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Evaluation of Structural Instruments during 2011-2015
Lot 2 - Capacity Building in the Field of Evaluation**

Subsequent Contract no. 1

Examination of the evaluation culture, SMIS 43465

Authority for Coordination of Structural Instruments
Ministry of European Funds

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

First measurement cycle

January 2013

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Abbreviation list

AA	Audit Authority
ACIS	Authority for Coordination of Structural Instruments
AIR	Annual Implementation Report
CBA	Cost-Benefit Analysis
CEU	Central Evaluation Unit
CF	Cohesion Fund
CPA	Certifying and Paying Authority
EC	European Commission
ECI	Evaluation culture measurement index
ERDF	European Regional Development Fund
ESC	Evaluation Steering Committee
ESF	European Social Fund
ETC	European Territorial Cooperation
EU	European Union
EWG	Evaluation Work Group
FA	Framework Agreement
FID	Framework Implementation Document
GDP	Gross Domestic Product
IB	Intermediate Body
IMF	International Monetary Fund
KAI	Key Area of Intervention
MA	Managing Authority
MC	Monitoring Committee
MDPWL	Ministry of Development, Public Works and Lodging
MECBE	Ministry of Economy, Commerce and Business Environment
MEF	Ministry of Economy and Finance
MEFOR	Ministry of Environment and Forestry
MESD	Ministry of Environment and Sustainable Development
MFA	Ministry of Foreign Affairs
MIA	Ministry of Internal Affairs
ML	Ministry of Labor
MLFEO	Ministry of Labor, Family and Equal Opportunities
MLFSP	Ministry of Labor, Family and Social Protection
MRDT	Ministry of Rural Development and Tourism
MT	Ministry of Transports
MTI	Ministry of Transports and Infrastructure
NDP	National Development Plan
NES	National Evaluation Strategy

NGO	Non-government Organization
NSC	National Steering Committee
NSRF	National Strategic Reference Framework
OP	Operational Programme
OP ACD	Operational Programme Administrative Capacity Development
OP TA	Operational Programme Technical Assistance
PA	Priority Axis
ROP	Regional Operational Programme
SA	Subsequent Agreement
SI	Structural Instruments
SME	Small and medium-sized enterprises
SMIS	Single Management Information System
SOP ENV	Sectoral Operational Programme Environment
SOP HRD	Sectoral Operational Programme Human Resources Development
SOP IEC	Sectoral Operational Programme Increase of Economic Competitiveness
SOP T	Sectoral Operational Programme Transport
SSI	System of Structural Instruments
TAD	Technical Assistance Department
ToR	Terms of Reference

Executive Summary

This report has been prepared by Ernst & Young and presents the results of the first year of activities of the project “**Examination of the evaluation culture**”: after a description of the methodological approach (Chapter 1), the report provides the results of the analysis conducted to measure the level of diffusion of the evaluation culture within the Structural Instruments System in Romania (chapter 2) and to investigate on the appropriateness of KAI 1.2 “Evaluation” of OP Technical Assistance, in supporting its diffusion (chapter 3). Based on these results, the report provides conclusions and recommendations concerning strategic changes in the design of KAI 1.2 and future activities that may be undertaken in order to strengthen evaluation culture within the system (chapter 4).

The current level of diffusion of the evaluation culture is measured through **indicators** related to specific elements that define evaluation culture -**criteria** and **subcriteria**-, as resulting from a significant literature review and their personalization to the Romanian context (see ch. 1), and aggregated in 4 dimensions (demand side, supply side, dissemination/utilization of evaluation results, institutionalization of the evaluation culture). The analysis of KAI 1.2 has been conducted looking at the coherence of its objectives, target groups and financed interventions with such elements.

The results obtained, detailed in chapter 2, reveal a **good diffusion of the evaluation culture** within the Structural Instruments management system, with an average achievement of the Evaluation Culture Measurement Index based on all indicators, of 63.35% out of 100%.

The overall good performance comes from the different criteria/elements of the evaluation culture, with some elements and dimensions performing better than others.

