



Framework Agreement for the Evaluation of Structural Instruments during 2011-2015

Lot 2 - Capacity Building in the Field of Evaluation

Subsequent Contract no. 1/45/12 of 18.04.2012

Examination of the evaluation culture, SMIS 43465

Ministry of European Funds

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania

Third measurement cycle

September 2014

Data control sheet

Prepared by:

Ernst & Young

Approved by:

Claudia Gallo, Team Leader, Ernst & Young

Date:

29.09.2014

Version:

Version 2

Modifications:

Version	Date	Summary of modifications
1	06.08.2014	
2	29.09.2014	

To be approved by:

Ms. Mihaela Toader, General Director of the General Direction Analysis, Programming and Evaluation

Included in the Distribution List:

Name	Function
Diana Iacob	Contract Manager

Table of content

LIST OF ACRONYMS	6
EXECUTIVE SUMMARY	7
CHAPTER 1 INTRODUCTION	9
1.1. CONTEXT OF THE PROJECT.....	9
1.2. DEFINITION OF EVALUATION CULTURE AND ITS DIMENSION	10
1.3. FIRST ANNUAL MEASUREMENT RESULTS.....	13
1.4. SECOND ANNUAL MEASUREMENT RESULTS.....	14
1.5. CONTENT OF THE REPORT	15
CHAPTER 2 THIRD ANNUAL MEASUREMENT OF EVALUATION CULTURE	16
2.1. REVISED METHODOLOGY	16
2.2. RESULTS AT THE LEVEL OF ECI, DIMENSIONS AND CRITERIA.....	18
2.2.1. <i>Overall results by dimension</i>	18
2.2.2. <i>Results by criteria</i>	19
2.2.3. <i>Results by sub-criteria and indicators</i>	19
2.3. RESULTS BY OPERATIONAL PROGRAMME.....	29
2.4. COMPARISON BETWEEN THE THREE ANNUAL MEASUREMENT RESULTS	30
CHAPTER 3 ANALYSIS OF KAI 1.2 “EVALUATION” OF OPTA	40
3.1. OVERVIEW OF THE METHODOLOGY	40
3.2. IMPACT OF KAI 1.2 ON ECI, DIMENSIONS AND CRITERIA	40
3.3. RESULTS BY CRITERIA	41
3.4. RESULTS BY SUB-CRITERIA AND INDICATORS.....	42
3.5. COMPARISON BETWEEN THE THREE ANNUAL MEASUREMENT RESULTS	49
CHAPTER 4 OVERALL CONCLUSIONS AND RECOMMENDATIONS	50
ANNEXES	57
ANNEX 1 - DOCUMENTS ANALYZED	58
ANNEX 2 - EVALUATION REPORTS PLANNED THROUGH MEPS AND THEIR AVAILABILITY ON THE EVALUATION LIBRARY	63
ANNEX 3 - MASTER QUESTIONNAIRE DISTRIBUTED TO THE MEMBERS OF THE RESEARCH PANEL THROUGH THE E-SURVEY TOOL	73
ANNEX 4 - NUMBER OF RESPONDENTS TO THE E-SURVEY	85
ANNEX 5 - INTERNATIONAL BENCHMARKING QUESTIONNAIRE	86
ANNEX 6 - FOCUS GROUP WITH ASSOCIATION FOR THE DEVELOPMENT OF EVALUATION IN ROMANIA (ADER)	87
ANNEX 7 - VALIDATION FOCUS GROUP ON PRELIMINARY MEASUREMENT RESULTS	88
ANNEX 8 - DISSEMINATION EVENT	90
ANNEX 9 - FACTSHEET ON REGULATORY IMPACT ASSESSMENT (RIA)	92
ANNEX 10 - SCORING METHODOLOGY FOR ICE	95
ANNEX 11 - SCORING METHODOLOGY FOR IMPACT OF KAI 1.2	131

List of Tables and Figures

<i>Figure 1 – The Evaluation Culture Measurement Index Framework</i>	16
<i>Figure 2 - Overall Index and results by dimensions</i>	18
<i>Figure 3 – Results of evaluation culture by criteria</i>	19
<i>Figure 4 – The architecture of the evaluation, by sub criteria</i>	21
<i>Figure 5 – Financial and Human Resources allocated to Evaluation, by sub-criteria</i>	21
<i>Figure 6 – Quality of the monitoring system, by sub-criteria</i>	22
<i>Figure 7 – Evaluation function efficiency and effectiveness, by sub-criteria</i>	23
<i>Figure 8 – Socio-economic data availability and reliability, by sub-criteria</i>	24
<i>Figure 9 – Availability and quality of evaluation expertise, by sub-criteria</i>	25
<i>Figure 10 – Use of evaluation results, by sub-criteria</i>	26
<i>Figure 11 – Networking, by sub-criteria</i>	28
<i>Figure 12 – Civil society and mass media, by sub-criteria</i>	28
<i>Figure 13 – Results by Operational Programme</i>	30
<i>Figure 14 – ECI achieved score – comparison between measurement cycles at dimension level</i>	31
<i>Figure 15 – ECI achieved score under the criterion 1 – comparison between measurement cycles at sub-criteria level</i>	31
<i>Figure 16 – ECI achieved score under the criterion 2 – comparison between measurement cycles at sub-criteria level</i>	32
<i>Figure 17 – ECI achieved score under the criterion 3 – comparison between measurement cycles at sub-criteria level</i>	32
<i>Figure 18 – ECI achieved score under the criterion 4 – comparison between measurement cycles at sub-criteria level</i>	33
<i>Figure 19 – ECI achieved score under the criterion 5 – comparison between measurement cycles at sub-criteria level</i>	34
<i>Figure 20 – ECI achieved score under the criterion 6 – comparison between measurement cycles at sub-criteria level</i>	34
<i>Figure 21 – ECI achieved score under the criterion 7 – comparison between measurement cycles at sub-criteria level</i>	35
<i>Figure 22 – ECI achieved score under the criterion 8 – comparison between measurement cycles at sub-criteria level</i>	35
<i>Figure 23 – ECI achieved score under the criterion 9 – comparison between measurement cycles at sub-criteria level</i>	36
<i>Figure 24 – ECI achieved score under the criterion 10 – comparison between measurement cycles at sub-criteria level</i>	36
<i>Figure 25 – ECI achieved score under the criterion 11 – comparison between measurement cycles at sub-criteria level</i>	37
<i>Figure 26 – ECI achieved score under the criterion 12 – comparison between measurement cycles at sub-criteria level</i>	37
<i>Figure 27 – ECI achieved score under the criterion 13 – comparison between measurement cycles at sub-criteria level</i>	38
<i>Figure 28 – ECI achieved score under the criterion 14 – comparison between measurement cycles at sub-criteria level</i>	38
<i>Figure 29 – ECI achieved score under the criterion 15 – comparison between measurement cycles at sub-criteria level</i>	39
<i>Figure 30 – ECI achieved score under the criterion 16 – comparison between measurement cycles at sub-criteria level</i>	39
<i>Figure 31 – Overall impact of KAI 1.2, by dimensions</i>	41
<i>Figure 32 – Impact of KAI 1.2, by criteria</i>	41
<i>Figure 33 – The architecture of the evaluation: impact of KAI 1.2</i>	42
<i>Figure 34 – Financial and Human Resources allocated to Evaluation: impact of KAI 1.2</i>	43
<i>Figure 35 – Quality of monitoring system: impact of KAI 1.2</i>	43
<i>Figure 36 – Evaluation function efficiency and effectiveness: impact of KAI 1.2</i>	44
<i>Figure 37 – Availability and quality of evaluation expertise: impact of KAI 1.2</i>	45
<i>Figure 38 – Use of evaluation outputs: impact of KAI 1.2</i>	46
<i>Figure 39 – Civil society and mass media: impact of KAI 1.2</i>	48
<i>Figure 40 – KAI achieved score – comparison between measurement cycles at dimension level</i>	49
<i>Figure 41 – Structure of conclusions and recommendations table</i>	50
<i>Figure 42 – Number of respondents to the e-survey</i>	85
<i>Figure 43 - Regulatory policy cycle and better regulation instruments</i>	94

<i>Table 1 - Evaluation Culture and Evaluation Capacity: key elements</i>	<i>12</i>
<i>Table 2 – ECI: sources of information</i>	<i>17</i>
<i>Table 3 – “Top Performing” and “Least Performing” Criteria</i>	<i>19</i>
<i>Table 4 – Impact of KAI 1.2: sources of information</i>	<i>40</i>
<i>Table 5 - Conclusions of the annual measurement and recommendations for improvement</i>	<i>51</i>
<i>Table 6 – Regulatory Impact Assessment analytical steps</i>	<i>93</i>

List of Acronyms

EC	European Commission
ECI	Evaluation Culture Measurement Index
ECU	Evaluation Central Unit
ESF	European Social Fund
ESIF	European Structural and Investment Funds
ESC	Evaluation Steering Committee
EU	European Union
EQ	Evaluation Question
EWG	Evaluation Working Group
KAI	Key Area of Intervention
IB	Intermediate Bodies
MA	Managing Authority
M&E	Monitoring and Evaluation
MEF	Ministry of European Funds
MU	Measurement Unit
NGO	Non-Government Organisation
NIS	National Institute for Statistics
NSRF	National Strategic Reference Framework
OP	Operational Programme
PA	Partnership Agreement
RIA	Regulatory Impact Assessment

Executive Summary

This report has been prepared by Ernst & Young and presents the results of the third annual measurement of the diffusion of evaluation culture within the Romanian Structural Instrument System and the assessment of the impact of Key Area of Intervention 1.2 "Evaluation" of Operational Program Technical Assistance in supporting evaluation culture diffusion.

The current level of diffusion of the evaluation culture is measured through **indicators, criteria and sub criteria** that are aggregated in **4 dimensions** (*demand side, supply side, dissemination/utilization of evaluation results, institutionalization of the evaluation culture*).

The third annual measurement reveals a **good diffusion of evaluation culture** with an average achievement of the Evaluation Culture Measurement Index based on all indicators of 59% out of 100%.

More specifically, as regards the **demand side of evaluation**, the analysis shows that this dimension is generally performing well (57%) although a bit lower than the **supply side** (63%). Concerning criteria:

- ▶ The architecture of the evaluation system (**criteraion 1**) has an overall achievement above average, due to the good coordination of "evaluation responsibilities";
- ▶ The human resources allocated to evaluation are sufficient, but there is room for improvement concerning the allocated financial resources (**criteraion 2**); Operational Programmes allocated, on average, 0.12% of their budget to evaluation;
- ▶ The quality of the monitoring system is considered adequate and able to provide timely information (**criteraion 3**);
- ▶ There are evaluation plans and assignments effectively managed by Evaluation Steering Committees set-up at Programme level, together with evaluation standards aligned with the European Union Level and operational procedures for the design, implementation and use of evaluation evidence (**criteraion 4**);
- ▶ Socio-economic data are available in a timely manner, although micro-data at beneficiary level are only partially available (**criteraion 5**);
- ▶ National and international companies that provide evaluation services and are present on the Romanian market possess the required thematic and methodological expertise. Beneficiaries and Evaluation Steering Committees play an important role in improving the quality of evaluation reports through the use of quality assessment grids (**criteraion 6**).

Although these criteria generally perform well, the analysis shows that there are areas of improvement. Looking at the programming period 2014-2020, the following **Recommendations** apply:

How to improve the evaluation capacity	
R.1	Ensure availability of resources to support activities consistent with Evaluation Culture Measurement Index under future.
R.2	Ensure continuity in role of Evaluation central Unit.
R.3	Plan new measurement cycles with intervals adequate to capture the impact of the Operational Programme Technical Assistance actions.
R.4	Support an international benchmarking study on organizational aspects of evaluation function.
R.5	Identify 2007-2013 indicators to be used in 2014-2020 and assess reliability and consistency across Operational Programmes and improvement.
R.6	Support the structuring and animation of Evaluation Working Group subgroups focusing on specific themes and on regular update of evaluation related documents.
R.7	Support a project in collaboration with National Institute of Statistics to develop a statistical baseline for counterfactual analyses and review information needed to construct socio-economic indicators to be used to capture impacts.
R.8	Ensure complementarity with Operational Programme Human Capital to finance training and educational options in the field of evaluation for supply side.

The dimension of the evaluation system related to the **dissemination and utilization of evaluation results** is also performing adequately (65%). On the other hand, the **institutionalization of the evaluation culture** is the least performing dimension (49%). At criteria level:

- ▶ Evaluation reports are publicly available, public debates have been organized in order to present and discuss evaluation findings and there is a positive tendency in organizing wide dissemination events for presenting evaluation evidence (**critterion 7**);
- ▶ Effective procedures exist to foster use of evaluation results and for follow-up on the implementation of evaluation recommendations (**critterion 8**);
- ▶ Evaluation is considered to be an important part for achieving success at institutional level, with a clear understanding and respect of the requirement of independency (**critterion 9**);
- ▶ The European Union Legal provisions have been transposed into the Romanian Legal Framework (**critterion 10**) which regulates evaluation activities and provides additional requirements for the preparation of multi-annual evaluation plans. However within the Romanian legal framework there are some elements that hamper evaluation (e.g. public procurement rules, national ordinances on staff hire and rules on expense eligibility);
- ▶ The quality/expertise of the human resources involved in evaluation activities (**critterion 11**) is above the Evaluation Culture Measurement Index average, with the presence of some evaluation champions (e.g. persons supporting the evaluation process) both at Operational Programme and National Strategic Reference Framework level;
- ▶ The number of evaluations triggered in response to a need of knowledge is lower than in other member states (**critterion 12**); there is room for improvement among policy makers, even if capacity building projects financed by Key Areas of Intervention 1.2 are already addressing this goal;
- ▶ The contribution of the national organization of evaluators to the dissemination of good practices (**critterion 13**), as well as the level of participation of the civil society in evaluation related activities and the number of public events organized per year (**critterion 14**) are considered rather limited;
- ▶ Romanian indicators of the World Bank Index position Romania above the average for most indicators on the **governance effectiveness** (**critterion 15**);
- ▶ The participation of civil servants (other than those dedicated to evaluation) in evaluation activities has room for improvement as well as the availability of training options on the market (especially as concerns those provided by academia) and the level of internalization of evaluation by institutional stakeholders (**critterion 16**).

Some areas of improvement have been identified and the following recommendations have been provided:

How to improve the evaluation culture	
R.6	Support a study aimed at identifying the most appropriate forms of communication towards Structural Instruments stakeholders.
R.7	Continue embedding in evaluation projects wide communication events and publishing evidences on evaluation library.
R.8	Regularly discuss within the Evaluation Working Group the follow-up on recommendations.
R.9	Continue performing communication activities especially targeted to policy makers and the civil society
R.10	Ensure complementarity with Operation Programme Human Capital to finance training and educational options in the field of evaluation for demand side and capacity development actions for academia.
R.11	Support the organization of an international conference aimed at exchanging experiences on "Impact of evaluation evidences on policy making process".
R.12	Support pilot on Regulatory Impact Assessment.

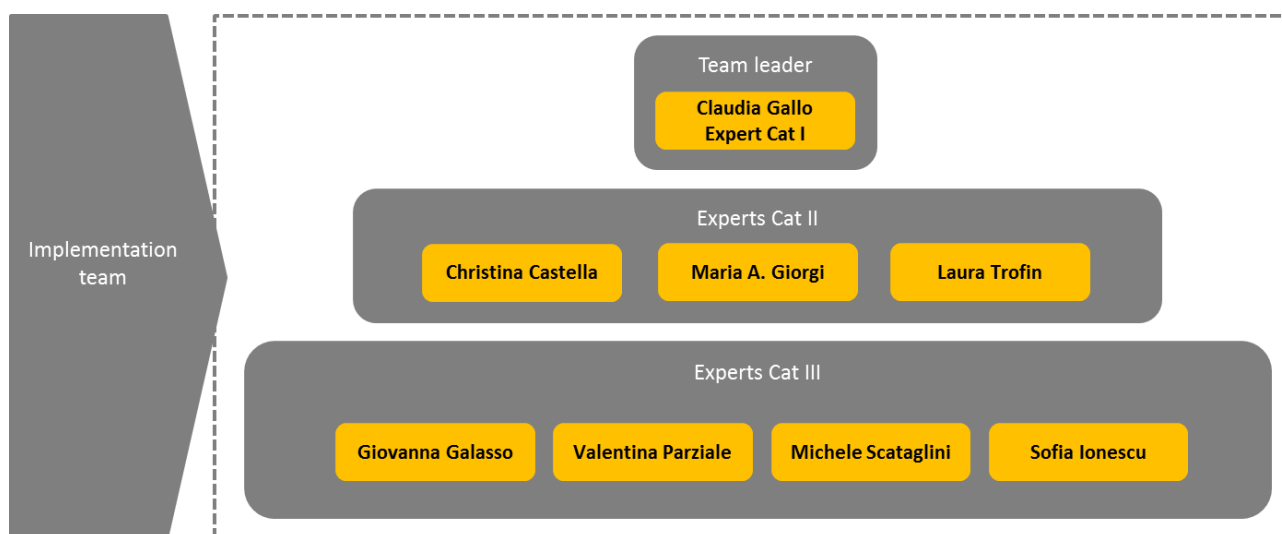
Chapter 1 Introduction

1.1. Context of the project

The project *“Examination of the evaluation culture”* is financed under the Operational Programme Technical Assistance (OPTA), within the *“Framework Agreement for evaluation of Structural Instruments during 2011-2015 - Lot 2 Capacity Building in the Field of Evaluation”*. The total value of the contract is 1,023,868 RON, including the incidental expenditure.

The beneficiary is the Central Evaluation Unit of the Ministry of European Funds and the above mentioned Framework Agreement is part of the projects financed under KAI 1.2 of the Operational Programme Technical Assistance in order to enhance the development of a common evaluation culture.

The implementation team includes experts with relevant experience in the evaluation of policies and programmes financed from EU funds and information management systems for Structural Instruments:



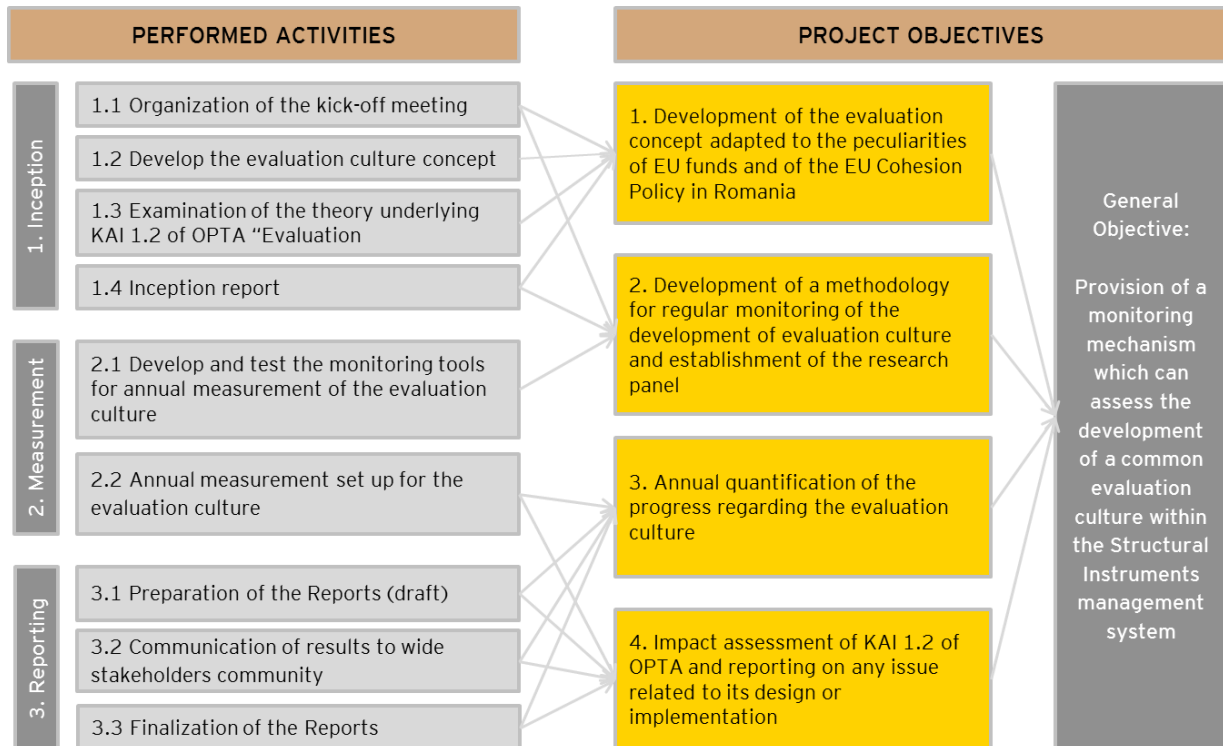
The project stems from the OPTA interim evaluation, completed in September 2010, according to which the evaluation culture concept in Romania is not tailored for the specificities of Structural Instruments and thus it is necessary to develop a monitoring mechanism which may assess and estimate the development of the evaluation culture related to Structural Instruments, both in qualitative and quantitative terms.

The **overall objective** of the project is to contribute to the improvement of the quality, efficiency and consistency of KAI 1.2 “Evaluation” of OPTA through the **provision of a monitoring mechanism** which can assess the level of achievement of the key area of intervention, namely the development of a common evaluation culture within the Structural Instruments management system, both in quantitative and qualitative terms.

The **specific objective** of this subsequent contract is to support the Evaluation Central Unit (ECU) and the MA of the OPTA in the:

- ▶ Development of the evaluation concept adapted to the peculiarities of EU funds and of the EU Cohesion Policy in Romania
- ▶ Examination of the theory underlying the strategy of KAI 1.2 of OPTA and reporting on any issue related to its design or implementation
- ▶ Development of a methodology for regular monitoring of the development of evaluation culture and establishment of the research panel
- ▶ Annual quantification of the progress regarding the evaluation culture

Within the project, the Evaluation Team measured the diffusion of Evaluation Culture within the System of Structural Instruments in Romania and monitored its progress through three Annual Measurement cycles, between 18.04.2012 and 17.10.2014. The graph below illustrates the activities performed by the Evaluation Team and the contribution towards achieving the project objectives:



The progress of the Project was monitored through 5 Interim Reports:

- ▶ Interim report 1 (related to first evaluation cycle): included in the annex the methodological document and the measurement report for the first evaluation cycle
- ▶ Interim report 2 (related to second evaluation cycle): included in the annex the methodological document for the second evaluation cycle
- ▶ Interim report 3 (related to second evaluation cycle): included in the annex the evaluation report for the second evaluation cycle
- ▶ Interim report 4 (related to third evaluation cycle): included in the annex the methodological document for the third evaluation cycle
- ▶ Interim report 5 (related to third evaluation cycle): included in the annex the measurement report for the third evaluation cycle

The first cycle was completed with the approval of the First Annual Measurement Report in February 2013. The second cycle was completed with the approval of the Second Annual Measurement Report in November 2013. The present document, the third Annual Measurement Report, illustrates the results of the third cycle of evaluation and the overall conclusions of the project.

1.2. Definition of Evaluation Culture and its dimension

The literature review concerning the concept of evaluation culture has brought a series of aspects into light, widely acknowledged by all sources analysed. The discourse on evaluation culture stems in most sources from:

- ▶ the main purposes of evaluation, e.g. accountability and learning

- ▶ the strong links existing between the concept of evaluation culture and the overall administrative capacity of a country and the maturity of its democracy, these elements being distilled in the last years in the “good governance concept” (e.g. the “environment” of the evaluation “system”)

Several sources identify levels of “maturity” of evaluation culture and debate upon the influence that endogenous vs. exogenous inputs has had on it. Generally it is argued that evaluation culture is stronger in countries where this has been fostered bottom-up. However, external inputs, including especially the ones under the EU Cohesion Policy, have had an important impact, stronger in southern, central and eastern European countries.

From the literature it is clearly shown that evaluation culture is “constructed” as a result of internal and/or external factors and it is an incremental process, where evaluation “champions” are often the determining factor in pushing forward the process.

Some sources subsume culture to capacity (EC, US GAO - Government Accountability Office) while academic literature argues that the two do not contain, but rather reinforce each-other. However, the “chicken-and-egg” dilemma (where the cycle needs to start/starts, with “culture” or with “capacity”) is solved to a more limited extent - De Peuter and Pattyn being an exception in this respect.

No clear delineation is possible between the two concepts; moreover, further than using them as interchangeable, a myriad of other “concepts” are spread all over literature, without being clearly defined, e.g. evaluation “system”, “policy”, “practice”, “process”, “procedures”, “capabilities”, even “innovation”, but used with different meanings.

Although particular attention is given to the sources available after 2008, no major shifts were identified in defining and using the two concepts in comparison with the benchmark framework developed by the European Commission which is still valid to a large extent.

To conclude on the literature review, in terms of clear-cut “definitions”, De Peuter and Pattyn’s (2008) seem to be the most accurate and easy to use:

- ▶ **Evaluation culture** is the pattern of shared beliefs and values of policy makers and evaluators which provide them with rules for behaviour that lead towards a practice of evaluation¹;
- ▶ **Evaluation capacity** is associated with “more operational aspects and components which are deemed necessary for conducting an evaluation. In that sense, evaluation capacity is strongly linked to the evaluation practice itself. They both relate to personnel related issues as well as technical facilities and instruments in support of evaluation”.

Without trying to replicate/double the effort made by De Peuter and Pattyn, in order to reach the overall objective of the project:

- ▶ Firstly, the elements identified as being related to each of the two concepts were collected from literature;
- ▶ Secondly, overlapping elements within each concept were eliminated, clearing out from the “capacity” concept all elements presented in literature as “culture” related;
- ▶ Thirdly, the elements were organized in “clusters” which were also labelled (see Table 1).

The purpose of this third step was not to replace the work done at EU level (e.g. EC benchmarking framework and EVALSED) but to:

1. Differentiate (artificially in some cases) between “culture” and “capacity”;

¹ Stemming from Davies (1984) definition of “culture”: “culture is the pattern of shared beliefs and values that give members of an institution meaning, and provide them with the rules for behaviour in their organisation”

2. Have an extensive list of elements related to the two concepts in order to adequately and comprehensively design an evaluation culture measurement index to be used for measurement purposes.

As it can be seen in the table below, different elements can actually be assigned to different levels of the 4 identified by EVALSED (evaluation demand, evaluation supply, evaluation architecture, institutionalization of evaluation) and other sources (e.g. individual, institutional, inter-institutional and societal), or to more than one level but differentiated in each case:

Table 1 - Evaluation Culture and Evaluation Capacity: key elements

Evaluation culture	Evaluation capacity
<p>CONTEXT - GOOD GOVERNANCE</p> <ol style="list-style-type: none"> 1. democratic and competitive political system and decentralised policy-making process; 2. a thriving social science community or communities and, within this, a university system that is hospitable to the social sciences; 3. a sizeable group of social scientists who are interested in conducting policy-oriented research; 4. strong empirical traditions; 5. strong civil society and involved mass media; <p>MENTAL FRAMEWORK/VALUES (ALSO CONTEXT)</p> <ol style="list-style-type: none"> 1. a commitment (also at political level) to self-examination, to learning and improving through analysis and experimentation, to evidence-base policy and accountability, to "measurement-oriented "performance culture"/ "managing" for results"/performance-based framework; 2. no blame-culture which discourages learning (both ways, evaluation does not blame and evaluation results are not interpreted as blame); 3. evaluation is accepted, welcomed, encouraged and valued as an essential part of achieving success; 4. independency of evaluation 5. awareness of intrinsic value of evaluation <p>...APPLIED IN LEGAL PROVISIONS</p> <ol style="list-style-type: none"> 1. legal embedding of evaluation 2. the existence of an evaluation policy that expresses the commitment of leadership or the organization to learning, accountability, and evaluation principles, designed in an open and collective manner; 3. determining an institutional framework for evaluation which ensures that a system exists to implement and safeguard the independence, credibility, and utility of the evaluation. <p>...APPLIED AT HUMAN RESOURCES LEVEL</p> <ol style="list-style-type: none"> 1. policymakers educated, specialised and with professional background connected to 	<p>INPUT - what you need to carry out evaluations</p> <ol style="list-style-type: none"> 1. data quality 2. skills/analytic expertise 3. human resources (internal and external) 4. financial resources 5. instruments 6. methods and standards <p>FRAMEWORK - how you obtain/ensure what you need to carry out evaluations</p> <ol style="list-style-type: none"> 1. Architecture: "how evaluation systems are organised and coordinated" including coordination through a network of dedicated evaluation units or functions which should ensure consistency in evaluation; 2. Focus on national and sector levels, as well as central and local levels; 3. Data collection mechanisms; 4. Recruitment, training, professional development provisions, legal rules (e.g., regulating employment), normative assumptions (e.g., about equal opportunities or open competition); 5. Provisions for effectively organising timely, high-quality evaluations, including for public procurement and for other necessary instruments; 6. Provisions for accessible evidence base and an organisational memory; 7. Diffusion and feedback mechanisms; 8. Articulated policies and regulatory activity; 9. Development of concepts and tools, including capacities to keep score on development effectiveness and quality assessment 10. Coupling with policy and management decisions (dialogues between policy makers and evaluation specialists). <p>PRACTICE</p> <ol style="list-style-type: none"> 1. evaluation routinely undertaken; 2. regular flow of evaluations; 3. well-defined market (re supply side).

-
- evaluation;
 2. civil servants trained in the social sciences (as opposed to strict legal training);
 3. participation in M&E activities;
 4. M&E champions present;
 5. ownership of evaluation.

..APPLIED IN PRACTICE

1. the integration, in all political field and at all levels of administration and government, of evaluation into management strategies and practices;
2. triggering demand of evaluation in response to the need for empirically based knowledge and use the evaluative evidence to inform decision-making;

NETWORKING (INTER-INSTITUTIONAL TIES) FOR ENHANCING

1. existence of a professional society which strives towards greater professionalism in evaluation within which multiple competent evaluators exchange their experiences, define their best practice and where standards are set;
 2. the presence of institutions that bridge the academia-government gap;
 3. presence and involvement of international professional networks.
-

Source: elaboration of Commission Study "Developing Evaluation Capacity"

1.3. First annual measurement results

The results of the first measurement revealed a good diffusion of evaluation culture within the Structural Instruments management system, with some elements and dimensions performing better than others.

As regards the **demand side of the evaluation system**, the analysis showed that this dimension was generally performing well. Evaluation Units, organized at Programme level, were coordinated by the Central Evaluation Unit, and worked in close collaboration within the Evaluation Working Group; the financial and human resources allocated to evaluation were adequate and in line with the international levels; the quality of the monitoring system was considered adequate and able to provide timely information, even with some areas of improvement at NSRF Level; and, finally, the evaluation plans and assignments were effectively managed by Evaluation Steering Committees (ESCs) set-up at Programme level, together with evaluation standards aligned with the EU Level and operational procedures for the design, implementation and use of evaluation evidence.

The results of the diffusion of the evaluation culture in the **supply side of the evaluation system** were satisfactory, although a bit lower than for the demand side: national and international companies providing evaluation services were present on the Romanian market and possessed the required thematic and methodological expertise; also, in terms of information, socio-economic data were available in a timely manner, although micro-data at beneficiary level were only partially available.

The dimension of the evaluation system related to the **dissemination and utilization of evaluation results** was also performing adequately. Evaluation reports were publicly available, public debates have been organized in order to present and discuss evaluation findings and there was a positive tendency in organizing wide dissemination events for presenting evaluation evidence. Moreover, in order to support the use of evaluation results and make the best use of them, the system had put in place procedures to

address them and defined actions for follow-up. This supported a use of evaluation results that was considered as having a considerable impact.

The last dimension of the evaluation system that has been considered, the **institutionalization of the evaluation culture**, was the least performing one. As related to the mental framework, evaluation was considered to some extent an essential part for achieving success at institutional level, with a clear understanding and respect of the requirement of independency. Nonetheless, given that the number of evaluations triggered in response to a need of knowledge was lower than in other member states, there was still room for improvement among policy makers, even if capacity building projects financed by KAI 1.2 were already addressing this goal.

The quality/expertise of the **human resources** involved in evaluation activities was in line with the average of the index, with the presence of some evaluation champions (e.g. persons supporting the evaluation process) both at OP and NSRF level. Nonetheless, the degree of participation of civil servants (other than those dedicated to evaluation) had room for improvement as well as the availability of training options (especially as concerns those provided by academia) on the market and the level of internalization of evaluation by institutional stakeholders.

The institutionalization of the evaluation culture was weak also looking at the **network** created with external stakeholders/players. The contribution of the national organization of evaluators to the dissemination of good practices, as well as the level of participation of the civil society in evaluation related activities and the number of public events organized per year, were low. Even if cooperation between Institutional stakeholders, the academia and the supply side has been established, up to the date of the report, the involvement of the academia was very limited.

Of course, talking about institutionalization of the evaluation culture, the general legislative context and the general quality of the Public Administration, as facilitating factors for the diffusion of a common evaluation culture, have been investigated. From a **legislative point of view**, the national legal provisions regulating evaluation were the transposition of the EU Legal Framework and provide for the additional requirement of preparation of evaluation plans. There were though elements of the Romanian legal framework hampering evaluation, in particular public procurement rules, national ordinances on staff hired and rules on expense eligibility. As for the general governance, Romanian indicators of the World Bank Index positioned Romania above the average for most indicators but the **governance effectiveness**.

1.4. Second annual measurement results

The second measurement cycle continued to reveal a satisfactory diffusion of evaluation culture within the management of Structural Instruments, improvements being achieved only for some analysed elements and dimensions.

