

Guidelines for *Ex post* Evaluation of the RDP 2007 – 2013 and emerging key issues for environmental impact evaluation

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This is a topic of great interest

INSIGHTS | PERSPECTIVES

Science, June 2014

AGRICULTURE POLICY

EU agricultural reform fails on biodiversity

Extra steps by Member States are needed to protect farmed and grassland ecosystems

TheObserver

Saturday 24 November 2012

British bird species 'face extinction' if EU cuts £8bn agriculture subsidy



Content

- Rural policy
- Why do we need to evaluate rural policy?
- Guidelines for the *ex post* evaluation:
 - Who are target groups?
 - What is the structure and the content?
 - What is new?
- Emerging key issues for environmental evaluations

EU rural policy

Is.....

- Highly important in **European identity**, development and cohesion;
- **Multi-stranded** and dealing with communities, social development, services, environmental quality, farm and forest development;
- Presenting very **different challenges in different places**;
- **Recognising the complexity** of the challenge;
- **Focusing** on collectively agreed limited number of **objectives**;
- **Complementary to national policies** that support rural development;
- Giving **“room for manoeuvre”** for member states following the subsidiarity principle.

What do we need?

- **Better accountability** demanded by society
- More **comparability** at the EU level
- Stronger **commitment** to effective evaluation by MSs
- Stronger **learning culture** in the evaluation community to understand better how RDPs are performing
- **Enhance** the design and implementation of the **CMEF** and **support evaluation stakeholders** to conduct the evaluation:

That support for the ex post evaluation is what we offer here

Ex post evaluation guidelines

Introduction

For everyone

Introduces

ex post evaluation
and its role in policy
cycle

Explains

the scope and focus
of *ex post* evaluation,
legal requirements
and common
evaluation elements

Part I

Mainly
Managing
Authorities

Introduces

the process of the
ex post evaluation,
steps to be conducted
and role of evaluation
stakeholders

Explains also
specificities with
respect to NRN

Part II

Mainly
Evaluators

**Discusses and
explains**

intervention logic,
evaluation questions,
indicators, methods
and data

Part III

Toolbox

Provides

additional practical
tools for *ex post*
evaluation preparing,
implementation and
reporting.

Introduction

For **everyone** who is reading the *ex post* evaluation guidelines

New structure

What is *ex post* evaluation for ?

What is *ex post* evaluation
Why do we need
specific guidelines
What are the target groups
and how they can use guidelines

Scope of the *ex post* evaluation

Policy objectives
Focus of evaluation
Legal framework
Common and programme-
specific elements

