Legal requirements regarding the scope and content of the ex post evaluation

(with cross-references to Part II)

- Objectives of rural development policy
- Focus of ex post evaluation on relevance, effectiveness and achievements, efficiency, results, impacts, success and failure factors

2.2 Common and programme specific elements of the ex post evaluation (with cross reference to Part II)

2.3 Table on Dos and Don'ts

3. *What is the process of ex post evaluation?*

3.1 Who is involved and who does what?

- Managing Authority
- Paying Agency
- Implementing bodies
- Monitoring Committee
- LAGs
- National Rural Network
- Steering group
- Evaluators
- Beneficiaries
- Other data providers

3.2 Key steps

- Timing
- How to prepare well the ex post evaluation? (box)

3.2.1 Planning

- Identification of evaluation needs
- Review of evaluation questions and indicators
- Screening of data and information needs and potential sources
- Steering the evaluation
- Evaluation mandate
- Terms of Reference
- Tendering

3.2.2 Implementing

- Management, steering and resourcing the evaluation
- Structuring, observing, analysing, judging
- Ongoing dialogue and quality assurance
- Quality assessment (with cross reference to Part II)
- Report submission

3.2.3 Disseminating

- Communication of evaluation findings
- Follow up of evaluation findings
- Feedback into policy

4. *Ex post evaluation of 2007-2013 national rural network programmes*

- Differences and similarities to standard RDP (table comparing RDP/NRN and NRNP)

- Differences in the process of evaluation of NRNP

Part II Mainly for evaluators

1. Introducing evaluation

2. Focus of ex post evaluation

- Policy objectives
- Focus of evaluation:
 - Effectiveness and achievements
 - Relevance
 - Results
 - Efficiency
 - Impacts
 - Success and failure factors, good practice
 - TA/NRN/NRNP

3. Intervention logic

3.1 What do we mean by intervention logic?

- What is intervention logic
- When should the evaluation of intervention logic take place
- Intervention logic in rural development policy
- Types of intervention logic derived from axes. Link to objectives (diagrams)
- Modification of Intervention logic, health check
- Experiences in assessment of intervention logic
- Checking for dodgy logic and “iffy” interventions

3.2 What are major challenges in assessment of intervention logic?

- Various clusters of intervention logic

3.3 How should the intervention logic be assessed?

- Multi level approach in assessing the intervention logic
- Key questions helping in intervention logic assessment
- Key steps in assessment of intervention logic
- Step by step evaluation of measures against intervention logic
- The use of facilitated workshops to triangulate findings
- Learning from hierarchy of expected effects
- Considering external factors that may be the cause of unexpected effects
- The Health check and the evolution of intervention logic over time

3.4 Specificities with respect to TA, NRN

- Technical assistance

- NRN/NRNP

3.5 “Dos and don’ts” in relation to assessment of intervention logic (based on experience)

4. Evaluation questions

4.1 The role of evaluation questions in ex post evaluation

- Definition of evaluation questions
- Role of evaluation questions in ex post evaluation
- Link of evaluation questions to policy objectives
- Types of evaluation questions
- Experience with using the evaluation questions in evaluation
 - Structural challenges
 - Implementation challenges

4.2 Judgment criteria and their use in evaluation

- Definition of judgment criteria and how they should be developed

4.3 Common evaluation questions and judgment criteria proposed for the ex post evaluation of 2007-2013 RDPs

- Set of common evaluation questions and related judgment criteria

4.4 Links between the common evaluation questions, judgment criteria and indicators

- Linking common evaluation questions, judgment criteria and indicators (Triangular consistency)
- Table of C EQs, judgment criteria and common indicator

4.5 Development of the programme specific evaluation questions and judgment criteria

- The role of programme specific evaluation questions and links to programme specific objectives
- Development of programme specific evaluation questions
- Development of judgment criteria
- Linking evaluation questions, judgment criteria and indicators

4.6 How to use common evaluation questions and judgment criteria in evaluation of RDPs?

- The use of evaluation questions in preparation of evaluation, structuring, observing, analysing, judging
- Types of answers (based on assumptions, on evidence – qualitative, quantitative, mixed)

4.7 Specificities with respect to TA, NRN

- Technical assistance
- NRN/NRNP

4.8 “Dos and don’ts” in relation to use of evaluation questions (based on experience)

5. Indicators

5.1 The role of indicators in ex post evaluation

- Definition of indicators,
- Role of indicators in ex post evaluation
- Types of indicators (CMEF)
 - Definition of common indicators
 - Baseline indicators
 - Input indicators
 - Output indicators
 - Result indicators
 - Impact indicators
- Experiences in using indicators in evaluation of RDP
 - Lessons learnt from MTE
 - Relevance
 - Identified challenges at RDP and EU level

5.2 Development of programme specific indicators

- The definition and role of programme specific indicators
- Development of programme specific indicators
- Use of programme specific indicators

5.3 How to use indicators in evaluation of RDPs?

- Selection of indicators, reflecting policy objectives,
- Specification versus selection
- Balancing importance and measurability
- Coherence of indicators with the intervention logic, relevance to attribution of effects
- Linking evaluation questions, indicators and methods (See Part II, 4.4)
- Linking indicators and methods
- Screening data sources and availability
- Proxies and alternatives
- Interpretation, working with results, triangulation
- Delivery considerations, technical feasibility, resourcing
- Realism of resourcing
- Technical feasibility

5.4 Specificities with respect to TA, NRN

- Technical assistance
- NRN/NRNP

5.5 “Dos and don’ts” in relation to use of evaluation questions (based on experience)

6. Methodology

6.1 Fundamental methodological challenges in ex-post evaluation of 2007-2013 RDPs

- Programme effects and how to measure them
 - Experience from previous evaluations
 - Definition of programme effects
 - Why are counterfactuals so important?