With regards to the **demand side of the evaluation system**, the evaluation framework established at the beginning of the programming period contributed to the general good results: evaluation activities were performed for all operational programmes under the coordination of the Central Evaluation Unit and the human resources allocated to evaluation were adequate both in terms of number and skills; financial resources were considered, however, insufficient, if compared to countries with higher allocations, such as Italy and France. The efficiency and effectiveness of the evaluation function were overall satisfactory, evaluation projects being planned through specific annual and multi-annual plans.

The **supply side of the evaluation system** was better perceived in terms of expertise and quality of evaluation reports, compared to the first year measurement. According to the EWG representatives, the use of quality checklists played an important role in achieving this good performance. On the other side, the evaluation market remained partially competitive, since small firms were generally not encouraged to participate in public tenders due to the very restrictive requirements, and evaluations were attributed to a limited number of players.

The dimension related to the **dissemination and use of evaluation results** continued to perform adequately. Evaluation reports were publicly available on the *Evaluation library*² and findings were usually presented and discussed with the wide community of stakeholders, by means of public debates. Moreover, as evidenced in the first year measurement, in order to support the use of evaluation results and make the best use of them, the system had put in place procedures to address them and defined actions for follow-up. This supported the use of evaluation results that were considered as having a considerable impact.

Within the **institutionalization of evaluation culture** dimension, the analysis reflected a performance below the ECI average. The problems identified in the first year measurement persisted also during the second cycle: the number of evaluations triggered in response to a need of knowledge was lower than in other member states; the degree of participation of civil servants, other than those dedicated to evaluation, was rather limited; the available training options for public policy evaluators did not accommodate the identified needs; and the legislative framework included a number of hampering elements, in particular relating to public procurement rules, national ordinances on staff hired and rules on expense eligibility.

1.5. Content of the report

This report represents the Third Annual Measurement of the Evaluation Culture and includes according to the Terms of Reference:

- ▶ An analysis of the current state of evaluation culture within the framework of Structural Instruments in Romania, consisting in the measurement of the achievement of evaluation culture among the structures involved in the management of Structural Instruments based on the Evaluation Culture Measurement Index (ECI)
- ▶ And an analysis of the impact of KAI 1.2 on the level of diffusion of evaluation culture

The Report is structured in four chapters:

- ▶ **Chapter 1:** provides a description of the context of the project and of this report
- ▶ **Chapter 2:** provides an analysis of the current state of evaluation culture within the framework of Structural Instruments in Romania
- ▶ **Chapter 3:** provides an analysis of KAI 1.2 of OPTA in terms of impact of the overall score of ECI
- ▶ **Chapter 4:** contains a set of conclusions based on the findings included in Chapter 2 and 3, a comparison of the results of the three measurement cycles and proposals for development of the future activities of KAI 1.2

² Starting from January 2013, the Ministry of European Funds has made available for decision-makers and for the wide public a centralized Evaluation Library, containing evaluation reports carried out both at OP and NSRF level, which can be consulted on-line on the web page www.evaluate-structurale.ro. This instrument for managing the evaluation results has been deployed under the project *Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania*, financed through KAI 1.2.

Chapter 2 Third annual measurement of evaluation culture

2.1. Revised methodology

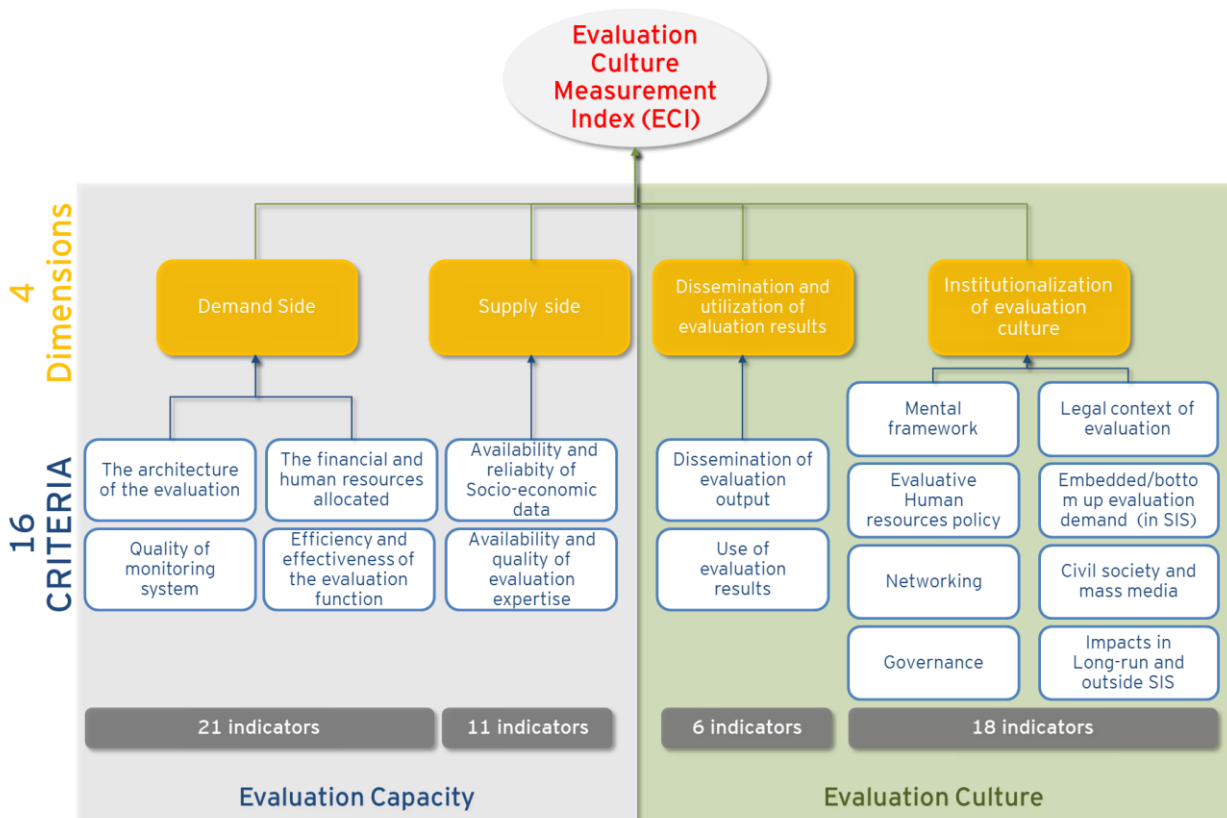
The framework presented in the previous section has been the starting point for the development of a tool aimed at measuring the achievement of evaluation culture among the structures involved in the management of Structural Instruments. Such tool, the **Evaluation Culture Measurement Index (ECI)**, includes an “artificial” distinction between:

- ▶ Evaluation Culture as “*the pattern of shared beliefs and values of policy makers and evaluators which provide them with rules for behaviour that lead towards a practice of evaluation*”
- ▶ Evaluation Capacity as “*more operational aspects and components which are deemed necessary for conducting an evaluation*”

The revised version of the ECI is composed of 4 dimensions, 16 criteria, 32 sub-criteria and 56 indicators:

- ▶ **Dimensions** represent the main components of the Evaluation System, e.g. Demand side, Supply side, Dissemination and utilization of evaluation results, Institutionalization of Evaluation Culture
- ▶ **Criteria** and **sub criteria** are related to both capacity and culture and capture peculiarities of the development process of the Romanian Structural Instruments System (SIS)
- ▶ **Indicators** are the relevant elements - related to both capacity and culture used to assess Evaluation Culture among stakeholders of Romanian Structural Instruments

Figure 1 - The Evaluation Culture Measurement Index Framework



Compared to the previous measurement exercise and respecting the comparability of results, the following improvements were adopted:

- ▶ **Dissemination and utilization of evaluation results:** In order to capture the use of the immediate results of the evaluations, the e-survey was updated by adding two new questions within *Criterion 8. Use of evaluation results*. The changes made ensure the comparability for each OP. These are listed below:
 - **Indicator 36. Existence of a decision-making Monitoring/Coordination Committee/Managing Authority responsible for the follow-up of the evaluation results (OP level)** was better focused on the effective use of evaluation results by Monitoring Committees. Thus, in the online survey the following question was added: *To what extent is the evaluation evidence taken into account by Monitoring Committees in the decision making process?*, which was meant to analyse stakeholder opinion.
 - **Indicator 37. Impact of the evaluation results on programming process (OP level)** was modified in order to assess how the evaluation evidence is being used in the preparation of 2014-2020 Operational Programmes. For this purpose, in the online survey the following question was added: *Have the evaluation recommendations, related to Programming at OP level, been used in the preparation of 2014-2020 Operational Programmes? If yes, please detail how they were used.* The question was meant to examine how programmers used the evaluation results to define future development needs and specific objectives of OPs.
- ▶ **International benchmarking survey:** within *Indicator 1. Existence of dedicated Evaluation Units*, a new question was added in order to allow comparison with other Member States, namely: *How is the evaluation function currently organized? Are any changes envisaged for the period 2014-2020?*
- ▶ **Research panel:** the number of respondents included in the research panel of the third measurement cycle was updated in order to capture institutional changes and totals 292 respondents, compared to 288 identified in the second annual measurement. Although the number of respondents changed, the weight of each sub-group remained the same. More specifically, the evaluation demand represents about 80% of the panel and the remaining 20% is distributed between evaluation companies, independent evaluators and universities, representing the supply side of the market.

In order to quantify the ECI, for each indicator we have defined a scoring methodology, minimum and maximum score available and the corresponding primary and secondary sources of information as synthesized in Table 2 - ECI: sources of information.

Since indicators have different measurement units, a normalization method is applied to each indicator, normalizing values between [0-1] through Min-Max method. Each sub criteria is then expressed as average of related indicators and criteria are computed as average of the related sub-criteria.

Table 2 - ECI: sources of information

Sources of information	
Primary sources	<ul style="list-style-type: none"> ▶ Survey of wider stakeholders' evaluation community covering demand (e.g. Evaluation Units, MAs, IBs, Policy Makers) and supply side (evaluation societies, independent evaluators, Universities): 86 responses received out of a research panel composed of 292 potential respondents ▶ Focus Group with academic members of ADER in order to assess the supply side of the evaluation market in terms of independence and skills ▶ Focus-group with the EWG aimed at validating the preliminary results and obtaining additional comments and inputs before finalising the Third Measurement Report

	<ul style="list-style-type: none"> ▶ Dissemination event to communicate the results of the measurement cycle among stakeholders of the Structural Instrument Management System and to collect additional information among stakeholders in order to finalize the Third Measurement Report
International benchmarking	<ul style="list-style-type: none"> ▶ Questionnaire among MAs of EU Member States: responses covered 9 OPs from Hungary, Lithuania and Italy
Secondary sources	<ul style="list-style-type: none"> ▶ Desk research covering relevant national documents, EU and national methodological guidance, programming and operational documents at OP and NSRF level and evaluation reports

The ECI is calculated as average of the 4 dimensions considered. The development of the evaluation culture is expressed in terms of percentage at the level of ECI, dimensions, criteria, sub-criteria, capturing the achieved score in Min - Max range. The application of the normalization method to the results of the first and second cycles allows for a comparison of the development of evaluation culture among cycles.

2.2. Results at the level of ECI, dimensions and criteria

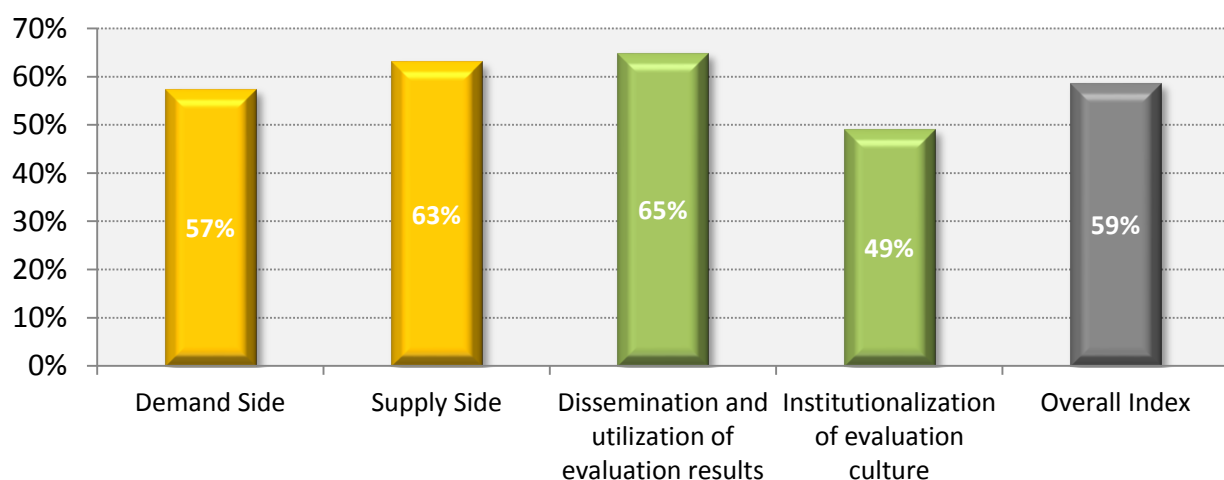
The results of the third annual measurement are presented in this section, starting from aggregate level (dimensions and criteria) and then in further details.

2.2.1. Overall results by dimension

The third annual measurement continues to give satisfactory results both in the pattern of shared beliefs and values of policy makers and evaluators and in operational aspects and components deemed necessary for conducting an evaluation, totalling an overall score of 59%.

At the level of dimension, the *Dissemination and utilization of evaluation results* and the *Supply side* of evaluation appear to be the most developed, followed by the *Demand side* of the evaluation, whereas there are areas for improvement regarding the *Institutionalization of evaluation culture*.

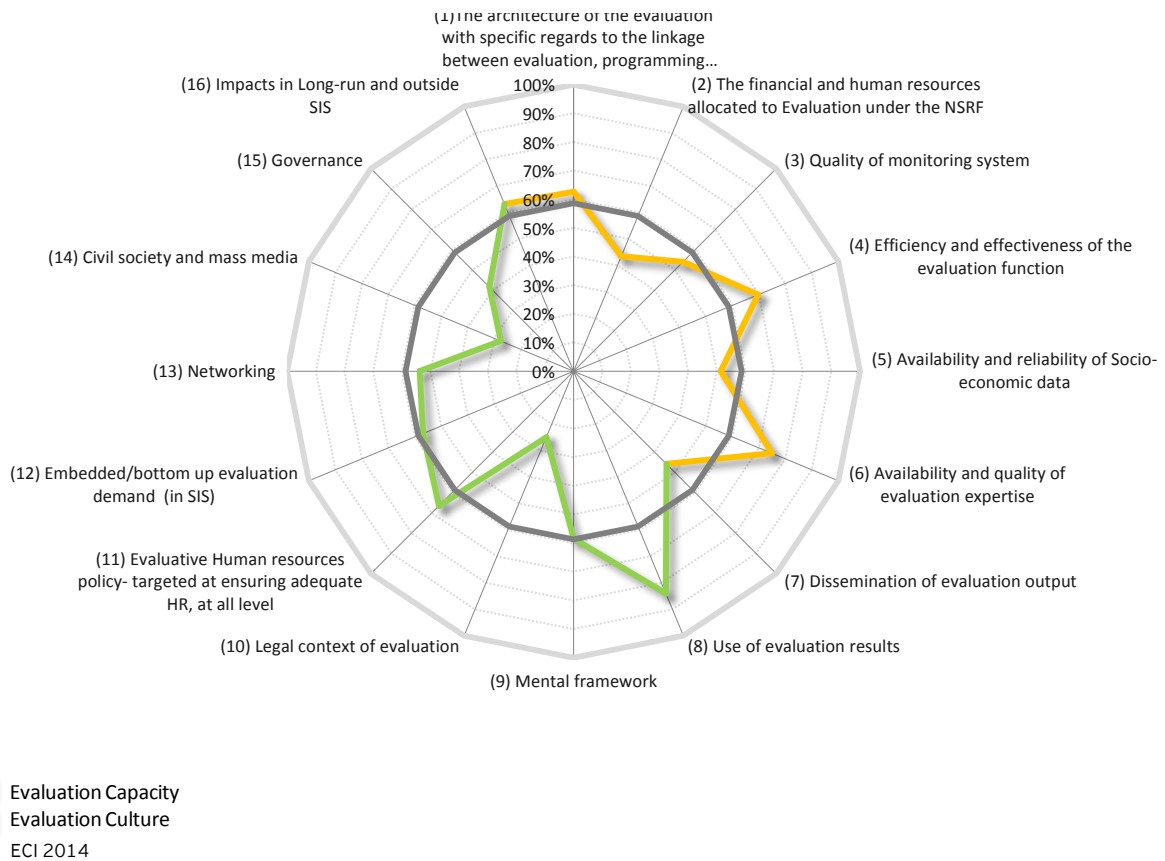
Figure 2 - Overall Index and results by dimensions



2.2.2. Results by criteria

The good level of diffusion of evaluation culture derives from an average achievement of 59% across the 16 criteria. The minimum value is registered under criteria (10) Legal Context of the Evaluation and the maximum value under criteria (8) Use of Evaluation Results.

Figure 3 - Results of evaluation culture by criteria



With respect to the overall average, the top performing and least performing criteria in terms of distance from the maximum achievable values are as follows:

Table 3 - “Top Performing” and “Least Performing” Criteria

TOP PERFORMING	LEAST PERFORMING
<ul style="list-style-type: none"> ▶ Use of evaluation results ▶ Availability and quality of evaluation expertise ▶ Efficiency and effectiveness of the evaluation function ▶ Evaluative Human resources policy- targeted at ensuring adequate HR, at all level 	<ul style="list-style-type: none"> ▶ Legal context of evaluation ▶ Civil Society and mass media involvement ▶ Governance ▶ The financial and human resources allocated to Evaluation under the NSRF

2.2.3. Results by sub-criteria and indicators

In the following sections results are more deeply examined. Sub criteria and top/least performing indicators are analysed in order to provide preliminary conclusions and recommendations.

(1) The architecture of the evaluation

The architecture of the evaluation system has an overall achievement above the ECI average, due to the good coordination of "evaluation responsibilities". The need to enhance the awareness of evaluation among policy makers, both at central and local level, was confirmed by the supply side. **(criterion overall achievement: 63%)**

- ▶ **Evaluation Responsibilities:** evaluation activities are performed for all operational programmes.

In most cases, the Managing Authorities have in their structure dedicated Evaluation Units, with the exception of SOP Environment and NPRD, for which the evaluation activities are performed by the Coordination Department, respectively by the Service Coordination and Promotion.

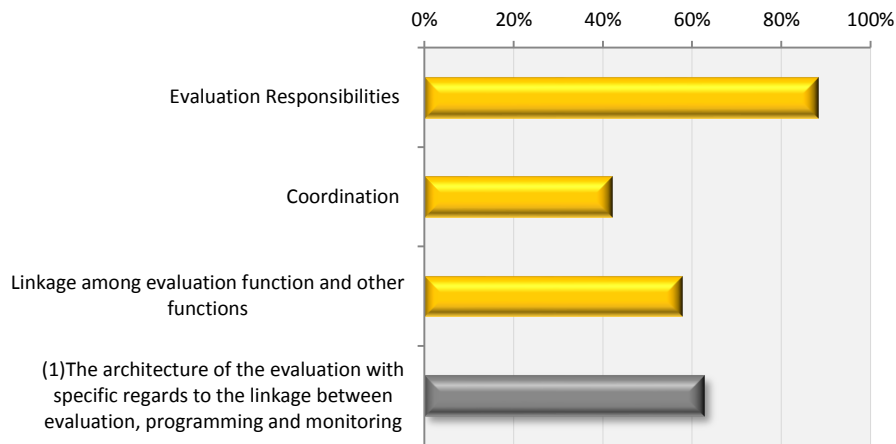
However, more than half of the Evaluation Units are performing also other activities, such as communication or programming, and do not report solely to the head of MA (i.e. some evaluation units are subordinated to the head of a broader unit that incorporates also the evaluation activities, such as in the case of OP TA, where the Evaluation Unit reports to the head of the General Directorate of Analysis, Programming and Evaluation). During the focus groups organized with the occasion of the second measurement exercise, the representatives of the Managing Authorities stated that the effectiveness of evaluation is affected when Evaluation Units have to perform also other tasks.

Mission, roles and tasks of EUs are clearly defined and assigned based on ROF, procedures and job descriptions. **(sub-criterion achieved score: 88%)**

- ▶ **Coordination:** based on the e-survey, in the last 12 months the respondents took part on average to 0 - 1 EWG meetings and the approaches shared were often adopted at OP level. On the other hand, the desk research revealed that the applied procedure concerning the coordinating role of the EWG remained in draft status since the beginning of the programming period. **(sub-criterion achieved score: 42%)**
- ▶ **Linkage among evaluation function and other functions:** the desk research identified procedures in place, linking monitoring to evaluation (e.g.: *"If the monitoring data indicates a deviation from the initially set objectives, the Evaluation Unit will perform ad-hoc evaluations"*). Moreover, the e-survey respondents consider that about 31-50% of the evaluations were initiated in order to investigate issues raised by the monitoring unit.

On the other hand, based on the desk research, it appears that no evaluations have been initiated in order to investigate issues raised by Programming. This was due to the fact that ex-ante evaluations performed for the programming period 2014-2020 were not reflected in this report; based on the approved methodology, we considered only the finalized projects. **(sub-criterion achieved score: 58%)**

Figure 4 - The architecture of the evaluation, by sub criteria



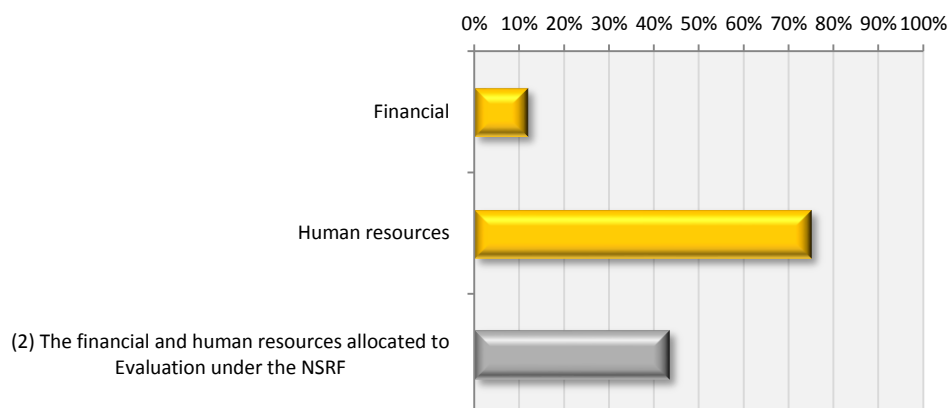
(2) Financial and human resources allocated to Evaluation

The third annual measurement concluded that resources allocated to evaluation are sufficient in terms of human resources, but there is place for improvement concerning the availability of financial resources, this criterion being one of the least performing. **(criterion overall achievement: 43%)**

- ▶ **Financial resources:** OPs allocated, on average, 0.12% of their budget to evaluation, which is considered insufficient, based on the international benchmarking (e.g. Hungary allocated to evaluation up to 3% of the total budget of the Social Renewal OP and of Social Infrastructure OP) **(sub-criterion achieved score: 12%)**
- ▶ **Human resources:** the number and expertise of the human resources allocated to evaluation is considered adequate, based on the international benchmarking and on the desk research (i.e. CVs received from the Evaluation Units). On the other hand, we noticed that the number of persons performing evaluation activities varies greatly between OPs (from only 1 employee for SOP Transport or SOP Environment to 6 employees for NPRD).

From the e-survey results, it appears that up to 30% of the OP Evaluation Unit staff left in the last 12 month, whereas from the NSRF Evaluation Unit, no person has left. Also, the e-survey revealed that the staff of the Evaluation Unit benefit from systematic training sessions. **(sub-criterion achieved score: 75%)**

Figure 5 - Financial and Human Resources allocated to Evaluation, by sub-criteria

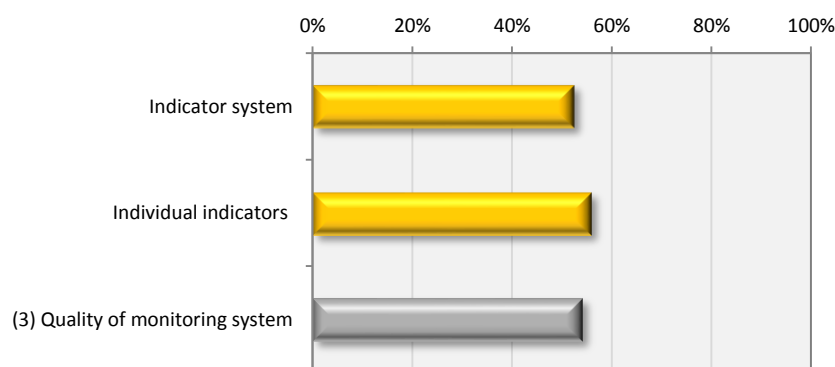


(3) Quality of monitoring system

The quality of the monitoring system is considered adequate, both in terms of the Indicator System and Individual indicators, as revealed by the desk analysis and by the e-survey. **(criterion overall achievement: 54%)**

- ▶ **Indicator system:** the quality of the indicator system, in terms of coverage and manageability, is considered medium for both OP and NSRF. The average time to obtain information from the monitoring system is lower at OP than NSRF level (OP level 15 days versus 1 month for NSRF). **(sub-criteria achieved score: 52%)**
- ▶ **Individual indicators:** the quality of individual indicators, in terms of correspondence, normativity, robustness and feasibility, obtained the same score both at OP and NSRF level. **(sub-criterion achieved score: 56%)**

Figure 6 - Quality of the monitoring system, by sub-criteria



(4) The evaluation function is efficient and effective

The demand side dimension, which refers to the commissioning side of the evaluation process, is supported by efficient and effective activities of planning, management, quality control and learning, being one of the best performing criterions. **(criterion overall achievement: 70%)**

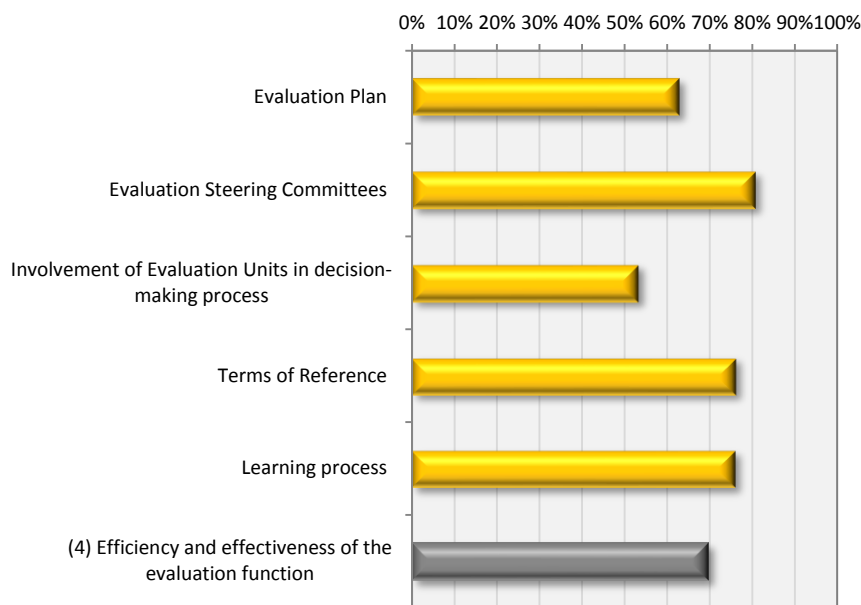
- ▶ **Evaluation Plans:** except for the NPRD, all OPs have multiannual evaluation plans in place; however, they are not always updated (e.g. for SOP Environment and SOP Transport they were not updated since 2008). Annual plans either do not exist or are not regularly revised (except for ROP, who prepared AEPs for 2010, 2011 and 2012).

The execution rate of the MEP is between 30% and 100% (i.e. in the case of SOP HRD), with an average delay of 6 months between the planned date included in the MEP and the completion date. According to the e-survey respondents, some of the reasons of delay between the evaluations and the date on which they were scheduled in the Annual Plan are: difficult public procurement procedure, high number of appeals and slow progress of the program **(sub-criterion achieved score: 63%)**

- ▶ **Evaluation Steering Committees:** ESCs are in place with clearly assigned roles and responsibilities. Based on the e-survey, the activity of ESCs is considered of medium to high effectiveness. **(sub-criterion achieved score: 81%)**
- ▶ **Involvement of Evaluation Units in decision making process:** based on the e-survey, EUs are consulted by MAs in decision making processes, but not in a formalized manner. **(sub-criterion achieved score: 53%)**

- ▶ **Terms of reference:** the e-survey respondents consider ToRs to be of medium to high quality. There is evidence also of guidelines supporting the preparation of ToRs (e.g.: *The 2012 Interim evaluation guidelines*, which can be consulted on the website of the Ministry of European Funds). **(sub-criterion achieved score: 76%)**
- ▶ **Learning process:** evaluation procedures were updated for approximately 63% of the OPs. For SOP HDR, SOP IEC and SOP Environment, the evaluation procedure was not updated and do not reflect the latest organizational changes. **(sub-criterion achieved score: 76%)**

Figure 7 - Evaluation function efficiency and effectiveness, by sub-criteria

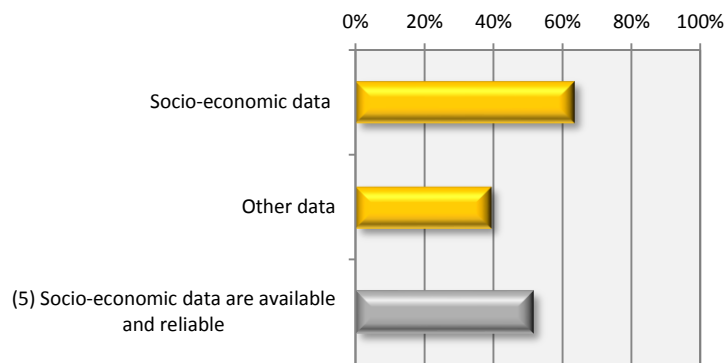


(5) Socio-economic data are available and reliable

The socio-economic data are available on time, both at national and regional level, on the NIS and Eurostat websites. However, based on the e-survey, the micro data at beneficiary level are only partially available and are not always consistent. **(criterion overall achievement: 51%)**

- ▶ **Socio-economic data:** key socio-economic data regarding GDP, employment, unemployment and R&D investment are available in a timely manner: 2013 or even 2014 on NIS. Other sources for key socio-economic indicator data are partially available and their consistency is of medium level. **(sub-criterion achieved score: 63%)**
- ▶ **Other data:** according to the e-survey respondents, other necessary data (e.g. micro-data at beneficiary level) are only partially available (e.g. of available data: balance sheets, periodic budgets, periodic project analysis). **(sub-criterion achieved score: 39%)**

Figure 8 - Socio-economic data availability and reliability, by sub-criteria



(6) Availability and quality of evaluation expertise

The *Availability and quality of evaluation expertise* is one of the top performing criteria. Based on the e-survey and on the focus group with ADER, although the evaluation market is only partially competitive, the evaluators have the right skills and expertise. **(criterion overall achievement: 75%)**

- ▶ **Market Competitiveness:** the existence of a pipeline of evaluations (like in the case of the Ministry of European Funds) is considered functional for keeping the supply side active on the market and growing in term of number of companies and quality of the expertise.

Overall, the Romanian evaluation market is considered as partially competitive since evaluation services are most of the times assigned to a limited number of players. Furthermore, international firms are more present than local firms on the Romanian evaluation market (13 international, 7 national) and the involvement of universities in evaluation activities is not yet developed.

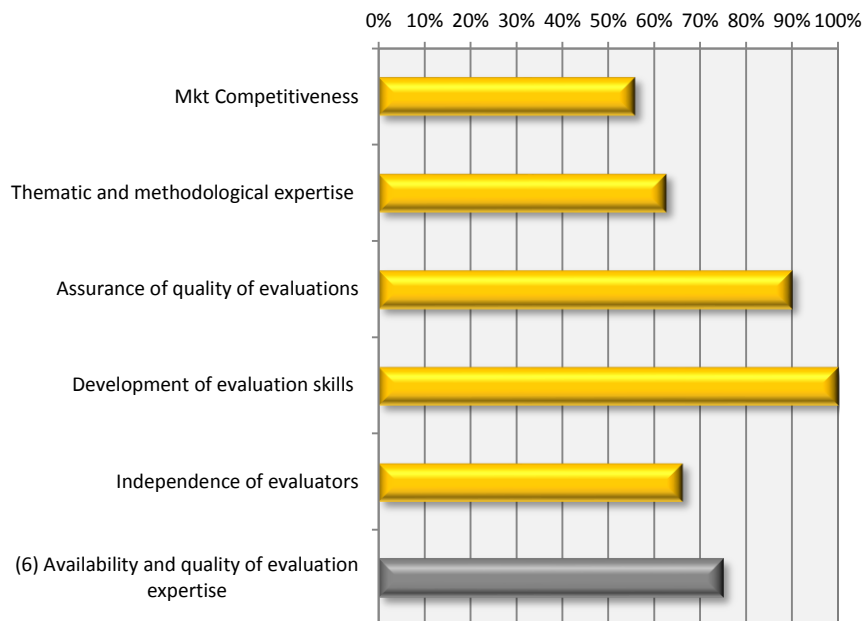
The Focus Group with ADER revealed that universities are not financially motivated to perform business activities (i.e. extra-budgetary incomes are considered public money and universities are restricted in using them). Moreover, the structure of public procurements discourages some small firms to participate in the bidding processes (e.g. awarding projects based on the lowest price, very restrictive requirements). The fact that there is no advance payment for evaluation projects imposes some difficulties for smaller firms to support the cash flows. **(sub-criterion achieved score: 56%)**

- ▶ **Thematic and methodological expertise:** the e-survey respondents consider that the supply side of evaluation has the thematic and methodological expertise needed, but there is still room for improvement (e.g.: they pointed out the lack of expertise by areas and topics of evaluations, such as econometric methods, cost-benefit analysis and counter-factual impact assessment). **(sub-criterion achieved score: 63%)**
- ▶ **Assurance of quality of evaluations:** based on the e-survey results, the use of check-list in assessing the quality of the evaluation reports is widespread. Also, the evaluation reports are perceived, in terms of accuracy, clarity and usefulness, as being of medium to high quality. The quality of the evaluation process is also ensured by the existence of evaluation standards adopted in 2006 by the EWG, but not officially approved. **(sub-criterion achieved score: 90%)**
- ▶ **Development of evaluation skills:** the desk research evidenced the existence of two master programmes dedicated to programme evaluation and other four addressing general public administration themes. Also, a post-graduate study program is available on the market in the field of public administration management.