Content of Part I

Mainly for **Managing Authorities** to steer and manage
the *ex post* evaluation

Process of the *ex post* evaluation

Stakeholders
and their role
Key steps: planning,
implementing disseminating

Ex post evaluation of national rural network programmes

Purpose,
scope and process

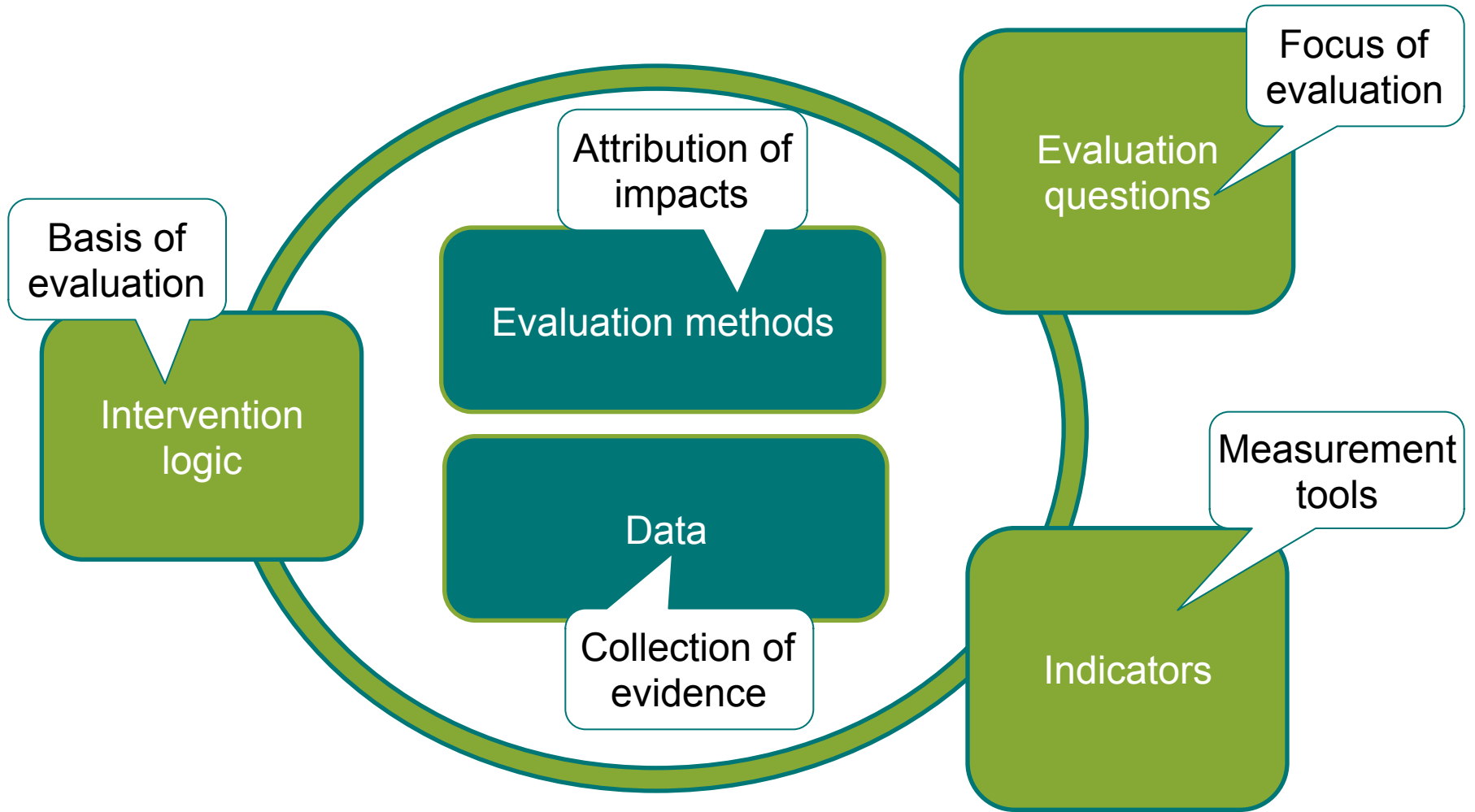
Part II - for whom?

Mainly for **evaluators** to conduct the evaluation

BUT also:

- **Managing Authorities** of RDPs to find useful information
 - for the preparation of ToR to select the evaluator,
 - in the stage of planning, preparing and steering the *ex post* evaluation
- Managing Authorities and **other rural development stakeholders involved in evaluation** (MC, evaluation steering groups, EC DO etc.) in assessing the quality of the *ex post* evaluation reports.
- **All** those who are **interested in the evaluation** of the EU rural development interventions.

Part II – what is in there?



- **What do we mean by intervention logic?**
 - EU rural policy and RDP intervention logic and its evolution over the time (e.g. Health check),
- **What are major challenges?**
 - Complexity of composition: overall, axis and operational objectives, measures, activities, expected outputs, results and impacts,
 - Looking beyond the visible - various types of IL (economy, public goods/bads, quality of life),
- **What shall be assessed?**
 - Relevance, coherence, unintended effects, efficiency,
- **How shall the intervention logic be assessed?**
 - Two stages in assessment: desk scrutiny, facilitated workshops.
- **Specificities with respect to TA and NRN**

Evaluation questions

- **The role of evaluation questions in *ex post* evaluation**

- Common and programme specific evaluation questions
- Evaluation question, judgment criteria, links to indicators: triangular consistency

New!

Revised set of common evaluation questions

- **Programme specific evaluation questions**
 - Role of programme specific evaluation questions
 - Development of programme specific evaluation questions and judgment criteria, links to indicators
- **How to use evaluation questions in *ex post* evaluation of RDP?**
 - In structuring, observing, analysing, judging, reporting
- **Specificities with respect to TA and NRN**

Revised set of common evaluation questions

New!

- **Original set** of 150 common evaluation questions of CMEF has been **simplified and reduced** to the essential demand for knowledge from the European perspective.

