

# Reporting and evaluation

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Interreg Programme Management for  
Beginners

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# Annual Implementation Report

# Legal background

Article 14 of the regulation 1299/2013 (ETC)

*“By 31 May 2016\* and by the same date of each subsequent year until and including 2023, the managing authority shall submit to the Commission an annual implementation report”.*

(\*) For the reports submitted in 2017 and 2019, the deadline referred to in paragraph 1 shall be 30 June.

The main purpose:

To assess the overall implementation progress of the Programme

# The procedure

The AIR to be submitted to the EC by the MA of the Programme through SFC2014:

- by 31 May
- by 30 June (2017, 2019, Final);

Within 15 working days the EC informs the MA if the report is **admissible**

The EC examines the annual and final implementation report and informs the MA of its observations within two months (five months in case of the final report).

The EC may make observations concerning issues which significantly affect the implementation of the programme.

... MA provides all necessary information with regard to such observations and, where appropriate, inform the EC, within 3 months, of measures taken

# Scope of the AIR

Annual implementation reports contains key information on:

- implementation of the programme and its priorities;
- reference to its financial data;
- reference to common and programme-specific indicators and quantified target values (including changes in the value of result indicators where appropriate);
- findings of all evaluations of the programme that have become available during the previous financial year;
- any issues which affect the performance of the programme, and the measures taken
- the milestones defined in the performance framework (only in 2017, 2019 and the final report).

# Light reports vs. regular reports **INTERact**

Annex X of the Commission Implementing Regulation (EU) 2015/207 of 20 January 2015

PART A (every year)	PART B (2017)	PART C (2019, Final)
Identification of the Programme	Assessment of the implementation of the CP	Assessment of the programme contribution to achieving the Union strategy for smart, sustainable and inclusive growth
Overview of the implementation of the Programme	Progress in implementation of the evaluation plan	
Overview of the implementation of the Priority Axis	Results of the information and publicity measures (communication strategy)	Issues affecting the performance of the programme and measures taken – performance framework
Synthesis of evaluation	Financial info at the priority and the programme level	
Issues affecting the performance of the CP		
Citizens summary		

# Further information sources

Questions and answers regarding model for the implementation reports for IGJ and ETC goal:

[http://ec.europa.eu/regional\\_policy/en/information/legislation/guidance/](http://ec.europa.eu/regional_policy/en/information/legislation/guidance/)

Stage of Interreg implementation

Source of data – DG Regio website

<https://cohesiondata.ec.europa.eu/funds/erdf#>



# Performance framework



# **Results Orientation vs Performance Framework**

Interlinked but distinct:

- Results orientation is wider and locates the programme in its context
- Performance Framework is about efficient implementation of the programme and it will not answer the impact question

# Performance framework – Why?



- Monitor that implementation is as planned
- Financial & Output indicators & Key Implementation Steps
- Keeping it as simple as possible (minimise number of indicators)
- Cover the Priority Axis
- Setting realistic milestones and targets

## **Financial** indicators

- ✓ Must be included
- ✓ *Total amount of eligible expenditure entered into the accounting system of the certifying authority and certified*



## **Output** indicators

- ✓ Must be included
- ✓ *Not additional – chosen from among indicators already selected for the programme*
- ✓ Limited number (majority of resources allocated)

## Key implementation steps

- ✓ To be used when necessary (i.e. when there are no or only insignificant outputs). ***When no measurable output is expected by the end of 2018***

Output indicators and key implementation steps correspond to more than 50% of the financial allocation to the priority



# What does it all mean?

- Targets and milestones for output indicators representing majority of expenditure
- Mid-term and end of programme formal review
- Possible financial consequences

# European Commission and performance framework:

- Examines based on the content of the OP and information on setting of milestones and targets
- It is carried out by the programme desk officers taking into account the guidance provided
- EC verifies if appropriate indicators have been selected
- Checks if both the milestones and targets meet their criteria

The Commission may ask for additional explanations and milestones and targets to be adjusted.

