

Seminar

Evaluation Update

28 & 29 June 2018 | Edinburgh

Daniela Minichberger, Interact
Bernhard Schausberger, Interact



Agenda – first day

- Depicting of status quo of your programme evaluation
- News from the evaluation unit regarding the current programme evaluations, *David Alba, Evaluation Unit, EC*
- Operational Evaluation, focusing on the follow up activities e.g. reduction of administrative burden, *Gianluca Ferreri, 2 Seas*
- Introduction to impact evaluation: different approaches
- Impact Evaluation: questions, methods and proceedings (follow up communication), *Phil Heaton, FR (Channel) –UK*
- Impact Evaluation: questions, methods and proceedings (follow up communication), *Fiona Woo, BSR*
- Lessons learned from impact evaluation from the perspective of an evaluator, *Andreas Resch, Metis GmbH*

Objectives

- To discuss the outcomes and follow-up activities of the operational evaluations
- To reflect jointly on the available ToR for impact evaluation, concentrating mainly on the evaluation questions and proposed approaches, methods & techniques
- To present the new regulation and what is going to be changed in post 2020 related to evaluation and indicators



Working with the evaluation plan (EP)



EP approved by
the MC



EP regularly
revisited by the
MC



Modification of
the EP

Status quo of the implementation / operational evaluation

Programme
name



Issues
identified

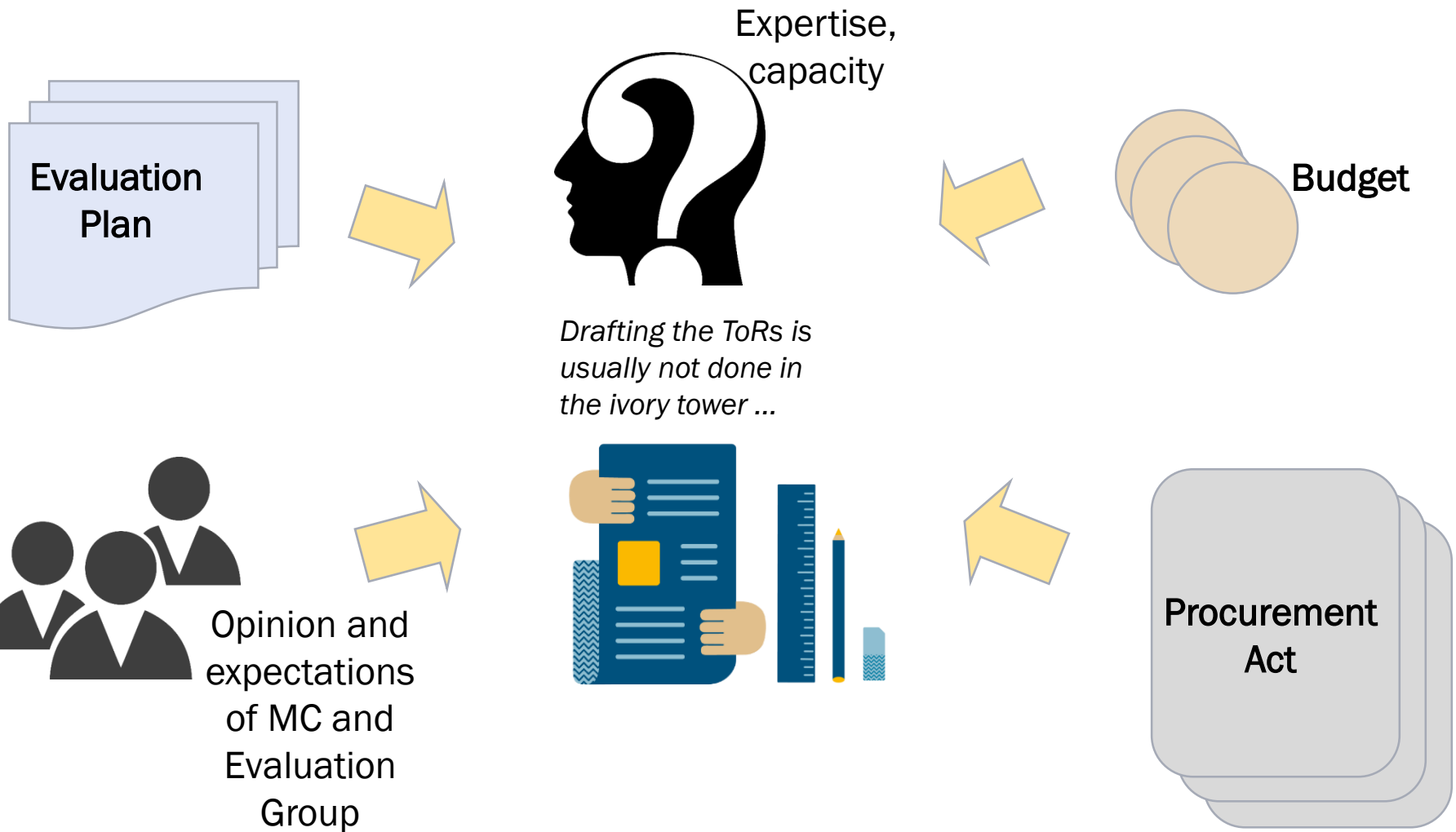
Status quo of the impact evaluation

Programme
name



Issues
identified

Drafting the ToRs



Remarks

N.B.!

