

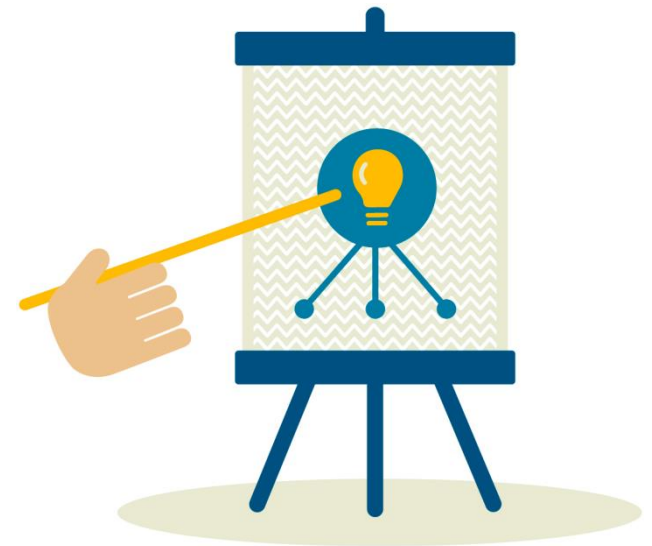
Seminar
**Working with
indicators post 2020**

23 & 24 October 2018 | Krakow

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Daniela Minichberger, Interact

Bernhard Schausberger, Interact



Agenda – first day, 9:00-17:00

- Welcome and introduction, *Interact*
- Feedback Annual implementation report (AIR) and performance review, *presentation and Q&A David Alba, Evaluation Unit, EC*
- Exchange of experience: our indicators used in 2014-2020, *introduction and group work, Interact*

Lunch break

- What is new in evaluation in post 2020 with special focus on indicator system? *presentation and Q&A David Alba, Evaluation Unit, EC*
- Discussion of the COI and possible programme specific OI, *Introduction and group work, Interact*
- Quality and reliability of data, *presentation and Q&A, Interact*

Objectives

- To reflect on the experience of working with indicators in the current period
- To share our understanding of the indicator system for post 2020
- To get some input to data quality management (the quality and reliability of data for sound monitoring and performance reporting)
- To test the TIA method (developed by ESPON) as a beginning building block for the programming exercise

Group exercise:

Share one thing you **like** about indicators



Key criteria to select and assess indicators

UNSTAT:

- Relevant
- Methodologically sound
- Measurable
- Limited in number & outcome focussed
- Easy to communicate and access



ESPON:

Data power
Proxy power

Communication
power

Common Output Indicators (COI) at a glance 2013-2020

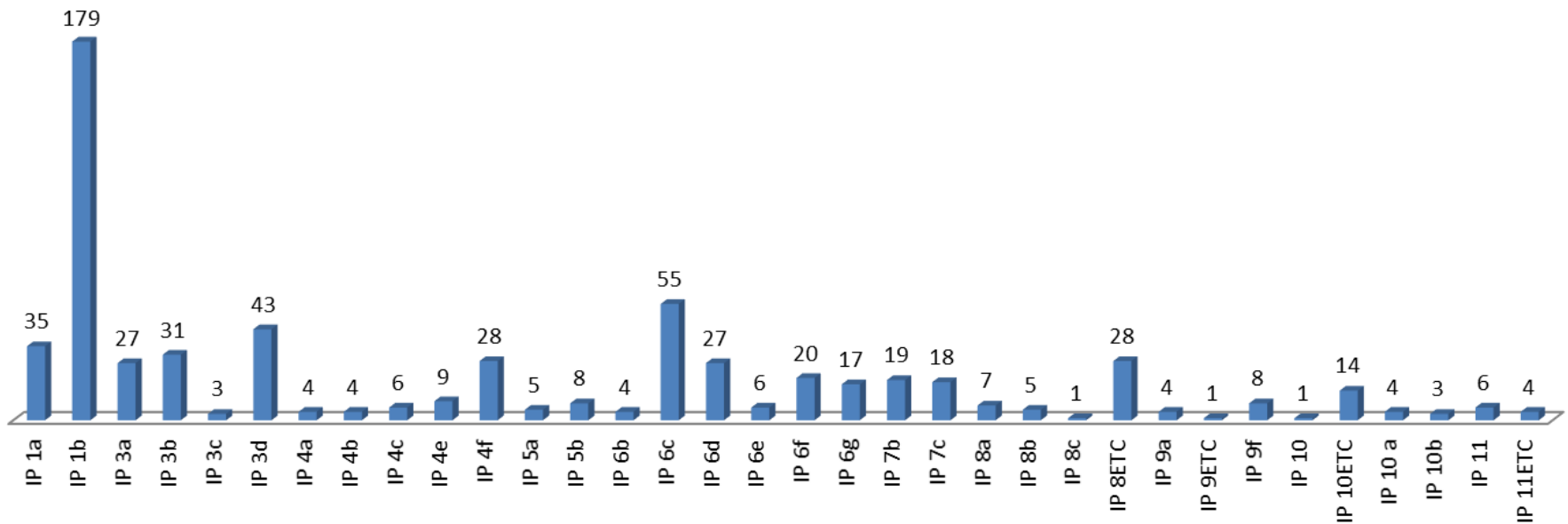
- Common Output Indicators for the European Territorial Cooperation Goal are listed in the Annex of the REGULATION (EU) No 1299/2013
- **39** out of 46 COI were used by Interreg programmes
- **7** COI were **not used** at all