However, the focus group with ADER revealed the need for more short term training options on the market, since the field of structural instruments is rapidly changing and some particular skills are required in order to properly develop evaluation activities (e.g. impact assessment through counterfactual methods). **(sub-criterion achieved score: 100%)**

- ▶ **Independence of evaluators:** evaluators are perceived as being independent but there is still room for improvement. In order to ensure a higher degree of independence, ADER representatives suggested that the contracting authority should be separated from the beneficiary authority. **(sub-criterion achieved score: 66%)**

Figure 9 - Availability and quality of evaluation expertise, by sub-criteria



(7) Dissemination of evaluation output

This criterion is composed of a single sub-criterion and registers a **46%** achievement of the maximum available score. In order to compute the level of dissemination, we analysed the number of reports available to the wider public and the number of public events.

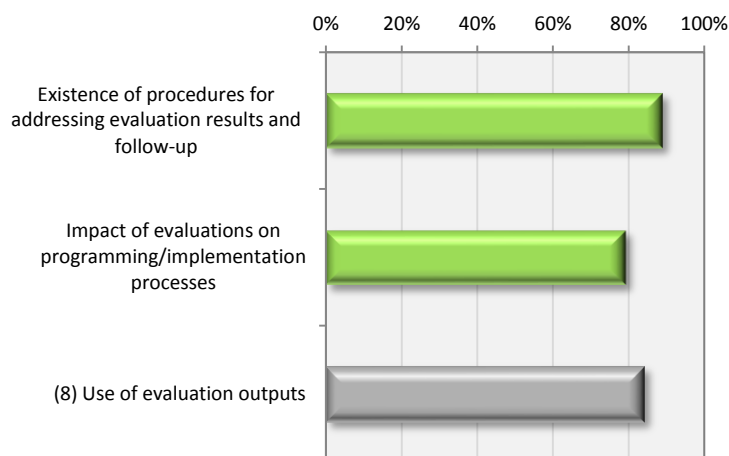
- ▶ Although at the beginning of 2013, the MEF developed the *Evaluation Library* tool, aimed at ensuring the dissemination of evaluation results to the wide public, none of the evaluation reports performed at NSRF level were uploaded in the last 12 months. At OP level, out of the three evaluation reports carried out, two are publicly available in their integrity on the official websites of the Managing Authorities.
- ▶ The public debates, organized in order to discuss the results of evaluation, contributed to the achieved score. In the last 12 months, 2 such events were organized at NSRF level and 1 at OP level.

(8) Use of evaluation results

Use of evaluation results is the top performing criterion. Procedures are in place for the implementation of the evaluation results, but there is still room for improvement regarding the implementation of the action plan, especially at NSRF level. **(criterion overall achievement: 84%)**

- ▶ **Procedures for addressing evaluation results and follow-up:** procedures for addressing evaluation results and for follow-up are in place, both at OP and NSRF level, and responsibilities are being assigned to a decision making body (Monitoring Committee / Managing Authority). Based on the e-survey results, the Monitoring Committees always takes into account the evaluation evidence in the decision making process. A follow-up mechanism, based on an Action Plan drafted upon approval of the Evaluation Report is foreseen for all Programmes in the evaluation procedures, except for NPRD. **(sub-criterion achieved score: 89%)**
- ▶ **Impact of evaluations on programming/implementation processes:** based on the e-survey, the degree of implementation of evaluation recommendations at OP level for the 2007-2013 programming period is between 51-75% while at NSRF level is between 31-50% (i.e.: for ROP, both recommendations related to the reallocation of funds, produced under the Interim Report, were implemented). Also, the e-survey revealed that the evaluation recommendations related to programming were used in the process of drafting 2014-2020 Operational Programmes. **(sub-criterion achieved score: 79%)**.

Figure 10 - Use of evaluation results, by sub-criteria



(9) Mental framework

This criterion is composed of a single sub-criterion and registers a **59%** achievement of the maximum available score. An analysis at the level of indicators evidences that evaluation is considered an important part for achieving success at institutional level by management and executive staff, but there is room for improvement, especially among policy makers.

(10) Legal context of evaluation

This criterion is composed of a single sub-criterion and registers a **25%** achievement of the maximum available score, being the least performing criterion. An analysis at the level of indicator evidences that:

- ▶ Legal provisions regulating evaluation transpose EC legislation into the National Legal Framework (G.D. No. 457/2008) and complement it with additional provisions such as multi-annual evaluation plans.
- ▶ There are legal provisions hampering directly or indirectly evaluation:

- Public Procurement - Government Ordinance 34/2006, determining blockages and delays in the acquisition process
- Ordinance no. 34/2009 based on the agreement with the IMF, World Bank and EU, freezing the hiring of personnel in public administration
- Programming documents and eligible costs orders, limiting the types of target groups eligible for capacity development actions (i.e. supply side of the evaluation)
- Public finance law 500/2002, limiting the possibilities of involvement of OP Evaluation Unit staff in projects organized by the CEU.

(11) Evaluative Human resources policy - targeted at ensuring adequate HR, at all level

This criterion is composed of a single sub-criterion and registers a **67%** achievement of the maximum available score. An analysis at the level of indicators evidences that:

- ▶ There are valid educational/training options in the field of evaluation in Romania, but they do not cover all developmental and training needs. The e-survey respondents indicated the *reduced offer for continuous training and the lack of standardized evaluation trainings or specific trainings for each OP*. Also, they listed the main training needs not addressed in the market, such as: *evaluation methods, impact analysis or correspondence between evaluation method and instruments*.
- ▶ The e-survey also evidenced the existence of evaluation champions, both at OP and NSRF level (i.e. persons supporting the evaluation activities). However, the level of participation of civil servants in evaluation activities has substantial room for improvement.

(12) Embedded/bottom up evaluation demand (in SIS)

This criterion is composed of a single sub-criterion and registers a **57%** achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ The overall demand for evaluation is in line with other Member States: the average number of evaluations carried out per OP has been 4.
- ▶ At OP level there is a low number of evaluations triggered by need of knowledge, which is confirmed by desk analysis and e-survey.
- ▶ At NSRF level there is a high number of evaluations triggered by need of knowledge, but there is no convergence between desk analysis and e-survey (i.e. the indicator obtained a lower score based on the e-survey).

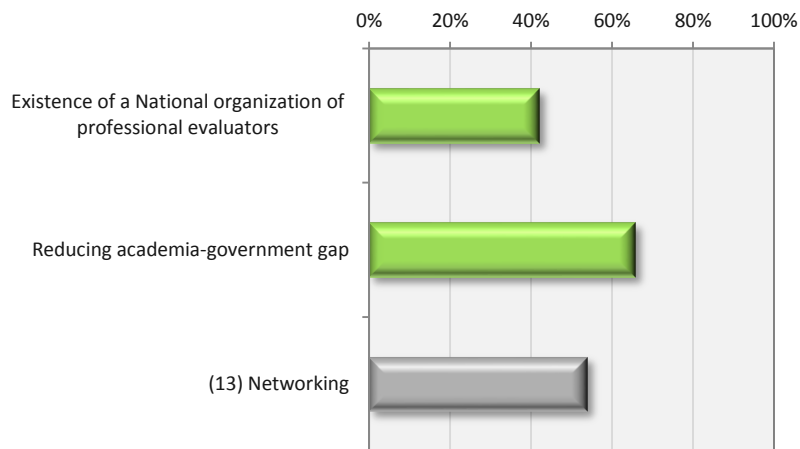
(13) Networking

This criterion is composed of two sub-criteria revealing that the contribution of the national organization of evaluators to the dissemination of good practices is rather low. (**criterion overall achievement: 54%**)

- ▶ **National organization of professional evaluators:** the e-survey evidenced that there is an insufficient contribution of the national organization of evaluators to the creation of a network, aimed at disseminating the good practices. The focus group with ADER revealed the insufficient financial means for further developing the role of the organization. (**sub-criterion achieved score: 42%**)

- ▶ **Reducing academia-government gap:** based on the e-survey results, there is a mechanism of cooperation between Government and academia, at individual level, but its perceived effectiveness is of medium level. **(sub-criterion achieved score: 66%)**

Figure 11 – Networking, by sub-criteria

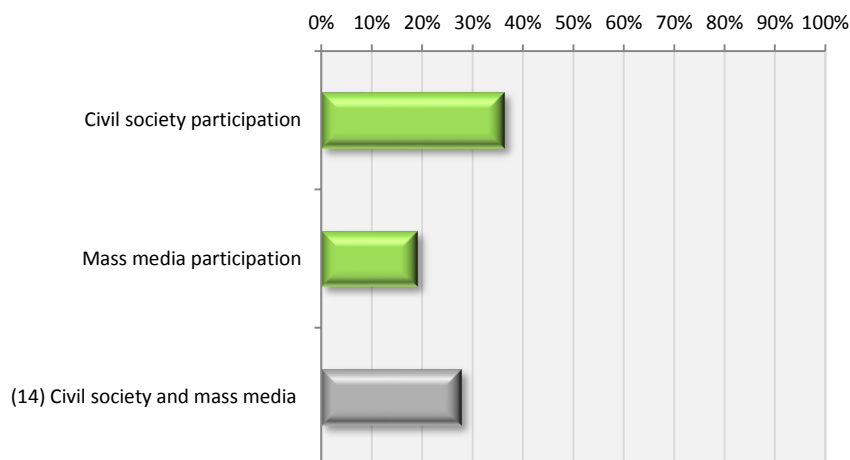


(14) Civil society and mass media

The criterion *Civil society and mass media* is one of the lowest performing, with an average achievement substantially below ECI average. **(criterion overall achievement: 28%)**

- ▶ **Civil Society participation:** the level of participation of civil society in evaluation related activities is perceived as being medium. According to the e-survey respondents, the part of civil society that should be more involved in evaluation-related activities is represented by professional associations, think tanks and NGOs. **(criterion overall achievement: 36%)**
- ▶ **Mass Media participation:** respondents revealed that the number of public events carried out per year, other than Monitoring Committees, related to evaluation and dissemination of evaluation evidence, is rather low. **(criterion overall achievement: 19%)**

Figure 12 – Civil society and mass media, by sub-criteria



(15) Governance

This criterion is composed of a single sub-criterion and registers a **42%** achievement of the maximum available score. The indicators falling under this sub-criterion are measured based on the Worldwide Governance Indicators for 1996 - 2012, published by the World Bank on the website www.worldbank.org. The index presents the rank of Romania against all countries in the world for the following aspects:

- ▶ **Voice and accountability:** above 50% of the countries analyzed
- ▶ **Political stability:** below 50% of the countries analyzed
- ▶ **Government effectiveness:** below 50% of the countries analyzed
- ▶ **Regulatory quality:** above 50% of the countries analyzed
- ▶ **Rule of law:** above 50% of the countries analyzed
- ▶ **Control of corruption:** above 50% of the countries analyzed

(16) Impacts in Long-run and outside SIS

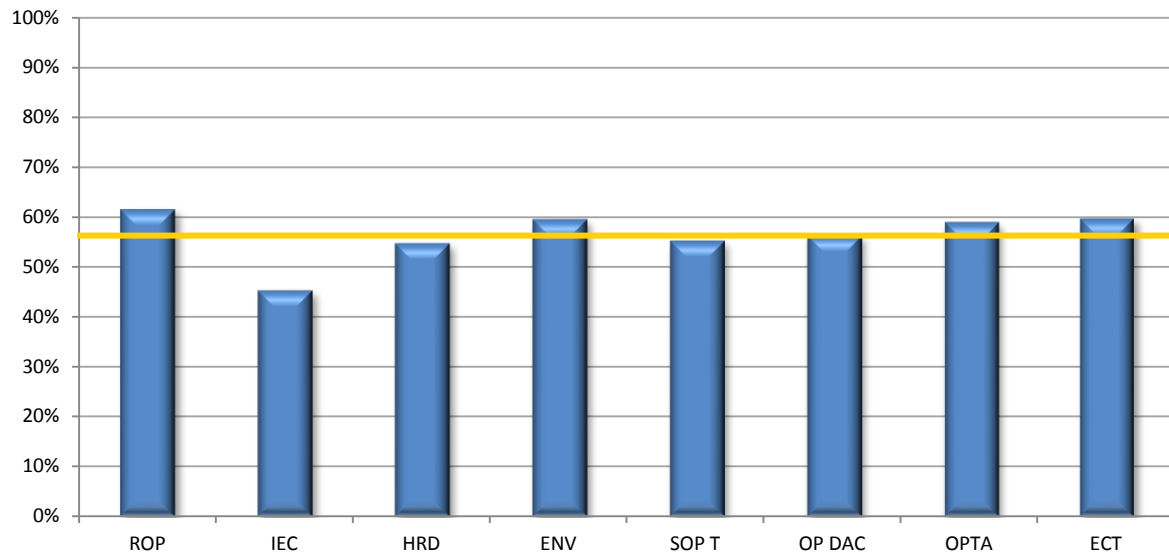
This criterion is composed of a single sub-criterion and registers a **63%** achievement of the maximum available score. An analysis at the level of indicators evidences that:

- ▶ The perceived sensitivity to evaluation on behalf of the institutions involved in the Structural Instruments System (IBs, major beneficiaries, Audit Authority, Certifying Authority) is of medium level (slightly higher for IBs than the rest of the institutions). An important development is represented by the first contracting of evaluation assignments through Joint Technical Secretariats under ETC Programmes. This is expected to increase their level of awareness concerning the importance of evaluation as a tool to improve programme performance, actively contribute to the preparation of annual / multi-annual evaluation plans and structure ad-hoc evaluations that may address specific issues related to Programme implementation.
- ▶ The integration of evaluation both in the policy making process and in the administrative and operating aspects has room for improvement. According to the e-survey respondents, some of the policy fields in which the contribution of the evaluation is the most significant are: social, economic, sectorial policies, health, and education.

2.3. Results by Operational Programme

Based on the available data resulting from the e-survey, a comparison has been drawn among the 7 Convergence Programmes and the ETC Programmes. However, the ECI at OP level is characterized by higher degree of subjectivity if compared to the overall ECI; despite the slight increase of the research panel size, the number of e-survey responses that can be associated to the OPs amounts to approximately 46%, i.e. 36 persons, of the total survey respondents.

Figure 13 - Results by Operational Programme



Overall ECI 59 %

As presented in the figure above, in the third measurement cycle the top and least performing operational programmes continued to be ROP, respectively SOP IEC. The average achievement across the 8 programmes included in the analysis is 56%, lower than the global ECI, of 59%.

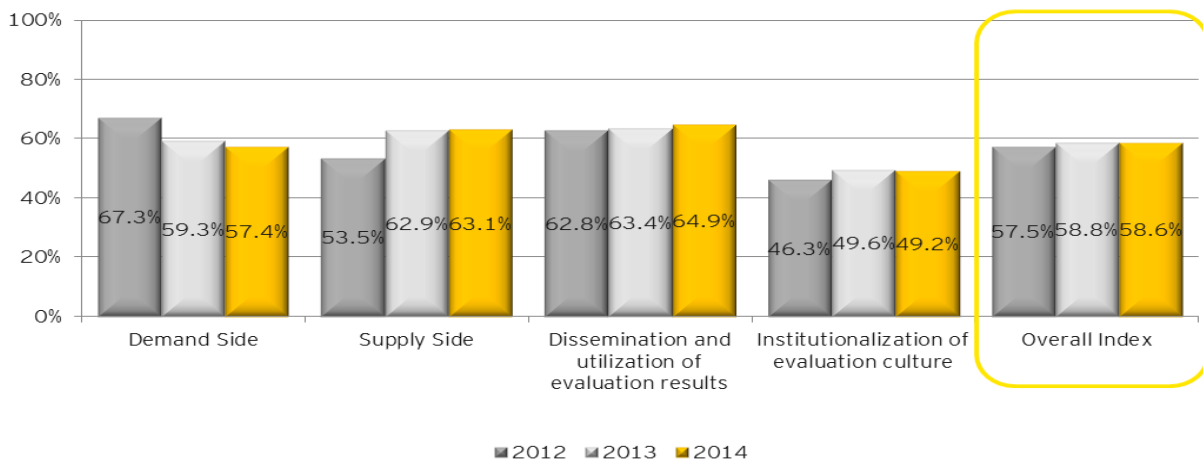
2.4. Comparison between the three annual measurement results

Following the normalization of the results of the first annual measurements³, the comparison with the third annual measurement of evaluation culture reveals a slight improvement from 57% (2012) to 59% (2014) achieved score under ECI, which is mainly due to the registered progress for the supply side (increase of approximately 18% in 2014 compared to 2012).

On the other hand, the demand side registered a continuous decrease, caused by the sub-criteria *Financial resources allocated to Evaluation*. The gap between the measurement cycles was not triggered by a significant reduction of the financial allocation, but mainly by the inclusion in the international benchmarking of aggregated data from countries that have higher budgets dedicated to the evaluation (e.g. FR, IT, LT, HU).

³ As presented in chapter 2.1 *Methodology*, in order to be able to compare the results between the three measurement cycles, a normalization method is applied to each indicator, normalizing values between [0-1] through Min-Max method.

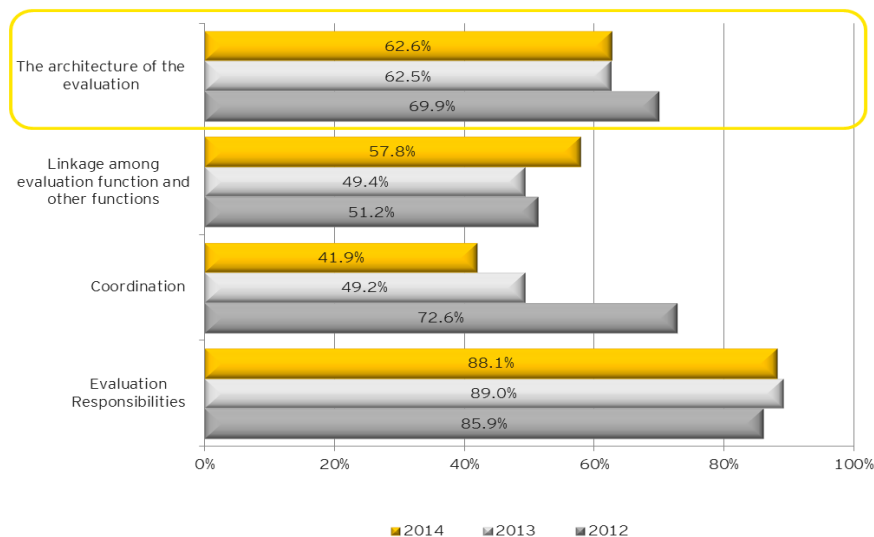
Figure 14 - ECI achieved score - comparison between measurement cycles at dimension level



In order to better capture the evolution of the Evaluation Culture Index during the three measurements cycles, the main variations registered at criteria level are presented below.

Criterion (1) The architecture of the evaluation

Figure 15 - ECI achieved score under the criterion 1 - comparison between measurement cycles at sub-criteria level

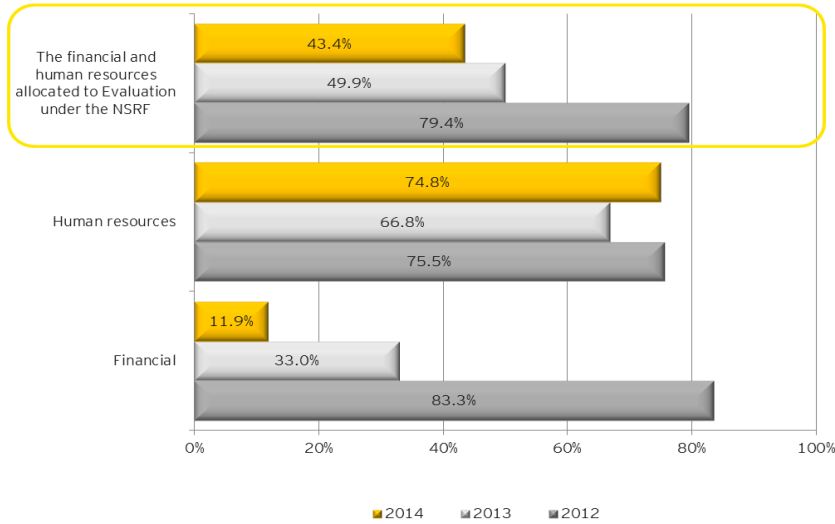


The overall lower performance registered for the criterion *The architecture of evaluation* in 2014 (62.6%), compared to 2012 (69.9%) can be attributed to the inclusion of additional indicators in the methodology, aimed at improving the accuracy of the measurement with regards to the demand side.

However, attention should be paid to the sub-criteria *Coordination*, as the eSurvey respondents revealed that a lower number of EWG meeting were organized in the last 12 months (e.g. respondents attended, in average, 0 - 1 EWG meetings in the third cycle compared to 2-3 EWG meetings in the second cycle).

Criterion (2) The financial and human resources allocated to Evaluation

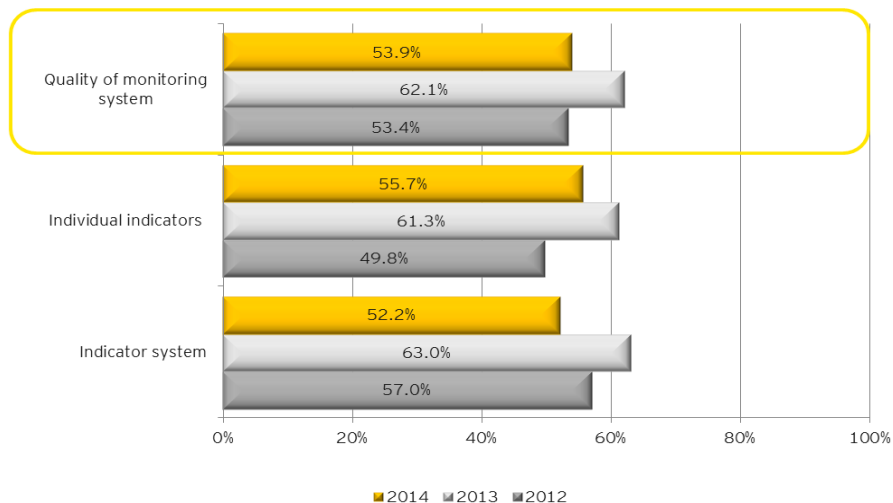
Figure 16 - ECI achieved score under the criterion 2 - comparison between measurement cycles at sub-criteria level



As presented in the beginning of the subchapter, the significant changes reflected by the overall score of this criterion were not determined by a lower allocation of resources to the evaluation function; it was mainly due to the additional information received from international benchmarking in the last two years in terms of financial allocation (i.e. additional data was collected from countries that allocate higher financial resources to evaluation, such as France, Hungary and Italy).

Criterion (3) Quality of monitoring system

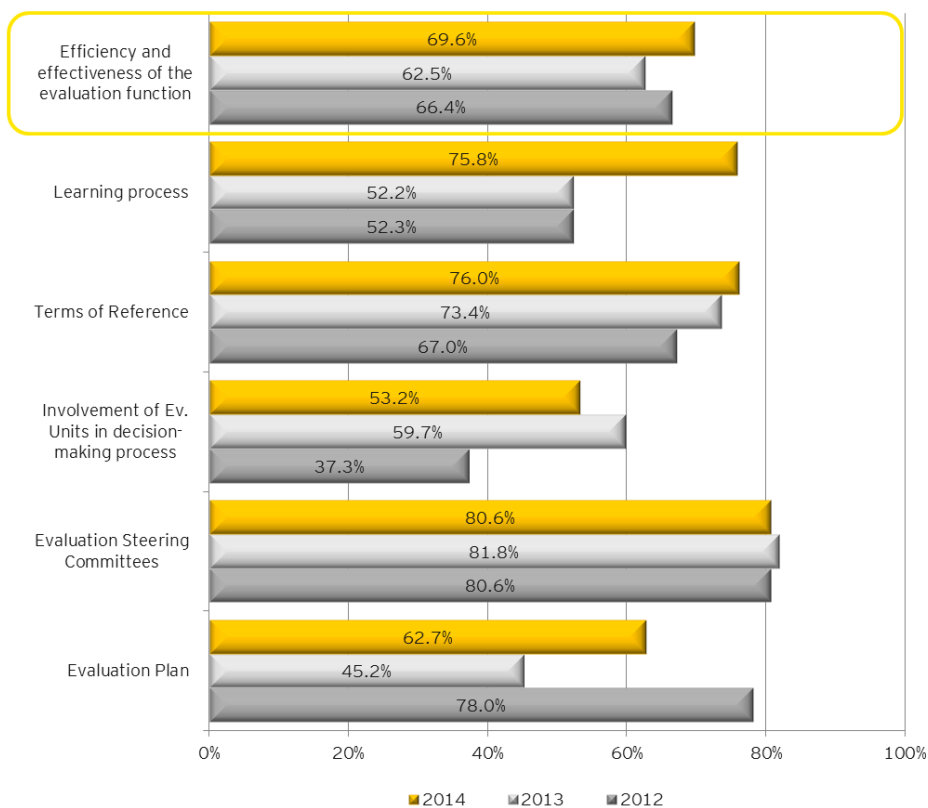
Figure 17 - ECI achieved score under the criterion 3 - comparison between measurement cycles at sub-criteria level



The variations between the 3 measurement cycles are determined by the perceived quality of monitoring system; based on the eSurvey, the score for the *Quality of individual indicators* increased from 2012 to 2014 with approximately 12%, while the score for the *Quality of the indicator system* registered a decrease of 8% in 2014 compared to 2012. The results can be justified by the fact that the third annual measurement cycle overlapped the beginning of the 2014-2020 programming period in which the intervention logic is more complex.

Criterion (4) Efficiency and effectiveness of the evaluation function

Figure 18 - ECI achieved score under the criterion 4 - comparison between measurement cycles at sub-criteria level

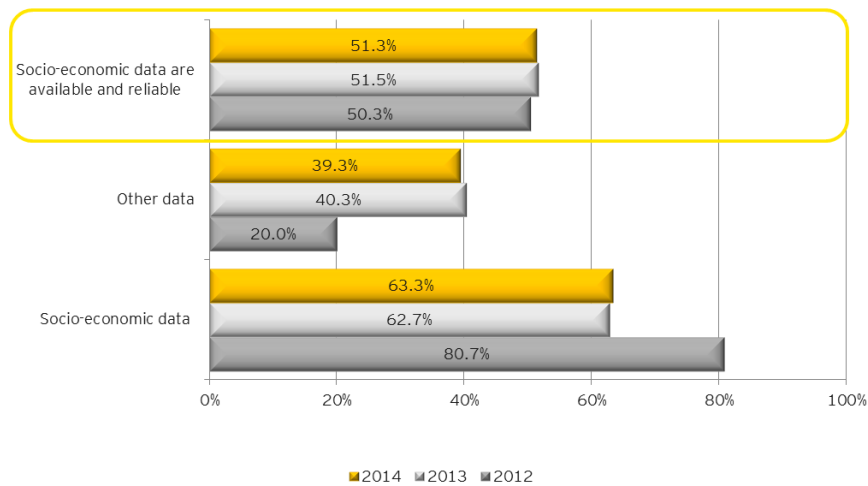


The efficiency and effectiveness of the evaluation function registered an overall increase of 5%, compared to the first measurement cycle, determined by the *Learning process* and the *Involvement of Evaluation Units in the decision making process*. These good results were confirmed also during the meeting with the EWG and ADER: the staff working in the Evaluation Units are better trained and prepared to implement evaluation projects.

On the other hand, the *Evaluation plan* sub-criterion decreased with about 20% in 2014 compared to 2012. Since most of the MEPs undergo frequent revisions, the criterion variation across the three measurement cycles is mainly caused by the different execution rates of the MEPs considered in the analysis.

Criterion (5) Availability and reliability of socio-economic data

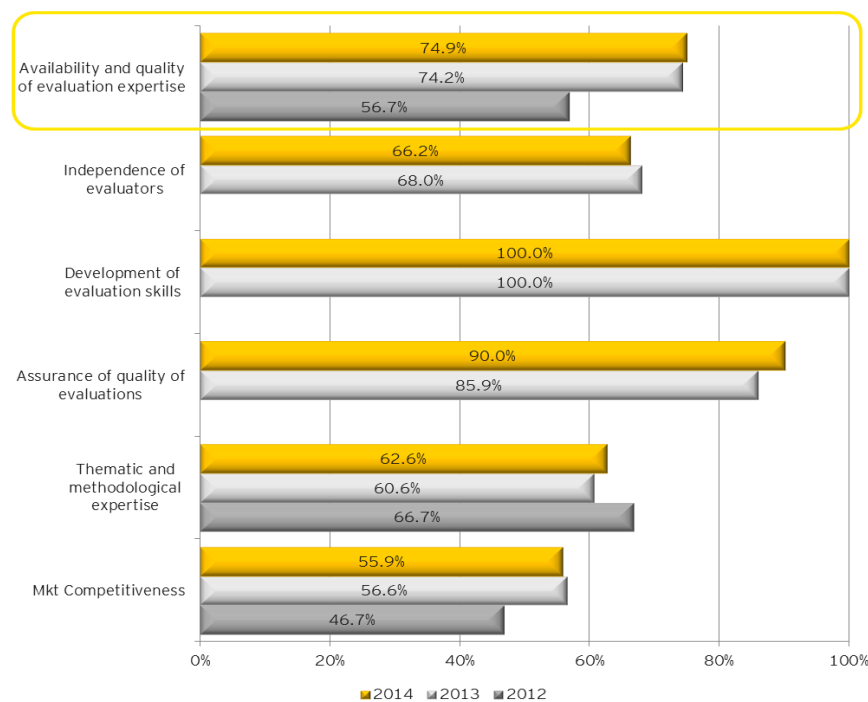
Figure 19 - ECI achieved score under the criterion 5 - comparison between measurement cycles at sub-criteria level



This criterion registered an increase of 2% in 2014 from 2012. At sub-criterion level, the *socio-economic data* needed in the process of evaluation decreased with 21% in 2014 compared to 2012 while *other data* concerning beneficiaries increased with 96%. These results should be treated with caution, as the main data source is the perception of the e-survey respondents.

Criterion (6) Availability and quality of evaluation expertise

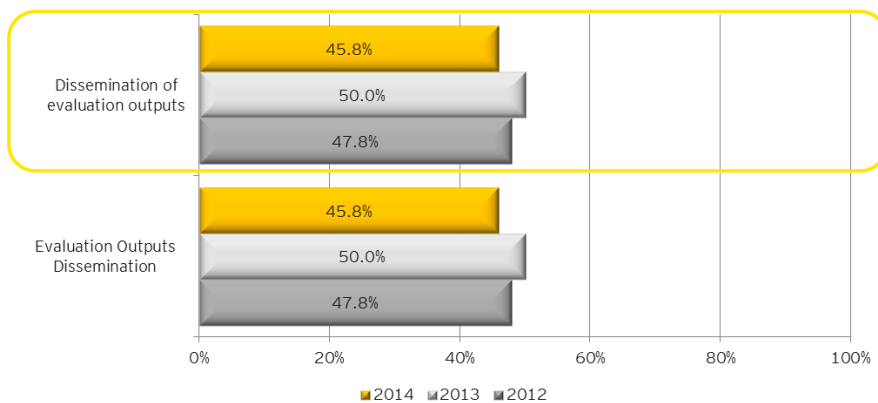
Figure 20 - ECI achieved score under the criterion 6 - comparison between measurement cycles at sub-criteria level



As can be seen in the figure above, this criterion suffered significant methodological improvements in the second cycle; in order to increase the relevancy of results, a number of additional indicators were added to measure the independence of evaluators, development of evaluation skills and the quality of evaluations. The variation registered between the measurement cycles (32% increase in 2014 compared to 2012) should be therefore interpreted with caution. Moreover, the main source of information was the perception of the eSurvey respondents.