More specifically, as regards the **demand side of the evaluation system**, the analysis shows that this dimension is generally performing well (75.14% of the index), with all criteria achieving a score over the average. Indeed, Evaluation Units, that are present at Programme level and are coordinated by the Central Evaluation Unit, work in close collaboration within the Evaluation working Group (criteria 1 *architecture of evaluation*), the financial and human resources allocated to evaluation are adequate and in line with the international levels (criteria 2 *financial and human resources*), the quality of the monitoring system is considered adequate and able to provide timely information, even with some areas of improvement at NSRF Level (criteria 3 *quality of the monitoring system*) and, finally, there are evaluation plans and assignments 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 (criteria 4 *efficiency of the evaluation function*).

Although these criteria generally perform well, the analysis shows that there are some areas of improvement, also looking at the programming period 2014-20, for which some **recommendations** should be taken into account to enhance the diffusion of the evaluation culture in the demand side of the evaluation system:

- ▶ support analyses related to the reorganization of the evaluation function into compartments responsible exclusively for evaluation, revision of operational procedures for further linking evaluation to monitoring and programming, continue the professional development of staff at OP and NSRF level, while monitoring staff headcount, given a tendency towards downsizing of evaluation units.
- ▶ address further improvement of the system of indicators;
- ▶ support the kick-start of the planning process for evaluations under the period 2014-2020, aligning evaluation plans and data availability.

The results of the diffusion of the evaluation culture in the **supply side of the evaluation system** are still satisfactory, although a bit lower (67.53% of the index) than for the demand side: national and international companies providing evaluation services are present on the Romanian market and possess the required thematic and methodological expertise (criteria 6 *availability and quality of evaluation expertise*); also, in terms of information, socio-economic data are available in a timely manner, although micro-data at beneficiary level are only partially available (criteria 5 *socio-economic data availability and reliability*). Still, there are few recommendations to strengthen the diffusion of evaluation culture in the supply side:

- ▶ develop the statistical baseline of micro-data needed to carry out counterfactual analyses.

- ▶ revise the specific objectives and eligible activities of KAI 1.2 taking into account also rules on expense eligibility, as a pre-condition to carry out specific actions aimed at strengthening the supply side, especially of national companies.

The dimension of the evaluation system related to the **dissemination and utilization of evaluation results** is also performing adequately (66.45% of the index). 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 (criteria 7). Moreover, in order to support the use of evaluation results and make the best use of them, the system has put in place procedures to address them and defined actions for follow-up. This supports a use of evaluation results that is considered as having a considerable impact (criteria 8). Nonetheless, some areas of improvement have been identified to increase the effectiveness of the actions in this dimension and the report provides the following recommendations:

- ▶ support a study to identify the *most appropriate communication channels, tools and language use* to enhance the effectiveness of communication towards Structural Instruments stakeholders;
- ▶ continue embedding in evaluation projects wide communication events.

The last dimension of the evaluation system that has been considered, the **institutionalization of the evaluation culture**, is the least performing one (57.75% of the index). As related to the *mental framework* (criteria 9), evaluation is considered to some extent as 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 is lower than in other member states (criteria 12), there is room for improvement among policy makers, even if capacity building projects financed by KAI 1.2 are already addressing this goal.

The quality/expertise of the **human resources** involved (criteria 11) is in line with the average of the index, with the presence of some evaluation champions (i.e. 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) has 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 (criteria 16).

The institutionalization of the evaluation culture is weak also looking at the **network** created with external stakeholders/players. Indeed, the contribution of the national organization of evaluators to the dissemination of good practices (criteria 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 (criteria 14) are low. Even if a cooperation between Institutional stakeholders, the academia and the supply side has recently been established, up to date involvement of the academia is still 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** (criteria 10), the national legal provisions regulating evaluation are the transposition of the EU Legal Framework and provide for the additional requirement of preparation of evaluation plans. There are though elements of the Romanian legal framework hampering evaluation, in particular public procurement rules, national ordinances on staff hire and rules on expense eligibility. As for the general governance (criteria 15), Romanian indicators of the World Bank Index position Romania above the average for most indicators but the **governance effectiveness**. According to evidences collected for this dimension, the report provides the following recommendations:

- ▶ continue performing communication activities especially targeted to policy makers and the civil society (see criteria 7).
- ▶ revise specific objectives and eligible activities of KAI 1.2 Evaluation of the Operational Programme Technical Assistance taking into account also rules on expense eligibility, to enhance educational options and capacity development actions with the involvement of the academia and of the different players/stakeholders of the evaluation system, including the national association of evaluators;
- ▶ promote capacity building activities to pursue the creation of an embedded bottom up demand for evaluation;
- ▶ address Regulatory Quality by supporting under KAI 1.2 Evaluation of the Operational Programme Technical Assistance Regulatory Impact Assessment studies.