COI – most used by Interreg programmes

Common Output Indicators	COI Used by Interreg programmes
Number of enterprises receiving support	104
Number of research institutions participating in cross-border, transnational or interregional research projects	58
Number of enterprises receiving non-financial support	56
Number of enterprises participating in cross-border, transnational or interregional research projects	44
Number of enterprises cooperating with research institutions	42
Number of enterprises supported to introduce new to the market products	37
Increase in expected number of visits to supported sites of cultural and natural heritage and attractions	32
Surface area of habitats supported in order to attain a better conservation status	30
Number of enterprises receiving grants	27
Number of participants in joint local employment initiatives and joint training	26
Number of participants in joint education and training schemes to support youth employment, educational opportunities and higher and vocational education across borders	23
Private investment matching public support to enterprises (grants)	15
Number of participants in crossborder mobility initiatives	14
Private investment matching public support in innovation or R&D projects	12
Total lenght of reconstructed or upgraded roads	10

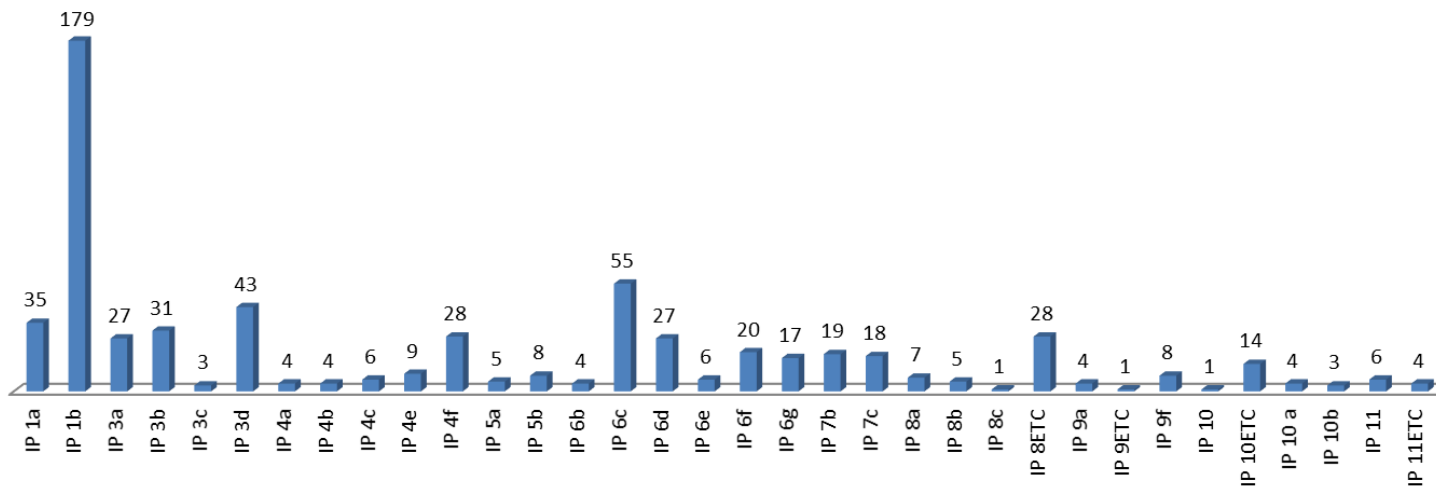
In which IPs do we find most COIs?