Do not expect any evaluator to be completely objective. S/he will have opinions and ideas – you are not looking for someone who is a blank page! However, his/her opinions must be clearly stated as such, and must not be disguised as ‘facts’.

CIVICUS, Monitoring and Evaluation, p. 10

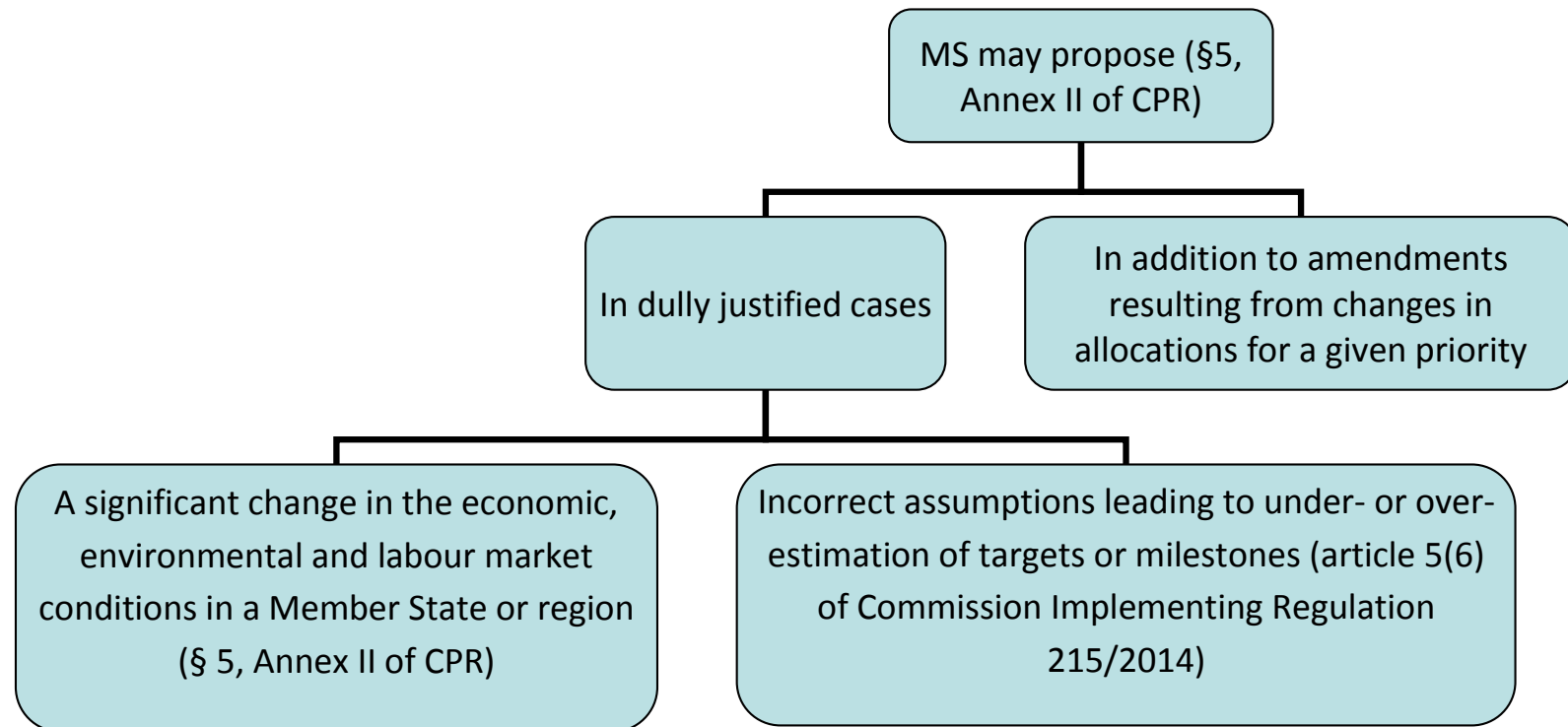
And s/he should be a sound mathematician

Crucially for a cross-border project, however, an interim evaluation should find evidence that the result is greater than the sum of the inputs, i.e. $1 + 1 > 2$, rather than $1 + 1 = 2$.