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 beneficiary is the Central Evaluation Unit of the Authority for the Coordination of Structural Instruments.

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.

Namely, 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 in 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.

1.2 Contents of the report

This report represents the first Annual Measurement of the Evaluation Culture and it 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 and ad-hoc Evaluation Culture Measurement Index (ECI);
- ▶ an analysis of the internal consistency of the design of KAI 1.2 as described in the programming and implementation documents and the analysis of the response in terms of project implemented in terms of contribution to the improvement of the level of diffusion of evaluation culture in the system of Structural Instruments.

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 its design and of the response in terms of contracted project.

- ▶ **Chapter 4:** contains a set of conclusions based on the findings included in Chapter 2 and 3 and proposals for development of the future activities of KAI 1.2.

Chapter 2. First annual measurement of evaluation culture

2.1 Definition of Evaluation Culture and its dimensions

The literature review concerning the concept of evaluation culture has brought a series of aspects into light, widely acknowledged by all sources analysed (see Annex 1).

The discourse on evaluation culture stems in most sources from:

- ▶ the main purposes of evaluation, i.e. accountability and learning and
- ▶ 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” (i.e. 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 have 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 and 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 the two concepts 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 we collected from literature the elements identified as being related to each of the two concepts (see Annex 2);
- ▶ Secondly, we eliminated overlapping elements within each concept, clearing out from the “capacity” concept all elements presented in literature as “culture” related.

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”

- ▶ Thirdly, we organized the elements in “clusters” which we also labelled (see Table 1).

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

1. differentiate (artificially in some cases) between “culture” and “capacity”;
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 (i.e. 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>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 culture	Evaluation capacity
...APPLIED AT HUMAN RESOURCES LEVEL	
<ol style="list-style-type: none">1. policymakers educated, specialised and with professional background connected to 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	
<ol style="list-style-type: none">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	
<ol style="list-style-type: none">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"

2.2 Methodology

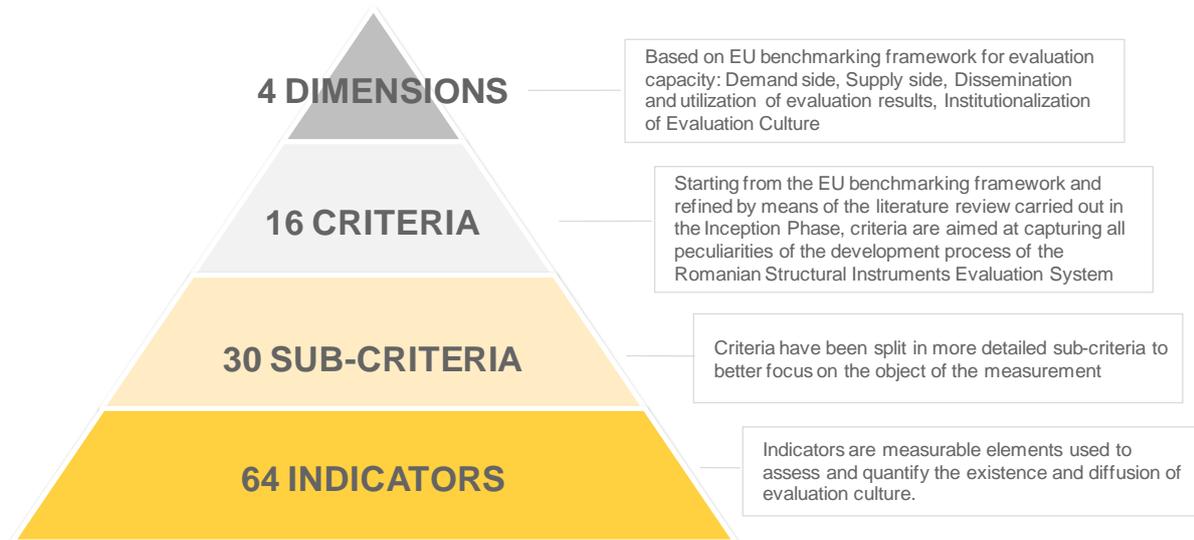
The framework presented in the previous section has been the starting point for the development of a tool aimed at measuring the achievement of evaluation culture among the structures involved in the management of Structural Instruments. Such tool, the **Evaluation Culture Measurement Index (ECI)**, includes an "artificial" distinction between²:

- ▶ 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 **ECI** is composed of 4 dimensions, 16 criteria, 30 sub-criteria and 64 indicators (as exemplified in graphical terms in Annex 4):

- ▶ **Dimensions:** represent the main components of the Evaluation System, i.e *Demand side, Supply side, Dissemination and utilization of evaluation results, Institutionalization of Evaluation Culture*;
- ▶ **Criteria and sub criteria:** related to both capacity and culture, capture peculiarities of the development process of the Romanian Structural Instruments System (SIS);
- ▶ **Indicators:** the extensive list of relevant elements - related to both capacity and culture - adequately and comprehensively assess Evaluation Culture among stakeholders of Romanian Structural Instruments³.

Figure 1 - The Evaluation Culture Measurement Index Framework



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.

Finally, based on the aggregation of the minimum and maximum score available for each indicator we have determined the minimum and maximum scores available for the Evaluation Culture Measurement Index (ECI) being respectively 126 points and 477 points.

² De Peuter and Pattyn, 2008

³ Where appropriate, the same indicators have been used for NSRF and Programme level, and for the various institutions/bodies involved in SIS where appropriate

Table 2 - ECI: sources of information

Source of information	
Primary sources	<ul style="list-style-type: none"> ▶ Online survey addressed to the wider stakeholders' evaluation community; ▶ Focus group composed of key institutional stakeholders of the evaluation community which provided feedback on the methodology for the measurement of the evaluation culture ▶ Focus group composed of key institutional stakeholders of the evaluation community which provided feedback on the preliminary results of the first annual measurement; ▶ Focus group with stakeholders of the broader evaluation community in Romania, providing feedback on the contents of the first draft of this report ▶ Interviews with project managers of KAI 1.2 projects (ACIS Central Evaluation Unit staff);
Secondary sources	<ul style="list-style-type: none"> ▶ Relevant National documents, EU and national methodological guidance, Programming and Operational documents at OP and NSRF level, Evaluation reports; ▶ International benchmarking

In order to quantify the current value of the indicators during the first measurement cycle, we have proceeded as follows:

- ▶ for indicators quantified through primary sources (survey), a score is assigned based on the average score provided by questionnaire respondents;
- ▶ for indicators quantified through secondary sources, a score is assigned on behalf of the evaluation team.

For indicators quantified through international benchmarking, a score is assigned based on specific survey covering 5 EU countries (Bulgaria, Germany, Hungary, Italy and Lithuania) and 18 Operational Programs (Table 3 – International Benchmarking: Countries and OP covered).

Table 3 - International Benchmarking: Countries and OP covered

Country	Operational Program
Bulgaria	<ul style="list-style-type: none"> ▶ OP Transport ▶ OP Regional Development ▶ OP Development of the Competitiveness of the Bulgarian Economy ▶ OP Environment ▶ OP Technical Assistance ▶ OP Administrative Capacity ▶ OP Human Resources development ▶ Rural Development Programme ▶ OP Fisheries Development
Germany	▶ OP of the state of Brandenburg for the ESF programming period 2007-2013
Hungary	▶ NSRF
Italy	<ul style="list-style-type: none"> ▶ Regional Operational Programme 2007-2013 of Lombardy Region under the Regional Competitiveness and Employment Objective, co-funded by the European Social Fund (ESF) ▶ Cross-border cooperation operational programme 2007-2013: Italy - Switzerland ▶ Regional Operational Programme 2007-2013 of Lombardy Region under the Regional Competitiveness and Employment Objective, co-funded by the European Regional Development Fund (ERDF) ▶ Solid Funds (EBF, IF, ERF, RF)
Lithuania	<ul style="list-style-type: none"> ▶ OP Human Resources Development ▶ OP Economic Growth ▶ OP Cohesion Promotion