Criterion (7) Dissemination of evaluation output

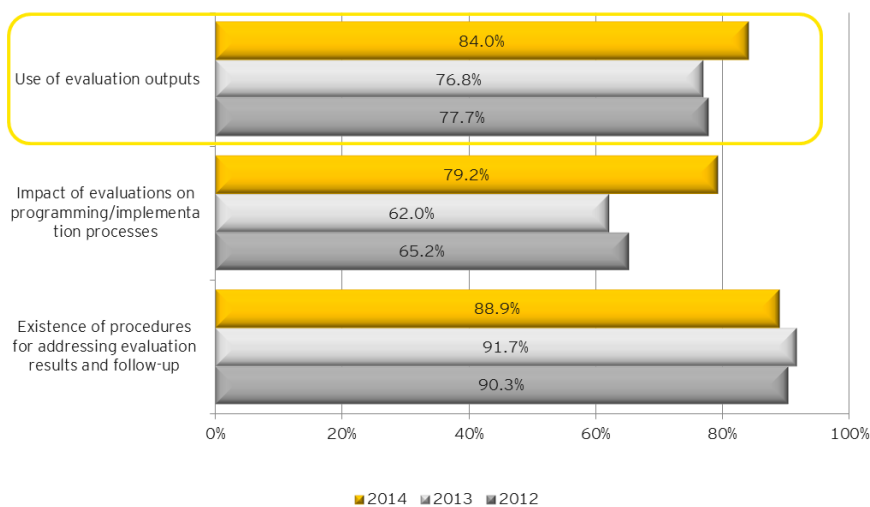
Figure 21 - ECI achieved score under the criterion 7 - comparison between measurement cycles at sub-criteria level



Criterion 7 decreased with approximately 8% in 2014 compared to 2012. This involution can be attributed to the decreasing number of evaluation reports approved and public dissemination events organized in each cycle.

Criterion (8) Use of evaluation results

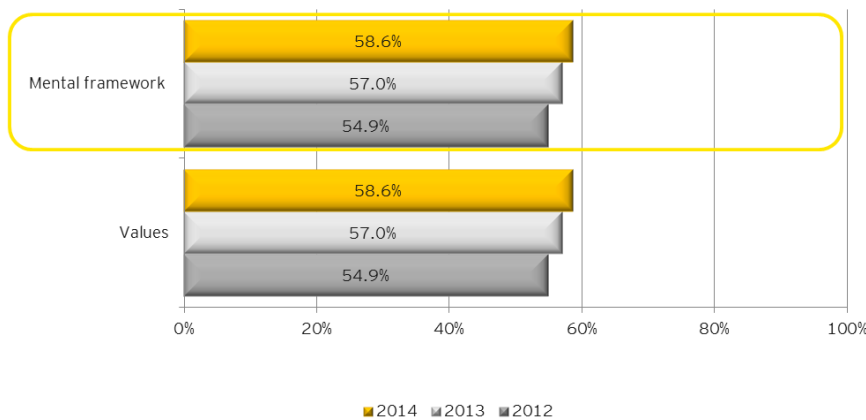
Figure 22 - ECI achieved score under the criterion 8 - comparison between measurement cycles at sub-criteria level



This criterion is one of the best performing in all of the three measurement cycles. The variation of 8% registered between 2014 and 2012 can be explained by the fact that, in the third measurement cycle, a new question was added in the eSurvey, in order to measure the use of evaluation results for the next programming period, which lead to an improved score of the sub-criteria *Impact of evaluations on programming / implementation process*.

Criterion (9) Mental framework

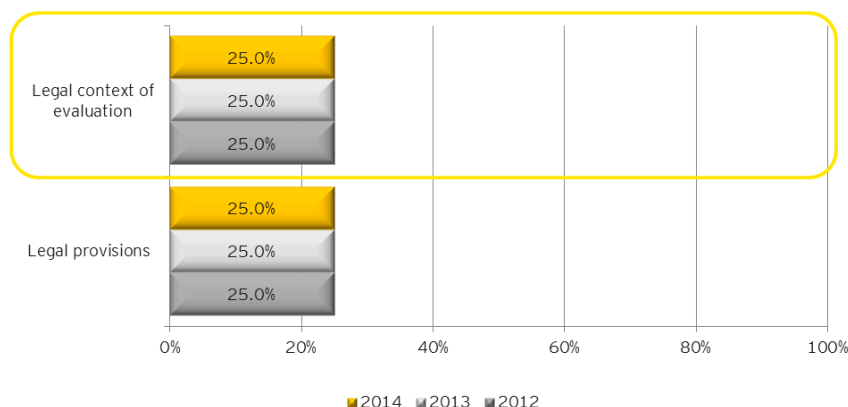
Figure 23 - ECI achieved score under the criterion 9 - comparison between measurement cycles at sub-criteria level



Criterion 9 registered a continuous increase during the three measurement cycles, which reveals that evaluation is considered an essential part of achieving success at institutional level both by management and executive staff.

Criterion (10) Legal context of evaluation

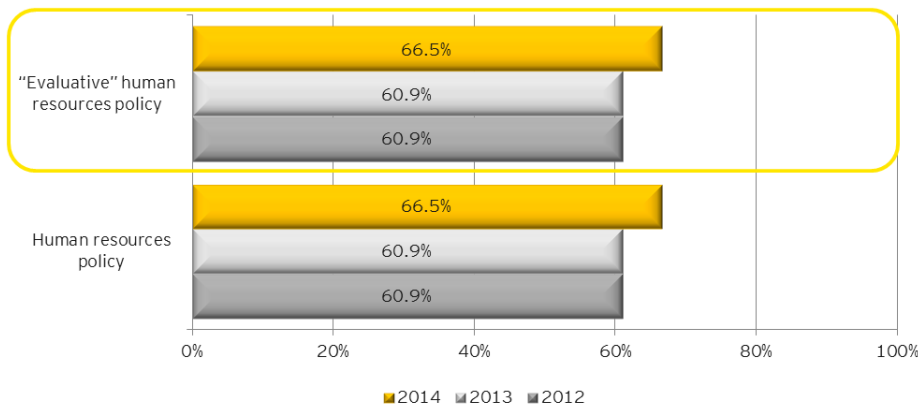
Figure 24 - ECI achieved score under the criterion 10 - comparison between measurement cycles at sub-criteria level



The score registered by this criterion remained constant in all of the three measurement cycles, since the legislation did not suffered substantial change, and hampering elements were identified both by desk research and focus groups with the EWG representatives.

Criterion (11) Evaluative Human resources policy

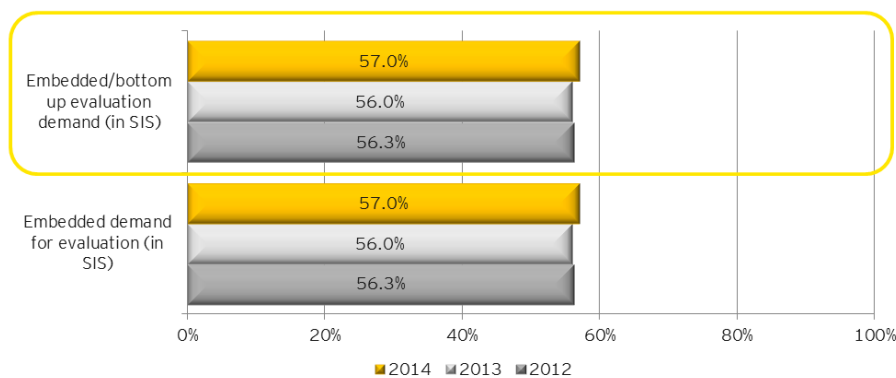
Figure 25 - ECI achieved score under the criterion 11 - comparison between measurement cycles at sub-criteria level



Considering that the main data source for this criterion is the e-survey, the score improvement is attributed to the perception of respondents with regards to the participation of civil servants in evaluation activities and to the activity of evaluation champions (i.e. persons supporting the evaluation process) both at OP and NSRF level. On the other hand, the percentage of civil servants trained in social sciences (as opposed to strict legal training) appears to decrease, with 12% in 2014 compared to 2012.

Criterion (12) Embedded/bottom up evaluation demand (in SIS)

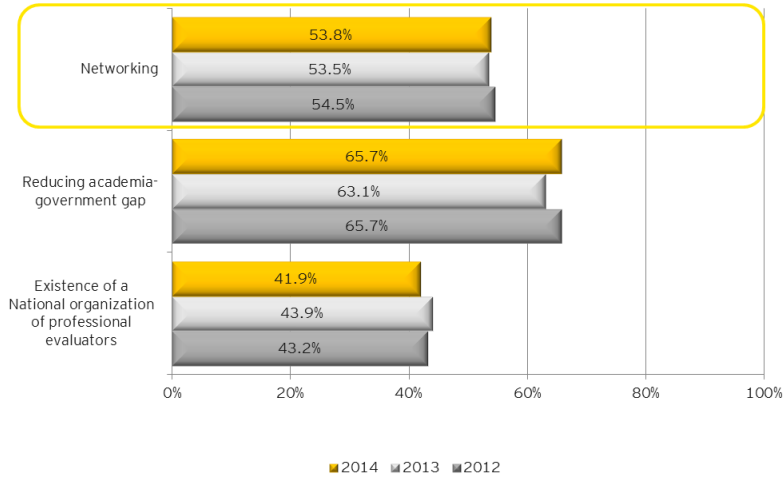
Figure 26 - ECI achieved score under the criterion 12 - comparison between measurement cycles at sub-criteria level



Criterion 12 registered an increase of 1% in 2014 compared to 2012 due to the number of evaluation projects carried out as a response to the need for empirical knowledge and not as an obligation, performed at NSRF level.

Criterion (13) Networking

Figure 27 - ECI achieved score under the criterion 13 - comparison between measurement cycles at sub-criteria level

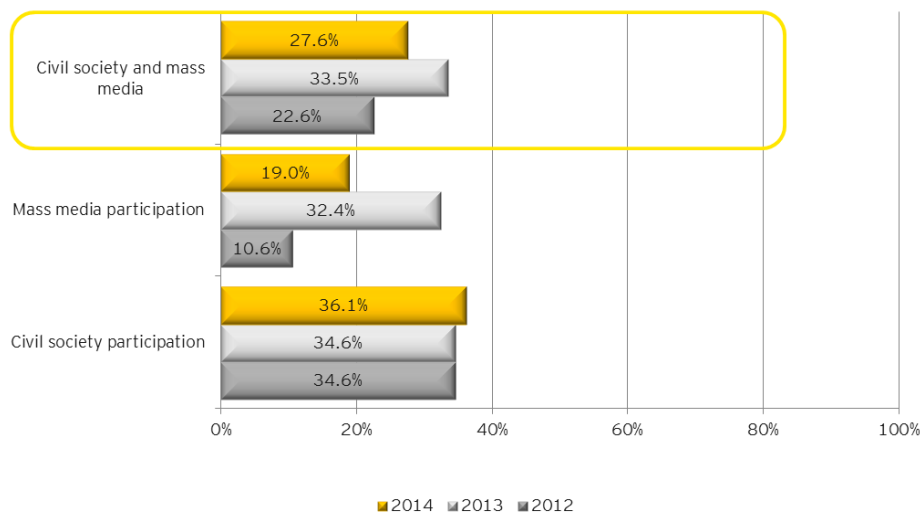


Criterion 13 registered a decrease of 1% in 2014 from 2012, which reflects the perception of the e-survey respondents regarding the contribution of the national organization of professional evaluators to the creation of a network and to dissemination of best practices.

On the other hand, the perception of the e-survey respondents regarding the existence of a cooperation mechanism between academia and government which lead to a better policy formulation has remained the same as in the first annual measurement cycle.

Criterion (14) Civil society and mass media

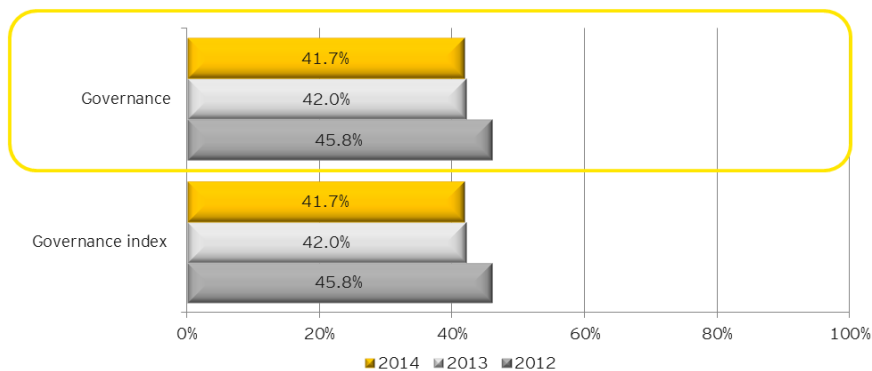
Figure 28 - ECI achieved score under the criterion 14 - comparison between measurement cycles at sub-criteria level



Criterion 14 registered an increase of 22% in 2014 from 2012, mainly due to perception of the e-survey respondents regarding what mass media's role should be in the process of dissemination of evaluation results.

Criterion (15) Governance

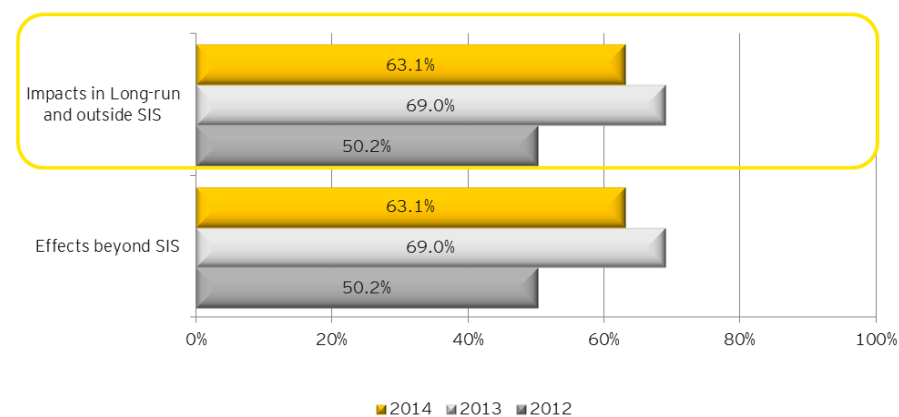
Figure 29 - ECI achieved score under the criterion 15 - comparison between measurement cycles at sub-criteria level



Criterion 15 is based on the Worldwide Governance Indicators for 1996 - 2012, published by the World Bank and presents the rank of Romania against all countries in the world for the following aspects: voice and accountability, political stability, government effectiveness, regulatory quality, rule of law, control of corruption. The achieved scores revealed a continuous decrease, from 45.8% in 2012, to 41.7% in 2014.

Criterion (16) Impacts in Long-run and outside SIS

Figure 30 - ECI achieved score under the criterion 16 - comparison between measurement cycles at sub-criteria level



The perception of the e-survey respondents regarding the integration of evaluation into management strategies and practices was reflected within criterion 16, which registered a 26% increase in 2014 compared to 2012.

Chapter 3 Analysis of KAI 1.2 “Evaluation” of OPTA

3.1. Overview of the Methodology

The aim of this chapter is to present the contribution of activities financed under KAI 1.2, quantified in relation to the overall score achieved by the ECI. For 54 of the overall 56 indicators, we have defined a measurement methodology aimed at capturing direct or indirect impacts of KAI 1.2, corresponding sources of information (mainly desk research and focus group with EWG) and a scoring methodology.

Example: for indicator n.2 “Clear definition of mission, roles and tasks of Evaluation Units” the impact of KAI 1.2 will assume a value between 0 and 100% of the value achieved by the indicator. The percentage is computed taking into account the number of programmes (out of total) for which Evaluation Units' mission/roles and tasks are defined according to guidelines developed under KAI 1.2 which will be defined through desk analysis, interviews and focus group.

$$\frac{\text{No. of Programmes for which Evaluation Units' mission, roles and tasks are defined according to guidelines developed under KAI 1.2}}{\text{Total number of Programme}} \times 100$$

The methodology for measuring the impact of KAI 1.2 on the level of achievement of evaluation culture has been based on the attempt to identify possible correlations between the activities / outputs generated by the projects implemented under this measure and the indicators of the ECI. Compared to the previous evaluation cycle, the methodology was not changed, thus respecting the comparability of the results.

As evidenced in the Second Annual Measurement Report and highlighted in occasion of the validation focus group with the Evaluation Working Group, when the correlation between the objectives of KAI 1.2 and the aspects captured by the ECI are weaker, the measurement of the impact of KAI 1.2 should be interpreted with caution.

Table 4 - Impact of KAI 1.2: sources of information

Sources of information	
Desk research	<ul style="list-style-type: none"> ▶ Analysis of evaluation related materials (i.e. guidelines, training materials, studies, reports, selection criteria for staff) and cross-checking with the deliverables indicated in KAI 1.2 projects
Validation interviews/ discussions	<ul style="list-style-type: none"> ▶ Validation of correlations between existing guidelines / procedures related to evaluation and deliverables of the projects (the report includes the information collected during the first cycle as no substantial changes occurred during the second and third cycles)
Focus Group with EWG	<ul style="list-style-type: none"> ▶ Validation with representatives of the EWG that are expected to be among those that benefited the most of the activities performed under KAI 1.2 of the correlations between projects and ECI

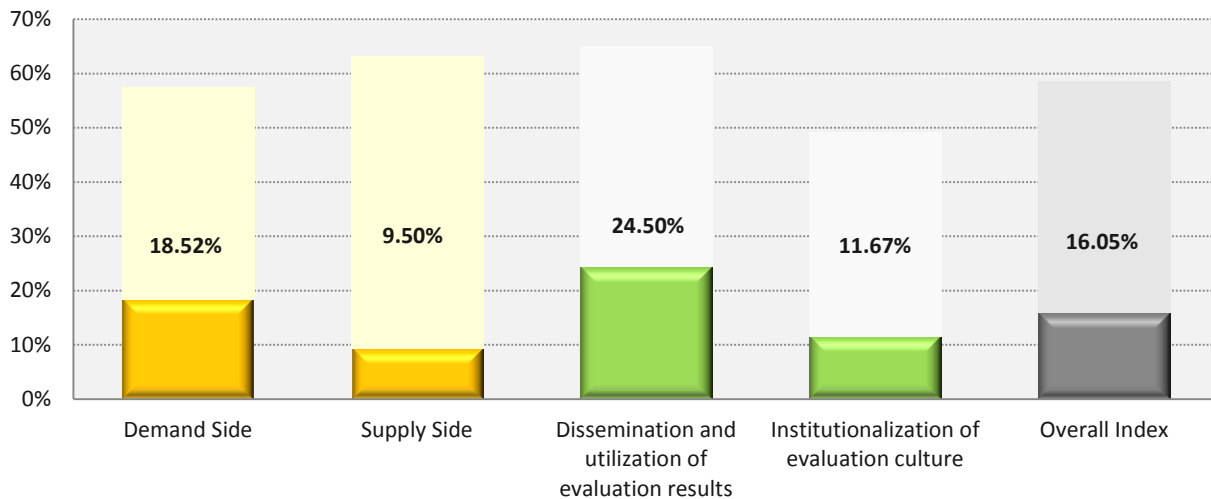
3.2. Impact of KAI 1.2 on ECI, dimensions and criteria

This section presents the impact of KAI 1.2 on the overall achievement of ECI, starting from aggregate level (dimensions and criteria) and then in further details.

Overall impact by dimension

The third annual measurement reveals a medium impact of KAI 1.2 financed projects on the overall results of ECI. At the level of dimension, KAI 1.2 seems to have a higher impact on the dissemination and utilization of evaluation results and on the demand side.

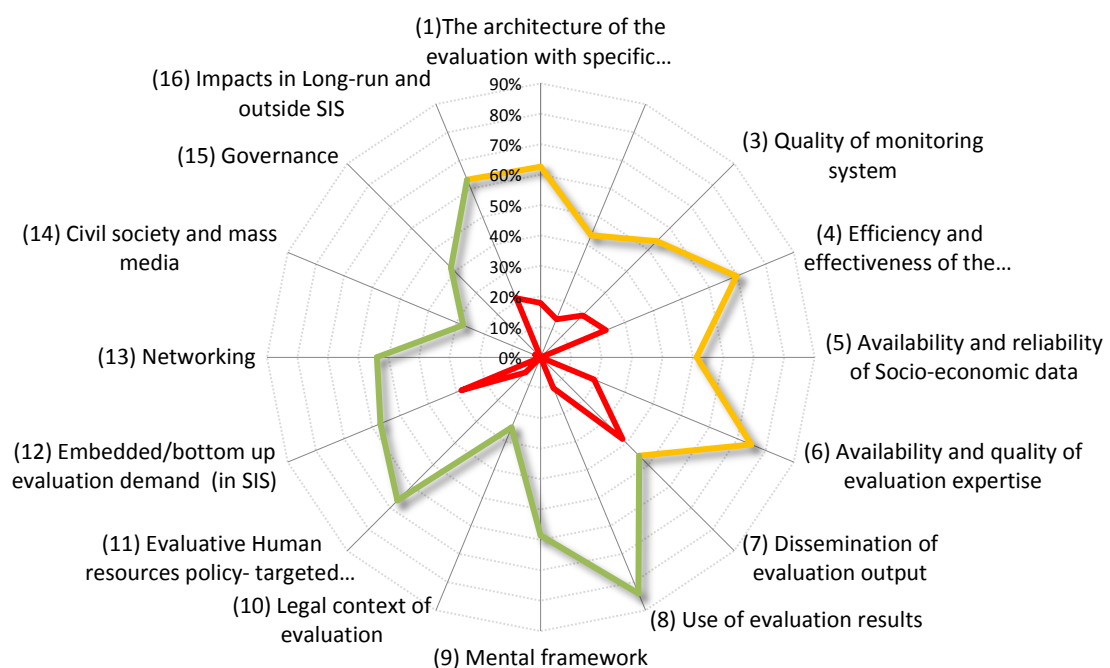
Figure 31 - Overall impact of KAI 1.2, by dimensions



3.3. Results by criteria

As we can see from the figure below, the impact of KAI 1.2 is more evident on some criteria (i.e.: dissemination of evaluation output, embedded / bottom up evaluation demand in SIS and impacts in long-run and outside SIS), whereas for other criteria the impact is very low (i.e.: quality of monitoring system, mental framework and civil society).

Figure 32 - Impact of KAI 1.2, by criteria



3.4. Results by sub-criteria and indicators

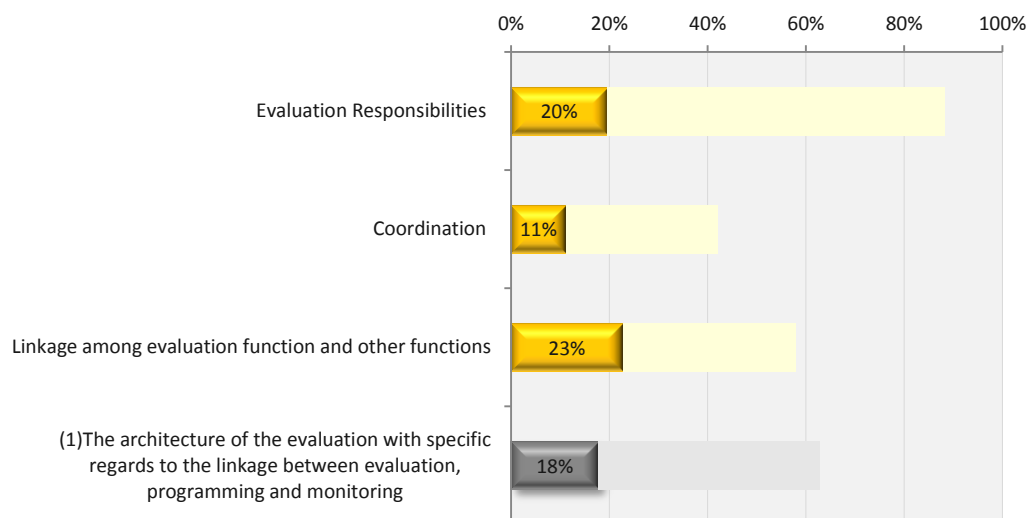
In the following sections results are more deeply examined. The impact of KAI 1.2 on sub-criteria and indicators are analysed in order to provide preliminary conclusions and recommendations.

(1) The architecture of the evaluation

There is evidence of KAI 1.2 impact on all three indicators of this criterion. The overall impact of KAI 1.2 on the architecture of the evaluation is 18% of the total achieved score of 63%.

- ▶ **Evaluation Responsibilities:** KAI 1.2 has an impact on the structure of Evaluation Units, but not on the definition of their mission, roles and tasks. The *Analysis Report of the Evaluation System*, produced under the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS⁴*, recommends to have dedicated units inside the MAs, separated from other functions.
- ▶ **Coordination:** half of the EWG meetings were organized under KAI 1.2. On the other side, KAI 1.2 has no impact on the definition of the mechanism for the coordination of Evaluation Units.
- ▶ **Linkage among evaluation function and other function:** based on the desk research, there is evidence of KAI 1.2 impact on the linkage between evaluation and monitoring. The *Analysis Report of the Evaluation System* suggests that monitoring data should trigger evaluations and this recommendation was integrated in all evaluation procedures, both at OP level and NSRF.

Figure 33 - The architecture of the evaluation: impact of KAI 1.2



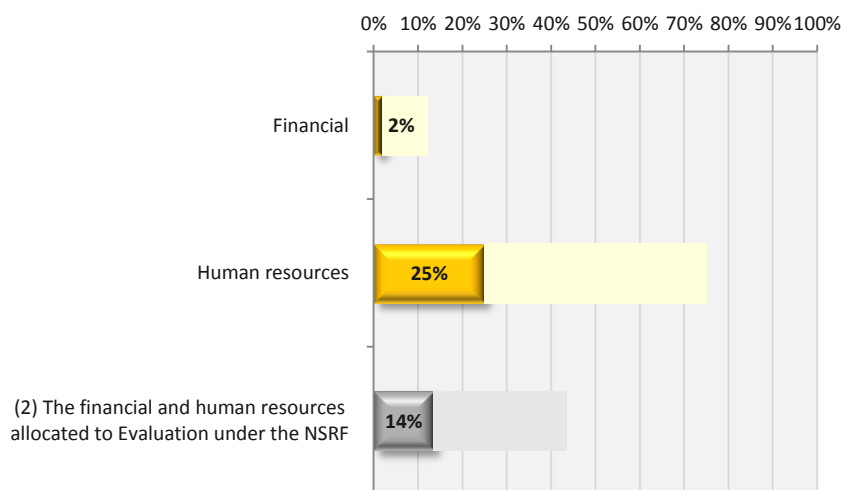
⁴ Based on the desk analysis of the documents produced under the project “*Evaluation Capacity development for the Evaluation Units within MAs and ACIS*”, financed through OP TA KAI 1.2, we have identified a number of links between project objectives and activities and areas of the evaluation culture index that are addressed either directly or indirectly. The strongest and direct links are identified in particular with the following criteria of the index: (1) The architecture of Evaluation, (2) The financial and human resources allocated to Evaluation under the NSRF, (4) The evaluation function is efficient and effective, (7) Dissemination of evaluation outputs, (8) Use of evaluation results, (11) “Evaluative” human resources policy - targeted at ensuring adequate human resources, at all levels, (12) Embedded/bottom up evaluation demand (in SIS), (14) Civil society and mass media.

(2) Financial and human resources allocated to Evaluation

The overall impact of KAI 1.2 on this criterion is 14% of the total achieved score of 43%.

- ▶ **Financial resources:** the financial contribution of KAI 1.2 to the budgets allocated to evaluation at OP level is low (i.e. KAI 1.2 finances only the OP TA evaluations; the other 6 OPs and CBC programmes are using their own evaluation budget, allocated under the Technical Assistance Priority Axis of the programme), while at NSRF level is 100%.
- ▶ **Human resources:** KAI 1.2 has no impact in terms of coverage of salaries of the Evaluation Unit staff (i.e. the current legislation does not allow for the KAI 1.2 to finance salaries). On the other hand, KAI 1.2 has impact in terms of coverage of costs of training of Evaluation Unit staff: a number of trainings were financed under the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS*. Also, the project produced a *Strategy for continuous trainings of the evaluation system of structural instruments*.

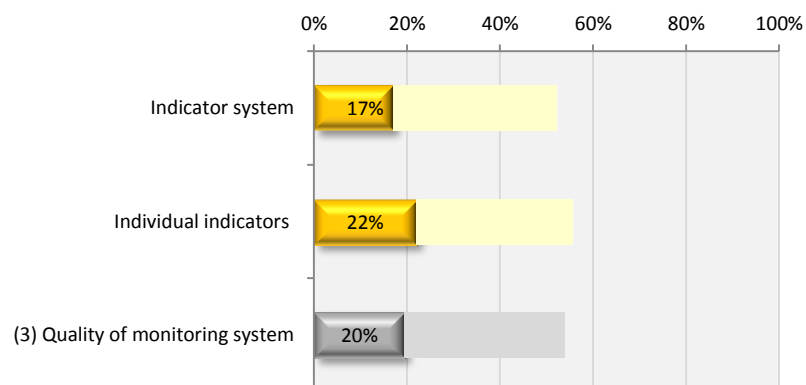
Figure 34 - Financial and Human Resources allocated to Evaluation: impact of KAI 1.2



(3) Quality of monitoring system

The impact of KAI 1.2 on this criterion was computed based on a survey distributed to the members of the EWG. The results suggest that both the Indicator System and the Individual Indicators are designed or revised according to the recommendations of KAI 1.2. However, the desk research gave no evidence of this. The overall impact of KAI 1.2 on this criterion is 20% of the total achieved score of 54%.

Figure 35 - Quality of monitoring system: impact of KAI 1.2



(4) The evaluation function is efficient and effective

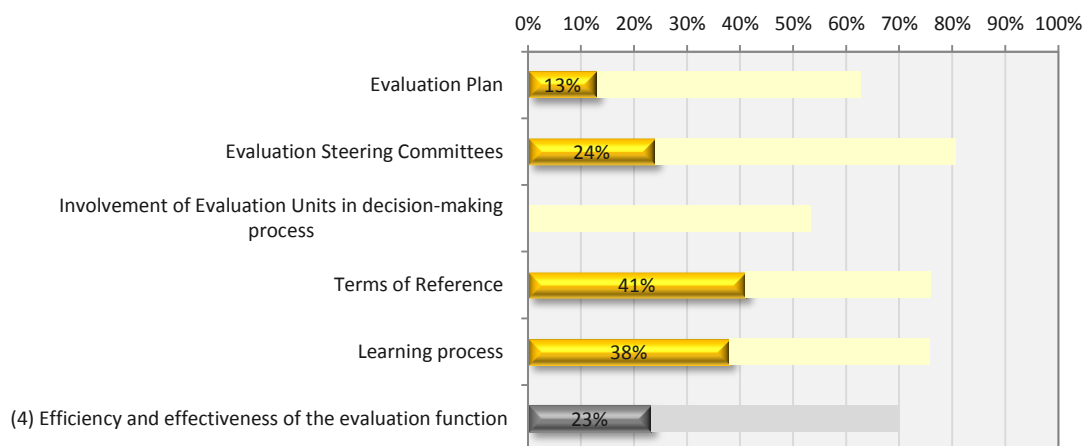
We identified a number of recommendations produced under KAI 1.2 related to this criterion. However, as shown below, not all of them were implemented. The overall impact of KAI 1.2 is 23% of the achieved score of 70%.

- ▶ **Evaluation Plans:** KAI 1.2 produced recommendations related to the regular update of Annual and Multiannual Evaluation Plans. The manual *Evaluation of Operational Programmes. Introductory concepts* produced under the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS* states that the MEP should be a dynamic document, regularly updated, and the AEPs should be developed at the beginning of each year throughout the programming period. However, only ROP has updated both the MEP and the AEPs.

Moreover, KAI 1.2 has high impact on the execution of Evaluation Plans at NSRF level (i.e. all evaluation reports were financed under KAI 1.2) and low at OP level (i.e. KAI 1.2 finances only evaluation reports produced under OP TA, while the other evaluations are financed by the Technical Assistance Priority Axis of each OP).

- ▶ **Evaluation Steering Committees:** based on the survey distributed among the members of the EWG, the Evaluation Steering Committees are organized according to the guidelines produced under KAI 1.2. However, based on the desk research, no evidence was found of guidelines related to the organization of ESC, financed under KAI 1.2 (the existing guidelines were produced under Phare).
- ▶ **Involvement of Evaluation Units in decision making process:** no evidence was found related to the impact of KAI 1.2 on the formalization of a process for the involvement of Evaluation Units in decision making process.
- ▶ **Terms of reference:** there are *Guidelines for Interim Evaluations* produced under KAI 1.2, which, according to the discussions with the members of the EWG, were used for drafting the ToRs both at OP and NSRF level.
- ▶ **Learning process:** although we found evidence of recommendations produced under KAI 1.2 related to the regular update of procedures (i.e. project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS*), evaluation procedures are not updated for three OPs (SOP HDR, SOP IEC and SOP Environment) and do not reflect the latest organizational changes.