PEACE Toolkit for Evaluation of CB Projects, p. 40

Evaluation – amendments to CP

AIR 2019 is a decisive element in performance review ... evaluation might support reasoning for changes, e.g. in the PF



The submitted documentation should contain clear qualitative and quantitative reasoning supporting the arguments. Processing the modifications take time. The adopted version (at 31-12-2018) of the PF will be used for the review.

**Example of an operational evaluation,
focusing on the follow up activities, e.g.
reduction of administrative burden**

Example 2 Seas Interreg programme

Examples of ToRs

- **Thanks to those who have sent us examples of ToRs!**

A couple of observations

(details on the following slides)

- Theory-based Impact Evaluations (TBIE)
- Regarding timing the approaches are very heterogeneous
- Interesting features reflecting the character, new approaches, particular questions
- Language issue might be of interest in CBC

ToR: DE - NL

Timing	Two phases of IE; phase 1 until May 2019, phase 2 until June 2022
Method, interesting features	<ul style="list-style-type: none"> • ToR suggests to use intervention logic, logic model and theory of change as basis for the Theory-Based Impact Evaluation (TBIE) • Specific emphasis upon sustainability, value added and project frames (e.g. SPF) • In parallel to ESPON targeted analysis <i>TIA for CBC</i> • Also elements to ‘transport’ results (infographics, fact sheets) are included in the ToRs
Evaluation questions	<ul style="list-style-type: none"> • Evaluation questions annexed to ToRs
Evaluation of the bid	<p>Quality (method+references +CVs) / Price = 70/ 30 Bidders not reaching 50 % of the quality are not considered</p>

ToR: Northern Periphery and Arctic

<p>Timing</p>	<p>input for AIR 2019 (projects from Call 1 & 2 supposed to end in 2018)</p>
<p>Method, interesting features</p>	<ul style="list-style-type: none"> • TBIE proposed • Horizontal Principles explicitly mentioned • Only selected parts of programme area (limited NUTS-3 areas); number of case studies or other suited studies • Update of evaluation questions as requested element in the bid; also evaluation question related to the Arctic dimension • Method suitable to identify long-term impact related to change of attitude / behavior
<p>Evaluation questions</p>	<p>Tentative evaluation questions + sub-questions are proposed in the ToR; tenderers are invited to propose updates</p>
<p>Evaluation of the bid</p>	<p>Two step procedure: first assessment of quality requirements; only bidders who fulfil requirements are considered for step two (lowest price)</p>

ToR: Interreg Europe

Timing	scheduled from April to November 2018
Method, interesting features	<ul style="list-style-type: none"> • Intermediate evaluation that includes operational and result evaluation (one tender, 2 lots) • Request to focus on relevance of new compulsory project features (relevant policy organisations involved, 2 phases, action plan, pilot actions; tentative approach to capture territorial impact of policy changes; focus on policy learning platforms)
Evaluation questions	Evaluation questions annexed to ToRs
Evaluation of the bid	?

ToR: PL- SK

Timing	stage 1: until end of Jan. 2019, stage 2: until June 2019
Method, interesting features	<ul style="list-style-type: none"> • ToR suggests two stages: firstly elaboration of mid-term evaluation, secondly cooperation in the approval of recommendations • focus on SPF (since option to increase budget provided that certain objectives are met), horizontal principles (verifying implementation rules related to HP) • Survey among applicants intended • 7 different methods proposed as a minimum, e.g. Delphi method (facilitated interactive expert panel), social network analysis, etc. • Recommendations should include weighted challenges
Evaluation questions	Question were suggested within the ToR; the bidders may suggest additional questions
Evaluation of the bid	?

ToR: BE-NL

Timing	
<p>Method, interesting features</p>	<ul style="list-style-type: none"> • TBIE proposed, based on theory of change approach to Specific Objectives (SOs) (since options to quantify impact are quite limited) • Focus e.g. on projects which contribute most to changes intended according to SO, changes in result indicators, • Estimate of the programme impact of the program should also consider follow-ups to interventions from 2007-13 or on the impact of past projects which have been similar to projects in the current programming period • Active Evaluation Group working along theory of change; program focused on RDTI
<p>Evaluation questions</p>	<p>Main questions mentioned in the ToR</p>
<p>Evaluation of the bid</p>	<p>Method+plan (timing)+staff / price = 70 / 30</p>

Impact Evaluation: questions, methods and proceedings (follow up communication)

Example Interreg VA France (Channel) England

Impact Evaluation: questions, methods and proceedings (follow up communication)

Example Interreg Baltic Sea Region

Lessons learned from impact evaluation from the perspective of an evaluator

Agenda – second day

- Discussion of methods and evaluation question: group exercise
- What is new in the regulation post 2020 related to evaluation, *David Alba, Evaluation Unit, EC*
- Updates ESPON, *Zintis Hermansons, ESPON EGTC*
- What to do with the findings & plan for follow up, *Andreas Resch, Metis GmbH*
- How to use the evaluation to improve the programme – involvement of the MC and the Evaluation Steering Group: *Group discussion*
- Wrap up of the event and upcoming events

Group exercise

How much experience do we have related to carrying out of Interreg programme evaluations?



