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Instrumente Structurale  
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# Evaluation a management tool supporting decision-making

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# The presentation

1. What is evaluation?
2. The working of evaluation
3. Why to evaluate?
4. Partnership



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# I. What is evaluation?



# Importance of evaluation

Evaluation is a **judgement on interventions regarding their results, impacts and needs they aim to satisfy.**

The European Commission regulates that evaluations must be carried out to improve the quality of the design and implementation of programmes, as well as to assess their effectiveness, efficiency and impact. This makes evaluation an important tool:

- to be used in the design and management of programmes financed by EU Structural Instruments;
- to assess the extent to which interventions reach the policy objectives set and how their performance can be improved in the future;
- to provide a rigorous evidence base to inform decision-makers.



# Importance of evaluation

Thus, evaluation can be regarded as:

- a way of **ensuring accountability**, throughout the process of decision-making;
- a way of **measuring performance** by assessing effectiveness, efficiency and impact of the intervention;
- a valuable **input** into the shape of future programmes and policies that can lead **to the improvement** of the quality of the design and implementation of programmes.

**In order to achieve this, evaluation must be planned, designed and performed in partnership with all stakeholders.**

# What can evaluation provide?

*The evaluation's purpose is to formulate useful recommendations for the efficient application of public funds.*

Although evaluation commissioners place high expectations on evaluation's providing solutions to all problems identified, it must be said that **evaluation can provide PERSPECTIVES and RECOMMENDATIONS not solutions.**

**HOW?**

By providing key data and knowledge to ensure better informed decision-making for planning, designing and implementing the OP as well as for managing the institution.  
By enhancing the legitimacy of decisions and the accountability of decision-makers.

# Evaluation – monitoring – decision-making

The proposed approach emphasizes the need for stronger links between monitoring and evaluation on the one hand, and on the other, between these two interlinked exercises and decision-making.

Monitoring examines process/operational information mainly on outputs and results achieved, financial absorption and on the quality of implementation mechanisms.



Evaluation examines information on socio-economic impact, continuing relevance and consistency of strategies at national/OP level, changes in community, national or regional priorities affecting an OP and proposed adjustments.

In order to ensure high quality of information and analysis to inform management decision, **monitoring and evaluation should be planned in advance** so that relevant evaluation results are available in due time for operational and strategic decision-making and reporting needs.

The timing of evaluations must enable the results to be included into any decision on the design, renewal, modification or suspension of activities or changing legislation.



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## II. The working of evaluation

## Stages of evaluation

Evaluation, throughout its stages, serves as management tool for decision-makers and stakeholders.

- ***At the ex-ante stage***, evaluation can help to improve the relevance and guarantee the rationale of the programme design. Ex-ante evaluations are meant to improve the quality and design of a programme, and verify that objectives and targets can be reached.

The new regulations on cohesion policy for 2014-2020 set out **the contribution to the EU strategy for smart, sustainable and inclusive growth -Europe 2020**, as a priority task for ex-ante evaluations (*Article 48, Common provisions on ERDF, ESF, CF, EAFRD and EMFF*), having regard to **11 thematic objectives**.