Figure 36 - Evaluation function efficiency and effectiveness: impact of KAI 1.2



(5) Socio-economic data are available and reliable

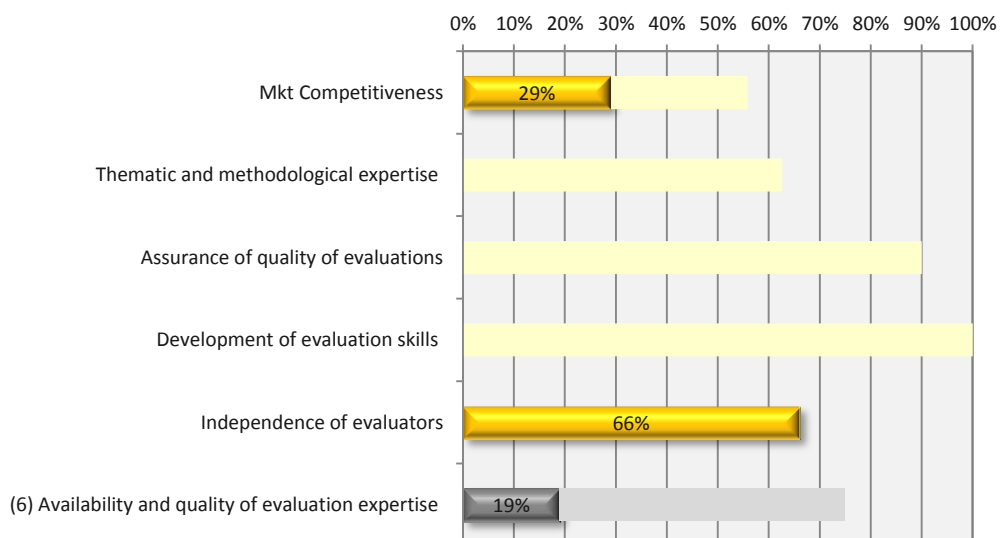
No evidence was found related to the impact of KAI 1.2 on the availability and reliability of socio-economic data. The overall impact of KAI 1.2 on this criterion is 0% of the total achieved score of 51%.

(6) Availability and quality of evaluation expertise

KAI 1.2 has impact on only 2 sub-criteria related to the availability and quality of evaluation expertise: market competitiveness and independence of evaluators. The overall impact of KAI 1.2 on this criterion is 19% of the total achieved score of 75%.

- ▶ **Market Competitiveness:** the large multi-annual framework contracts financed under KAI 1.2 aroused the interest of both national and international firms active on the evaluation market (6 out of the 13 international firms and 4 out of the 7 national firms are working on KAI 1.2 projects).
- ▶ **Thematic and methodological expertise:** no evidence was found of training opportunities financed under KAI 1.2 for the supply side of evaluation. Therefore we can conclude that KAI 1.2 did not contribute to the good level of thematic and methodological expertise.
- ▶ **Assurance of quality of evaluations:** no evidence was found of guidelines financed under KAI recommending a certain structure of check-lists.
- ▶ **Development of evaluation skills:** no evidence was found of training opportunities for the supply side of evaluation, financed under KAI 1.2. Therefore, we can conclude that KAI 1.2 has no impact on the development of evaluation skills of the supply side.
- ▶ **Independence of evaluators:** the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS* financed training materials related to the independence of evaluators: "*Dealing with conflict of interest, independence and impartiality of evaluators*". The perceived impact of KAI 1.2 on the independence of evaluators, based on the focus group with EWG, is medium to high.

Figure 37 - Availability and quality of evaluation expertise: impact of KAI 1.2



(7) Dissemination of evaluation output

This criterion is composed of a single sub-criterion and registers a 38% impact of KAI 1.2, out of the 49% achieved score. An analysis at the level of indicators evidences that:

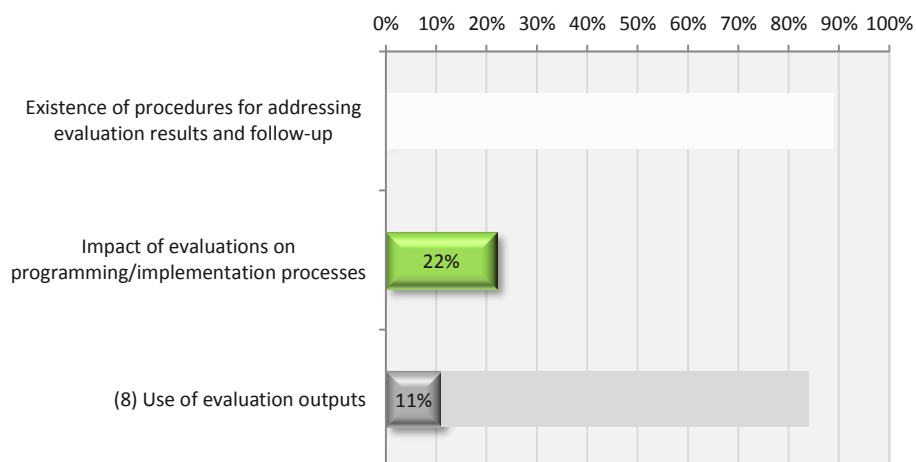
- ▶ Starting from January 2013, the Ministry of European Funds has made available for decision-makers and for the wide public a centralized Evaluation Library, containing evaluation reports carried out both at OP and NSRF level, which can be consulted on-line on the web page www.evaluare-structurale.ro. This instrument for managing the evaluation results has been deployed under the project *Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania*, financed through KAI 1.2.
- ▶ However, out of the three evaluation projects carried out in the last 12 months at OP level, none was financed through KAI 1.2 and none is available on the Evaluation Library website. The evaluation projects finalized in the last 12 months at NSRF level were financed by KAI 1.2, but none is publicly available.
- ▶ At NSRF level, all public events organized in the last 12 months in order to discuss the results of evaluations were financed from KAI 1.2. At OP level, public debates are financed from other sources, and therefore the impact of KAI 1.2 is limited.

(8) Use of evaluation results

Based on the desk research, the impact of KAI 1.2 on this criterion is limited. Procedures are in place for the implementation of the evaluation results, but they were not financed under KAI 1.2. The overall impact of KAI 1.2 on this criterion is 11% of the total achieved score of 84%.

- ▶ **Procedures for addressing evaluation results and follow-up:** no evidence was found of guidelines produced under KAI 1.2 related to the follow up process (the existing guidelines were financed under Phare).
- ▶ **Impact of evaluations on programming/implementation processes:** based on the survey submitted by members of the EWG, the impact of evaluation projects financed under KAI 1.2 on programming and implementation processes is perceived as medium. However, the number of respondents to the survey is rather low (14 respondents), which can be a limiting factor for the accuracy of the analysis.

Figure 38 - Use of evaluation outputs: impact of KAI 1.2



(9) Mental framework

The *Mental framework* criterion was aimed at measuring, under ECI, the values shared by policy makers, management and executive staff, related to evaluation. Considering that the measurement of the impact of KAI 1.2 on this criterion would involve a high degree of subjectivity, the evaluation team agreed with the beneficiary not to include it in the Measurement Methodology.

(10) Legal context of evaluation

The *Legal context of evaluation* criterion was aimed to reveal if the legislation in place includes elements that hamper, directly or indirectly, the evaluation activity. The desk analysis evidenced that KAI 1.2 does not have an impact on the legal context of the evaluation, conclusion that was also supported by the members of the EWG.

(11) Evaluative Human resources policy - targeted at ensuring adequate HR, at all level

This criterion is composed of a single sub-criterion and registers a 7% impact of KAI 1.2, out of the 67% achieved score. An analysis at the level of indicator evidences that:

- ▶ Based on the survey filled in by the members of the EWG, KAI 1.2 financed trainings for the civil servants in the field of social sciences.
- ▶ Moreover, at OP level, there are EWG participants exposed to the KAI 1.2 projects, who hold a decision making position and can support the evaluation process (i.e. evaluation champions).

(12) Embedded/bottom up evaluation demand (in SIS)

This criterion is composed of a single sub-criterion and registers a 28% impact of KAI 1.2, out of the 57% achievement score. An analysis at the level of indicator evidences that:

- ▶ 31% of the completed evaluations, including both OP and NSRF level, were financed under KAI 1.2
- ▶ 13% of the evaluations carried out at OP level in response to the need for empirical knowledge, and not as an obligation, were financed under KAI 1.2. The percentage at NSRF level is 100%.

(13) Networking

Based on the desk research, we could not identify any KAI 1.2 project supporting the national organization of evaluators. The overall impact of KAI 1.2 on this criterion is 0% of the total achieved score of 54%.

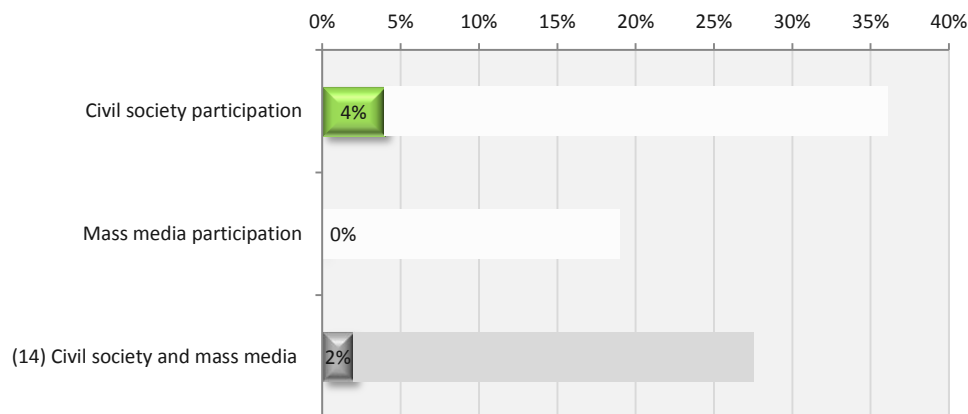
- ▶ **National organization of professional evaluators:** no evidence was found of KAI 1.2 projects supporting the activity of the national organization of evaluators.
- ▶ **Reducing academia-government gap:** no evidence was found of KAI 1.2 projects supporting the cooperation mechanisms between academia and government.

(14) Civil society and mass media

The overall impact of KAI 1.2 on this criterion is 2% of the total achieved score of 28%.

- ▶ **Civil Society participation:** KAI 1.2 has an impact on the participation of civil society in evaluation related activities (i.e. we found evidence of projects involving the civil society, financed under KAI 1.2).
- ▶ **Mass Media participation:** KAI 1.2 does not have an impact on the involvement of mass media (i.e. none of the projects financed under KAI 1.2 evidenced the participation of mass media).

Figure 39 - Civil society and mass media: impact of KAI 1.2



(15) Governance

The indicators falling under this criterion are measured based on the World Bank Governance Index. KAI 1.2 cannot have an impact on this indicator, therefore the evaluation team agreed with the beneficiary not to include it in the Measurement Methodology.

(16) Impacts in Long-run and outside SIS

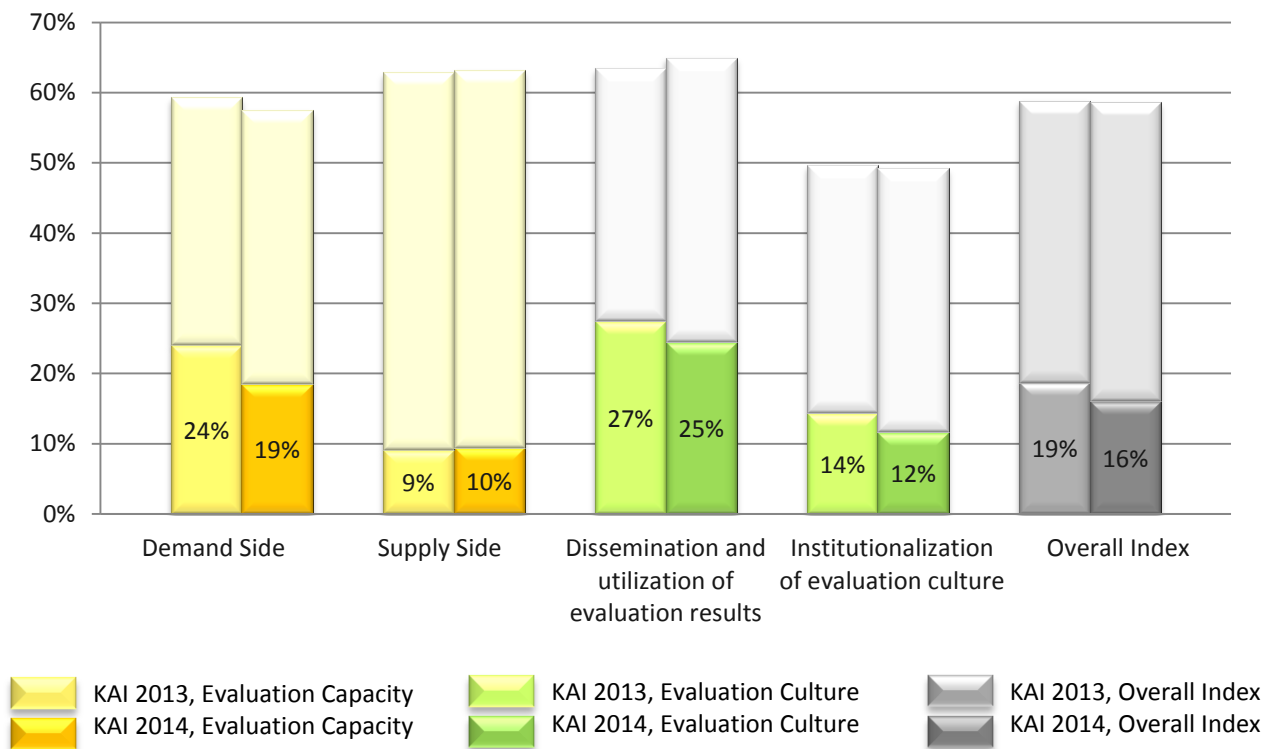
This criterion is composed of a single sub-criterion and registers a 21% impact of KAI 1.2, out of the 63% achievement score. An analysis at the level of indicator evidences that:

- ▶ KAI 1.2 projects or project components address institutions other than MA and MEF (Intermediate Bodies, Beneficiaries, Audit Authority, Certification and Paying Authority).
- ▶ KAI 1.2 projects do not address directly public administration managers.

3.5. Comparison between the three annual measurement results

The analysis was meant to determine the direct or indirect contribution of evaluation projects financed under KAI 1.2 of the OP TA to the evaluation culture in Romania and the results showed that indeed, these projects have an impact on the overall satisfactory results of ECI. However, across the three measurement cycles, the methodology used in the analysis was subject to significant changes and, therefore, only the last two cycles are comparable in terms of achieved impact.

Figure 40 - KAI achieved score - comparison between measurement cycles at dimension level



As presented in the figure above, KAI 1.2 registered a slight lower impact on ECI in 2014, compared to 2013. Since no major changes were identified based on the desk research between the two measurement cycles, this difference can be entirely attributed to the perception of the EWG members, expressed through a questionnaire distributed during the focus group held on 11.07.2014.

Chapter 4 Overall Conclusions and recommendations

The third annual measurement of evaluation culture continued to reveal a good diffusion of evaluation culture within the Structural Instruments management system, quantified in an average achievement of the ECI of 59% of the maximum available score of 100% (compared to 59% achieved in the second cycle and 57% in the first cycle of evaluation).

The level of diffusion of the evaluation culture was determined by the good average achievement across Operational Programmes, showing more satisfactory results for ROP and SOP Environment and slightly poorer performances for SOP IEC.

At the level of dimension, the most developed seem to be the supply side and the dissemination of evaluation results, followed by the demand side, whereas there are areas for improvement regarding the institutionalization of the evaluation culture.

Comparing the ECI score obtained in all of the three measurement cycles, the supply side of evaluation registered the highest increase (from 45% in the first cycle to 63% in the last one), which was mainly based on the perceived performance of the dimension determined through the e-survey. The timeframe of one year difference between the measurement cycles of the evaluation culture may be too short in order to capture substantial improvements for all four dimensions.

In order to provide solid recommendations concerning either strategic changes in the design of KAI 1.2 or future activities that may be undertaken under the KAI in order to increase the level of diffusion of evaluation culture, we have cross-correlated at the level of criteria of the ECI all the evidences collected during the third measurement cycle.

Figure 41 - Structure of conclusions and recommendations table

ECI Criteria	CONCLUSIONS OF THE THIRD ANNUAL MEASUREMENT				RECOMMENDATIONS FOR IMPROVEMENT OF EVALUATION CULTURE	
	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC

Following this approach, for each criteria we have summarized the key strengths and weaknesses related to evaluation culture emerging from the analysis of both primary and secondary sources, described the relevant activities developed under KAI 1.2 contracted projects and differentiated our recommendations into operational recommendations (i.e. short term actions that are implementable under the current structure of KAI 1.2) and strategic recommendations (i.e. recommendation requiring changes in the logic of intervention of KAI 1.2 and that therefore may require modifications of the existing programming and implementation documents) which reflect those of the previous annual measurement cycles.

Table 5 - Conclusions of the annual measurement and recommendations for improvement

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
(1)The architecture of Evaluation	ABOVE ECI AVERAGE	<ul style="list-style-type: none"> The architecture of the evaluation system is in place with dedicated Evaluation Units established and operational at Programme level, effectively coordinated by the Central Evaluation Unit set-up within MFE. Mission, roles and tasks of EUs are clearly defined and assigned based on ROF, procedures and job descriptions. 	<ul style="list-style-type: none"> The main downside concerning architecture relates to the fact that Evaluation Units are organized within compartments performing also other functions (ex: programming, communication) and that there is a lack of formal procedures linking evaluation to programming. The applied procedure concerning the coordinating role of the EWG is in draft status. 	<ul style="list-style-type: none"> There is evidence of KAI 1.2 impact on the architecture of Evaluation (recommendation to have dedicated units, separated from other units) Half of EWG meeting were organized under KAI 1.2 KAI 1.2 has impact only on the linkage between evaluation and monitoring and not between evaluation and programming. 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Ensure continuity in the role of UCE. <p>Owner: Ministry of European Funds (MEF)</p> <p>Timeframe: ongoing</p> <ul style="list-style-type: none"> Support an international benchmarking study on organizational aspects of evaluation culture. <p>Owner: Ministry of European Funds (MEF)</p> <p>Timeframe</p> <ul style="list-style-type: none"> Start: Q.4 of 2014 End: Q.2 of 2015 	
(2) Financial and human resources allocated to Evaluation	BELOW ECI AVERAGE	<ul style="list-style-type: none"> The human resources allocated to evaluation are adequate both in terms of number (average 3 persons per evaluation unit in line with international benchmark) and competences. 	<ul style="list-style-type: none"> The financial resources are below the international benchmark (0.12% of the total budget of the operational programme is dedicated to evaluation). This gap was influenced by the fact that in the international benchmark was included aggregated data related to OPs which have a higher allocation of resources to evaluation compared to Romania. 	<ul style="list-style-type: none"> KAI 1.2 contributed with financial resources to the evaluations carried out at OP level (i.e. OP TA) and NSRF level. KAI 1.2 financed training and professional development of staff at OP and NSRF level. KAI 1.2 has no impact in terms of coverage of salaries. 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Ensure availability of resources to support activities consistent with ECI in the future programming period. <p>Owner: MEF</p> <p>Timeframe: ongoing</p>	

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
(3)Quality of monitoring system	<ul style="list-style-type: none"> Below ECI AVERAGE 	The quality of the indicator system is considered adequate and capable of providing timely information.	Areas of improvement have been indicated in relation to the indicator system at NSRF level	No evidence was found of projects financed under KAI 1.2 that may have an impact on the quality of the monitoring system.		<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Identify 2007-2013 indicators to be used in 2014-2020 and assess reliability and consistency across OPs and improvement. <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> Start: Q.4 of 2014 End: Q.2 of 2015
(4)Efficiency and effectiveness of the evaluation function	ABOVE ECI AVERAGE	<ul style="list-style-type: none"> Planning of evaluation is ensured by the existence of multiannual plans. Single evaluation assignments are effectively managed by Evaluation Steering Committees (ESCs) set-up at Programme level producing terms of reference of medium-high quality. EUs are consulted by MAs in decision making processes, but not in a formalized manner. Procedures are in place for design, implementation and use of evaluation and provide for the involvement of Evaluation Units in decision making. 	<ul style="list-style-type: none"> Multiannual and annual plans are not regularly updated and the degree of accomplishment is not always satisfactory. The multiannual evaluation plans registered an average delay of 6 months between the planned date and the completion date. Procedures are not regularly updated, in order to reflect the latest organizational changes. 	<ul style="list-style-type: none"> KAI 1.2 produced recommendations related to the regular update of annual and multiannual evaluation plans. No evidence was found related to the impact of KAI 1.2 on structures of ESC. There are guidelines produced under KAI 1.2 related to the drafting of the ToRs KAI 1.2 produced recommendations related to the regular update of procedures 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Support for the structuring and animation of EWG sub-groups focusing on specific themes and on regular update of evaluation function. Plan new measurement cycles with intervals adequate to capture the impact of OPTA actions. <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> Start: Q.4 of 2014 End: Q.3 of 2016 	

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
(5) Socio-economic data are available and reliable	BELOW ECI AVERAGE	<ul style="list-style-type: none"> Socio-economic data are available in a timely manner. 	Other data such as micro-data at beneficiary level are only partially available and their consistency is considered of medium level.	No specific action undertaken.	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Support a project in collaboration with the National Institute of Statistics to develop a statistical baseline for counterfactual analyses an review information needed to construct socio-economic indicators to be used to capture impacts. <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> Start: Q.1 of 2015 End: Q.4 of 2016 	
(6) Availability and quality of evaluation expertise	ABOVE ECI AVERAGE	<ul style="list-style-type: none"> There is a supply side in possession of the required thematic and methodological expertise active in the Romanian market composed of both national and international companies. Specific check-lists to assess the quality of evaluation are in use and, based on the e-Survey respondents, evaluation reports are of medium to high quality. Evaluators are considered independent. 	<ul style="list-style-type: none"> There is room for improvement of market competitiveness. The involvement of universities in evaluation activities is not yet developed. 	<ul style="list-style-type: none"> Large multi-annual framework contracts have attracted a number of international players in the national evaluation market. KAI 1.2 is not currently financing trainings for the supply side. 		<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Ensure complementarity with POCU to finance training and educational options in the field of evaluation for supply side. <p>Owner: MEF</p> <p>Timeframe: in parallel with the programming process</p>
(7) Dissemination of evaluation outputs	BELOW ECI AVERAGE	A number of Evaluation Reports are publicly available on the website of the Evaluation Working Group (www.evaluate-	<ul style="list-style-type: none"> Not all the evaluation reports are publicly available in their integrity; some of them are published only in terms of 	<ul style="list-style-type: none"> Development of the EWG website (and of the Evaluation Library) Publication on the EWG website of the 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Support a study aimed at identifying the most appropriate forms of communication towards 	

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
		structurale.ro) and public debates have been organized in order to present and discuss evaluation findings.	Executive Summary. <ul style="list-style-type: none"> The average number of public debate organized per OP in the last 12 months appears to be low. 	evaluation reports <ul style="list-style-type: none"> Planned organization of wider dissemination events under LOT 2 of the Framework Agreement on Structural Instruments. 	SI stakeholders. <ul style="list-style-type: none"> Continue embedding in evaluation projects wide communication events and publishing evidences on evaluation library. <p>Owner: MEF</p> <p>Timeframe: ongoing</p>	
(8) Use of evaluation results	ABOVE ECI AVERAGE	<ul style="list-style-type: none"> Procedures for addressing evaluation results and their follow-up are in place. <p>The use of evaluation results is considered higher at OP level than at NSRF level.</p>	No weakness identified.	No specific action undertaken.	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Regularly discuss within the EWG the follow-up on evaluation recommendations. <p>Owner: MEF</p> <p>Timeframe: starting from Q4 of 2014</p>	
(9) Mental framework	BELOW ECI AVERAGE	Evaluation is considered an important part for achieving success at institutional level both by management/executive staff and policy makers.	There is still space for improvement, especially among policy makers.	No specific action undertaken.	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Support the organization of an international conference aimed at exchanging experiences on "Impact of evaluation evidences on policy making process". <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> Start: Q.4 of 2014 End: Q.2 of 2015 	
(10) Legal context of evaluation	BELOW ECI AVERAGE	The national legal provisions regulating evaluation are the transposition of the EU Legal Framework and provide for	There are elements of the Romanian legal framework hampering evaluation, in particular public	No specific action undertaken.		

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
		the additional requirement of preparation of multiannual and annual evaluation plans.	procurement rules, national ordinances on staff hire and rules on expense eligibility.			
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all level	ABOVE ECI AVERAGE	<ul style="list-style-type: none"> There are evaluation champions (i.e. persons supporting the evaluation process) both at OP and NSRF level. There are training options on the market. 	<ul style="list-style-type: none"> Less than half of the civil servants are trained in social sciences. The degree of participation of civil servants (other than those dedicated to evaluation) has substantial room for improvement. The number of training options remains limited and do not cover all developmental and training needs. 	Some of the EWG participants hold decision making position and are able to support the evaluation process (i.e. evaluation champions)		<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Ensure complementarity with POCU to finance training and educational options in the field of evaluation for demand side and capacity development actions for academia. <p>Owner: MEF</p> <p>Timeframe: in parallel with the programming process</p>
(12) Embedded/bottom up evaluation demand(in SIS)	BELOW ECI AVERAGE	<ul style="list-style-type: none"> There is a demand for evaluation. <p>At NSRF level, evaluations are triggered in response to a need of knowledge, and not in response to a compliance imposed by the EU.</p>	The overall demand for evaluation as well as the number of evaluations triggered in response to a need of knowledge can be improved at OP level.	KAI 1.2 financed evaluations triggered in response to a need for knowledge.		
(13) Networking	BELOW ECI AVERAGE	<ul style="list-style-type: none"> There exists a national organization of evaluators. <p>There is a mechanism of cooperation between Government and academia.</p>	<ul style="list-style-type: none"> The contribution of the national organization of evaluators to the dissemination of good practices is low. The involvement of academia has been very limited up to date. 	No specific action undertaken.		
(14) Civil society and	BELOW ECI AVERAGE	No strengths identified.	The level of participation of civil society in evaluation related activities is low as	Addressed to a very limited extent (i.e. out of the ten projects involving civil	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> Continue performing 	

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
mass media			well as the number of public events organized per year.	society, two were financed under KAI 1.2)	communication activities especially targeted to policy makers and the civil society. Owner: MEF Timeframe: ongoing	
(15) Governance	BELOW ECI AVERAGE	Voice and accountability, regulatory quality, rule of law and control of corruption are above the world average as measured by the World Bank Governance index.	Political stability and government effectiveness are below the world average as measured by the World Bank Governance index.	Not addressed within the framework of KAI 1.2	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Support pilot on Regulatory Impact Assessment. Owner: MEF Timeframe: <ul style="list-style-type: none"> Start: Q.4 of 2014 End: Q.2 of 2016 	
(16) Impacts in long-run and outside SIS	ABOVE ECI AVERAGE	The perceived sensitivity to evaluation on behalf of institutions involved in the Structural Instruments System is good. An important development is represented by the first contracting of evaluation assignments through Joint Technical Secretariats under ETC Programmes.	Institutions involved in Structural Instruments have internalized evaluation only in part.	Addressed to a very limited extent.		

Annexes

Annex 1 - Documents analyzed

Documents received from the Managing Authorities and NSRF:

Regional Operational Programme

Ministry of Regional Development and Public Administration - Regulation on Organization and Functioning of MRDPA, dated October 2013

Ministry of Regional Development and Public Administration - Evaluation Procedure, second edition, dated July 2013

Ministry of Regional Development and Public Administration - Organizational chart

Ministry of Regional Development and Public Administration - Job descriptions of staff performing evaluation activities

Ministry of Regional Development and Public Administration - CVs of staff performing evaluation activities

Ministry of Regional Development and Public Administration - Regional Development Operational Programme, dated October 2013

Ministry of Regional Development and Public Administration - Framework Implementation Document for ROP, dated March 2014

Ministry of Regional Development and Public Administration - Multiannual Evaluation Plan 2007-2013, dated October 2012

Ministry of Regional Development and Public Administration - Annual evaluation plan for 2011, dated October 2010

Ministry of Regional Development and Public Administration - Annual evaluation plan for 2012, dated November 2011

Ministry of Regional Development and Public Administration - Annual evaluation plan for 2013 - 2015, dated October 2012

Ministry of Regional Development and Public Administration - Annual Implementation Reports (2007-2012)

Ministry of Regional Development and Public Administration - Follow up tables

Ministry of Regional Development and Public Administration - Public Procurement Plan for 2013 and 2014

Ministry of Regional Development and Public Administration - Evaluation check-lists

Sectoral Operational Programme Increase of Economic Competitiveness

Ministry of Economy - Regulation on Organization and Functioning of ME, March 2014

Ministry of Economy - Evaluation Procedure, dated July 2013

Ministry of Economy - Organizational chart, dated July 2013

Ministry of Economy - Sectoral Operational Programme, dated Jun 2012

Ministry of Economy - Framework Implementation Document for SOP IEC, dated January 2011

Ministry of Economy - Multiannual Evaluation Plan 2007-2013, dated Jun 2011

Ministry of Economy - Annual Implementation Reports (2007-2012)

Ministry of Economy - Procurement plan for 2014

Ministry of Economy - Evaluation check-lists

Sectoral Operational Programme Human Resources Development

Ministry of Labour, Family, Social Protection and Elderly - Regulation on Organization and Functioning of MLFSPE, not dated

Ministry of Labour, Family, Social Protection and Elderly - Evaluation Procedure, first edition, third revision, not dated

Ministry of Labour, Family, Social Protection and Elderly - Organizational chart, not dated

Ministry of Labour, Family, Social Protection and Elderly - Job descriptions of staff performing evaluation activities

Ministry of Labour, Family, Social Protection and Elderly - CVs of staff performing evaluation activities

Ministry of Labour, Family, Social Protection and Elderly - Sectoral Operational Programme Human Resources Development, not dated

Ministry of Labour, Family, Social Protection and Elderly - Framework Implementation Document for SOP HDR, May 2013

Ministry of Labour, Family, Social Protection and Elderly - Multiannual Evaluation Plan, dated June 2013

Ministry of Labour, Family, Social Protection and Elderly - Annual Implementation Reports (2007-2012)

Ministry of Labour, Family, Social Protection and Elderly - Follow up tables

Ministry of Labour, Family, Social Protection and Elderly - Public Procurement Plan for 2013

Ministry of Labour, Family, Social Protection and Elderly - Evaluation check-lists

Sectoral Operational Programme Environment

Ministry of Environment and Climate Change - Regulation on Organization and Functioning of MECC, dated February 2014

Ministry of Environment and Climate Change - Evaluation Procedure, first edition, not dated

Ministry of Environment and Climate Change - Organizational chart, not dated

Ministry of Environment and Climate Change - Job descriptions of staff performing evaluation activities

Ministry of Environment and Climate Change - CVs of staff performing evaluation activities

Ministry of Environment and Climate Change - Sectoral Operational Programme Environment, dated March 2013

Ministry of Environment and Climate Change - Framework Implementation Document for SOP Environment, dated February 2014

Ministry of Environment and Climate Change - Multiannual Evaluation Plan, dated October 2008

Ministry of Environment and Climate Change - Annual Implementation Reports (2007-2012)

Ministry of Environment and Climate Change - Follow up tables

Ministry of Environment and Climate Change - Public Procurement Plans for 2012, 2013 and 2014

Sectoral Operational Programme Transport

Ministry of Transport - Regulation on Organization and Functioning of MT, May 2014
Ministry of Transport - Evaluation Procedure, first edition, dated April 2013
Ministry of Transport - Organizational chart, dated September 2013
Ministry of Transport - Job descriptions of staff performing evaluation activities
Ministry of Transport - CVs of staff performing evaluation activities
Ministry of Transport - Sectoral Operational Programme Transport, dated December 2013
Ministry of Transport - Framework Implementation Document for SOP Transport, dated April 2014
Ministry of Transport - Multiannual Evaluation Plan, dated October 2008
Ministry of Transport - Annual evaluation plan for 2012, dated November 2011
Ministry of Transport - Annual Implementation Reports (2008-2012)
Ministry of Transport - Public Procurement Plan for 2013 and 2014
Ministry of Transport - Evaluation check-lists

Operational Programme Development of Administrative Capacity

Ministry of Regional Development and Public Administration - Regulation on Organization and Functioning of MRDPA, dated October 2013
Ministry of Regional Development and Public Administration - Evaluation Procedure, fourth edition, not dated
Ministry of Regional Development and Public Administration - Organizational chart
Ministry of Regional Development and Public Administration - Job descriptions of staff performing evaluation activities
Ministry of Regional Development and Public Administration - CVs of staff performing evaluation activities
Ministry of Regional Development and Public Administration - Operational Programme Development of Administrative Capacity, dated January 2012
Ministry of Regional Development and Public Administration - Framework Implementation Document for OP DAC, dated June 2012
Ministry of Regional Development and Public Administration - Multiannual Evaluation Plan, dated June 2012
Ministry of Regional Development and Public Administration - Annual Implementation Reports (2007-2012)
Ministry of Regional Development and Public Administration - Follow up tables
Ministry of Regional Development and Public Administration - Public Procurement Plan for 2013 and 2014
Ministry of Regional Development and Public Administration - Evaluation check-lists

Operational Programme Technical Assistance / NSRF

Ministry of European Funds - Regulation on Organization and Functioning of MEF, dated 2013
Ministry of European Funds - Evaluation Procedure, first edition, dated December 2013
Ministry of European Funds - Organizational chart, October 2013
Ministry of European Funds - Job descriptions of staff performing evaluation activities
Ministry of European Funds - CVs of staff performing evaluation activities
Ministry of European Funds - Operational Programme Technical Assistance, dated 2007
Ministry of European Funds - Framework Implementation Document for OP TA, dated November 2013
Ministry of European Funds - Multiannual Evaluation Plan for 2007-2013, dated May 2008
Ministry of European Funds - Multiannual Evaluation Plan for 2013-2015, dated November 2012
Ministry of European Funds - Annual Implementation Reports (2007-2013)
Ministry of European Funds - Follow up tables
Ministry of European Funds - Evaluation check-lists