Number of COI per IP

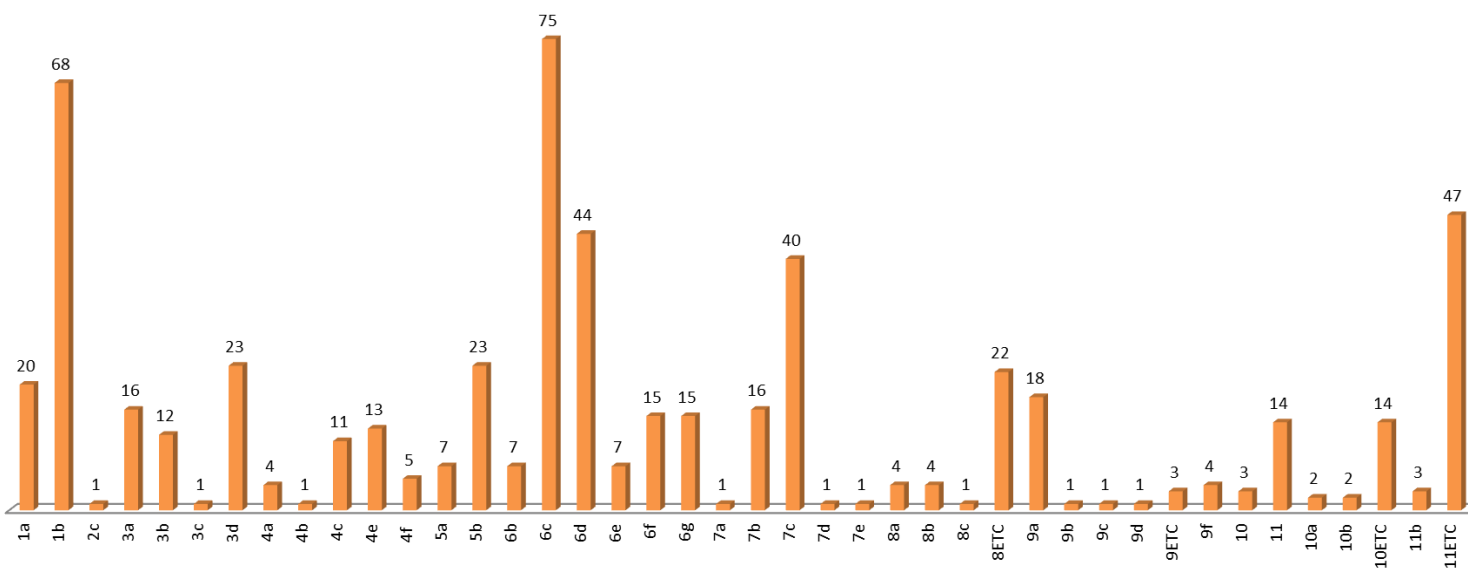


Most COI were used in Investment Priority (IP): 1b, 6c, 3d, 1a, 3b, 4f, 8ETC, 3a, 6d