3 groups of CEQs

Programme-related:

Community strategic priorities
Health Check objectives
7 impact indicators
TA and NRN
Efficiency of RDP resources

Measure-related:

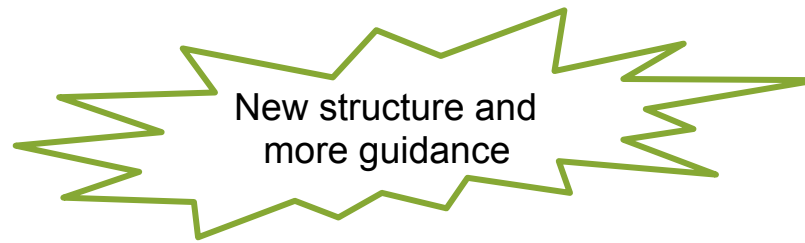
Contribution of
the measure
to its axis objectives
Other measure effects
and contribution
to other axes objectives

Leader approach-related:

Community strategic priorities:
Employment, diversification
and governance
Leader approach
LAG contribution
to LDS and RDP

- **The CMEF indicators in *ex post* evaluation**
 - Definitions, role and types of indicators (baseline, input, output, result and impact)
 - Values for indicators
- **Programme-specific indicators**
 - Existing indicators and development of new indicators
- **How to use indicators in evaluation of RDPs**
 - Balancing importance and measurability
 - Coherence with intervention logic, links to evaluation questions, methods and data,
 - Interpretation of values,
- **Specificities with respect to Leader**
 - **Examples of additional indicators linked to revised CEQ**
- **Specificities with respect to TA and NRN**





Methodological challenges in assessing programme effects

Distinction between **programme results and impacts**

Identification of main **programme effects – direct and indirect**

(leverage, deadweight, multiplier, displacement, substitution effects)

Identifying programme **net effects**

Distinction of positive and negative **externalities**, expected and unexpected programme effects

Identifying **factors distorting programme effects** (confounding factors, selection bias, self-selection bias, homogeneous and heterogeneous treatment effects, etc.)

Addressing methodological challenges

Using **counterfactual** in addressing methodological challenges

Evaluation **designs** (randomised, quasi-experimental, non-experimental)

Key **approaches to evaluation** (Theory based, quantitative, qualitative, mixed) – advantages, disadvantages, when to be used, various techniques to apply etc.

How to **select appropriate evaluation design** (quality standards, considering limits and constraints, e.g. resources)

Suggested methods in relation to the assessment of individual axes, TA, NRN and answering related evaluation questions

Data

- Major **challenges in data management** and collection during the evaluation of RDP
- Data needed for evaluation of **RDP results at beneficiary level**
- Data needed for evaluation of **RDP results and impacts at RDP level**
 - Economic
 - Environmental
 - Social
- Specificities with respect **TA and NRN**

Content of Part III – Toolbox

Objective trees as part of RDP intervention logic

New set of reviewed EQs

 New!

Outline of *ex post* evaluation report

Example of quality assessment grid for evaluation report based on the DG Agri assessment grid