National Programme for Rural Development

Ministry of Agriculture and Rural Development - Regulation on Organization and Functioning of MARD, Jun 2013
Ministry of Agriculture and Rural Development - Organizational chart
Ministry of Agriculture and Rural Development - Job descriptions of staff performing evaluation activities
Ministry of Agriculture and Rural Development - CVs of staff performing evaluation activities
Ministry of Agriculture and Rural Development - National Programme for Rural Development, November 2013
Ministry of Agriculture and Rural Development - Annual Implementation Reports for NPRD (2007 - 2013)
Ministry of Agriculture and Rural Development - Public Procurement Plan for 2013
Ministry of Agriculture and Rural Development - Evaluation check-lists

Cross Territorial Cooperation

Ministry of Regional Development and Public Administration - Regulation on Organization and Functioning of MRDPA, dated May 2013
Ministry of Regional Development and Public Administration - Evaluation Procedure for CTC Romania-Bulgaria, first edition, dated June 2013
Ministry of Regional Development and Public Administration - Evaluation Procedure for CTC Romania-Serbia, first edition, dated April 2010
Ministry of Regional Development and Public Administration - Job descriptions of staff performing evaluation activities
Ministry of Regional Development and Public Administration - CVs of staff performing evaluation activities
Ministry of Regional Development and Public Administration - Operational Programme Romania-Bulgaria, October 2007

Ministry of Regional Development and Public Administration - Operational Programme Romania-Serbia, July 2012

Ministry of Regional Development and Public Administration - Multiannual Evaluation Plan for CTC Romania-Bulgaria, not dated

Ministry of Regional Development and Public Administration - Multiannual Evaluation Plan for CTC Romania-Serbia, not dated

Ministry of Regional Development and Public Administration - Annual evaluation plan for 2012, CTC Romania-Bulgaria, not dated

Ministry of Regional Development and Public Administration - Annual evaluation plan for 2009, CTC Romania-Serbia, not dated

Ministry of Regional Development and Public Administration - Annual implementation Reports for OP Romania-Bulgaria (2007-2012)

Ministry of Regional Development and Public Administration - Follow up tables

Ministry of Regional Development and Public Administration - Public Procurement Plan for 2014

Ministry of Regional Development and Public Administration - Evaluation check-lists

Other documents:

KPMG - Analysis Report of the Indicator System

World Bank - Worldwide Governance Indicators for 1996 - 2012, made available at www.worldbank.org

Evaluation Reports, made available at www.evaluare-structurale.ro

Evaluation Working Group documents, made available at www.evaluare-structurale.ro

Documents produced under the project *"Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation"*, made available at www.evaluare-structurale.ro

Annex 2 - Evaluation reports planned through MEPs and their availability on the Evaluation Library

Regional Operational Programme

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Regional Operational Programme Ex-ante Evaluation	2006	Completed in January 2007	x		
Regional Operational Programme Interim Evaluation	2009	Completed in October 2009	x		
Evaluation of the implementation of priorities and projects addressed to business environment	2010	Completed in 2010	x		
Evaluation of regions administrative capacity development	2010	Final version in November 2011	x		
Regional Operational Programme Interim Evaluation	2011	Completed in April 2014	x		
Lessons resulted from ROP 2007-2013 experience	2012				x

Sectoral Operational Programme Increase of Economic Competitiveness

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation. Operational Programme Increase of Economic Competitiveness	2006	Completed in January 2007	x		
Interim Evaluation of the Operational Programme Increase of Economic Competitiveness for 2009	2009	Completed in 2010		x	
Evaluation of the Priority Axes of OP IEC	2010	Completed in 2013			x
Evaluation of the Communication Plan implementation	2010	Completed in August 2011		x	
Evaluation of JEREMIE	2011				x
Ex-ante evaluation of Operational Programmes for the next programming period	2011				X
Ex-ante evaluation and Strategic Environmental Assessment of the PO for the next programming period	2011				X
Second Interim Evaluation of OP IEC	2012				X
Evaluation of horizontal priorities	2013				x

Sectoral Operational Programme Human Resources Development

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation of the Operational Programme Human Resource Development	2006	Completed in January 2007	x		
First Interim Evaluation of SOP HRD	Semester II 2009	Completed in June 2011	x		
Interim Evaluation of SOP HRD	Semester II 2014				X
First Interim Evaluation of SOP HRD Ad Hoc evaluation PA4 - Modernization of Employment Services	Not specified in MEP	Completed in June 2011	x		
First Interim Evaluation of SOP HRD Ad hoc evaluation PA5, KA1 5.2 Promoting long-term sustainability of rural areas in HRD & Employment	Not specified in MEP	Completed in June 2011	x		

Sectoral Operational Programme Environment

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation. Operational Programme Environment	2006	Completed in January 2007	x		
Support for MA to implement the evaluation mechanism	Semester II 2009				x
Evaluation of the impact and degree of implementation of information and publicity measures SOP Environment	Semester I 2010				x
Interim Evaluation of Operational Programme Environment	Semester I 2011	Completed in May 2013	x		
Ex-ante Evaluation for the programming period 2014-2020	Semester I 2013				x

Sectoral Operational Programme Transport

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-Ante Evaluation of the Sectoral Operational Programme Transport	2006	Completed in February 2007	x		
Interim Evaluation of OP Transport	2009	Completed in May 2014			x
Interim Evaluation of OP Transport	2012				x
Ex-Ante Evaluation for the programming period 2014-2020	2013				x

Operational Programme Development of Administrative Capacity

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation Operational Programme Administrative Capacity Development	2006	Completed in January 2007	x		
Ad-Hoc Evaluation of OP DAC - KAI 1.3 and KAI 2.1	Semester II 2009	According to MEP, it was completed (date not specified)			x
First interim evaluation of the Administrative Capacity Development Operational Programme for the period from 1 January 2007 to 30 June 2010	Semester I 2010 - Semester I 2011	Completed in September 2010		x	
Second interim evaluation of the Administrative Capacity Development Operational Programme (PODCA) for the period from 2010 to 2012	Semester I - Semester II 2012	Completed in March 2013		x	
Evaluation of performance and management in implementing OP DAC (2008 -2012)	Semester II 2012 - Semester I 2013				x
Ex-Ante Evaluation of OP DAC for the next programming period (2014-2020)	Semester II 2013				x

Operational Programme Technical Assistance

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation of Operational Programme Technical Assistance	2006	Completed in January 2007	x		
First Operational Programme Technical Assistance Interim Evaluation	Semester I 2009	Completed in September 2010	x		
Evaluation of the Absorption Capacity of the Operational Programme Technical Assistance	January - June 2012	Completed in June 2013	x		
Detailed Evaluation of PA 1 "Support for the implementation of structural instruments and coordination of programs"	Semester I 2010				x
Detailed Evaluation of PA 2 "Further development and support of functioning of the Single Information Management System"	Semester I 2010				x
Detailed Evaluation of PA 3 "Dissemination of information and promotion of structural instruments"	Semester II 2010				x
Interim Evaluation of OP TA	Semester I 2012				x
Evaluation of the impact of technical assistance dedicated to management and implementation of Structural Instruments	February 2014				x
Impact evaluation of trainings in the field of SI developed by ACIS	August 2013				X
Evaluation of the impact of information dissemination and promotion activities of structural instruments	August 2013				x

Cross Territorial Cooperation

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante evaluation for RO-BG	Date not mentioned	Completed in April 2007	x		
Ex-ante evaluation for RO-SE	Date not mentioned	Completed, date not mentioned			X
First interim report of RO-BG	Date not mentioned	Completed in 2011		X	
Second interim report of RO BG	Semester I 2013				x
First internal report of RO-SE	Date not mentioned	Completed, date not mentioned			x
Second internal report of RO-SE	Date not mentioned	Completed, date not mentioned			x
Evaluation on reaching the target indicators set in the programme, evaluation on cross / cutting issues RO-SE	sem I 2011 - sem II 2012				x

National Strategic Reference Framework

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
A Formative Evaluation of Structural Instruments in Romania	Semester II 2010	Completed in July 2010	x		
Synthesis of OP Interim Evaluations	Semester II 2010	Completed in March 2011	x		
Prognosis of absorption and evaluating options for funds reallocation within the NSRF 2007-2013	Semester II 2011	Completed in 2012			x
Second Ad Hoc Evaluation: Review of investment in transport and environment infrastructure	Semester I 2012	Completed in February 2011	x		
Evaluation of the contribution of structural instruments in increasing economic competitiveness of Romania	Semester I 2012				x
Thematic evaluation of administrative capacity	Semester I 2012				x
Thematic evaluation of the territorial dimension of the NSRF	Semester I 2012				x
Evaluation of the contribution of structural instruments in the development of human capital in Romania	Semester I 2012				x
First Ad Hoc Evaluation: Challenges in the Capacity of Public and Private Structural Instruments Beneficiaries	Not mentioned in MEP	Completed in March 2011	x		

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Analysis of the current Evaluation System	Semester II 2012	Completed in August 2011	x		
Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania - First measurement cycle	Not mentioned in MEP	Completed in January 2013	x		
Evaluation of the way in which provisions regarding equal opportunities have been mainstreamed in the Romanian Framework of Structural Instruments	Semester II 2012 - Semester I 2013	Completed in March 2013	x		
Examining the pre-financing rate applied to projects financed from Structural Instruments	Semester II 2012 - Semester I 2013	Completed in July 2013			x
Evaluation of the contribution of Structural Instruments in Romania to compliance with the Acquis Communautaire	2013	Completed in December 2013			x
Evaluation on the identification of unit costs to use in the 2014-2020 programming period	2013				x
An evaluation of mechanisms and instruments of economic and territorial concentration of the assistance within the National Strategic Reference Framework 2007-2013	2013				x

Annex 3 - Master questionnaire distributed to the members of the research panel through the e-Survey tool

EXAMINATION OF EVALUATION CULTURE

Ministry of European Funds and Ernst and Young is developing the project "Examining the evaluation culture" in Romania - cofounded by the European Regional Development Fund through the OP Technical Assistance 2007-2013.

In order to assess and monitor the evaluation culture within the Romania Structural Instruments management system, both in quantitative and qualitative terms, we are submitting this online survey to the stakeholders (both the supply side and the demand side) involved in the Romanian Structural Instrument Evaluation System. The results of the survey will be elaborated both at NSRF and at Programme level.

PERSONAL DATA

1.a	Name	
1.b	Surname	
1.c	Institution	
1.d	Unit / Department	
1.e	Field of competence (e.g. evaluation, programming, monitoring)	

DEMAND SIDE (including both individual and institutional level)

The architecture of Evaluation with specific regards to the linkage between Evaluation, Programming and Monitoring (responsibilities, coordination, linkage with other functions)

Coordination between Evaluation Function of different Programs	2	a. Please specify how many Evaluation Working Group (EWG) meetings you have attended (in the last 12 months).	Please mark with "X"
		0-1	
		2-3	
		4-5	
		6-7	
		>8	
	2	b. Please specify how often the approaches shared by the EWG are adopted at OP level.	Please mark with "X"
		Never	
		Rarely	
		Often	
	Always		
Linkage among evaluation function and other functions	3.1	a. Are there any procedures linking evaluation to Programming Units? (OP Level)	Please mark with "X"
		No	
		Yes, there are informal procedures	
		Yes, but they are in a preliminary version, unapproved	
		Yes, there are formal procedures	

	3.1	b. If "Yes" please rate the effectiveness of the existing procedures (OP Level).	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	3.1	c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (OP Level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	
		0%	
	3.2	a. Are there any procedures linking evaluation to Programming Unit? (NSFR level)	Please mark with "X"
		No	
		Yes, there are informal procedures	
		Yes, but they are in a preliminary version, unapproved	
		Yes, there are formal procedures	
	3.2	b. If "Yes" please rate the effectiveness of the existing procedures (NSFR level).	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	3.2	c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (NSFR level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		up to 30%	
		0%	
	4.1	a. Are there any formal procedures regulating the interaction between monitoring and evaluation units? (OP level)	Please mark with "X"
		No	
		They are in draft status but not yet approved	
		Yes	
	4.1	b. Which is the frequency of meetings (both formal and informal) concerning evaluation activities between monitoring and evaluation units (in the last 12 months)? (OP level)	Please mark with "X"
		No meetings	
		Yearly meetings	
		Quarterly meetings	
		Monthly meetings	
		More than one meeting per month	
	4.1	c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the monitoring unit? (OP level)	Please mark with "X"
	76-100%		
	51-75%		
	31-50%		
	Up to 30%		
	0%		
4.1	d. Do Monitoring Units provide useful monitoring data that	Please mark with "X"	

		support evaluation? (OP level)	
		Never	
		Rarely	
		Often	
		Always	
	4.1	e. Do you see any areas of improvement in which concerns cooperation between Evaluation and Monitoring? (OP level)	Please mark with "X"
		No	
		Partially	
		Yes	
	4.1	f. If YES/partially please indicate which are main gaps and/or areas of improvement concerning data provided by the Monitoring Unit. (OP level)	
	4.2	a. What is the frequency of meetings (both formal and informal) concerning evaluation activities between Monitoring and Evaluation units (in the last 12 months)? (NSRF Level)	Please mark with "X"
		No meetings	
		Yearly meetings	
		Quarterly meetings	
		Monthly meetings	
		More than one meeting per month	
	4.2	b. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Monitoring Unit? (NSRF level)	Please mark with "X"
		76-100%	
		51-75%	
	31-50%		
	Up to 30%		
	0%		
4.2	c. Does the Monitoring Unit provide useful monitoring data that supports evaluation? (NSRF level)	Please mark with "X"	
	Never		
	Rarely		
	Often		
	Always		
4.2	d. Do you see any area of improvement in which concerns cooperation between Evaluation and Monitoring? (NSRF level)	Please mark with "X"	
	No		
	Partially		
	Yes		
4.2	e. If YES/partially please indicate which are main gaps and/or areas of improvement concerning data provided by Monitoring Units. (NSRF level)		

The financial and human resources allocated to Evaluation under the NSRF

Allocation of Human Resources to evaluation activities	5.1	What is the percentage of Evaluation Unit staff that left in the last 12 months? (at OP level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	

		0%	
	5.2	What is the percentage of Evaluation Unit staff that left in the last 12 months? (at NSRF level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	
		0%	
	6	a. Is knowledge of evaluation taken into account in the hiring process of the Evaluation Unit staff? (e.g. criteria concerning professional experience, assessment of the level of knowledge in the field of evaluation)	Please mark with "X"
		No	
		Yes	
	6	b. If Yes, in your opinion do these criteria lead to the hiring of the most adequate staff?	Please mark with "X"
		Never	
		Sometimes	
		Always	
	7	Does the staff of the Evaluation Unit benefit from professional development actions?	Please mark with "X"
		No	
		Yes, the staff benefit of sporadic trainings organized for all staff (e.g. classroom trainings)	
		Yes, the staff benefit of systematic trainings sessions organized for all staff (e.g. classroom trainings planned annually)	
		Yes, the staff benefit of individual customized plan for professional development of each staff including different actions (e.g. on the job training, coaching, internships)	

Quality of monitoring system

Quality of Indicator systems	8.1	a. Please rate the quality of the indicator system (at Programme level) in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Coverage <i>(the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</i>	
		2. Balance <i>(the degree to which the indicator system includes a well-distributed mix of indicators - context, input, output, result, impact - and the requirement for information to different categories/levels of stakeholders)</i>	
		3. Manageability <i>(the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</i>	
	8.1	b. How long does it take on average, at OP level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?	Please mark with "X"
		Long, over 2 months	
		Medium, 1 month	
	Short, 15 days		

		Extremely short, 1 week	
	8.2	a. Please rate the quality of the indicator system (at NSRF level) in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Coverage <i>(the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</i>	
		2. Manageability <i>(the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</i>	
	8.2	b. How long does it take on average, at NSRF level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?	
		Long, over 2 months	
		Medium, 1 month	
	Short, 15 days		
	Extremely short, 1 week		

Quality of individual indicators	9.1	a. Please rate the quality of the individual indicators (at Programme level) in terms of the:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Correspondence to policy (e.g. linked in an as direct way as possible and potentially affected by the programme actions for whose assessment they are used)	
		2. Normativity (e.g. having a clear and accepted interpretation)	
		3. Robustness (i.e complying with internationally recognised standards and methodologies)	
		4. Feasibility (i.e the measurement is not onerous)	
	9.2	a. Please rate the quality of the individual indicators (at NSRF level) in terms of the :	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Correspondence to policy (e.g. linked in an as direct way as possible and potentially affected by the policy actions for whose assessment they are used)	
		2. Normativity (e.g. having a clear and accepted normative interpretation)	
		3. Robustness (i.e complying with internationally recognised standards and methodologies)	
	4. Feasibility (i.e the measurement is not onerous)		

Efficiency and effectiveness of the evaluation function (with respect to planning, management, quality control and learning)

Effectiveness of the Evaluation Plan	10.1	How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at OP level?	Please mark with "X"
		< 2	
		2-3	
		4-5	
		> 5	

	10.2	How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at NSRF level?	Please mark with "X"
		< 2	
		2-3	
		4-5	
		> 5	
	11.1	Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at OP Level.	
	11.2	Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at NSFR Level.	
	12.1	What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at OP level?	
12.2	What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at NSFR level?		

Effectiveness of the Evaluation Steering Committees	13.1	a. How do you rate the effectiveness of the Evaluation Steering Committee activity? (e.g. in terms of ensuring the quality of evaluation process and results at OP Level)	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	13.1	b. Are other thematic experts invited to take part in the Evaluation Steering Committee according to the evaluation theme? (at OP level)	Please mark with "X"
		Yes	
		No, but this approach has been considered and will be implemented in the future	
		No	
		I don't know	
	13.1	a. How do you rate the effectiveness of the Evaluation Steering Committee activity? (e.g. in terms of ensuring the quality of evaluation process and results at NSFR Level)	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	13.2	b. Are other thematic experts invited to take part in the Evaluation Steering Committee according to the evaluation theme? (at NSFR level)	Please mark with "X"
		Yes	
		No, but this approach has been considered and will be implemented in the future	
	No		
	I don't know		

Involvement of Evaluation Units in decision-making process	14.1	Does a formalised process exist for the involvement of evaluation units in the decision making process at OP Level (e.g. participation to the Monitoring Committees as voting members; consulted by the Managing Authority on main decisions at Programme level)?	Please mark with "X"
		No	

		There are consultations, but not in a formalised process	
		Yes	
	14.2	a. Does a formalised process exist for the involvement of the "central" Evaluation Unit in the decision making process at NSRF Level (e.g. consulted by the Ministry of European Funds on main decisions concerning all Operational Programmes)?	Please mark with "X"
		No	
		There are consultations, but not in a formalised process	
		Yes	

Quality of Terms of Reference	15	Please rate the quality of the Evaluation Terms of References in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		Clarity	
		Standardisation (e.g. conform to a common standard/guidelines)	

Existence of learning processes	16.1	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered (at OP level)?	Please mark with "X"
		No, procedures have not been updated	
		Yes, procedures have been updated but with no significant improvements	
		Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.	
		I don't know	
	16.2	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered (at NSRF level)?	Please mark with "X"
		No, procedures have not been updated	
		Yes, procedures have been updated but with no significant improvements	
		Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.	
		I don't know	

SUPPLY SIDE

Socio-economic data are available and reliable

Quality of Socio-economic data	17	a. Are there other sources for key socio-economic indicator data at national and regional (NUTS II) level, besides the official statistics that you take into account? (e.g. reports prepared by Chambers of Commerce, employer associations)	Please mark with "X"
		No	
		Yes	
	17	b. If yes, please rate their consistency with the official data.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

Availability of Other data	18	a. Are micro-data at beneficiary level available in a timely manner (e.g. economic-financial data for private	Please mark with "X"
----------------------------	----	---	----------------------

		enterprises, employment status / disadvantage of individual persons)?	
		No	
		Yes, but partially	
		Yes	
	18	b. If so please list the type of micro-data on beneficiaries that is available.	

Availability and quality of Evaluation expertise

Degree of Evaluation Market competitiveness	19	a. Is the evaluation market competitive?	Please mark with "X"
		Yes, the evaluation services are most of the times assigned to a relevant number of different players (more than 10)	
		Partially, the evaluation services are often assigned to a limited number of players (5-10)	
		No, the evaluation services are most of the times assigned to a restricted number of players (less than 5)	
	I don't know.		

Availability of thematic and methodological expertise	20	a. Does the supply side of evaluation have the required thematic and methodological expertise needed?	Please mark with "X"
		No	
		To a partial but unsatisfying extent	
		To a partial but satisfying extent	
		Yes	
	20	b. Please list the main types expertise lacked (up to 3).	

Assure quality of evaluations	21	a. Do you apply check-lists to assess the quality of the evaluation reports?	Please mark with "X"
		No	
		Yes	
	21	b. Please rate the quality of the evaluation reports in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Accuracy	
		2. Clarity	
		3. Usefulness	
21	c. Please indicate the major weak points of evaluation reports (up to 3).		

Independence of evaluators	22	a. Please rate to what extent evaluation providers are independent from clients' interests.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS

Dissemination of Evaluation outputs

Evaluation Output Dissemination	23.1	How many public events/debates have been organized to discuss Evaluation results (in the last 12 months) at OP level?	Please mark with "X"
		0	
		1	
		2	
		more than 2	
	23.2	How many public events/debates have been organized to discuss Evaluation results (in the last 12 months) at NSRF level?	Please mark with "X"
		0	
		1	
		2	
		more than 2	

Use of Evaluation results

Impact of evaluations on programming/implementation processes	24	a. To what extent is the evaluation evidence taken into account by Monitoring Committees in the decision making process?	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	25	a. Have the evaluation recommendations, related to Programming at OP level, been used in the preparation of 2014-2020 Operational Programmes?	Please mark with "X"
		No	
		Yes	
	25	b. If Yes, please detail how they were used.	
	26.1	What is the overall degree of implementation of evaluation recommendations, at OP level, for the current programming period 2007 - 2013?	Please mark with "X"
		0%	
		Up to 30%	
		31 - 50%	
		51 - 75%	
		76 - 100%	
	26.2	What is the overall degree of implementation of evaluation recommendations, at the level of NSRF, for the current programming period 2007 - 2013?	Please mark with "X"
		0%	
		Up to 30%	
	31 - 50%		
	51 - 75%		
	76 - 100%		

INSTITUTIONALIZATION OF EVALUATION/EVALUATION CULTURE - TO WHAT EXTENT IS EVALUATION EMBEDDED IN GOVERNANCE OF SIS AND HAS FURTHER IMPACTS?

Enabling context

Mental framework (values)

Values	27	Please rate to what extent policy makers consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	28	Please rate to what extent the management/executive staff consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

"Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting Evaluations

Human resources policy	29	a. Please indicate the percentage of civil servants working in the organizational structure that includes the office for which you are working directly (other than those working in the Evaluation Unit) which are trained in social sciences (e.g. economics, sociology, political science).	Please mark with "X"
		< 25%	
		25 - 50%	
		51 - 75 %	
		> 75%	
	30	a. Please rate the level of participation in evaluation activities of civil servants working in the organizational structure that includes the office for which you are working directly.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	30	b. Please rate the level of participation of civil servants working in the organizational structure that includes the office for which you are working directly in public discussions related to evaluation issues (e.g. presentations of evaluation results, events organized by evaluation societies).	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	31.1	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at OP level)	Please mark with "X"
		No	
		Yes	
	31.2	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at NSRF level)	Please mark with "X"
		No	
	Yes		
32	a. Are there valid Evaluation training/education options for civil servants in the Romanian market?	Please mark with "X"	
	No		
	Yes, there are options but they are not valid		

		Yes, there are valid options but they don't cover all developmental needs	
		Yes	
	32	b. Are there any specific training needs not addressed in the market?	Please mark with "X"
		No	
		Yes	
		I don't know	
	32	c. If yes, please list.	

Embedded/bottom up evaluation demand (in SIS)

Embedded demand for evaluation (in SIS)	33.1	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at OP level) ?	Please mark with "X"
		0%	
		Up to 30%	
		31-50%	
		51 -75%	
		76 - 100%	
	33.2	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at NSRF level) ?	Please mark with "X"
		0%	
		Up to 30%	
		31-50%	
	51 -75%		
	76 - 100%		

Networking

Existence of a National organization of professional evaluators	34	a. To what extent the relevant players of the supply side are represented in the National Organization of Evaluators (e.g. all relevant players in the supply side of the evaluation market are represented)?	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	34	b. Please rate the level of contribution of the organisation to the creation of a network of evaluation experts.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	34	c. Please rate the level of contribution of the organisation to the dissemination and exchange of best practices.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

Reducing academia-government gap	35	a. Do cooperation mechanisms between academia and government, which lead to a better policy formulation, exist?	Please mark with "X"
		Yes	
		No	
		I don't know	

	35	b. If yes, how would you rate it?	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

Civil society and mass media

Civil society participation	36	a. Please rate the level of participation of civil society in evaluation-related activities.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	36	b. Please indicate which part of civil society (that is not actively involved in evaluation-related activities) should participate.	

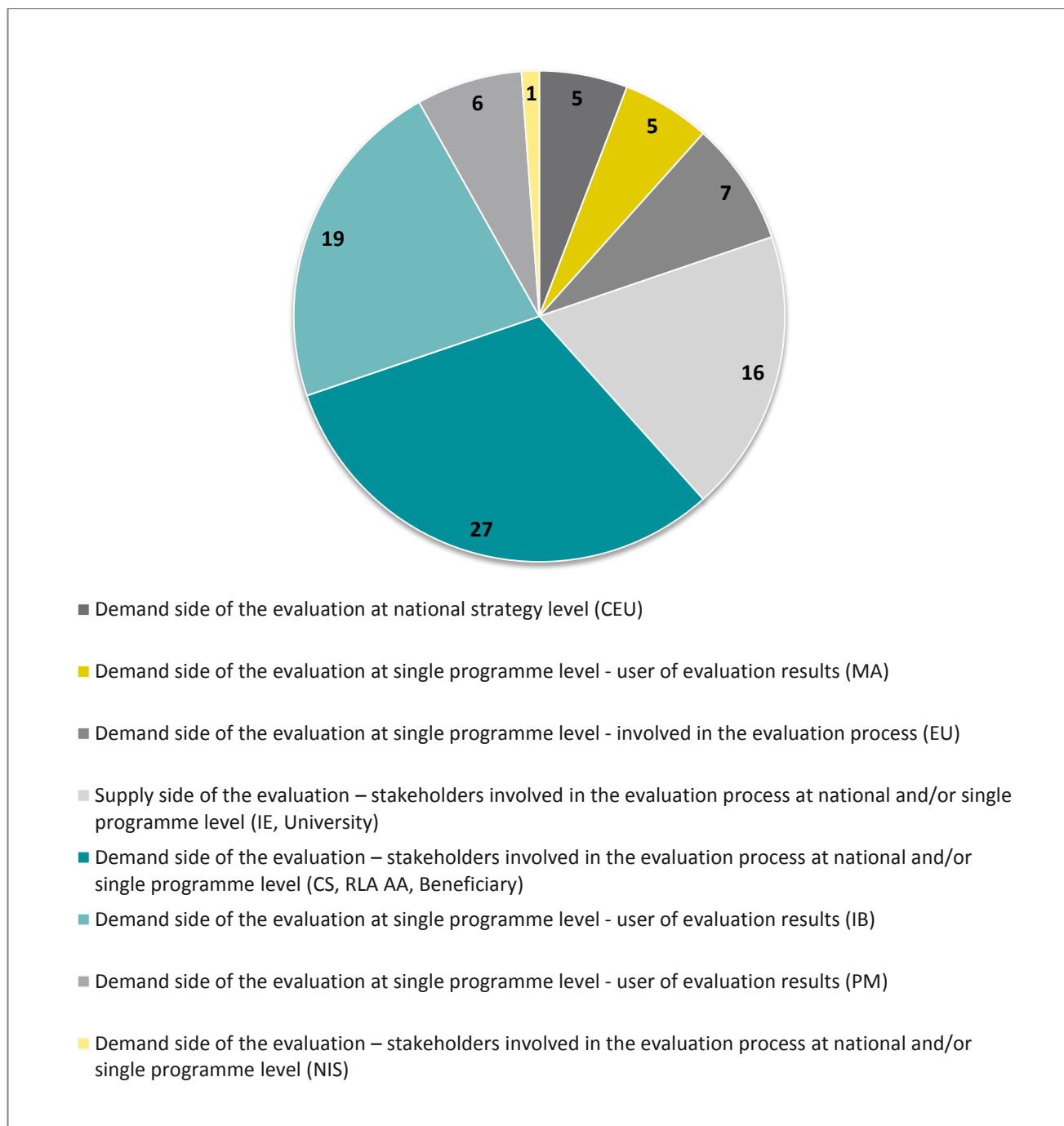
Mass media participation	37	a. How many public events related to evaluation and dissemination (involving mass media) have been carried out (per year) by your institution?	
		0-2	
		3-5	
		6-8	
		9-10	
		more than 10	
		I don't know	

Impact beyond SIS management system
Impacts in long-run and outside SIS

Effects beyond SIS	38	Based on your personal experience (e.g. availability to interviews, provisions of comment on draft reports) what is the level of sensitivity to evaluation of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		- Intermediate Bodies	
		- Audit Authority	
		- Certifying and Paying Authority	
		- Beneficiaries	
	39	a. Please rate the extent to which evaluation is impacting the policy making process in the long run.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	39	b. Please indicate the policy fields in which, in your opinion, the contribution of the evaluation is the most significant (indicate 3 fields).	
	39	c. Please provide some examples.	
40	a. Please rate the extent to which evaluation is impacting the administrative and operating process in the long run.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)	
40	b. Please provide some examples.		

Annex 4 - Number of respondents to the e-survey

Figure 42 - Number of respondents to the e-survey



Annex 5 - International benchmarking questionnaire

INTERNATIONAL BENCHMARKING QUESTIONNAIRE - OPERATIONAL PROGRAMMES

Institution

<i>Name of the Institution</i>	<i>Name Operational Programme</i>	<i>Country</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Contact person for the questionnaire

<i>First name</i>	<i>Second name</i>	<i>Role in the institution</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<i>Telephone</i>	<i>E-mail address</i>	
<input type="text"/>	<input type="text"/>	

Questions

How many evaluations are procured per year by your Institution?	<input type="text"/>
How many evaluations have been carried out, until the current date, for your Operational Programme?	<input type="text"/>
How many of such evaluations were triggered in response to a need for empirically based knowledge (out of the total) and not because it was an obligation?	<input type="text"/>
How is the evaluation function currently organized? Are any changes envisaged for the period 2014 - 2020?	<input type="text"/>
How many human resources are dedicated to the Evaluation Function under your Operational Programme?	<input type="text"/>
Do you have any regular contacts/meetings with the academia/research centres for better programming and implementing your Operational Programme?	<input type="text"/>
Do these contacts/meetings lead to better policy formulation?	<input type="text"/>
Please rate from 1 (lowest value) to 5 (highest value) the contribution coming from academia/research centres to your policy formulation.	<input type="text"/>
Is there any professional organization of Evaluators in your country?	<input type="text"/>
How many public meetings does such professional organization carry out per year?	<input type="text"/>

Additional comments and remarks

Annex 6 - Focus Group with Association for the Development of Evaluation in Romania (ADER)

List of participants to the focus group with ADER held on 09 July 2014

No.	Name	Institution
1.	Niculescu Nicoleta	ADER
2.	Ciot Gabriela	ADER
3.	Chiffa Monica	ADER
4.	Adrian Miroiu	SNSPA
5.	Aioanei Mihaela	SNSPA
6.	Melenciuc Ioana Roxana	ADER
7.	Micu Florentina	ADER
8.	Borcan Ioana Georgiana	ADER
9.	Alexandra Simbie	ADER
10.	Carausan Mihaela	ADER / SNSPA

Annex 7 - Validation Focus Group on preliminary measurement results

List of participants to the focus group held on 11 July 2014

No.	Name	Institution
1.	Claudia Măgdălina	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
2.	Diana Iacob	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
3.	Loredana Suditu	General Direction Analysis, Programming, Evaluation (Ministry of European Funds)
4.	Adriana Șandru	General Direction System Coordination And Technical Assistance (Ministry of European Funds)
5.	Cristina Hodina	General Direction System Coordination And Technical Assistance (Ministry of European Funds)
6.	Mariana Nanu	CU ROP (Ministry of European Funds)
7.	Ileana Geambașu	CU SOP IEC (Ministry of European Funds)
8.	Elena Cămărășan	CU OP DAC (Ministry of European Funds)
9.	Anca Simion	Managing Authority CTC (Ministry of Regional Development and Public Administration)
10.	Simona Vasile	Managing Authority CTC (Ministry of Regional Development and Public Administration)
11.	Mioara Mot	Managing Authority NPRD (Ministry of Agriculture and Rural Development)
12.	Georgeta Enache	Managing Authority NPRD (Ministry of Agriculture and Rural Development)
13.	Cristina Preda	Managing Authority SOP HDR (Ministry of European Funds)
14.	Daniela Lorentz	Managing Authority Fishery OP (Ministry of Agriculture and Rural Development)
15.	Răzvan Ionescu	Managing Authority OP DAC (Ministry of Regional Development and Public Administration)
16.	Miruna Poștaru	Managing Authority SOP Environment (Ministry of Environment and Climate Changes)

No.	Name	Institution
17.	Alexandru Taşcu	Managing Authority SOP Environment (Ministry of Environment and Climate Changes)
18.	Laurențiu Teșcan	Managing Authority ROP (Ministry of Regional Development and Public Administration)

Annex 8 - Dissemination event

List of participants to the dissemination event of 28 July 2014

No.	Name	Institution
1	Guran George	Intermediate Body for Energy
2	Oana Mihalache	Ministry of European Funds
3	Maxim Dumitru	Romania National Agency of Public Servants
4	Diana Gradea	North-East Regional Development Agency
5	Ioana Predulea	Ministry of Public Finance of Romania
6	Adrian Purcaru	Regional Development Agency - Centre
7	Smadu Georgeta	Regional Development Agency - North
8	Alina Iacob	Ministry of Environment and Climate Change
9	Mihaela Kanovitis	Ministry of Labor, Family, and Social Protection
10	Ciofu Daniela	National Centre for Technical and VET Development
11	Daniela Ghiculescu	Ministry of National Education
12	Daniela Breazu	Managing Authority Operation Programme Transport
13	Claudiu N. Cesier	Regional Development Agency - North-Vest
14	Mihaela Melente	Ministry of European Funds
15	Carlan Mircea	Ministry of European Funds
16	Mariana Nanu	Ministry of European Funds
17	Camelia Popescu	Ministry of Agriculture and Rural Development
18	Daniel Calin	Intermediate Body for SOP HRD
19	Alexandra Ionita	Regional Development Agency Bucharest-Ilfov
20	Alexandra Manea	Intermediate Body for SOP HRD
21	Gabriel Ciubuc	Intermediate Body for SOP HRD

No.	Name	Institution
22	Lungulescu Irina	Ministry of Health
23	Olteanu Mihaela	Intermediate Body for SOP HRD
24	Jalia Steluta	Ministry of Regional Development and Public Administration
25	Diana Iacob	Ministry of European Funds
26	Michelle Giove	EY
27	Michelle Scataglini	EY

Annex 9 - Factsheet on Regulatory Impact Assessment (RIA)

Making regulatory systems more efficient is a complex activity covering a broad range of aspects. It can include cutting administrative burden for business, making policy more evidence-based, promoting the functioning of markets and improving the public's understanding of the law. The quality of a country's regulatory system depends to a great extent on how regulations are conceived and made.