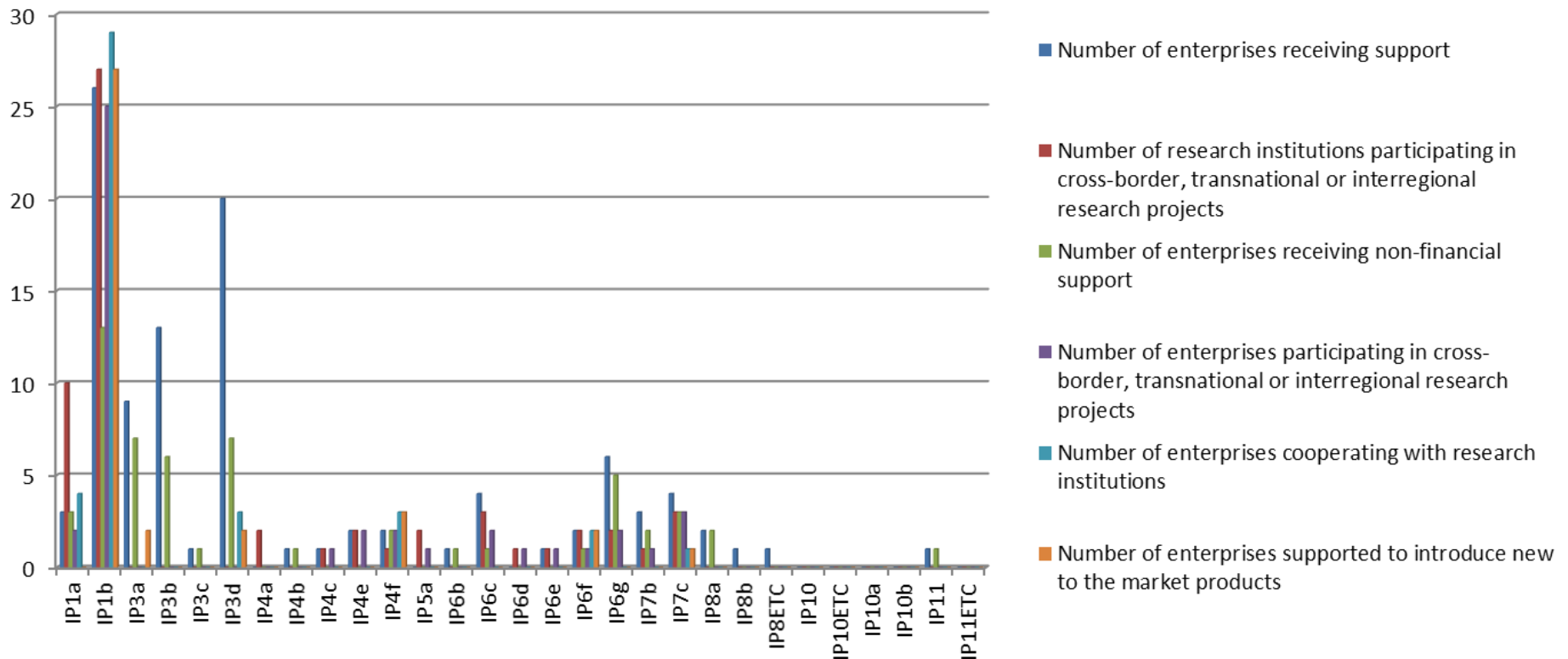
Number of COI per IP



Investment Priority selected by Interreg programmes



In which IPs are the 6 most popular indicators used?



COI – less used by Interreg programmes

Not used

- Private investment matching public support to enterprises (non-grants)
- Additional households with broadband access of at least 30 Mbps
- Total length of new railway lines
- Total length of new or improved tram and metro lines
- Number of additional energy users connected to smart grids
- Population living in areas with integrated urban development strategies
- Rehabilitated housing in urban areas

COI used one time only

- Capacity of supported childcare and educational institutions
- Space created or rehabilitated in urban areas
- Total length of improved or created inland waterway

COI used two time only

- Additional capacity of renewable energy production
- Additional population served by improved wastewater treatment
- Additional population served by improved water supply
- Additional waste recycling capacity
- Decrease of annual primary energy consumption of public buildings

Common Output Indicator

Group work: Common Output Indicator

Please indicate, which of the COIs do you consider
 as problematic  useful and meaningful 

Please stick to the ones you actually use!!!

ANNEXES

Annex 1

List of Common Indicators

Common indicators are legally required and listed in the annexes to the ERDF, Cohesion Fund and ETC regulations. The list below numbers the common indicators and provides indicative definitions.

		UNIT	NAME	Definition / Comments
	Productive investment			
1		enterprises	Number of enterprises receiving support	<p>Number of enterprises receiving support in any form from ERDF (whether the support represents state aid or not).</p> <p>Enterprise: Organisation producing products or services to satisfy market needs in order to reach profit. The legal form of enterprise may be various (self-employed persons, partnerships, etc.).</p> <p><i>Note that indicators 1 to 5 measure the number of the enterprises and multiple counting needs to be eliminated (i.e. an enterprise receiving grants more than once is still only one enterprise receiving grants). Registering a unique identifier for each enterprise to avoid multiple counting is a good practice</i></p> <p><i>Note that the sum of indicators 2, 3 and 4 may be higher than indicator 1 if enterprises may receive different types of support or combined support.</i></p> <p><i>This indicator should be used together with indicators 28 and 29 for innovation in enterprises. The indicator is also needed when support is given for energy efficiency measures in enterprises.</i></p>
2			Number of enterprises receiving grants	<p>Number of enterprises receiving support in forms of non-refundable direct financial support conditional only to completion of project (grants).</p> <p><i>Subset of 'Number of enterprises receiving support'</i></p>