How to capture the impact?

A couple of introductory considerations

- For sure no one-size-fits-all approach – projects are diverse!
- It is often challenging to provide comparable features in descriptive elements of the impact evaluation, not to speak of levels of detail across the diverse (types of) projects
- Consistency with considerations on value-added of the programme respectively the projects!
- Interreg is all cooperation – so not to forget to evaluate inter alia the impact of cooperation in the specific field!
- Use of findings: e.g., considerations on the impact might be used to revisit e.g. the quality assessment sheets

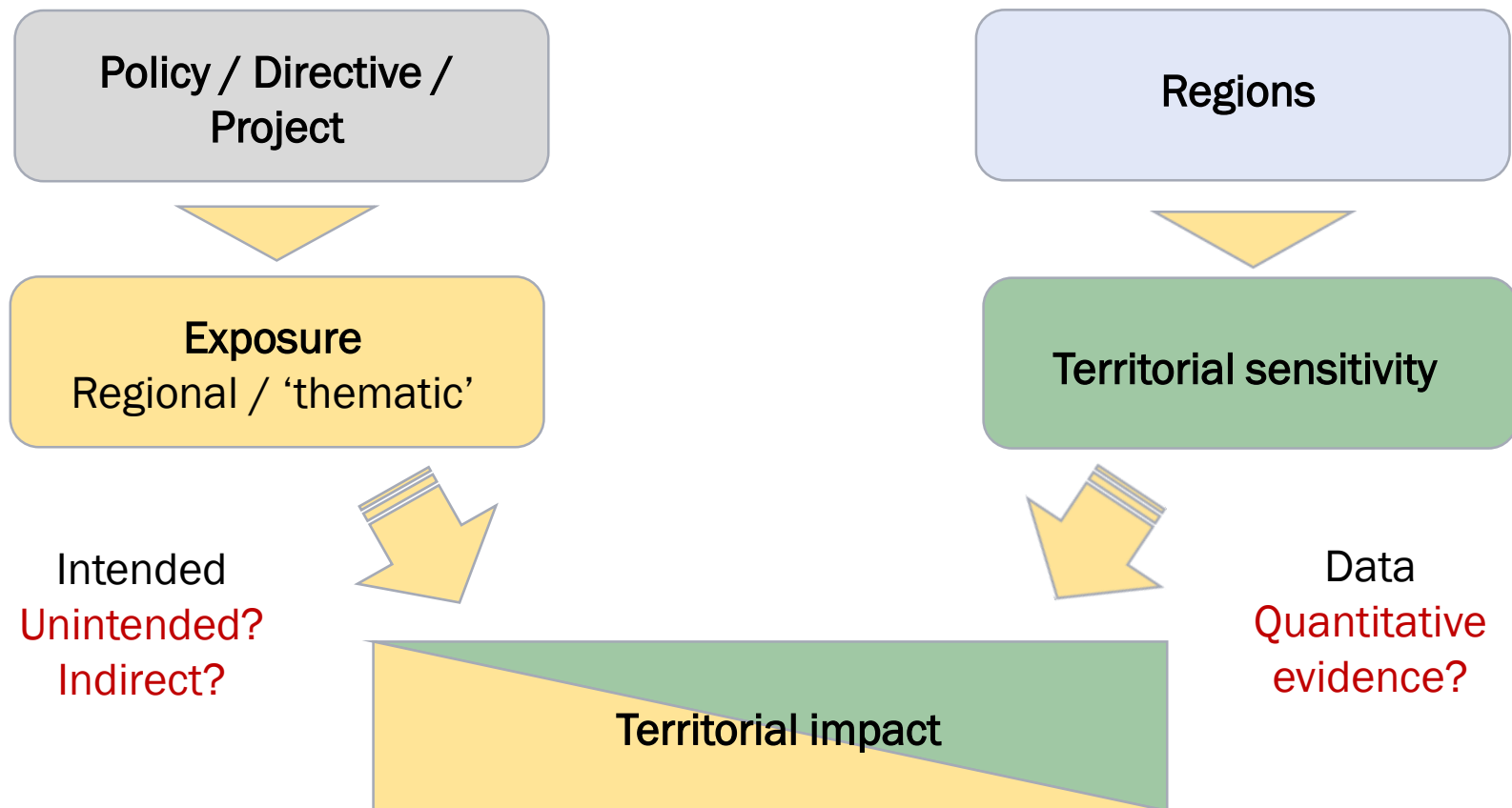
Wanted: inspiring models

Evaluation work needs inspiring models which jog the brains of stakeholders, nourish discussions and lead to better understanding ...