With specific reference to the benchmark analysis, its aim was to define threshold for (see Annex 4 - Evaluation Culture and Evaluation Capacity Framework):

- ▶ Adequacy of human/financial resources allocated to the Evaluation Function at OP level;

- ▶ Efficiency of the Evaluation Function (in terms of number of evaluations accomplished per year);
- ▶ Degree of involvement of academia/research centers in the programming phase and OP implementation;
- ▶ Significance of demand for evaluation;
- ▶ Responsiveness of evaluation to the need for empirically based knowledge⁴;
- ▶ Effectiveness of the organization of professional evaluators in creating a network of evaluation experts.

The scoring obtained for each indicator has then been summed-up at the level of sub-criteria, criteria and dimension, compared to the maximum score achievable at the corresponding level and presented in terms of percentage. The diffusion of evaluation culture (ECI) is therefore calculated as the “average distance”⁵ (measured as percentage) of each criteria to its maximum achievable score.

2.3 Results at the level of ECI, dimensions and criteria

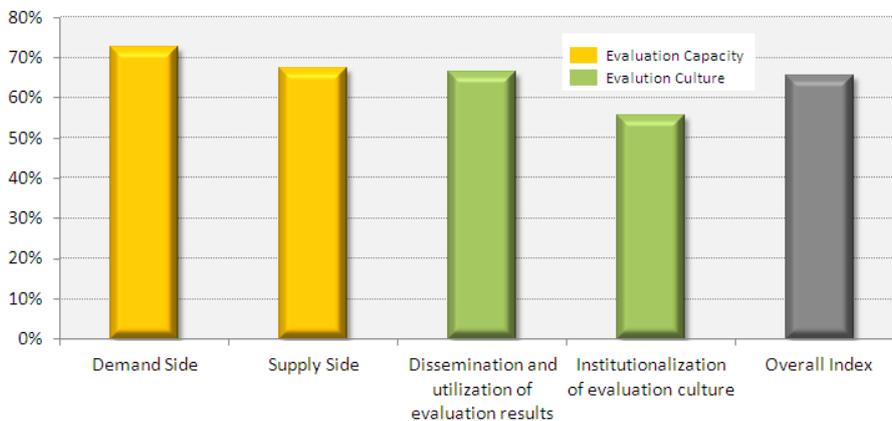
The results of the first annual measurement are presented in this section, starting from aggregate level (dimensions and criteria) and then in further details.

Overall results by dimension

The first annual measurement gives satisfactory results (Figure 2) both in the pattern of shared beliefs and values of policy makers and evaluators (*Evaluation Culture*) and in operational aspects and components deemed necessary for conducting an evaluation (*Evaluation Capacity*).

At the level of dimension, **demand side and dissemination/utilization of evaluation results appear to be the most developed**, whereas there are **areas for improvement regarding the supply side and the institutionalization of evaluation culture**.