# Thematic objectives

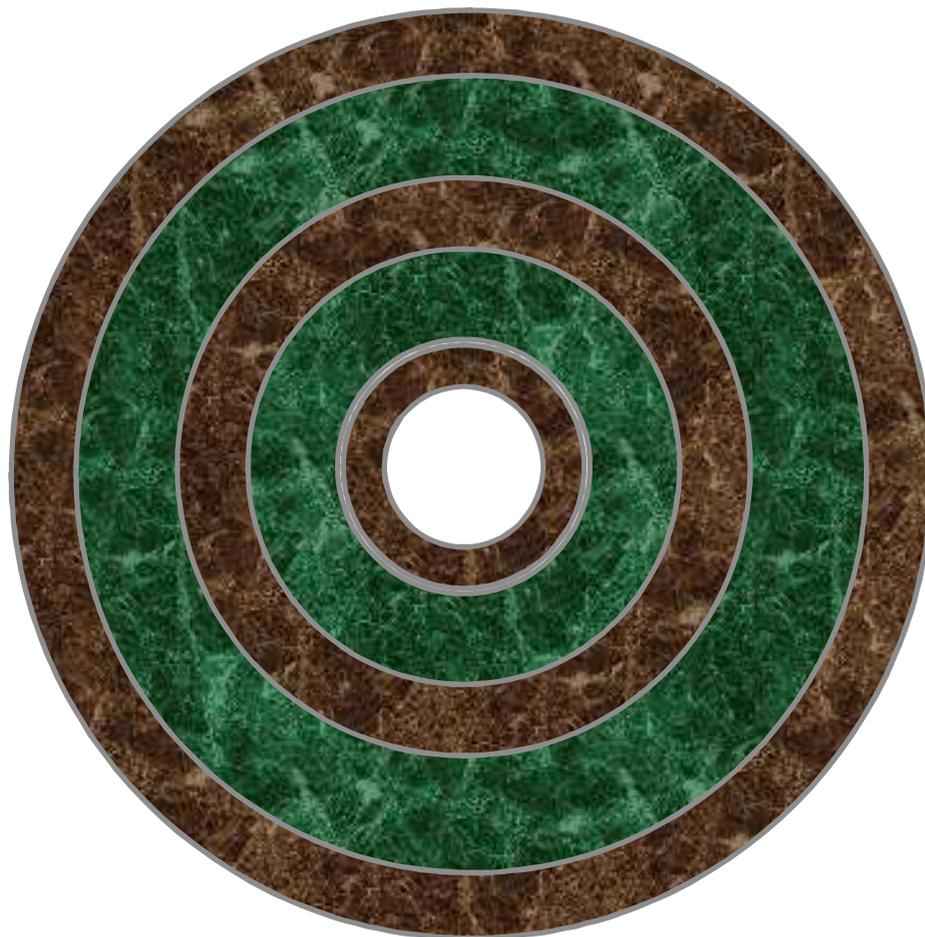
1. research, technological development and innovation;
2. information and communication technologies;
3. competitiveness of SMEs, agriculture and fisheries;
4. shift towards a low-carbon economy;
5. climate change adaptation, risk prevention and management;
6. protecting the environment and resource efficiency;
- 7. sustainable transport and removing bottlenecks in key network infrastructures;**
8. employment and labour mobility;
9. social inclusion and combating poverty;
10. education, skills and lifelong learning;
11. institutional capacity and public administration.

*(Article 9, Common provisions on ERDF, ESF, CF, EAFRD and EMFF)*

## Stages of evaluation (cont.)

- **On an ongoing basis**, evaluation can help to assess performance, detect implementation problems and point to corrective measures. On-going evaluations are used to assess effectiveness, efficiency and impact for each programme on the basis of the evaluation plan. (*Article 49, Common provisions*)
- **At the ex-post stage**, evaluation can tell us what has been achieved and point to lessons for future periods. Ex-post evaluations shall examine the effectiveness and efficiency of the funds and their contribution to Europe 2020. (*Article 50, Common provisions*)

# The project and evaluation cycle



Policy cycle

Programme cycle

Project cycle

Evaluation cycle

## Evaluation of priority axis “Improvement of transport infrastructure” in Saxony, Germany

### Scope

The evaluation looks at priority axis 4 "Improvement of transport infrastructure" of the Regional Operational Programme of Saxony, funded from the ERDF 2007-2013.

### Aim

- To check the validity of the programme strategy.

### Conclusions

- The system of objectives and indicators is conclusive.
- Improved road infrastructure reduced accessibility deficits and improved competitiveness of the region.





## Evaluation of priority axis “Improvement of transport infrastructure” in Saxony, Germany

- There are existing disproportions between projects “environmentally friendly transport modes” supported only in the area of bicycle infrastructure and “road traffic infrastructure”.
- Projects related to environmentally friendly transport modes make slow progress.
- Selection of traffic projects is comprehensible and transparent. The traffic planning has adequate instruments to choose and prioritise road infrastructure projects regarding their regional and traffic effectiveness under economic aspects.

### Recommendations

- Keep the existing objectives, strategy and actions required for PA4;
- To support the complementary of projects “environmentally friendly transport modes” and “road traffic infrastructure”.