6.2 Factors which might affect the results of evaluation

6.2.1 Confounding factors

6.2.2 Selection and other biases and their reduction

- Selection bias
- Self-selection bias
- Homogeneous treatment effects
- Heterogeneous treatment effects

6.3 Main treatment effects in a quantitative analysis

- Average treatment effect (ATE)
- Average treatment on treated (ATT)
- Average treatment on non-treated effect (ATNT)

6.4 Main types of programme effects

6.4.1 Direct programme effects

- Examples of estimation of direct programme effects by means of ATT indicators

6.4.2 Programme indirect effects (deadweight loss, substitution, displacement, leverage etc.)

- Indirect effects measured at micro-level
- Indirect effects measured at RDP level
- Positive vs negative externalities of a given RDP and expected vs unexpected effects in e.g. economic, social, environmental domains

6.4.3 What are programme net effects?

- Net effects at micro-level
- Net effects at RDP level

6.5 Distinction between programme results and programme impacts

6.5.1 Programme results

6.5.2 Programme impacts

6.6 How to separate programme effects from other confounding factors

6.6.1 Micro-level

6.6.2 Regional level

6.6.3 Macro-level

6.7 Basic categories of evaluation design

6.7.1 Randomized experimental design

6.7.2 Quasi-experimental design

6.7.3 Non-experimental design

6.8 What are the main evaluation methodologies?

6.8.1 Qualitative methods (advantages and disadvantages + data required)

- Surveys, interviews, focus groups
- Case studies
- Examples

6.8.2 Naïve and counterfeit estimates of counterfactual

- “Before” and “after” approach
- “With and “without “ approach
- Comparisons with the population ‘ s average

6.8.3 Quasi-experimental approaches

- Double differences (DD) Difference in Difference (DID) methods (advantages and disadvantages + data required)
- Regression discontinuity (RD) design and pipeline methods (advantages and disadvantages + data required)
- Instrumental variable (IV) methods (advantages and disadvantages + data required)
- Matching methods, propensity score matching (PSM), significance of common support areas (advantages and disadvantages + data required)
- Combined PSM with DD methods (advantages and disadvantages + data required)
- Generalised PSM method (advantages and disadvantages + data required)

6.8.4 Structural and other modeling approaches(advantages and disadvantages + data required)

6.8.5 Randomized/experimental evaluations(advantages and disadvantages + data required)

6.8.6 Examples of counter-intuitive results and differences produced by various methods

6.9 What is the role of quantitative vs qualitative methods in ex post evaluation of RDPs?

6.9.1 Addressing the theory of change and linking it with intervention logic

6.9.2 Introducing qualitative analysis to capture basic trends in programme effects

6.9.3 Application of quantitative method to verify causal link

6.9.4 Verification results using qualitative methodologies

6.10 How to select appropriate result/impact evaluation methods

6.10.1 Meeting basic evaluation standards

- Credibility
- Rigour
- Reliability
- Robustness
- Validity transparency
- Practicability

6.10.2 What criteria can be applied to judge the quality of impact evaluation design?

- Ability to explain causality
- Ability to eliminate the possible selection bias
- Ability to isolate the effects of the programme from other factors
- Taking into account potential indirect effects
- Assessment of the applicability of a given evaluation method
- Verification of the validity and robustness through the triangulation

6.10.3 Which steps to be taken in choosing the right evaluation methods considering the availability of data

6.11 How to assess effectiveness, efficiency, socio-economic impacts and factors of success and failure of the RDP?

6.11.1 Use of twelve RDP result indicators

6.11.2 Use of seven RDP impact indicators

6.11.3 Use of additional indicators

6.11.4 Advantages of missed approach

6.12 Specificities with respect to TA, NRN

- Technical assistance
- NRN/NRNP

6.13 Do's and don'ts in relation to application of evaluation methodologies (based on experiences)

7. Data

1.1 What is the range from ideal to acceptable data availability?

1.2 What are major challenges in data management and collection during evaluations of the RDP?

1.3 Which data are necessary for evaluation of programme results at micro level (impact on beneficiaries)?

- Economic results
- Environmental results
- Social results

1.4 Which data are necessary for evaluation of programme impacts at regional and national level (impact on the territory)?

- Economic results
- Environmental results
- Social results

1.5 Specificities with respect to TA, NRN?

- Technical assistance
- NRN/NRNP

1.6 "Dos and don'ts" in relation to using specific data in answering evaluation questions (based on experience)

Tool Box

- Set of CEQs
- Outline of ex post evaluation report
- Glossary of terms
- Example of quality assessment grid for the evaluation report
- Example of quality criteria for the assessment of tenders
- Template for the identification of data gaps
- Example outline of the technical specification of the Terms of Reference for the ex post evaluation

- **Retro plan, as for the evaluation plan guidelines (stressing the fact that MA should start the preparatory activities now!)**