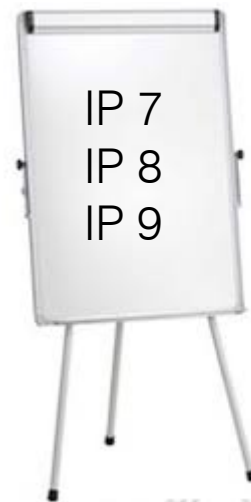
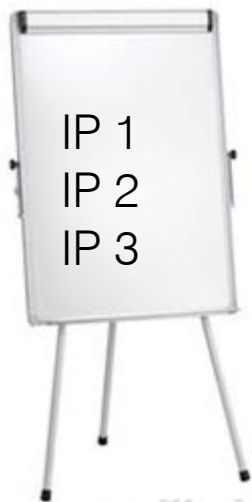
Group work: Common Output indicators

- Why do you consider these COI as problematic?
- Why do you consider these COI useful and meaningful?

Programme Specific Output Indicator

Programme specific output indicators (OIs):

- Please identify 3 OIs that you consider problematic and indicate also the IP /programme name?
- Please present 3 OIs that you consider useful and meaningful and indicate also the IP /programme name?



Group work: Programme Specific Output Indicators (OI)

- Why do you consider these OI as problematic?
- Why do you consider these OI useful and meaningful?

Result Indicator

Group work: Result Indicators (RI)

Which RI is good (useful and meaningful) and why?

Which RI didn't work at all and why?

MS ERDF AND COHESION FUND

- Definition including measurement units needs to be included in the annexes: clear, precise definition as well as a methodology on how the value of these indicators should be detected and how they should be measured
- In some cases difference between outputs and results is not clear
- The correlation between the output and the result indicators should be improved
- Many MS do not support the amendment of annexes for indicators by the way of delegated acts
- Clarify the connections between the indicators in Annex I and the core indicators in Annex II

MS ERDF AND COHESION FUND

- Can the programme –specific indicators be used instead of or in addition to the common output indicators?
- How many core indicators are required?
- How will the reporting in real time using Open Data Platform work?
- Questions related to certain indicators: how to collect information of indicators, where it should be measured 6-12 months after project completion (e.g. RCR 84 and RCR 85)

MS ETC - Interreg

Art.33 Indicators for the ETC goal (Interreg)

- Positive feedback towards the development of ETC specific indicators (Annex I, Table 2 of ERDF regulation)
- Further clarification /a guidance note is requested
- Certain flexibility for the programme if they don't find suitable indicator, especially result indicator
- Illustrate the intervention logic with relevant examples (Specific Objective, result indicator, baseline and target values of result indicator)
- Explore a possibility to adapt the indicators in relation with the ones foreseen in the UN Agenda 2030

MS ETC - Interreg

Art.34 Evaluation during the programming period

- Specific timeline in relation to the implementation evaluation would be consider helpful

Policy Objectives ERDF

Draft ERDF Regulation, Article 2

Objective	Remarks
1: Smarter Europe	Research, innovation, ICT, competitiveness of SMEs - approx. current TO 1, 2, 3
2: Greener Europe	Energy transition, green & blue investment, circular economy, climate adaptation, risk prevention – approx. TO 4, 5, 6 (without IP 6c);
3: A more connected Europe	Transport, ICT – approx. TO 7 – TEN-T, (sustainable, intelligent - including regional, local, cross-border)
4: A more social Europe (EPSR)	ESF+ - approx. TO 8, 9 (without IP 9d), 10
5: A Europe closer to citizens	fostering integrated social, economic and environmental development, cultural heritage and security including for urban, rural and coastal areas also through community-led local development. – approx. IP 6c, 8c, 9b, 9d

Interreg-specific Objectives

Draft Interreg Regulation, Article 14

Objective	Remarks
PO 4 (ERDF)	Text in draft regulation explicitly opening the objective 'across borders'
Better Interreg governance <i>min. 15% allocation for Interreg programmes</i>	Institution and capacity –building; also related to MRS and SBS (the latter in programmes in C1 to 3); also removal of obstacles; in external programmes also p-t-p, support to democracy-building and Civil Society Organisations (CSOs)
A safer & more secure Europe <i>min. 15% allocation for programmes with an <u>external</u> dimension</i>	Border crossing management and mobility and migration management, including the protection of migrants ...