Regulatory quality is part of the Evaluation Culture Measurement Index. In particular the World Bank Governance Index captures, among other things, the ability of the government to formulate and implement sound policies and regulations that permit and promote competitiveness and sustainable growth.

An important part of making better laws is having a full picture of their impacts. Proposals can then be tailored to have the best effect, and to minimise negative side-effects. The European Commission is committed to examining the economic, social and environment impacts of its proposals. It has made impact assessment compulsory for major policy proposals and, since 2003 the Commission has completed over 150 impact assessments.

In accordance with the EU regulation an Impact Assessment is essential whenever the implementation of a public policy (or a program) also requires a change in the regulation. In order to improve Regulatory Quality, KAI 1.2 may support a pilot project related to Impact Assessment. This project should be aimed at identifying those public interventions that will be realized during next programming period and require a change in the regulation. The identified interventions might be the basis of an impact assessment to be realized in parallel with the programming process.

Assessing the potential impacts of different policy options should be useful for the identification of the most effective regulatory instruments that are necessary to enhance the implementation of next programming period.

The 2009 EC Guidelines (SEC (2009) 92) give general guidance and set out the procedures and steps for assessment of potential impacts of different policy options. Regulatory Impact Assessment (RIA) is a continuous process to help the policy-maker fully think through and understand the consequences of policy interventions in the public, private, and public sectors. It is a tool to enable the Government to weigh and present the relevant evidence on the positive and negative effects of public interventions, including by reviewing the impact of policies after they have been implemented. The latest survey of Indicators of Regulatory Management Systems of OECD Countries reveals that in 2005 all member countries routinely carried out some form of RIA on new regulations before finalising and implementing them. To reinforce performance of Cohesion Policy 2014-2020, new conditionality provisions will be introduced to ensure that EU funding creates strong incentives for Member States to deliver Europe 2020 objectives and targets. These will include the obligation for MS of a mechanism for systematic assessment of the impact of legislation on Small and Medium Enterprises taking into account differences in the size of enterprises, where relevant.

The key analytical steps which have to be followed when carrying out a RIA are summarised in Table 6. A detailed description of these steps is provided in the EC Guidelines.

In order to apply these steps in an efficient and effective way it is important to integrate RIA with:

- ▶ a regulatory agenda
- ▶ stakeholder consultation

Table 6 - Regulatory Impact Assessment analytical steps

	Identifying the problem
1	Describe the nature and extent of the problem. Identify the key players/affected populations. Establish the drivers and underlying causes. Is the problem in the State remit to act? Is the regulatory intervention necessary? Develop a clear baseline scenario, including, where necessary, sensitivity analysis and risk assessment.
	Define the objectives
2	Set objectives that correspond to the problem and its root causes. Establish objectives at a number of levels, going from general to specific/operational. Ensure that the objectives are coherent with existing EU policies and strategies
	Develop main policy options
3	Identify policy options, where appropriate distinguishing between options for content and options for delivery mechanisms (regulatory/non-regulatory approaches). Check the proportionality principle. Begin to narrow the range through screening for technical and other constraints, and measuring against criteria of effectiveness, efficiency and coherence. Draw-up a shortlist of potentially valid options for further analysis.
	Analyse the impacts of the options
4	Identify (direct and indirect) economic, social and environmental impacts and how they occur (causality). Identify who is affected (including those outside the EU) and in what way. Assess the impacts against the baseline in qualitative, quantitative and monetary terms. If quantification is not possible explain why. Identify and assess administrative burden/simplification benefits (or provide a justification if this is not done). Consider the risks and uncertainties in the policy choices, including obstacles to transposition/compliance.
	Compare the options
5	Weigh-up the positive <u>and</u> negative impacts for <u>each</u> option on the basis of criteria clearly linked to the objectives. Where feasible, display aggregated and disaggregated results. Present comparisons between options by categories of impacts or affected stakeholder. Identify, where possible and appropriate, a preferred option.
	Outline policy monitoring and evaluation
6	Identify core progress indicators for the key objectives of the possible intervention. Provide a broad outline of possible monitoring and evaluation arrangements.

There are two reasons why an agenda is important.

First, the regulatory agenda safeguards the quality of the development process. Improving the quality of government policymaking using the regulatory instrument requires input through the entire policy development process. These inputs include information and fact collecting, consultation, drafting, quality review, and communication. These inputs require an orderly and planned process, which in turn requires advance planning. The purpose of the regulatory agenda is to ensure that the government is planning ahead, and organizing its regulatory processes to include the quality inputs. For example, stakeholder consultation is essential, and in an unplanned regulatory process is usually sacrificed because regulators simply run out of time.

Second, the regulatory agenda improves the transparency of the process for stakeholders. Regulatory agenda is always published so that stakeholders can see what regulatory issues are coming up, and organize itself so that it participates effectively and with better information and consultation. It is also important for investors, because it reduces the risk that the government will develop a new policy by surprise that changes the profitability of the business. Regulatory agenda and reduces the risk of investment, which in turn increases the return on investment, which in turn increases overall investment in the region.

Consultation with stakeholders represents the most effective quality control process. This is because most of the information needed by the government to develop quality policies is not held by the government, but by civil society. Stakeholder consultation must be an effective, efficient, and practical means of channelling information from society into the policy making process at the right time. The purposes of stakeholder consultation are to:

- ▶ collect information necessary to determine whether the government understands the problem and has chosen the right solution
- ▶ inform and educate stakeholders about government action
- ▶ encourage participation by civil society in government activities
- ▶ improve compliance with the policy once it is adopted by ensuring that it is more practical and easier to implement.

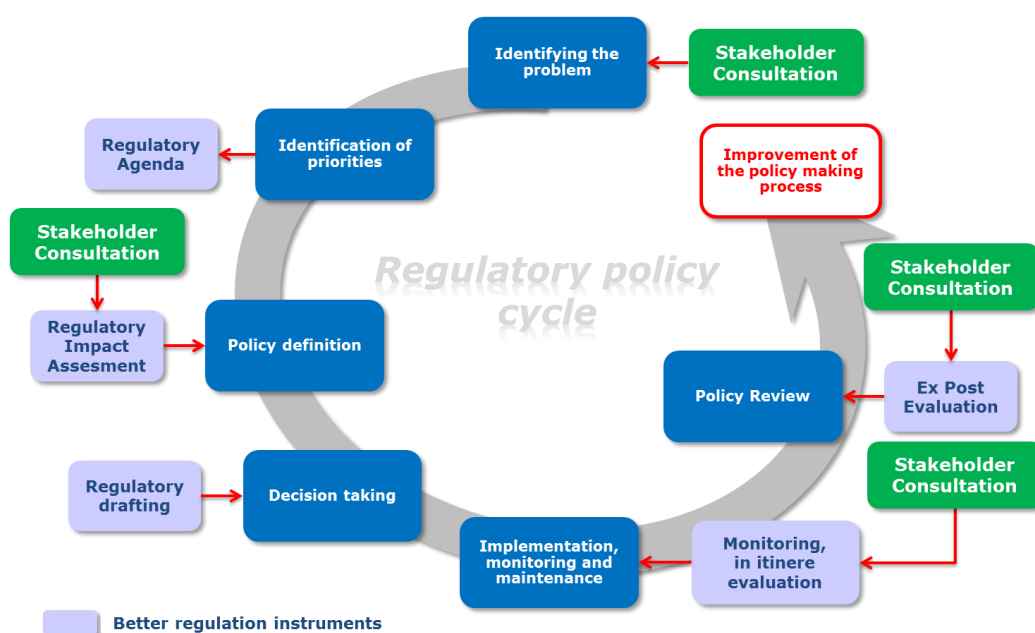
Governments that use RIA have defined four main objectives that might be achieved by integrating this tool in the decision making process:

- ▶ improve understanding of real-world impacts of government action, including both benefits and costs of action
- ▶ integrate multiple policy objectives
- ▶ improve transparency
- ▶ improve government accountability.

Improve the policy making process is a *process* addressing the whole life cycle of the regulations, laying down general rules for determination, assessment, enforcement, implementation, and *ex post* assessment of legal rules. Consequently, governments may embrace a vast array of measures, including simplification of administrative procedures, consolidation of legal acts, alleviation of the administrative burden, use of market-friendly alternatives, risk-based review, funds allocated for rule-making, standards for consultation of interest groups, assessment of the sustainability of the existing as well as of the new regulation, and *ex post* review of the effects. RIA is just one of the elements of the better regulation 'package'

The following picture illustrates how better regulation instruments (Regulatory Agenda, stakeholder consultation, RIA, in itinere/ex post evaluation, Regulatory drafting) may improve the policy making process

Figure 43 - Regulatory policy cycle and better regulation instruments



Annex 10 - Scoring methodology for ICE

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
EVALUATION CAPACITY: DEMAND SIDE (including both individual and institutional level)					
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	1.Allocation of Evaluation Responsibilities	1. Existence of dedicated Evaluation Units	NA	FROM 1 TO 3 1 = No dedicated Unit exist at OP level 2 = Dedicated Unit exist in the majority of cases at OP Level 3 = Dedicated Unit always exist at OP Level Dedicated unit: organizational unit performing evaluation related activities (as well as other activities where the case)	Desk Analysis (Organization chart, ROF)
			NA	FROM 1 TO 2 1 = No dedicated Unit exist at NSRF level 2 = Dedicated Unit exist at NSRF level	
			a. Do Evaluation Units report solely to the Head of MA?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Organization chart, ROF)
			b. Do Evaluation Units exclusively perform evaluation activities?	FROM 1 TO 2 1 = No, Evaluation Units are located in units performing also other functions 2 = Yes, Evaluation Units are organized in unit performing exclusively evaluation related activities	

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		2. Clear definition of mission, roles and tasks of Evaluation Units	Are there any formal procedures/provisions in place establishing mission, roles and tasks of Evaluation Units?	FROM 1 TO 3 1 = No, procedures/provisions do not exist 2 = Yes, procedures/provisions are in draft status but not yet approved 3 = Yes, procedures/provisions exist	Desk Analysis (ROF, Evaluation procedure)
		3. Clear assignment of roles and the tasks to individuals of Evaluation Units	Are the roles and the tasks clearly assigned to individuals within the Evaluation Units?	FROM 1 TO 3 1 = The roles and tasks of Evaluation Units are not assigned to individuals 2 = The roles and tasks of Evaluation Units are not clearly assigned to individuals, or they are partially assigned 3 = All the roles and tasks of Evaluation Units are clearly assigned to individuals	Desk Analysis (Job descriptions)
	2. Coordination between Evaluation Function of different Programmes	4. Effectiveness of coordination between Evaluation Units of different programmes	a. Are there procedures in place for the coordination of Evaluation Units of different Programmes?	FROM 1 TO 3 1 = No 2 = They are in draft status but not yet approved 3 = Yes	Desk Analysis (Evaluation Working Group mandate)
			b. Please specify how many Evaluation Working Group (EWG) meetings you have attended (in the last 12 months).	FROM 1 TO 5 1 = 0-1 2 = 2-3 3 = 4-5 4 = 6-7 5 = >8	eSurvey

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			c. Please specify how often the approaches shared by the EWG are adopted at OP level.	FROM 1 TO 4 1 = Never 2 = Rarely 3 = Often 4 = Always	
	3 Linkage among Evaluation Function and other functions	5. Effectiveness of cooperation between the Evaluation and the Programming Units (OP level)	a. Are there any procedures linking evaluation to Programming Units? (OP Level)	FROM 1 TO 4 1 = No 2= Yes, there are informal procedures 3 = Yes, but they are in a preliminary version, unapproved 4 = Yes, there are formal procedures	Desk Analysis (ROF, Evaluation Procedure) + eSurvey
b. If "Yes" please rate the effectiveness of the existing procedures (OP Level).			FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey	
c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (OP Level).			FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%	eSurvey Focus Group with EWG	
5. Efficiency and effectiveness of cooperation between the evaluation and the Programming Units (NSRF level)		a. Are there any procedures linking evaluation to Programming Unit? (NSRF level)	FROM 1 TO 4 1 = No 2= Yes, there are informal procedures 3 = Yes, but they are in a preliminary version, unapproved 4 = Yes, there are formal procedures	Desk Analysis (ROF, Evaluation Procedure) + eSurvey	

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			b. If "Yes" please rate the effectiveness of the existing procedures. (NSRF level)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (NSFR level)	FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%	eSurvey Focus Group with EWG
		6. Effectiveness of cooperation between the Monitoring and the Evaluation Units (OP level)	a. Are there any formal procedures regulating the interaction between monitoring and evaluation units? (OP level)	FROM 1 TO 3 1 = No 2 = They are in draft status but not yet approved 3 = Yes	Desk Analysis (ROF, Evaluation Procedure) + eSurvey
			b. Which is the frequency of meetings (both formal and informal) concerning evaluation activities between monitoring and evaluation units (in the last 12 months)? (OP level)	FROM 1 TO 5 1. = no meetings 2 = yearly meetings 3 = quarterly meetings 4 = monthly meetings 5 = more than one meeting per month	eSurvey Focus Group with EWG

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the monitoring unit? (OP level)	FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%	
			d. Do Monitoring Units provide useful monitoring data that support evaluation? (OP level)	FROM 1 TO 4 1 = never 2 = rarely 3 = often 4 = always	
			e. Do you see any areas of improvement in which concerns cooperation between Evaluation and Monitoring? (OP level)	FROM 1 TO 3 1 = No 2 = Partially 3 = Yes	
			f. If YES/partially please indicate which are main gaps and/or areas of improvement concerning data provided by the Monitoring Unit. (OP level)		

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		6. Effectiveness of cooperation between the Monitoring and the Evaluation Units (NSRF level)	a. Are there any formal procedures providing for the interaction between Monitoring and Evaluation Units?	FROM 1 TO 3 1 = No 2 = They are in draft status but not yet approved 3 = Yes	Desk Analysis (rules of procedures of evaluation units) eSurvey Focus Group with EWG
	b. What is the frequency of meetings (both formal and informal) concerning evaluation activities between Monitoring and Evaluation units (in the last 12 months)? (NSRF level)		FROM 1 TO 5 1.= no meetings 2 = yearly meetings 3 = quarterly meetings 4 = monthly meetings 5 = more than one meeting per month		
	c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Monitoring Unit? (NSRF level)		FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%		
	d. Does the Monitoring Unit provide useful monitoring data that supports evaluation? (NSRF level)		FROM 1 TO 4 1 = never 2 = rarely 3 = often 4 = always		

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			e. Do you see any area of improvement in which concerns cooperation between Evaluation and Monitoring? (NSRF level)	FROM 1 TO 3 1 = No 2 = Partially 3 = Yes	
			f. If YES/partially please indicate which are main gaps and/or areas of improvement concerning data provided by Monitoring Units. (NSRF level)		
(2) The financial and human resources allocated to Evaluation under the NSRF	4. Allocation of Financial Resources to evaluation activities	7. Evaluation budget share (%) (OP level)	NA	FROM 1 TO 4 1 = Totally insufficient (e.g. less than 2% total budget) 2 = Insufficient 3 = Sufficient 4 = More than sufficient	Desk analysis (MEP, AEP, Procurement Plans) Focus Group with EWG
		7. Evaluation budget share (%) (NSRF Level)	NA	FROM 1 TO 4 1 = Totally insufficient (e.g. less than 2% total budget) 2 = Insufficient 3 = Sufficient 4 = More than sufficient	Desk analysis (MEP, AEP, Procurement Plans) Focus Group with EWG
	5. Allocation of Human Resources to evaluation activities	8. Adequacy of Human resources allocated to Evaluation Units (OP level)	a. How many people work for the Evaluation Unit at OP Level?	FROM 1 TO 4 1 = Totally insufficient (e.g. less than 2% total budget) 2 = Insufficient 3 = Sufficient 4 = More than sufficient	Desk Analysis (Updated situation concerning positions occupied in MAs) + International Benchmarking

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			b. What is the percentage of Evaluation Unit staff that left in the last 12 months? (at OP level)	FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%	eSurvey
			c. In your opinion, are the competences and expertise of the evaluation staff (at OP level) adequate to roles and responsibilities assigned?	FROM 1 TO 4 1 = No, they are totally inadequate 2 = No, they should be increased 3 = Yes, they are adequate 4 = Yes, they are more than adequate	Desk Analysis on CVs of evaluation unit staff
		8. Adequacy of Human resources allocated to Evaluation Units (NSRF level)	a. How many people work for the Evaluation Unit at NSRF Level?	FROM 1 TO 4 1 = Totally insufficient 2 = Insufficient 3 = Sufficient 4 = More than sufficient	Desk Analysis (Updated situation concerning positions occupied in MAs) + International Benchmarking
			b. What is the percentage of Evaluation Unit staff that left in the last 12 months? (at NSRF level)	FROM 1 TO 5 1 = 76-100% 2 = 51-75% 3 = 31-50% 4 = up to 30% 5 = 0%	eSurvey
			c. In your opinion, are the competences and expertise of the evaluation staff (at NSRF level) adequate to roles and responsibilities assigned?	FROM 1 TO 4 1 = No, they are totally inadequate 2 = No, they should be increased 3 = Yes, they are adequate 4 = Yes, they are more than adequate	Desk analysis (CVs of Evaluation Unit staff)

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		9. Existence of effective criteria to hire evaluation staff	a. Is knowledge of evaluation taken into account in the hiring process of the Evaluation Unit staff? (e.g. criteria concerning professional experience, assessment of the level of knowledge in the field of evaluation)	FROM 1 TO 2 1 = no 2 = yes	eSurvey
			b. If yes, in your opinion do these criteria lead to the hiring of the most adequate staff?	FROM 1 TO 3 1 = Never 2 = Sometimes 3 = Always	eSurvey Focus Group with EWG
		10. Existence of effective professional development actions	a. Does the staff of the Evaluation Unit benefit from professional development actions?	FROM 1 TO 4 1 = No 2 = Yes, the staff benefit of sporadic trainings organized for all staff (e.g. classroom trainings) 3 = Yes, the staff benefit of systematic trainings sessions organized for all staff (e.g. classroom trainings planned annually) 4 = Yes, the staff benefit of individual customized plan for professional development of each staff including different actions (e.g. on the job training, coaching, internships)	eSurvey
(3) Quality of monitoring system	6. Quality of Indicator systems	11. Quality of indicator system at Programme level	a. Please rate the quality of the indicator system (at Programme level) in terms of :		

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			<p>1. Coverage (the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</p>	<p>FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)</p>	<p>Desk Analysis (KPMG Report)</p> <p>eSurvey</p>
			<p>2. Balance (the degree to which the indicator system includes a well-distributed mix of indicators - context, input, output, result, impact - and the requirement for information to different categories/levels of stakeholders)</p>	<p>FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)</p>	
			<p>3. Manageability (the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</p>	<p>FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)</p>	
			<p>b. How long does it take on average, at OP level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?</p>	<p>FROM 1 TO 4 1 = Long, over 2 months 2 = Medium, 1 month 3 = Short, 15 days 4 = Extremely short, 1 week</p>	<p>eSurvey</p>

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		11. Quality of indicator system at NSRF level	Please rate the quality of the indicator system (at NSRF level) in terms of :		
			1. Coverage <i>(the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</i>	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	Desk Analysis (KPMG Report) eSurvey
			2. Manageability <i>(the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</i>	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
	b. How long does it take on average, at NSRF level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?	FROM 1 TO 4 1 = Long, over 2 months 2 = Medium, 1 month 3 = Short, 15 days 4 = Extremely short, 1 week	eSurvey		
	7. Quality of Individual indicators	12. Quality of individual indicators at Programme level	Please rate the quality of the individual indicators (at Programme level) in terms of the:		

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			1. Correspondence to policy (i.e. linked in an as direct way as possible and potentially affected by the programme actions for whose assessment they are used)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	Desk Analysis (KPMG Report) eSurvey
			2. Normativity (i.e. having a clear and accepted interpretation)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
			3. Robustness (i.e. complying with internationally recognised standards and methodologies)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
			4. Feasibility (i.e. the measurement is not onerous)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
		12. Quality of individual indicators at NSRF level	Please rate the quality of the individual indicators (at NSRF level) in terms of the:		
			1. Correspondence to policy (i.e. linked in an as direct way as possible and potentially affected by the policy actions for whose assessment they are used)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	Desk Analysis (KPMG Report) eSurvey
			2. Normativity (i.e. having a clear and accepted normative interpretation)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			3. Robustness (i.e complying with internationally recognised standards and methodologies)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
			4. Feasibility (i.e the measurement is not onerous)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	
(4) Efficiency and effectiveness of the evaluation function (with respect to planning, management, quality control and learning)	8. Effectiveness of the Evaluation Plan	13. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF	NA	FROM 1 TO 5 1 = No multiannual and Annual Plan exist 2 = Multiannual and Annual Plan don't exist at national level but sometimes exist at Programme level 3 = Multiannual and Annual Plan exist at national level and sometimes at Programme level 4 = Multiannual and Annual Plan exist in the majority of case at both levels 5 = Multiannual and annual Plan always exist at both levels	Desk Analysis (Multi-Annual Evaluation Plan, Annual Evaluation Plans)
		14. Degree of accomplishment of Multi-Annual Evaluation Plans (OP Level)	a. How many of the evaluations that had to be carried out according to the Evaluation Plan have actually been accomplished?	FROM 1 TO 4 1 < 25% 2 = 25 - 50% 3 = 51 - 75% 4 = 76% - 100%	Desk Analysis (Evaluations uploaded on Evaluation Library)
			b. How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at OP level?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4 - 5 4 > 5	Desk analysis - International Benchmarking, eSurvey

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			c. How many evaluation reports contain the identification of programme impacts?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4- 5 4 > 5	Desk Analysis (Reports published on Evaluation Library)
			d. How many evaluation reports contain the quantification of programme impacts?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4- 5 4 > 5	Desk Analysis (Reports published on Evaluation Library)
		14. Degree of accomplishment of Multi-Annual Evaluation Plans (NSRF level)	a. How many of the evaluations that had to be carried out according to the Evaluation Plan have actually been accomplished?	FROM 1 TO 4 1 < 25% 2 = 25 - 50% 3 = 51 - 75% 4 = 76% - 100%	Desk Analysis (Evaluations uploaded on Evaluation Library)
			b. How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at NSRF level?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4- 5 4 > 5	Desk analysis - International Benchmarking, eSurvey
			c. How many evaluation reports (realised in the last 12 months at NSRF level) contain the identification of programme impacts?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4- 5 4 > 5	Desk Analysis (Reports published on Evaluation Library)
			d. How many evaluation reports (realized in the last 12 months at NSRF level) contain the quantification of programme impacts?	FROM 1 TO 4 1 < 2 2 = 2 - 3 3 = 4- 5 4 > 5	Desk Analysis (Reports published on Evaluation Library)

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		15. Average delay of evaluations according to the Annual Plan (OP level)	a. What is the average number of weeks of delay between the evaluations and the date on which they were scheduled in the evaluation plan?	FROM 1 TO 5 5= No delay 4= 3 Months 3= 6 Months 2= 9 Months 1= More than 12 months	Desk Analysis (evaluation plans, evaluation library)
			b. Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at OP Level.		eSurvey
		15. Average delay of evaluations according to the Annual Plan (NSRF level)	a. What is the average number of weeks of delay between the evaluations and the date on which they were scheduled in the evaluation plan?	FROM 1 TO 5 5= No delay 4= 3 Months 3= 6 Months 2= 9 Months 1= More than 12 months	Desk Analysis (evaluation plans, evaluation library)
			b. Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at NSFR Level.		eSurvey
		16. Degree of Plans revision during the Programme implementation cycle (OP Level)	a. Are the Annual/Multi Annual Evaluation Plans revised during the Programme implementation cycle, if necessary?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			b. What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at OP level?		eSurvey
		16. Degree of Plans revision during the Programme implementation cycle (NSRF Level)	a. Are the Annual/Multi Annual Evaluation Plans revised during the Programme implementation cycle, if necessary?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis
			b. What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at NSFR level?		eSurvey
	9. Effectiveness of the Evaluation Steering Committees	17. Existence of the Evaluation Steering Committees with a clear assignment of roles and responsibilities (OP level)	Is the Evaluation Steering Committee in place with clearly assigned roles and responsibilities?	FROM 1 TO 3 1 = No, it is not in place 2 = No, It is in place but the roles and responsibilities are not clearly assigned 3 = Yes, It is in place and the roles and responsibilities are clearly assigned	Desk analysis (ROF, Evaluation Procedures)
		17. Existence of the Evaluation Steering Committees with a clear assignment of roles and responsibilities (NSRF level)	Is the Evaluation Steering Committee in place with clearly assigned roles and responsibilities?	FROM 1 TO 3 1 = No, it is not in place 2 = No, It is in place but the roles and responsibilities are not clearly assigned 3 = Yes, It is in place and the roles and responsibilities are clearly assigned	Desk analysis (ROF, Evaluation Procedures)

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		18. Effectiveness of the Evaluation Steering Committees activity (OP level)	a. How do you rate the effectiveness of the Evaluation Steering Committee activity (i.e. in terms of ensuring the quality of the evaluation process and results at OP level)?	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Are other thematic experts invited to take part in the Evaluation Steering Committee according to the evaluation theme? (at OP level)	FROM 1 TO 3 1= No 2= No, but this approach has been considered and will be implemented in the future 3 = Yes	eSurvey
		18. Effectiveness of the Evaluation Steering Committees activity (NSRF level)	a. How do you rate the effectiveness of the Evaluation Steering Committee activity? (i.e. in terms of ensuring the quality of evaluation process and results at NSFR Level)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Are other thematic experts invited to take part in the Evaluation Steering Committee according to the evaluation theme? (at NSFR level)	FROM 1 TO 3 1= No 2= No, but this approach has been considered and will be implemented in the future 3 = Yes	eSurvey

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE	
	10. Involvement of Evaluation Units in the decision-making process	19. Existence of a formalized process for the involvement of Evaluation Units in decision-making process (OP Level)	Does a formalized process exist for the involvement of evaluation units in the decision making process at OP Level? (e.g. participation to the Monitoring Committees as voting members; consulted by the Managing Authority on main decisions at Programme level)	FROM 1 TO 3 1 = No 2 = There are consultations, but not in a formalised process 3 = Yes	eSurvey	
		19. Existence of a formalized process for the involvement of Evaluation Units in decision-making process (NSRF Level)	Does a formalized process exist for the involvement of the "central" Evaluation Unit in the decision making process at NSRF Level? (e.g. consulted by the Ministry of European Funds on main decisions concerning all Operational Programmes)	FROM 1 TO 3 1 = No 2 = There are consultations, but not in a formalised process 3 = Yes	eSurvey	
	11. Quality of Terms of Reference	20. Overall quality of evaluation Terms of References	Please rate the quality of the Evaluation Terms of References in terms of:			
			1. Clarity		FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			2. Standardization (i.e. conform to a common standard/guidelines)		FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
	12. Existence of learning processes	21. Regular updating of Internal procedures related to evaluations (design/implementation/use) as a result of the experience gathered (OP level)	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered? (at OP level)	FROM 1 TO 3 1 = No, procedures have not been updated 2 = Yes, Procedures have been updated but with no significant improvements 3 = Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.	eSurvey + Desk Analysis
		21. Regular updating of Internal procedures related to evaluations (design/implementation/use) as a result of the experience gathered (NSRF level)	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered? (at NSRF level)	FROM 1 TO 3 1 = No, procedures have not been updated 2 = Yes, Procedures have been updated but with no significant improvements 3 = Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.	eSurvey + Desk Analysis
EVALUATION CAPACITY: SUPPLY SIDE					
(5) Availability and reliability of Socio-economic data	13. Quality of Socio-economic data	22. Availability of key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level	a. Are the key socio-economic data regarding GDP, employment, unemployment, R&D investment, at national and regional (NUTS II), timely available?	FROM 1 TO 3 1 = No 2 = Yes, but partially 3 = Yes	Desk Analysis (Eurostat, INSSE, ECO report) + International benchmarking
			b. Please list the main data gaps (up to 3)		

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			c. Are there other sources for key socio-economic indicator data at national and regional (NUTS II) level, besides the official statistics that you take into account (e.g. reports prepared by Chambers of Commerce, employer associations)?	FROM 1 TO 2 1 = No 2 = Yes	eSurvey
			d. If yes, please rate their consistency with the official data.	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
	14. Availability of Other data	23. Availability of other necessary data for evaluation	Are micro-data on beneficiaries available in a timely manner (e.g. economic-financial data for private enterprises, employment status / disadvantage of individual persons)	FROM 1 TO 3 1 = No 2 = Yes, but partially 3 = Yes	eSurvey + Desk research (analysis of limitation section of evaluation reports uploaded on evaluation library)
			If so please list the type of micro-data on beneficiaries that is available		
(6) Availability and quality of evaluation expertise	15. Degree of Evaluation Market competitiveness	24. Number of international firms active in the market	How many international firms active in the evaluation market are you aware of?	FROM 1 TO 5 1 = 0 2 = 1-3 3 = 4-6 4 = 7-10 5 = more than 10	Desk Analysis (SEAP - Procurement awards)

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		25. Number of local firms active in the market	How many local firms active in the evaluation market are you aware of?	FROM 1 TO 5 1 = 0 2 = 1-3 3 = 4-6 4 = 7-10 5 = more than 10	Desk Analysis (SEAP - Procurement awards)
		26. Number of universities involved in the evaluation activities	How many universities involved in the evaluation activities are you aware of?	FROM 1 TO 5 1 = 0 2 = 1-3 3 = 4-6 4 = 7-10 5 = more than 10	Desk Analysis (SEAP - Procurement awards)
		27. Competitiveness of the evaluation market	Is the evaluation market competitive?	FROM 1 TO 3 3= Yes, the evaluation services are most of the times assigned to a relevant number of different players (more than 10) 2= Partially, the evaluation services are often assigned to a limited number of players (5-10) 1= No, the evaluation services are most of the times assigned to a restricted number of players (less than 5) Option: I do not know (treated as answer not received)	eSurvey / Focus Group with ADER
	16. Availability of thematic and methodological expertises	28. Quality of expertise	a. Does the supply side of evaluation have the required thematic and methodological expertise needed?	FROM 1 TO 4 1 = No 2 = To a partial but unsatisfying extent 3 = To a partial but satisfying extent 4 = Yes	eSurvey / Focus Group with ADER
			b. Please list the main types of expertise lacked (up to 3).		