Revision of milestones and targets may be possible in duly justified cases and in addition to amendments resulting from changes in allocations for a given priority (Annex II of the CPR indicates what may constitute a "duly justified case")

# Suspension of payments

The EC may suspend all or part of an interim payment of a priority of a programme if the following conditions are jointly met:

- A serious failure to achieve the milestones (only financial and output indicators, and key implementation steps) due to clearly identified implementation weakness.
- The EC has communicated previously to the managing authority this clearly identified implementation weaknesses and the MS has failed to take the necessary corrective action to address it.
- Not earlier than five months after the communication to the managing authority.

# What is the serious failure?

A priority, whose performance framework includes	will be deemed to have...	if...
no more than 2 indicators	seriously failed to achieve the milestone or the target	any of these indicators has failed to attain by the end of 2018 at least 65% of milestone value or by the end of 2023 at least 65% of the target value
more than 2 indicators		at least two of these indicators has failed to attain by the end of 2018 at least 65% of milestone value or by the end of 2023 at least 65% of the target value



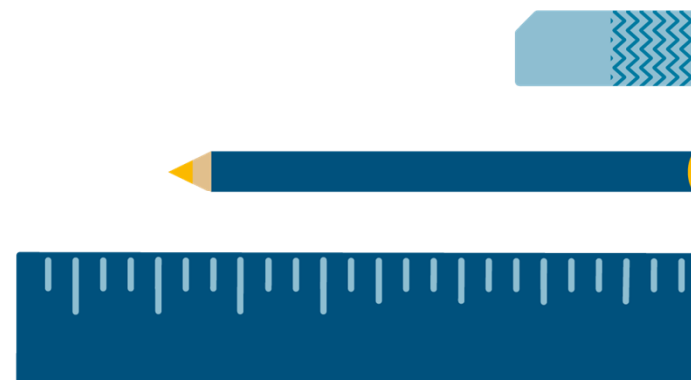
# Financial corrections

At the end of programming period, the EC may apply financial corrections if the following conditions are jointly met:

- a serious failure to achieve the targets (only financial and output indicators, and key implementation steps) due to clearly identified implementation weakness.
- The EC has communicated previously to the managing authority this clearly identified implementation weaknesses and the MS has failed to take the necessary corrective action to address it.
- No socio-economic or environmental factors, significant changes in the economic or environmental conditions in a Member State or force majeure seriously affecting implementation of the priorities concerned

# Operational and impact evaluation

# And what about evaluation?



## Article 56(3) CPR

- During the programming period, the managing authority shall ensure that evaluations, including evaluations to assess **effectiveness, efficiency and impact**, are carried out for each programme on the basis of the evaluation plan and that each evaluation is subject to appropriate follow-up in accordance with the Fund-specific rules.
- At **least once during the programming period**, an evaluation shall assess how support from the ESI funds has contributed to the objectives for each priority.
- All evaluations shall be **examined by the monitoring committee** and sent to the Commission.

## **Evaluation plan**

### Article 114(1) CPR

”an evaluation plan shall be drawn up by the managing authority or Member State for one or more operational programmes. The evaluation plan shall be submitted to the monitoring committee no later than one year after the adoption of the programme”

# Evaluation Type – Operational (Process & Procedures)

- How can effectiveness & efficiency be measured?
- Output indicators are quantitative, what about the qualitative aspects & how to ensure it?
- Are monitoring/financial data & programme implementation documents enough for operational evaluation?



# Evaluation Type – Impact Evaluations

- What kind of data do we need for impact evaluation (theory-based), additional to the ones needed for Operational Evaluation?
- How to collect data for the impact evaluations? What should be taken into consideration in the first place?
- Many InterReg programmes doubt that Result Indicators can really tell them about the impact of their programme.
- Can result indicators really tell us something about the impact of our programme? How to choose the right ones? Examples/best practice?

# Cooperation works

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All materials will be available on:

**[www.interact-eu.net](http://www.interact-eu.net)**