Example outline of the technical specification of the ToR

Retro planning table the *ex post* evaluation

Examples of Leader-specific additional indicators

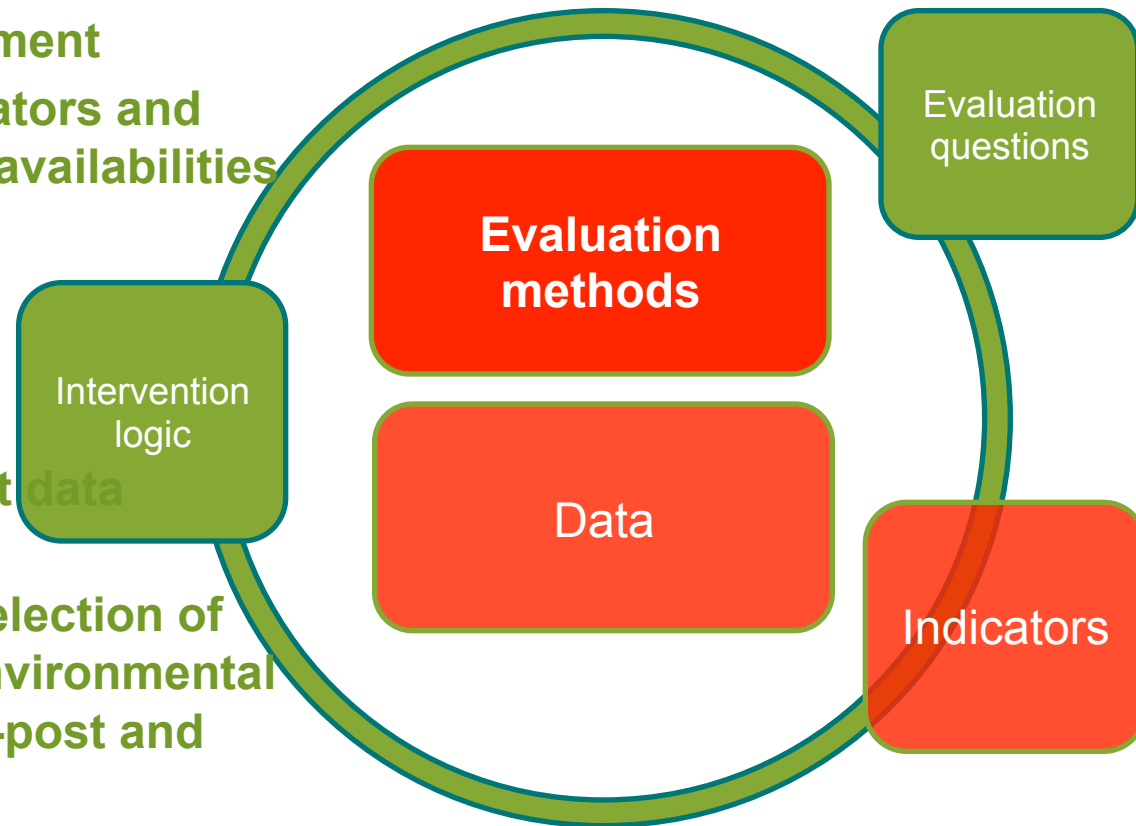
 New!

Examples of evaluation methods

Tool to identify data sources for evaluation

 New!

- To build on the guidance provided in the EENRD ex-post guidelines
- To identify particular challenges for environmental impact assessment
- To test a set of different indicators and methods under different data availabilities
- To provide guidance on how to deal with data gaps and the integration of different data sources
- To provide guidance on the selection of indicators and methods for environmental impact assessment for the ex-post and future evaluation exercises



Some key issues for environmental evaluation

- The EENRD guidelines are very detailed and useful, but a number of key issues or challenges remain for environmental impact assessments Workshop:
- How can ENVIEVAL address these issues, e.g. in the public good case studies?

Some key issues for environmental evaluation

Indicators

- **Current environmental result indicators remain an issue for environmental evaluations**
- **Indicator such as „Area under successful land management contributing to “ do not measure direct effects or environmental impacts at micro level**
- **Challenge to select and test alternative „result“ indicators which measure direct effects of RD measures**
- **Alternative „result“ indicators need to link to the assessment of programme impacts**

Some key issues for environmental evaluation

Indicators and data

- Indicators need to be used at an appropriate spatial scale which allows the impacts to be assessed
- Scale of policy measures and environmental impacts not necessarily the same
- Lack of environmental monitoring data at the right scale and coverage
- Data need to be available at such scales which allow to link environmental change to the success or failure of a measure

Some key issues for environmental evaluation

Counterfactual

- **Guidelines put great emphasis on advanced counterfactual approaches**
- **How to deal with counterfactuals when data availability is limited?**
- **How to deal with counterfactuals when policy measures have been taken up across (nearly) a whole programme area and have existed for a long time?**
- **How to select the most suitable method to measure and assess environmental impacts in combination with different counterfactual approaches?**

Some key issues for environmental evaluation

Net impacts

- Net impacts are evaluated from a combination of direct effects and a range of indirect effects at micro and macro level
- How to explicitly consider indirect effects in methods for environmental impact assessment?
- For which environmental aspects is this particularly problematic?
- Which role can qualitative methods play in the assessment of environmental net impacts at macro level? with different counterfactual approaches?

Some key issues for environmental evaluation

- **Setting the scene for our discussions in the next sessions today and tomorrow:**
 - Are the identified issues key challenges for your ex-post evaluations?
 - How can ENVIEVAL address these issues?

Thank you for your attention!



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