Stage	Key aspect Leading questions resp. aspects	Common targets of projects at the stages	Challenges in project generation and management	Outcome / Impact
Strategic planning, early policy development	<u>Planning</u> What should be done?	projects target the development of a shared strategy for the respective policy area; Key element would be a feasibility-study	Sorting out legal differences, develop a shared terminology, highlight options for joint approaches and future projects, identify appropriate partners for further actions, motivate a wider audience and raise the interest of opinion-leaders	No immediate impact in the policy area but raised awareness in the institutions, impact of concrete actions could materialise in the long-run
Operational policy development	<u>Planning</u> How could it be done?	the formulation of specific policy documents, agreements etc. deriving from strategic papers developed at an earlier stage Key element could be the elaboration of a Memorandum of Understanding or of an action plan	Backing of the political level is essential to safeguard policy impact and pave the way towards the next stage	Ibidem; but pathway to timing of implementation should be an element of the operational plan in order to target/capture impact
Pilot approaches	<u>Implementation</u> Testing something unprecedented	putting into test the concepts developed at an earlier stage of operational policy development Key element could be a pilot investment or testing a new service package	Overcome all legal obstacles in full detail, spearhead into unprecedented procedures, maintain commitment over long development periods	Immediate impact but sustainability is not 100% sure (trial and error)
Last mile projects	<u>Implementation</u> Policy frameworks are clearly defined; policy context in each partner country duly respected	Closing a specific gap related to an identified need – e.g. the construction of cross-border infrastructure	All three previous stages must have been passed more or less successfully – i.e. the project is the result of sustained cooperation	Immediate impact; sustainability should be safeguarded since the project is anchored in a solid policy framework

ESPON TIA – territorial sensitivity

...the vulnerability concept developed by the Intergovernmental Panel on Climate Change (IPCC). In this case, the effects deriving from a particular policy measure (exposure) are combined with the characteristics of a region (territorial sensitivity) to produce potential territorial impacts (cf. ESPON; ARTS)



TIA steps

1. Detect potential territorial effects
2. Establish conceptual model for cause-effect relation (intervention logic), i.e. effects deriving from project / policy (*exposure*) and the receptive capacity of a region (*sensitivity*)
3. Regional exposure: several options (only particular regions affected; affects different regions in a different way) – according to types of regions
4. Exposure matrix based on expert judgement
5. Impact definition e.g. according to types of regions
6. Mapping and explaining

Useful materials for IE

What	From	Why?
Toolkit for Evaluation of CB projects	Centre for CB Studies, 2015	It is a practical guide to the use of external evaluators throughout the whole evaluation process (for IE see in particular pp. 44-47)
EVALSED: the Resource for the Evaluation of Socio-Economic Development	DG Regio 2008	Reference book with lots of useful clarifications throughout the whole process; valuable considerations on methods, use of data etc.
Evaluation made easy	Interact, 2018	Various modules

Group exercise: discussion of methods and evaluation question

- Which question do you consider useful?
- What questions are missing?
- Which methods are therefore appropriate?
- Challenges?
- Lessons learned?



The approach is decisive!

Evaluator as the expert



- Expert acts mostly independently
- ‘Closed approach’
- Focus on report(s)
- Response of MA/MC to recommendations

Evaluator as critical friend & facilitator in a shared process



- Expert nourishes and guides discussions / learning process
- ‘Evolving approach’
- More capacity form MA/JS required
- Focus on exchange
- Shared development of recommendations

Use of findings

In our seminar on 12/12/2017 we had a discussion on these issues

Reflect the use of findings at the start!

- Usable and concrete findings as a precondition
- A productive use/discussion of findings is more likely in case of commitment in the Evaluation Group and the MC
- Partly it is a strategic task, partly it is a communication task
- When developing questions the potential target audience should be considered – internal / external
- Recommendations developed as part of shared discussion process might lead to increased acceptance
- Reflect on the use of case studies ...