Indicators 2020-2027

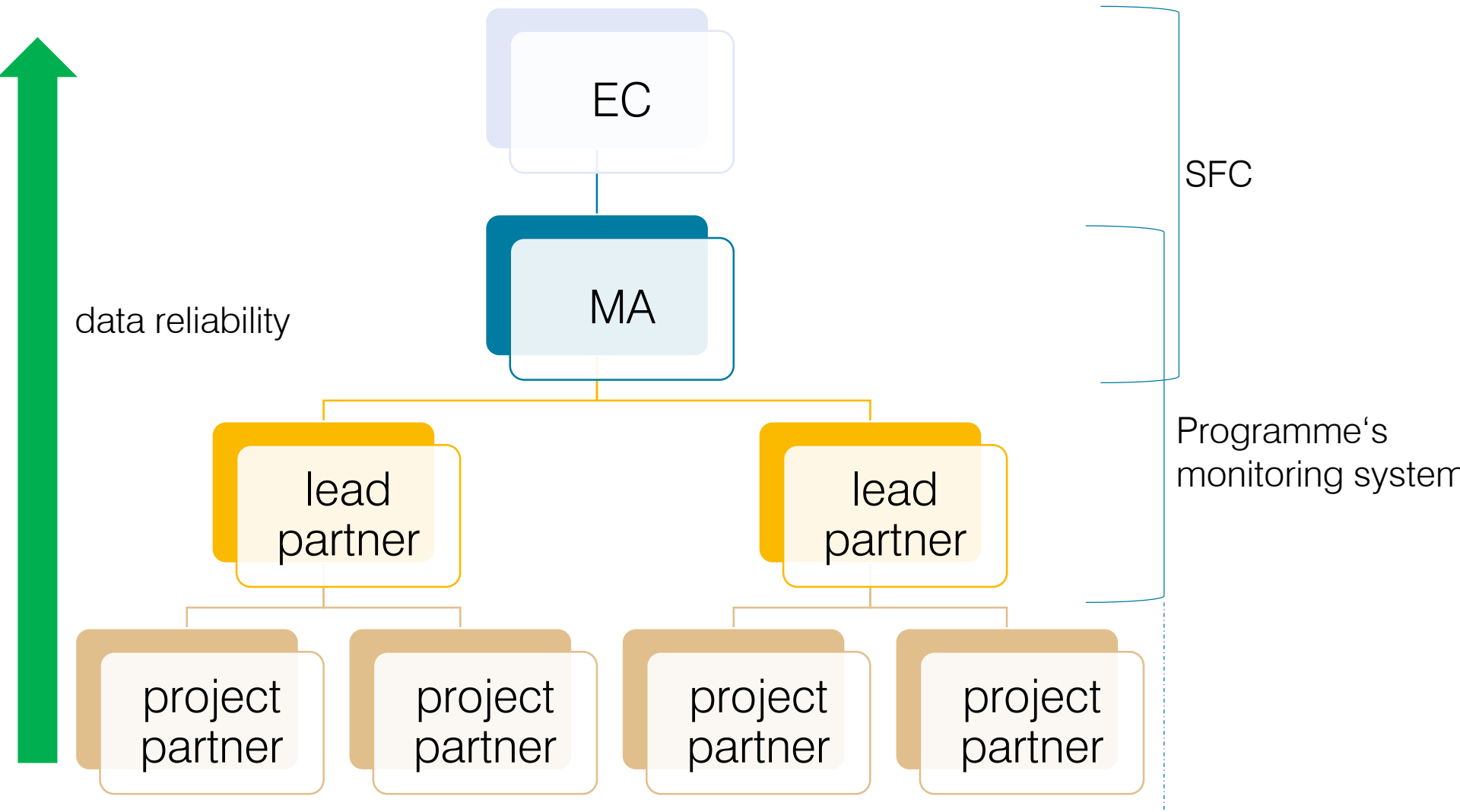
- Which indicators you consider suitable in **table 1**? Which indicators will your programmes most likely work with?
- Which indicators in **table 2** (Additional common output and result indicators for the ERDF for Interreg) do need more explanation? Which one do you consider useful & meaningful? Where do you see challenges?