## Who can make use of evaluation and how?

- *The extent to which the use and usefulness of evaluation can be strengthened depends on the demand and interest for evaluation results from decision-makers and senior management but also on the applicability of recommendations. It must be admitted that at times recommendations are too general or simply lack practicality.*
- In order to lessen **evaluation lag**, which hinders the evaluation to materially effect the programmes, policies and structures they are intended to benefit, **evaluation must be approached as a an integral part of programmes and institutional operational procedures.**
- It is crucial that evaluation is seen as a process which begins at the point of programme elaboration and is owned by and shaped by the stakeholders.



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## II. Why to evaluate?

# Who can make use of evaluation and how?

## HOW?

### WHO?

Programme managers;  
Policy- and decision-  
makers;  
Other stakeholders.

- By using experience gained from previous interventions to translate political priorities into meaningful objectives and indicators;
- By using evaluation results to justify existing or new initiatives on efficient allocation of resources;
- By using evaluation results to complement and enrich data from monitoring exercises;
- By using evaluation to identify gaps (or missing links) and emerging needs.

## Evaluating the impact of transport infrastructure investments funded from the EU funds in 2004-2006 on the competitiveness of regions in Poland

### Scope

- The study was carried out on the whole territory of Poland. Time coverage was limited to the duration of the investments supported by the 2004-2006 programming period, which in practice means years 2004-2009.



### Aim

- To evaluate the effects of transport infrastructure development in the context of the effective implementation of the strategic and specific objectives of the National Development Programme 2004-2006.
- To assess the consistency of transport investments in the context of the challenges of an integrated transport system.
- To assess sustainability of transport investments and durability of effects.
- To evaluate indirect effects of transport infrastructure development.



## Evaluating the impact of transport infrastructure investments funded from the EU funds in 2004-2006 on the competitiveness of regions in Poland: Conclusions

- The period 2004-2006 was a breakthrough in terms of overall expenditures incurred in Poland on transport infrastructure.
- The local and regional investment projects were complementary to the transport network, especially the road ones.
- The overall evaluation of investments' durability is positive.
- The territorial distribution of allocated resources is uneven, with investment areas concentrated in central Poland and Pomerania.
- Effects of investments are uneven in travel-time, as observed both on a national and regional scale, with positive effects of investments on longer sections and poor effectiveness on dispersed investments.
- There is need for more investment in railway transport and multimodal solutions.
- In the future, the national air transportation system should be a subject of stronger support. Increase of the role of inland water transport should be also considered (particularly on the Odra Water Way).



## **Evaluating the impact of transport infrastructure investments funded from the EU funds in 2004-2006 on the competitiveness of regions in Poland: Recommendations**

- Adopt a network and systemic approach in the planning and implementation stages.
- Invest in the next programming period (2007-2013) in railway transport and multimodal solutions, which is fully in line with EU territorial and transport policies.
- Promote a sequential modal policy concentrating on road projects which are short-term and more efficient.
- Promote development of modern railway infrastructure and railway transport in metropolitan areas.
- Concentrate on large investments as more effective than on local ones (only in case of solving the problems of local communities).
- Invest in national air transportation system and inland waterways.



## Evaluating the impact of transport infrastructure investments funded from the EU funds in 2004-2006 on the competitiveness of regions in Poland

The transport investment priorities as defined in the Transport Development Strategy 2007–2013 are in transport network, transport market, territorial and modal integration of transport and road safety. Investment in railway infrastructure is given special attention as well as creation of a long term strategy for restructuring of the national railway with opening for privatisation.

Two out of the four OP Infrastructure and Environment priorities as regards the transport aim at 1 - improving the communication accessibility of Poland and interregional connections through development of the road and network and airports and 2 - improving of communication connections of the major cities in the regions of eastern Poland with the rest of the country through development of road network in these regions.

A dedicated **OP Development of Eastern Poland** was accepted by the Council of Ministers on 25th July 2006. Its main objective is to accelerate the socioeconomic development of Poland's five poorest regions.



## Contribution of evaluation to the programme management

Evaluation can:

- improve the Operational Programme management capacity in terms of analysis and decision-making;
- disseminate information within the Operational Programme's management and implementation structures;
- improve the co-operation within the Operational Programme's management and implementation structures;
- generate new ideas, perspectives;
- identify deficiencies in the monitoring system.