Group exercise

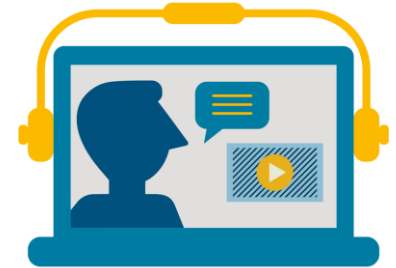
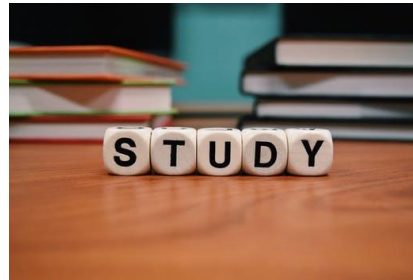
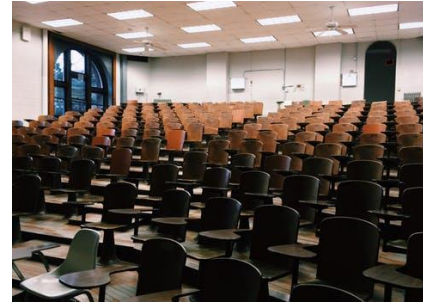
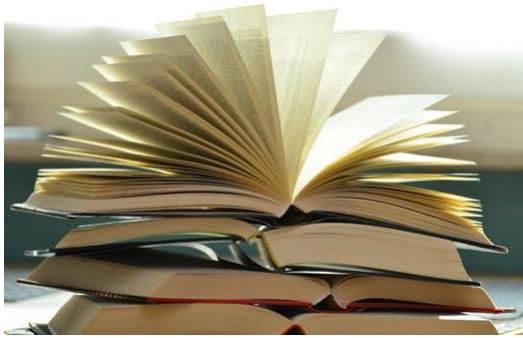
Share good practices how to involve the MC and the Evaluation Steering Group in the evaluation process?



Upcoming events

Topic	Date	Venue
Project management camp	03-06/07	Warsaw
NCP & JS: walking in each others shoes	05-06/07	Bologna
Post 2020 for CBC programmes	25/09	Brussels
Regional Network	04-05/10	Bari
Indicators post 2020	23-24/10	Krakow
EVAL-COM-CAP	Nov	Sicily
SPF and CLLD	Jan 2019	tbc