Figure 2- Overall Index and results by dimensions



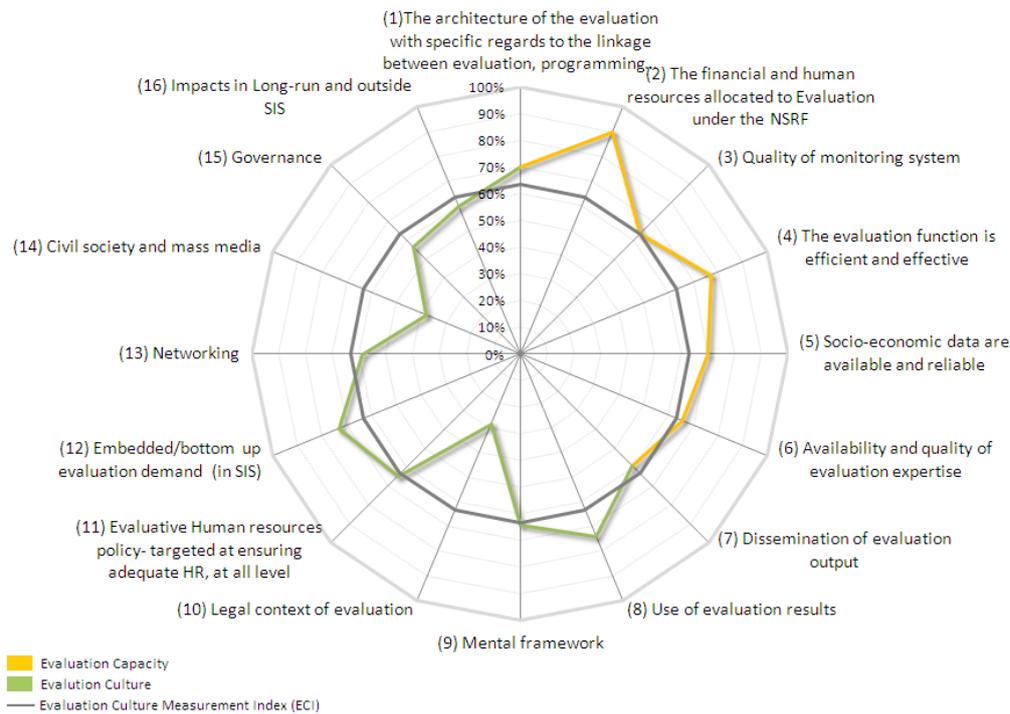
Results by criteria

The good level of diffusion of evaluation culture derives from an average achievement across the 16 criteria of 63.35% of the maximum available score (this is the result of the first annual measurement of the ECI) as shown in the following pictures, where the minimum value is registered under criteria (10) Legal Context of the Evaluation (28,6%) and the maximum value under criteria (2) Financial and human resources allocated to Evaluation (90%).

⁴ Respondents were asked whether the evaluations carried out were triggered in response to the need for knowledge.

⁵ This distance, in terms of percentage, is calculated as the ratio between the actual value and the maximum achievable score.

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 4 - "Top Performing" and "Least Performing" Criteria

TOP PERFORMING	LEAST PERFORMING
<ul style="list-style-type: none"> ▶ Financial and human resources allocated to Evaluation under the NSRF ▶ Evaluation function efficiency and effectiveness ▶ Use of evaluation results ▶ Embedded bottom-up evaluation demand 	<ul style="list-style-type: none"> ▶ Legal context of evaluation ▶ Networking ▶ Civil Society and mass media involvement ▶ Governance Index

2.4 Results by sub-criteria and indicators

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

(1) The architecture of the evaluation

The architecture of the evaluation system seems to be coherent with the international good practices:

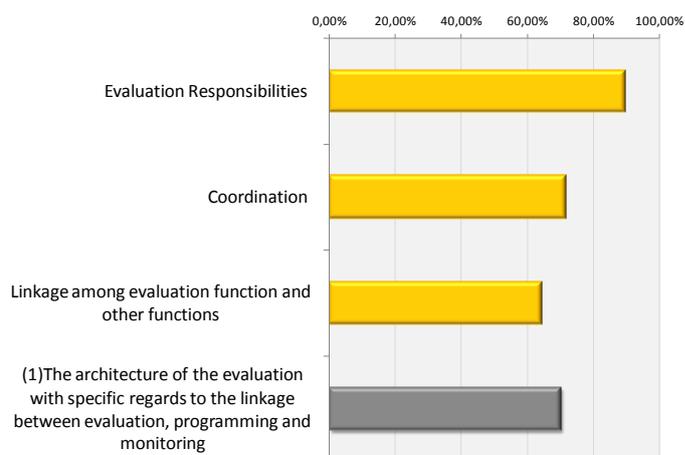
- ▶ **Dedicated Evaluation Functions (EF) always exist** (both at NSRF and at OP level): EFs are generally organized in units that don't report solely to the head of Managing Authority⁶. In fact, with the exception of the Evaluation Central Unit, established at the level of ACIS with

⁶ ROP Evaluation Unit reports solely to the head of the Managing Authority.

responsibility for OPTA and NSRF evaluations, Programme Evaluation Units are organized within compartments linked to other functions with a closer link to Programming.