Quality and reliability of data

Background

- Stronger focus on performance & results of projects, **incl. audit on indicators** (reliability of data)
- Legal references:
 - Article 125 & 127 1303/2013 (CPR),
 - Impl. Regulation (EU) 480/2014 Annex IV, key requirement 6 and others
 - Impl. Regulation (EU) 207/2015 Annex VII, Model for the audit strategy

Indicators in the reporting cycle



Performance (data reliability) audits

Objective & Scope

- Gain assurance that the performance data reported (from MA to EC) is reliable
 - concerns the **effectiveness and adequacy of programme indicators and the monitoring** thereof
- Audit of the **computerised system capable to collect, record and store** indicators & milestones on each operation

Performance (data reliability) audits

Methodology

- Assessment of monitoring system (incl. self-control and self-correction capacity)
- Verification of quality and reliability (walk-through and control tests)

through

- System assessment (process and procedures for collection, storing, recording, aggregating etc, incl. walk through testing)
- Detailed control testing (reported data verification)

Performance (data reliability) audits

Methodology (cont.)

- Detailed control testing (reported data verification)
 - Tracing & verification from source documents to reported outputs and results
 - At MA/JS level or beneficiary, depending on indicator, source documents, risk in relation to reality of the operation
- EC developed a checklist & testing grid, which is available for audit authorities

Quality and reliability of data

How is it going so far?

- 13 audits carried out by EC (no ETC), 11 overall positive (9 with some improvements needed)
- Main problems identified:
 - No monitoring system (input manually at MA level → high risk of errors)
 - Electronic monitoring systems
 - Not automatic extraction/aggregation for AIR & lack of clear procedures on manual extraction & aggregation (values reported in wrong investment priority, calculation mistakes when aggregating)
 - No interoperability of systems (within different nat. bodies)

Quality and reliability of data

How is it going so far?

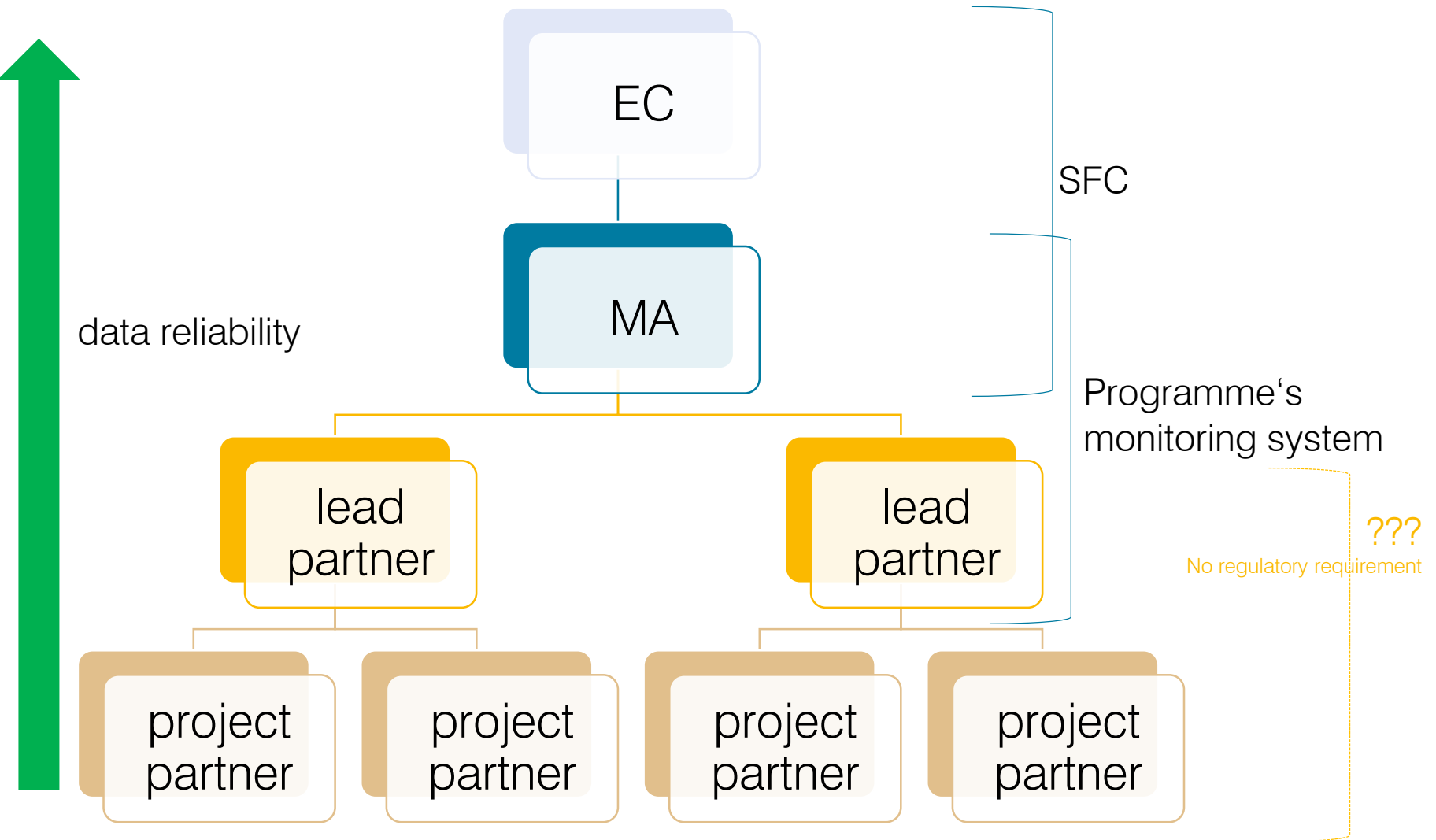
- Main problems identified (cont.):
 - Inconsistency of data (application <-> grant agreement, reported by projects <-> reported by programme in AIR)
 - Double counting (manual and monitoring system)
 - Lack of understanding at MA level of definitions (to wide, to narrow, wrong)
 - Lack of sufficient monitoring procedures at MA level
 - Insufficient explanations to project partners
 - Wrong timeframe applied