Wishes for 2019

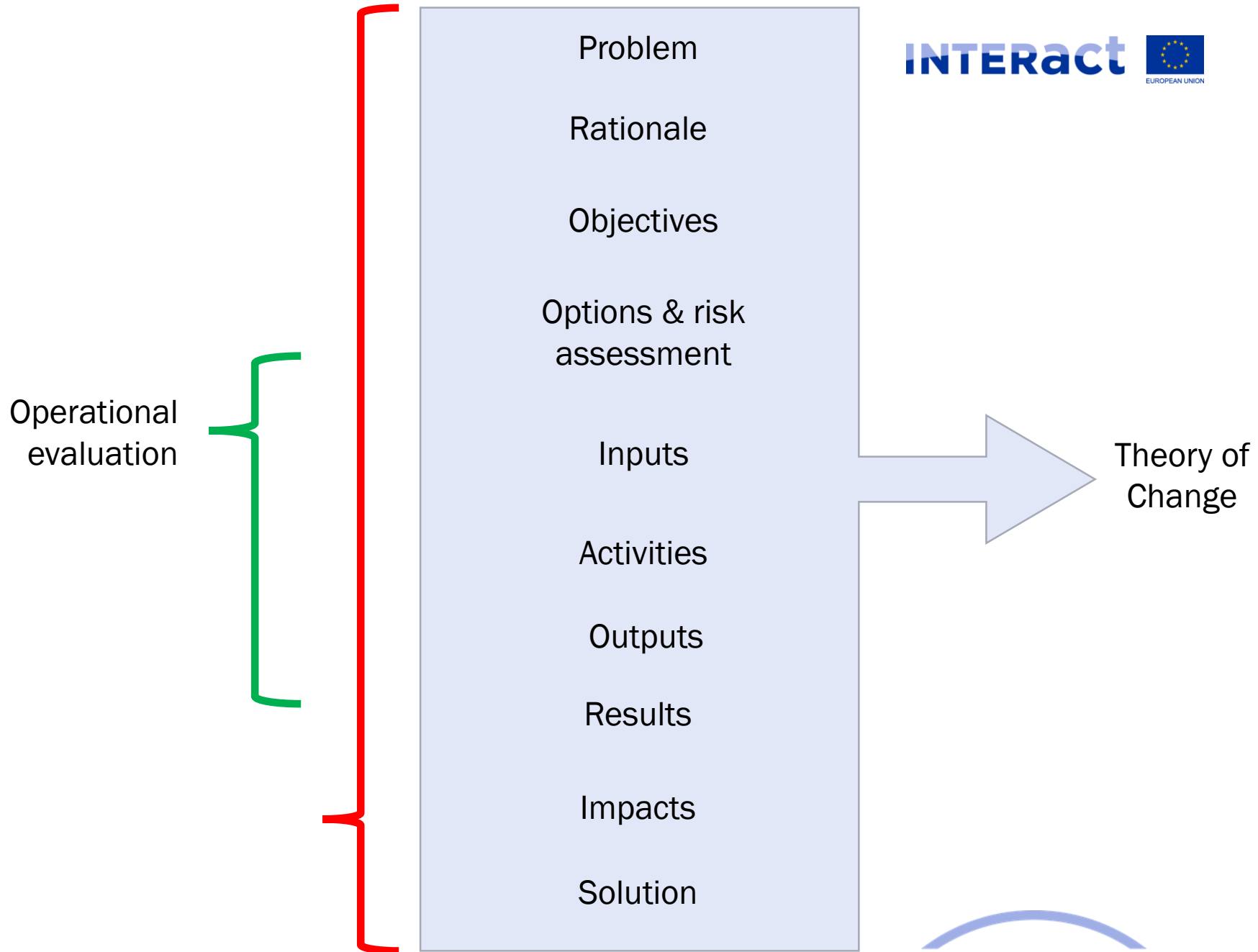


Cooperation works

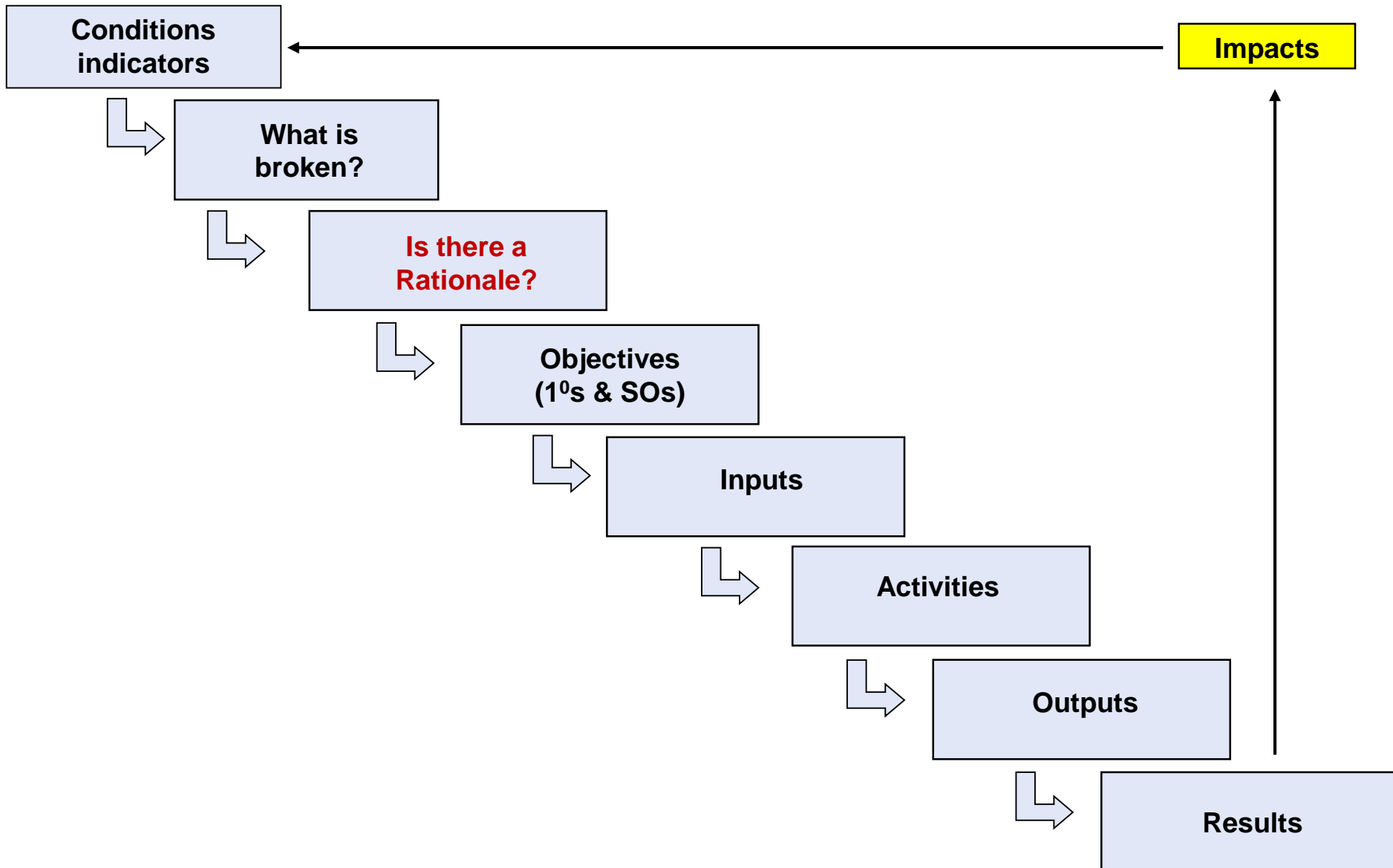
We thank for your attention!