## Evaluation of transport investments in Andalusia, Spain

### Scope

- The regional case study of Andalusia is part of Work Package 5a on Transport, an ex-post evaluation of cohesion policy programmes for 2000-2006 co-financed by ERDF for objectives 1 and 2.

### Aim

- To examine the type and effectiveness of transport interventions co-financed from ERDF in Andalusia over the period 2000-2006.

### Conclusions

- Projects concentrate mainly on the rail and road modes.
- A number of projects have been financed to improve port facilities and to develop inter-modal centres for freight and, to a lesser extent, passenger traffic. However, to date, the goal of creating an integrated and multimodal transport system has not yet been achieved.

## Evaluation of transport investments in Andalusia, Spain

### Recommendations

- A number of recommendations are made, including that more actions are needed to develop inter-modal transport services and maritime transport in order to provide the region with a transport system that guarantees complete accessibility and connectivity.

The Infrastructure Plan for Andalusian Transport Sustainability (PISTA) for 2007-2013 features the **Andalusian Logistics Network** concerning 7 port and 4 inland centres. The goal is to expand the existing logistic platforms surface area by 2,800 hectares. To this end, an initial public and private investment of euro 341 million has been anticipated, to which will be added investment from private initiatives as companies establish themselves in these logistic areas.

“Investing and growing in Andalusia”, a guide for multinational companies promotes, among others, the logistics area network, considered to be one of the key infrastructures in the region.



*Cordoba Logistics Park*



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## IV. Partnership



## Partnership

Partnership is essential for planning, designing and carrying out evaluation for it provides a basis for learning, openness and transparency during the whole process. Evaluation of cohesion policy is undertaken on a partnership basis, with Member States responsible for ex-ante and ongoing evaluation and Commission responsible for ex-post and other thematic evaluations.

Member State shall organize a partnership with partners:

- a) competent regional, local, urban and other public authorities;
- b) economic and social partners; and
- c) bodies representing civil society, including environmental partners, nongovernmental organisations, and bodies responsible for promoting equality and non-discrimination.

## Evaluation – Partnership

### PLANNING AND IMPLEMENTING EVALUATION

- When planning and carrying out evaluation, in order to ensure **relevant** and **useful** evaluation **results**, close co-operation between **all stakeholders** involved in national/local level monitoring and evaluation is important.
- Evaluators must cooperate with the concerned individuals /entities, which makes it necessary to define the evaluation objectives and **make** the concerned **individuals/entities aware** of these.
- Open approach is important during evaluation process and when formulating recommendations, in order to avoid that the concerned individuals/entities become opposed to the evaluation, or feel that they have no influence on procedures.

### DECISION- MAKING

- When making informed decisions, **opinion** from **all stakeholders** should be sought and taken into consideration.

## Evaluation – Transparency and publicity

Evaluations are important tools to inform national and regional authorities, the general public and other stakeholders about the outcomes of the Cohesion Policy.

- Effective and timely communication of evaluation results can increase their impact on decision-making, be more useful and better exploited.
- To facilitate the use of evaluation results, they must be communicated to decision-makers and other relevant stakeholders in a clear and transparent manner. This requires a careful assessment of *what* type of information is useful to *whom*.
- Evaluation results should be communicated in such a way that they **meet the needs of decision-makers**. The information needs to be politically relevant, concise and easily comprehensible.
- Policy implications and lessons learnt from evaluations must be synthesized and appropriately disseminated.
- Results must be followed-up.



## Evaluation – Transparency and publicity

- According to the European Commission policy, each Member State must be committed to strengthening its citizens' confidence in Europe with a focus upon results, transparency, informed debate, and good co-ordination and partnership across Member States and European Institutions. Evaluation can facilitate these processes. Evaluation supports the Member States and their Managing Authorities in better communicating the added value of using the Structural Instruments to the European citizen.
- **All evaluations must be made public in their entirety** (Article 47, Common provisions), so they can enhance transparency of state operations and democratic accountability and stimulate dialogue and public debate on evaluation findings.



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**Thank you very much  
for your attention**

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