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
	17. Assure quality of evaluations	29. Quality of evaluation reports	a. Do you apply check-lists to assess the quality of the evaluation reports?	FROM 1 TO 2 1 = no 2= yes	eSurvey + Desk Analysis (quality assessment grids used at OP Level)
			b. Please rate the quality of the evaluation reports in terms of:		
			1. Accuracy	FROM 1 TO 5 From 1 (the lowest value) to 5 (the highest value).	eSurvey
			2. Clarity	FROM 1 TO 5 From 1 (the lowest value) to 5 (the highest value).	
			3. Usefulness	FROM 1 TO 5 From 1 (the lowest value) to 5 (the highest value).	
			c. Please indicate the major weak points of evaluation reports (up to 3).		
		30. Existence of approved set of quality standards for evaluations	NA (Existence of approved set of quality standards)	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Evaluation Standards and documents produced by the EWG)
			NA (Consistency of approved set of quality standards with EC standards)	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	Desk Analysis (Evaluation Standards and documents produced by the EWG)

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
	18. Development of evaluation skills	31. Existence of specific training programmes for evaluators	NA	FROM 1 TO 3 1 = No 2 = Some training programmes exist but do not lead to any recognized qualification 3 = Some training programmes exist and they lead to a recognized qualification	Desk Analysis / Focus Group with ADER
	19. Independence of evaluators	32. Degree of evaluators independence (supply side)	Please rate to what extent evaluation providers are independent from clients' interests.	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey / Focus Group with ADER
EVALUATION CULTURE: DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS					
(7) Dissemination of evaluation outputs	20. Evaluation Outputs Dissemination	33. Number of Evaluation reports publicly available in their integrity (out of total available) - OP Level	a. How many evaluation reports have been approved (in the last 12 months) at OP level?	FROM 1 TO 4 1 < 30 of international benchmark 2 = between 31 - 60% of international benchmark 3 = between 61% - 100% of international benchmark 4 > 100% of international benchmark	Desk Analysis (Evaluation Website and Evaluation Library) + International benchmarking
			b. How many evaluation reports (realized in the last 12 months) are publicly available in their integrity (the full version and not only the executive summary) at OP level?	FROM 1 TO 4 1 < 25% 2 = 25 - 50% 3 = 51 - 75% 4 = 76% - 100%	Desk Analysis (Reports published on Evaluation Library)
		33. Number of Evaluation reports publicly available in their integrity (out of total available) - NSRF	a. How many evaluation reports have been approved (in the last 12 months) at NSRF level?	FROM 1 TO 4 1 < 30 of international benchmark 2 = between 31 - 60% of international benchmark 3 = between 61% - 100% of international benchmark 4 > 100% of international benchmark	Desk analysis (Reports published on Evaluation Library) + International benchmarking

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		Level	b. How many evaluation reports (realized in the last 12 months) are publicly available in their integrity at NSRF level?	FROM 1 TO 4 1 < 25% 2 = 25 - 50% 3 = 51 - 75% 4 = 76% - 100%	Desk Analysis (Reports published on Evaluation Library)
		34. Number of Public events / debates organized to discuss evaluation results - OP level	How many public events/debates have been organized to discuss Evaluation results of the Programme (in the last 12 months) at OP level?	FROM 1 TO 4 1 = 0 2 = 1 3 = 2 4 = more than 2	eSurvey + Desk Analysis
		34. Number of Public events / debates organized to discuss evaluation results - NSRF level	How many public events/debates have been organized to discuss Evaluation results of the Programme (in the last 12 months) at NSRF level?	FROM 1 TO 4 1 = 0 2 = 1 3 = 2 4 = more than 2	eSurvey + Desk Analysis
(8) Use of evaluation outputs	21. Existence of procedures for addressing evaluation results and follow-up	35. Existence of procedures which provide for roles and responsibilities related to the follow-up of evaluation results and recommendations (e.g. action plan, its monitoring) (OP level)	Are procedures which provide for roles and responsibilities related to the implementation of evaluation results and follow-up of recommendations in place (action plan and monitoring) at OP level?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Evaluation Procedure) Focus Group EWG

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		35. Existence of procedures which provide for roles and responsibilities related to the follow-up to evaluation results and recommendations (e.g. action plan, its monitoring) (NSRF level)	Are procedures which provide for roles and responsibilities related to the implementation of evaluation results and follow-up of recommendations in place (action plan and monitoring) at NSRF level?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Evaluation Procedure) Focus Group EWG
		36. Existence of a decision-making Monitoring/Coordination Committee/Managing Authority responsible for the follow-up of the evaluation results (OP level)	a. Are the responsibilities of following up on the results of evaluation conducted assigned to a decision-making Monitoring/Coordination Committee and Managing Authority at OP level?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Evaluation Procedure) Focus Group EWG
			b. To what extent is the evaluation evidence taken into account by Monitoring Committees in the decision making process?	FROM 1 TO 4 1 = Never 2 = Rarely 3 = Often 4 = Always	eSurvey Focus Group EWG

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		36. Existence of e decision-making Monitoring/Coordination Committee/Managing Authority responsible for the follow-up of the evaluation results (NSRF level)	Are the responsibilities of following up on the results of evaluation conducted, assigned to a decision-making Monitoring/Coordination Committee and Managing Authority?	FROM 1 TO 2 1 = No 2 = Yes	Desk Analysis (Evaluation Procedure) Focus Group EWG
	22. Impact of evaluations on programming/implementation processes	37. Impact of the evaluation results on programming process (OP level)	a. How many evaluation recommendations related to Programming have been implemented?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31 - 50% 4 = 51 - 75% 5 = 76 - 100%	Desk Analysis (Follow-up table of recommendations) Focus Group EWG
b. Have the evaluation recommendations, related to Programming at OP level, been used in the preparation of 2014-2020 Operational Programmes?			FROM 1 TO 2 1 = No 2 = Yes	eSurvey Focus Group EWG	
c. If Yes, please detail how they were used.					

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		37. Impact of the evaluation results on programming process (NSRF level)	How many evaluation recommendations related to NSRF programming have been implemented?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31 - 50% 4 = 51 - 75% 5 = 76 - 100%	Desk Analysis (Follow-up table of recommendations) Focus Group EWG
		38. Impact of the evaluation results on implementation process (OP level)	What is the overall degree of implementation of evaluation recommendations, at OP level, for the current programming period 2007 - 2013?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31 - 50% 4 = 51 - 75% 5 = 76 - 100%	eSurvey
		38. Impact of the evaluation results on implementation process (NSRF level)	What is the overall degree of implementation of evaluation recommendations, at the level of NSRF, for the current programming period 2007 - 2013?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31 - 50% 4 = 51 - 75% 5 = 76 - 100%	eSurvey

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
EVALUATION CULTURE: INSTITUTIONALIZATION OF EVALUATION/EVALUATION CULTURE - TO WHAT EXTENT IS EVALUATION EMBEDDED IN GOVERNANCE OF SIS AND HAS FURTHER IMPACTS?					
Enabling context					
(9) Mental framework	23. Values	39. Evaluation (as analysis of own "mistakes" fear of which determines the "control" culture) is welcomed, encouraged and valued as an essential part of achieving success at institutional level (MA/MEF) by policy makers	Please rate to what extent policy makers consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation?	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
		40. Evaluation (as analysis of own "mistakes" fear of which determines the "control" culture) is welcomed, encouraged and valued as an essential part of achieving success at institutional level (MA/MEF) - by management/executive staff	Please rate to what extent the management/executive staff consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation?	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
(10) Legal context of evaluation	24. Legal provisions	41. Existence of legal provisions regulating evaluation	NA	FROM 1 TO 3 1 = Just EC legislation concerning Structural Instruments 2 = EC legislation and a National legal framework concerning Structural Instruments 3 = Both EC legislation (on SIs) and National legislation (outside SIs)	Desk analysis (G.D. No. 457/2008, EU Regulations)
		42. Existence of other legal provisions hampering, directly or indirectly evaluation practice (e.g. public procurement - to be scored with - minus)	NA	FROM 0 TO 4 4 = no hampering element 3 = 1 hampering element 2 = 2 hampering elements 1 = 3 hampering elements 0 = at least 4 hampering elements	Focus Group with EWG Desk analysis
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	25. Human resources policy	43. Percentage of Civil servants, at all levels, trained in social sciences (as opposed to strict legal training)	a. Please indicate the percentage of civil servants working in the organizational structure that includes the office for which you are working directly (other than those working in the Evaluation Unit) which are trained in social sciences (e.g. economics, sociology, political science).	FROM 1 TO 4 1 < 25% 2 = 25 - 50% 3 = 51 - 75 % 4 > 75%	eSurvey

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		44. Percentage of Civil servant, at all levels, participating widely and openly in evaluation activities	a. Please rate the level of participation in evaluation activities of civil servants working in the organizational structure that includes the office for which you are working directly.	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Please rate the level of participation of civil servants working in the organizational structure that includes the office for which you are working directly in public discussions related to evaluation issues (e.g. presentations of evaluation results, events organized by evaluation societies).	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
		45. Presence of Evaluation champion(s) at OP level	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at OP level)	FROM 1 TO 2 1 = No 2 = Yes	eSurvey
		45. Presence of Evaluation champion(s) at NSRF level	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at NSRF level)	FROM 1 TO 2 1 = No 2 = Yes	eSurvey

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		46. Existence of evaluation training for civil servants on the market	a. Are there valid Evaluation training/education options for civil servants in the Romanian market?	FROM 1 TO 4 1 = No 2 = Yes, there are options but they are not valid 3 = Yes, there are valid options but they don't cover all developmental needs 4 = Yes	eSurvey + Desk Analysis
			b. Are there any specific training needs not addressed in the market?	FROM 1 TO 2 1 = No 2 = Yes	eSurvey
			c. If Yes, please list.		
(12) Embedded/bottom up evaluation demand (in SIS)	26. Embedded demand for evaluation (in SIS)	47. There is significant demand for evaluation (all types/all levels)	Is there a significant demand for all types of evaluations (i.e. ex ante/in itinere/ex post)?	FROM 1 TO 4 1 < 30 of international benchmark 2 = between 31 - 60% of international benchmark 3 = between 61% - 100% of international benchmark 4 > 100% of international benchmark	Desk analysis (SEAP) + international benchmarking
		48. Percentage of evaluation carried out in response to the need for empirical knowledge (not as an obligation) (OP level)	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at OP level)?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31-50% 4 = 51 -75% 5 = 76 - 100%	eSurvey Desk analysis
		48. Percentage of evaluation carried out in response to the need for empirical knowledge (not as an obligation) (NSRF level)	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at NSRF level)?	FROM 1 TO 5 1 = 0% 2 = up to 30% 3 = 31-50% 4 = 51 -75% 5 = 76 - 100%	eSurvey Desk analysis

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
(13) Networking	27. Existence of a National organization of professional evaluators	49. Existence of a strong national organization of professional evaluators contributing to the creation of a network and to dissemination of best practices	a. To what extent the relevant players of the supply side are represented in the National Organization of Evaluators (i.e. all relevant players in the supply side of the evaluation market are represented)?	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. How many public meetings does the national organization of professional Evaluators carry out per year?	FROM 1 TO 4 1 = 0 - 1 2 = 2 - 5 3 = 6 -10 4 = more than 10	Desk analysis (ADER Website) + International benchmarking
			c. Please rate the level of contribution of the organization to the creation of a network of evaluation experts	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			d. Please rate the level of contribution of the organization to the dissemination and exchange of best practices	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
	28. Reducing academia-government gap	50. Existence of a cooperation mechanisms between academia and government	a. Do cooperation mechanisms between academia and government, which lead to a better policy formulation, exist?	FROM 1 TO 2 1 = No 2 = Yes	eSurvey + Desk Analysis (ADER Website) + Focus Group ADER

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
		which lead to a better policy formulation	b. If yes, how would you rate it?	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
(14) Civil society and mass media	29. Civil society participation	51. Civil Society actively participates in evaluation-related activities	a. Please rate the level of participation of civil society in evaluation-related activities	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Please indicate which part of civil society (that is not actively involved in evaluation-related activities) should participate		
	30. Mass media participation	52. Degree of participation of mass media to public events related to evaluation and dissemination	How many public events related to evaluation and dissemination (involving mass media) have been carried out (per year) by your institution?	FROM 1 TO 5 1 = 0-2 2 = 3-5 3 = 6-8 4 = 9-10 5 = more than 10	eSurvey
(15) Governance	31. Governance index (as further composed of 6 dimensions - 59 Governance index)	53. Governance index	NA Voice and accountability Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			NA Political Stability Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis
			NA Government effectiveness Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis
			NA Regulatory quality Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis
			NA Rule of law Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			NA Control of corruption Country's Percentile Rank (0-100)	FROM 1 TO 5 1 = 0-25 2 = 26-50 3 = 51-75 4 = 76-90 5 = 91-100	Desk Analysis
IMPACT BEYOND SIS MANAGEMENT SYSTEM					
(16) Impacts in long-run and outside SIS	32. Effects beyond SIS	54. Internalization of evaluation from Institutions involved in SIS, other than MAs and MEF(IB's, Beneficiaries, Audit Authority, Certification and Paying Authority)	Based on your personal experience (e.g. availability to interviews, provisions of comment on draft reports) what is the level of sensitivity to evaluation of:		
			- Intermediate Bodies	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			- Audit Authority	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			- Certifying and Paying Authority	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SCORING METHODOLOGY	SOURCE
			- Beneficiaries	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
		55. Integration, in all political fields, of evaluation into management strategies and practices	a. Please rate the extent to which evaluation is impacting the policy making process in the long run	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Please indicate the policy fields in which, in your opinion, the contribution of the evaluation is the most significant (indicate 3 fields)		eSurvey
			c. Please provide some examples		eSurvey
		56. Integration, at all levels of administration and government, of evaluation into management strategies and practices	a. Please rate the extent to which evaluation is impacting the administrative and operating process in the long run	FROM 1 TO 5 from 1 (the lowest value) to 5 (the highest value)	eSurvey
			b. Please provide some examples		

Annex 11 - Scoring methodology for impact of KAI 1.2

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
EVALUATION CAPACITY: DEMAND SIDE (including both individual and institutional level)					
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	1.Allocation of Evaluation Responsibilities	1. Existence of dedicated Evaluation Units	% of Programmes that set-up an evaluation unit based on guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
			The Central Evaluation Unit has been set-up based on guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
			% of Programmes for which the Evaluation Units are structured according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		2. Clear definition of mission, roles and tasks of Evaluation Units	% of Programmes for which Evaluation Units' mission/roles and tasks are defined according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
		3. Clear assignment of roles and the tasks to individuals of Evaluation Units	% of Programmes for which Evaluation Units' mission/roles and tasks are defined according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
	2. Coordination between Evaluation Function of different Programmes	4. Effectiveness of coordination between Evaluation Units of different programmes	The mechanisms in place for the coordination of Evaluation Units of different Programmes is based on guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
			% of EWG meetings organized within KAI 1.2 projects	Desk analysis Interview with ECU	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of approaches discussed by the EWG which resulted from KAI 1.2 projects that have been adopted at OP level	Desk research of EWG Agenda in order to identify the no of approaches; Focus Group with EWG	From 0% to 100%
	3 Linkage among Evaluation Function and other functions	5. Effectiveness of cooperation between the Evaluation and the Programming Units (OP level)	% of Programmes for which procedures are structured according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
			% of evaluations triggered by programming units that are financed under KAI 1.2 of the OPTA	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		5. Efficiency and effectiveness of cooperation between the evaluation and the Programming Units (NSRF level)	Existence of a procedure structured according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
			% of evaluations triggered by programming units that are financed under KAI 1.2 of the OPTA	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
		6. Effectiveness of cooperation between the Monitoring and the Evaluation Units (OP level)	% of Programmes for which procedures regulating the interaction between monitoring and evaluation units are structured according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of Programmes for which the frequency of meetings between monitoring and evaluation units takes place according to guidelines provided under KAI 1.2		
			% of evaluations triggered by monitoring units that are financed under KAI 1.2 of the OPTA	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
			% of evaluation recommendations (provided under KAI 1.2) related to the identification of monitoring data needs for evaluation that were implemented	Desk research (follow-up tables of recommendations)	From 0% to 100%
			n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			n/a	n/a	n/a
		6. Effectiveness of cooperation between the Monitoring and the Evaluation Units (NSRF level)	Existence of procedures regulating the interaction between monitoring and evaluation unit structured according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
	Frequency of meetings between monitoring and evaluation units taking place according to guidelines provided under KAI 1.2		Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%	
	% of evaluations triggered by the monitoring unit that are financed under KAI 1.2 of the OPTA		Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%	

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of evaluation recommendations implemented that were provided under KAI 1.2 in relation to quality of monitoring data in support to evaluation	Desk research (follow-up tables of recommendations)	From 0% to 100%
			n/a	n/a	n/a
			n/a	n/a	n/a
(2) The financial and human resources allocated to Evaluation under the NSRF	4. Allocation of Financial Resources to evaluation activities	7. Evaluation budget share (%) (OP level)	Share of KAI 1.2 budget dedicated to OP level evaluations and capacity building activities, on evaluation budget at OP level	Desk Analysis	From 0% to 100%
		7. Evaluation budget share (%) (NSRF Level)	Share of KAI 1.2 budget on total budget allocated to evaluations and capacity building activities at NSR level	Desk Analysis	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
	5. Allocation of Human Resources to evaluation activities	8. Adequacy of Human resources allocated to Evaluation Units (OP level)	% of Evaluation Unit staff paid through KAI 1.2 (<i>currently not supported</i>)	Desk Analysis	From 0% to 100%
			% of the Evaluation Unit staff hired through KAI 1.2 leaving every year	Desk Analysis	From 0% to 100%
			% of human resources working in evaluation units that are trained by KAI 1.2	Focus Group with EWG	From 0% to 100%
		8. Adequacy of Human resources allocated to Evaluation Units (NSRF level)	% of the Evaluation Unit staff paid through KAI 1.2 (<i>currently not supported</i>)	Desk Analysis	From 0% to 100%
			% of the Evaluation Unit staff hired through KAI 1.2 leaving every year	Desk Analysis	From 0% to 100%

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Project co-financed from European Regional Development Fund through OPTA 2007-2013

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of human resources working in evaluation units tha are trained by KAI 1.2	Focus Group with EWG	From 0% to 100%
		9. Existence of effective criteria to hire evaluation staff	Existence of criteria for the selection of staff of the evaluation Units developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
			Existence of criteria for the selection of staff of the evaluation Units developed under KAI 1.3	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
		10. Existence of effective professional development actions	Existence of training strategies for evaluation unit staff developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
(3) Quality of monitoring system	6. Quality of Indicator systems	11. Quality of indicator system at Programme level			
			% of Programmes that have designed/revised the indicator system in accordance with recommendations developed under KAI 1.2	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%
				Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	
	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)				

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of Programmes providing information from the monitoring system in the timeframe recommended under KAI 1.2 Guidelines	Focus Group with EWG	From 0% to 100%
		11. Quality of indicator system at NSRF level	n/a	n/a	n/a
			Existence of indicator system designed/revised in accordance with recommendations developed under KAI 1.2	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
	7. Quality of Individual indicators		Information from the monitoring system are provided in the timeframe recommended under KAI 1.2 Guidelines	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	0% or 100%
		12. Quality of individual indicators at Programme level	n/a	n/a	n/a
			% of Programmes that have modified individual indicators in accordance to KAI 1.2 recommendations	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%
		12. Quality of individual indicators at NSRF level	n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			Existence of NSRF individual indicators modified in accordance to KAI 1.2 recommendations	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	0% or 100%
(4) Efficiency and effectiveness of the evaluation function (with respect to planning, management, quality control and learning)	8. Effectiveness of the Evaluation Plan	13. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF	% of existing multi annual Evaluation plans that are structured on the basis of guidelines developed under KAI 1.2	Desk analysis of Multi annual Evaluation Plans, Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		14. Degree of accomplishment of Multi-Annual Evaluation Plans (OP Level)	% of OP level planned evaluations financed by KAI 1.2 carried out	Desk analysis	From 0% to 100%
			% of OP level evaluations not planned financed by KAI 1.2 carried out	Desk Analysis	From 0% to 100%
			% of reports containing the identification of impacts financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
			% of reports containing the quantification of impacts financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
		14. Degree of accomplishment of Multi-Annual Evaluation Plans (NSRF level)	% of NSRF evaluations financed by KAI 1.2 carried out	Desk analysis	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			% of OP level evaluations not planned financed by KAI 1.2 carried out	Desk Analysis	From 0% to 100%
			% of reports containing the identification of impacts financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
			% of reports containing the quantification of impacts financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
		15. Average delay of evaluations according to the Annual Plan (OP level)	% of OP level evaluations financed by KAI 1.2 carried out in delay	Desk Analysis	From 0% to 100%
			n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		15. Average delay of evaluations according to the Annual Plan (NSRF level)	% of NSRF level evaluations financed by KAI 1.2 carried out in delay	Desk Analysis	From 0% to 100%
			n/a	n/a	n/a
		16. Degree of Plans revision during the Programme implementation cycle (OP Level)	% of evaluation plans that have been revised in accordance to guidelines/ indications developed under KAI 1.2 projects	Desk Analysis Focus Group with EWG	From 0% to 100%
			n/a	n/a	n/a
		16. Degree of Plans revision during the Programme implementation cycle (NSRF Level)	NSRF evaluation plans is revised in accordance to guidelines/ indications developed under KAI 1.2 projects	Desk Analysis Focus Group with EWG	0% or 100%

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			n/a	n/a	n/a
	9. Effectiveness of the Evaluation Steering Committees	17. Existence of the Evaluation Steering Committees with a clear assignment of roles and responsibilities (OP level)	% of programmes for which the ESC is organized according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
		17. Existence of the Evaluation Steering Committees with a clear assignment of roles and responsibilities (NSRF level)	ESC organized according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
		18. Effectiveness of the Evaluation Steering Committees activity (OP level)	% of programmes for which the ESC is organized according to guidelines developed under KAI 1.2	Focus Group with EWG	From 0% to 100%
			% of programmes for which the ESC is organized according to guidelines developed under KAI 1.2	Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		18. Effectiveness of the Evaluation Steering Committees activity (NSRF level)	% of programmes for which the ESC is organized according to guidelines developed under KAI 1.2	Focus Group with EWG	From 0% to 100%
			% of programmes for which the ESC is organized according to guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
	10. Involvement of Evaluation Units in the decision-making process	19. Existence of a formalized process for the involvement of Evaluation Units in decision-making process (OP Level)	% of Programmes that have a formalized process for the involvement of Evaluation Units in decision-making process structured according to the guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
		19. Existence of a formalized process for the involvement of Evaluation Units in decision-making process (NSRF Level)	Existence of a formalized process for the involvement of the evaluation units in decision-making process structured according to the guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING	
	11. Quality of Terms of Reference	20. Overall quality of evaluation Terms of References	n/a	n/a	n/a	
			% of Programmes drafting ToRs in accordance with KAI 1.2 guidelines	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%	
	12. Existence of learning processes	21. Regular updating of Internal procedures related to evaluations (design/implementation/use) as a result of the experience gathered (OP level)	% of Programmes having revised the internal procedure related to Evaluations in accordance to KAI 1.2 recommendations	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%	
			21. Regular updating of Internal procedures related to evaluations (design/implementation/use) as a result of the experience gathered (NSRF level)	Internal procedure related to Evaluations has been revised in accordance to KAI 1.2 recommendations	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
EVALUATION CAPACITY: SUPPLY SIDE					
(5) Availability and reliability of Socio-economic data	13. Quality of Socio-economic data	22. Availability of key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level	Existence of KAI 1.2 projects that envisaged the collection of socio-economic data	Desk analysis	0% or 100%
			n/a	n/a	n/a
			Existence of KAI 1.2 projects that envisaged the collection of socio-economic data	Desk analysis	0% or 100%
			n/a	n/a	n/a
	14. Availability of Other data	23. Availability of other necessary data for evaluation	Existence of KAI 1.2 projects that envisaged the collection of socio-economic data	Desk analysis	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			n/a	n/a	n/a
(6) Availability and quality of evaluation expertise	15. Degree of Evaluation Market competitiveness	24. Number of international firms active in the market	% of international firms that participated in the public tendering process financed under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%
		25. Number of local firms active in the market	% of local firms that participated in the public tendering process financed under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%
		26. Number of universities involved in the evaluation activities	% of universities that participated in the public tendering process financed under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING	
		27. Competitiveness of the evaluation market	Number of evaluation companies contracted under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%	
		16. Availability of thematic and methodological expertises	28. Quality of expertise	Existence of trainings financed under KAI 1.2 available for the supply side of the evaluation	Desk Analysis	0% or 100%
	n/a			n/a	n/a	
	17. Assure quality of evaluations	29. Quality of evaluation reports		Existence of check-lists structured according to the guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
				n/a	n/a	n/a
				To what extent are the check-lists developed under KAI 1.2 taken into account by evaluators and contribute to the Accuracy, clarity and	Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			usefulness of reports?		
			n/a	n/a	n/a
		30. Existence of approved set of quality standards for evaluations	Existence of quality standards developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
	18. Development of evaluation skills	31. Existence of specific training programmes for evaluators	% of training programmes funded by KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
	19. Independence of evaluators	32. Degree of evaluators independence (supply side)	Existence of guidelines developed under KAI 1.2 addressing the issue of independence of evaluators	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
EVALUATION CULTURE: DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS					
(7) Dissemination of evaluation outputs	20. Evaluation Outputs Dissemination	33. Number of Evaluation reports publicly available in their integrity (out of total available) - OP Level	% of approved reports financed under KAI 1.2	www.evaluare-structurale.ro/	From 0% to 100%
			% of evaluation reports that are publicly available financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
		33. Number of Evaluation reports publicly available in their integrity (out of total available) - NSRF Level	% of approved reports financed under KAI 1.2	www.evaluare-structurale.ro/	From 0% to 100%
			% of evaluation reports that are publicly available financed under KAI 1.2	Desk Analysis (Reports published on Evaluation Library)	From 0% to 100%
		34. Number of Public events / debates organized to discuss evaluation results - OP level	% of public events debates organized under the KAI 1.2	Desk analysis on www.evaluare-structurale.ro Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		34. Number of Public events / debates organized to discuss evaluation results - NSRF level	% of public events debates organized under the KAI 1.2	Desk analysis on www.evaluare-structurale.ro Focus Group with EWG	From 0% to 100%
(8) Use of evaluation outputs	21. Existence of procedures for addressing evaluation results and follow-up	35. Existence of procedures which provide for roles and responsibilities related to the follow-up of evaluation results and recommendations (e.g. action plan, its monitoring) (OP level)	% of Programmes having revised the internal procedures for follow-up (of evaluation recommendations) in accordance to KAI 1.2 guidelines	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
		35. Existence of procedures which provide for roles and responsibilities related to the follow-up to evaluation results and recommendations (e.g. action plan, its monitoring) (NSRF level)	Existence of revised internal procedures for follow-up (of evaluation recommendations) in accordance to KAI 1.2 guidelines	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
		36. Existence of a decision-making Monitoring/Coordination Committee/ Managing Authority responsible for the follow-up of the evaluation results (OP level)	Existence of specific additional responsibilities assigned to a decision making body based on guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			Existence of specific recommendation related to the use of evaluation evidence on behalf of the Monitoring Committees in documents developed under KAI 1.2	Focus Group with EWG	0% or 100%
		36. Existence of e decision-making Monitoring/Coordination Committee/ Managing Authority responsible for the follow-up of the evaluation results (NSRF level)	Existence of specific additional responsibilities assigned to a decision making body based on guidelines developed under KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	0% or 100%
	22. Impact of evaluations on programming/implementation processes	37. Impact of the evaluation results on programming process (OP level)	% of evaluation recommendations provided under KAI 1.2 projects that address OP level programming that were implemented	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%
			% of evaluation recommendations provided under KAI 1.2 projects that address programming for 2014-2020 that were implemented	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			n/a	n/a	n/a
		37. Impact of the evaluation results on programming process (NSRF level)	% of evaluation recommendations provided under KAI 1.2 projects that address NSRF programming that were implemented	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%
		38. Impact of the evaluation results on implementation process (OP level)	% of evaluation recommendations provided under KAI 1.2 projects that address OP level implementation that were implemented	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%
		38. Impact of the evaluation results on implementation process (NSRF level)	% of evaluation recommendations provided under KAI 1.2 projects that address NSRF implementation that were implemented	Desk Analysis (follow-up table of recommendations of KAI 1.2 evaluations)	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
EVALUATION CULTURE: INSTITUTIONALIZATION OF EVALUATION/EVALUATION CULTURE - TO WHAT EXTENT IS EVALUATION EMBEDDED IN GOVERNANCE OF SIS AND HAS FURTHER IMPACTS?					
Enabling context					
(9) Mental framework	23. Values	39. Evaluation (as analysis of own "mistakes" fear of which determines the "control" culture) is welcomed, encouraged and valued as an essential part of achieving success at institutional level (MA/MEF) by policy makers	n/a	n/a	n/a
		40. Evaluation (as analysis of own "mistakes" fear of which determines the "control" culture) is welcomed, encouraged and valued as an essential part of achieving success at institutional level (MA/MEF) - by management/executive staff	n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
(10) Legal context of evaluation	24. Legal provisions	41. Existence of legal provisions regulating evaluation	Existence of Documents developed under KAI 1.2 that become part of the legal framework	Info provided by MEF Evaluation Unit	0% or 100%
		42. Existence of other legal provisions hampering, directly or indirectly evaluation practice (e.g. public procurement - to be scored with - minus)	Existence of solutions proposed under KAI 1.2 aimed at eliminating the hampering elements	Info provided by MEF Evaluation Unit	0% or 100%
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	25. Human resources policy	43. Percentage of Civil servants, at all levels, trained in social sciences (as opposed to strict legal training)	% of civil servants trained through actions financed under KAI 1.2	eSurvey	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		44. Percentage of Civil servant, at all levels, participating widely and openly in evaluation activities	n/a	n/a	n/a
			n/a	n/a	n/a
		45. Presence of Evaluation champion(s) at OP level	% of EWG participants (exposed to KAI 1.2) who hold a decision making position	Desk Analysis (Job description of EWG members)	From 0% to 100%
		45. Presence of Evaluation champion(s) at NSRF level	% of EWG participants (exposed to KAI 1.2) who hold a decision making position	Desk Analysis (Job description of EWG members)	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		46. Existence of evaluation training for civil servants on the market	% of training education options for civil servants on the market supported under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%
			% of training education options for civil servants on the market supported under KAI 1.2	Info provided by MEF Evaluation Unit	From 0% to 100%
			n/a	n/a	n/a
(12) Embedded/bottom up evaluation demand (in SIS)	26. Embedded demand for evaluation (in SIS)	47. There is significant demand for evaluation (all types/all levels)	Number of evaluations financed under KAI 1.2 compared to the total number of evaluation	Desk Analysis	From 0% to 100%
		48. Percentage of evaluation carried out in response to the need for empirical knowledge (not as an obligation) (OP level)	% of evaluations carried out in response to guidelines / indications provided under KAI 1.2 projects	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		48. Percentage of evaluation carried out in response to the need for empirical knowledge (not as an obligation) (NSRF level)	% of evaluation funded by KAI 1.2	Desk analysis of KAI 1.2 projects; interview with project managers; Focus Group with EWG	From 0% to 100%
(13) Networking	27. Existence of a National organization of professional evaluators	49. Existence of a strong national organization of professional evaluators contributing to the creation of a network and to dissemination of best practices	Existence of KAI 1.2 projects supporting the national organizations of evaluators	Desk analysis of KAI 1.2 projects; interview with project managers; Info provided by MEF Evaluation Unit	0% or 100%
			Existence of KAI 1.2 projects supporting the national organizations of evaluators	Info provided by MEF Evaluation Unit	0% or 100%
			Existence of KAI 1.2 projects supporting the national organizations of evaluators	Desk analysis of KAI 1.2 projects; interview with project managers; Info provided by MEF Evaluation Unit	0% or 100%

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			Existence of KAI 1.2 projects supporting the national organizations of evaluators	Desk analysis of KAI 1.2 projects; interview with project managers; Info provided by MEF Evaluation Unit	0% or 100%
	28. Reducing academia-government gap	50. Existence of a cooperation mechanisms between academia and government which lead to a better policy formulation	Existence of KAI 1.2 projects supporting the national organizations of evaluators	Info provided by MEF Evaluation Unit	0% or 100%
			Existence of KAI 1.2 projects supporting the national organizations of evaluators	Desk analysis of KAI 1.2 projects; interview with project managers; Info provided by MEF Evaluation Unit	0% or 100%
(14) Civil society and mass media	29. Civil society participation	51. Civil Society actively participates in evaluation-related activities	% of KAI 1.2 projects foreseeing the involvement of civil society	Desk analysis of KAI 1.2 projects; interview with project managers; Info provided by MEF Evaluation Unit	From 0% to 100%
			n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
	30. Mass media participation	52. Degree of participation of mass media to public events related to evaluation and dissemination	% of public events organized under KAI 1.2 inviting mass-media	Desk analysis on www.evaluare-structurale.ro ; interview with project managers; Focus Group with EWG	From 0% to 100%
(15) Governance	31. Governance index (as further composed of 6 dimensions - 59 Governance index)	53. Governance index	n/a	n/a	n/a
			n/a	n/a	n/a
			n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			n/a	n/a	n/a
			n/a	n/a	n/a
			n/a	n/a	n/a
IMPACT BEYOND SIS MANAGEMENT SYSTEM					
(16) Impacts in long-run and outside SIS	32. Effects beyond SIS	54. Internalization of evaluation from Institutions involved in SIS, other than MAs and MEF (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority)	n/a	n/a	n/a

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
			Existence of KAI 1.2 projects/project components addressing institutions other than MA and MEF	Desk Analysis Focus Group with EWG	0% or 100%
			Existence of KAI 1.2 projects/project components addressing institutions other than MA and MEF	Desk Analysis Focus Group with EWG	0% or 100%
			Existence of KAI 1.2 projects/project components addressing institutions other than MA and MEF	Desk Analysis Focus Group with EWG	0% or 100%
			Existence of KAI 1.2 projects/project components addressing institutions other than MA and MEF	Desk Analysis Focus Group with EWG	0% or 100%
		55. Integration, in all political fields, of evaluation into management strategies and practices	Existence of KAI 1.2 guidelines specifically addressing policy makers	Desk Analysis Focus Group with EWG	0% or 100%
		n/a	n/a	n/a	
		n/a	n/a	n/a	

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
Third measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	QUESTION	SOURCE	SCORING
		56. Integration, at all levels of administration and government, of evaluation into management strategies and practices	Existence KAI 1.2 guidelines specifically addressing public administration managers	Desk Analysis Focus Group with EWG	0% or 100%
			n/a	n/a	n/a