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Logic model - the 'Building Blocks'

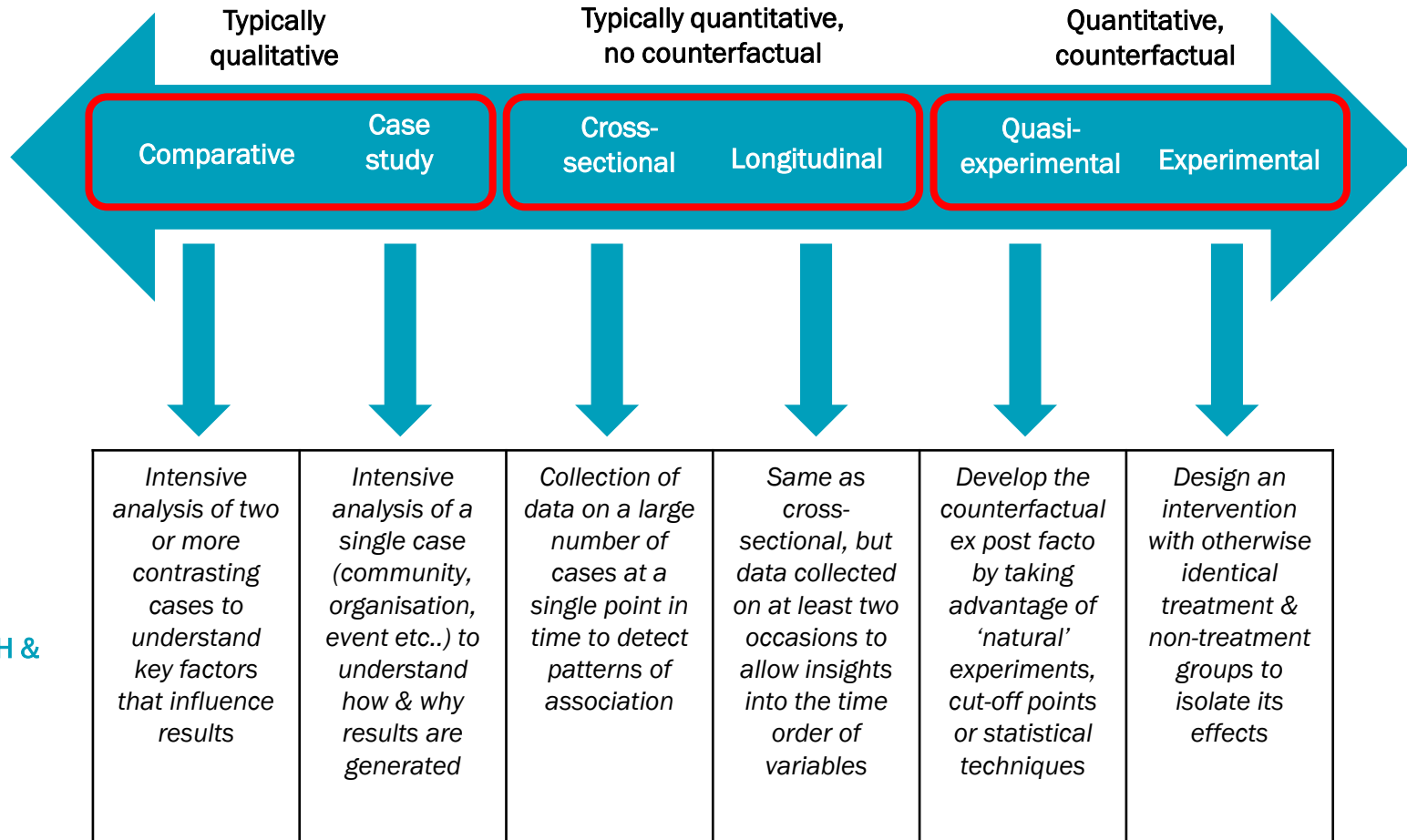


Large & small ‘n’ considerations in evaluation

Theory-based approaches

Small ‘n’ - TBIE Methods

Large ‘n’ - CIE Methods



Small 'n'/TBIE methods – careful what you wish for!



Types of small 'n' approaches

- **Group 1**
 - Theory-based methods to determine causes of observed effects & how 'additional' observed outcomes occurred e.g.
 - Theory of Change (ToC)
 - Realist Evaluation (RE)
 - Contribution Analysis (CA)
 - General Elimination Methodology (aka The Modus Operandi Method)
 - Process Tracing
- Variations on the 'Theory' tune

Types of small 'n' approaches

- **Group 2**
 - Factors perceived to have been important in producing change, with a strong emphasis on stakeholder views
 - Most Significant Change (MSC)
 - Success Case Methods (SCM)
 - Outcome Mapping (OM)
 - Method for Impact Assessment of Programmes & Projects (MAPP)
- Important to understand that Group 1 & 2 methods often intermingled in real-world evaluation studies (i.e. ;mixed methods)

1A. 'Vanilla' Theory of Change

- Takes the logic chain for the intervention . . .
- . . . & develops this in to a predictive & explanatory depiction of what should happen through the intervention
- Evaluation explores each step of the ToC to understand whether theoretically predicted changes occurred as expected, &/or as result of other external factors