Quality and reliability of data

Group work

- How do ensure that projects (project partners) have the same understanding of indicators as you? (programme manual, application stage, trainings)
- How do you monitor indicators? (monitoring system, checklists, feedback, calrifications, corrections)
- If applicable, how do you handle indicators which are „only“ aggregated at programme level? (responsibilities, collection, reporting)
- How do you limit the risks of errors when reporting in SFC? (documentation, checks, responsibilities)

Indicators in the reporting cycle



Last question of today - REPOSITORY

Repository objectives

- To investigate Interreg programme management practices used in the implementation of 2014-2020 programmes and identify unique and standard programme practices, which can be adopted by other programmes
- To present different models/techniques used for programme management tasks in an efficient and innovative way.

The purpose is...

...to present and share the programme management practices in an efficient way throughout the Interreg community.

Last question of today...

What kind of programme practices would you like to know in an easy way related to evaluation and monitoring?

...**practices**, not (or not entirely) regulated in other words practices, used/developed by programmes

Agenda – second day: 9:00-16:30

- Introduction, *Zintis Hermansons, ESPON EGTC*
- Theory of Change exercise + Territorial Impact Assessment (TIA) quick scan, *group exercise, Bernd Schuh (ÖIR), moderation and coordination*

Lunch break

- Theory of Change exercise + Territorial Impact Assessment (TIA) quick scan, *group exercise, Bernd Schuh (ÖIR), moderation and coordination*
- Wrap up of the event and upcoming events, *Interact*

Upcoming events:



6 November, Budapest, Hungary | Irregularities – How do we manage?

6-9 November, Florence, Italy | Interreg finance management camp

20-21 November, Lyon, France | Interreg project communication camp

22-23 November, Athens, Greece | Migration flows and integration policies (*together with ESPON Programme*)

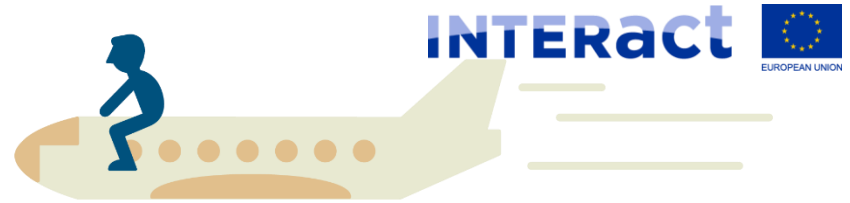
28 November, Brussels | Cooperating for investment, investing in cooperation

5 December, Vienna, Austria | Activating cultural heritage in Interreg

5-6 December, Bratislava, Slovakia | Monitoring systems network meeting

11-12 December, Berlin, Germany | Let's HIT the road again: Kick off meeting HIT2.0

Outlook evaluation events 2019



'Indicators post 2020' Informal working group meeting (Jan(Feb, tbc)

AIR and Performance Framework: Amsterdam, March 2018

Working on indicators post 2020

Capitalisation – Evaluation - Communication (June, tbc)

Update on operational and impact evaluation, September 2018

Cooperation works

We thank for your attention!

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