- ▶ **Mission, roles and tasks of EFs are clearly defined and assigned:** evaluation procedures are in place⁷ and provide for clear tasks and responsibilities of the evaluation function.
- ▶ **A mechanism for coordination among EFs of different Programmes exist and is considered effective:** the Evaluation Central Unit (ECU) set up at the level of ACIS, in addition to being responsible for evaluation of the NSRF and OPTA has the function to coordinate the evaluation of Structural Instruments in Romania, including also the development of evaluation capacity. ECU also ensures the secretariat of the Evaluation Working Group, which operates based on a mandate commonly agreed by all evaluation units within the Managing Authorities. The main task of the EWG is to analyze and agree, at a technical level, upon structures, systems and procedures related to the evaluation of Programmes financed by Structural Instruments and for issuing recommendations aimed at improving the coordinated evaluation of the NSRF and OPs. During the dissemination workshop it was emphasized that the level of active participation of EWG members to discussions has room for improvement.
- ▶ **However linkage among evaluation function and other functions could be strengthened** through the formalization of procedures linking evaluation to programming and monitoring.

Figure 4 - The architecture of the evaluation: top/least performing sub Criteria and average score of criterion



(2) Financial and human resources allocated to Evaluation

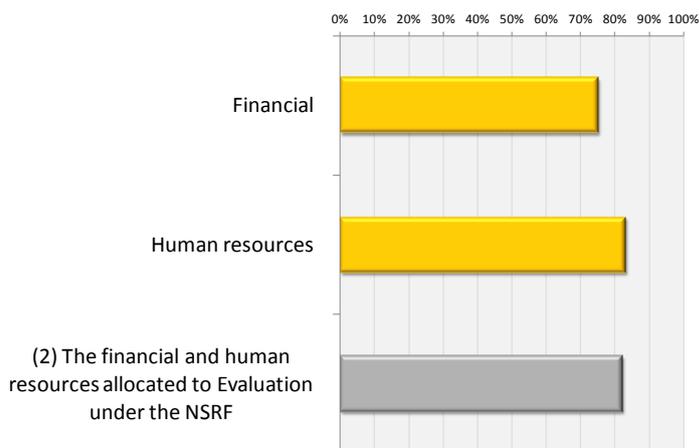
On the basis of the findings, the first annual measurement concluded that resources allocated to evaluation are adequate both in terms of human resources and availability of financial resources:

- ▶ in the Romanian SIS the average number of people working for the EF is 3 persons, in line with the results of international benchmark analysis;

⁷ With the apparent exception of SOP ENV which has only a general procedure for programming and project development that includes, only marginally the evaluation function.

- ▶ **competences and expertise of EF staff are considered almost adequate** (both at OP and at NSRF level). Training activities for the evaluation function staff have been financed under OPTA KAI 1.2 Evaluation as well as under the technical assistance of ROP and SOP HRD;
- ▶ there is a **low rate of staff turnover**;
- ▶ the average **evaluation budget share compared to OP financial allocations is in line with international practices**, amounting to 0.27% computed on 4 of the 7 OPs (including the substantial weight of OPTA) versus an average of 0.34% resulting from international benchmarking among 16 OPs.

Figure 5 - Financial and Human Resources allocated to Evaluation: top/least performing Sub Criteria and average score of criterion

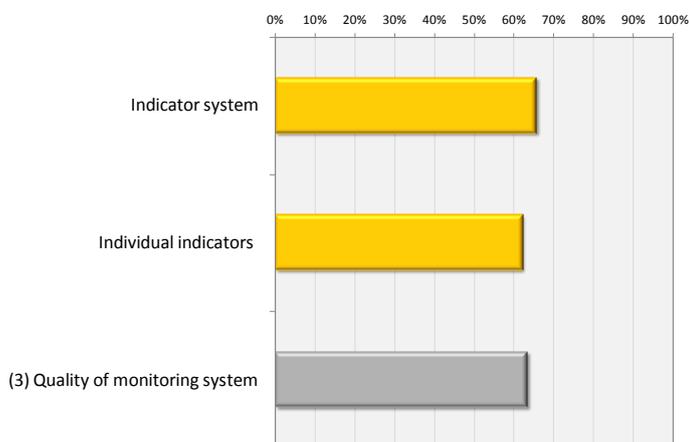


(3) Quality of the monitoring system

The **quality of the monitoring system is valued as adequate**, both at OP and NSRF level (in the first case the average score achieved is 3,73 points - out of 5 - versus 2,83 in the latter case). Also the **quality of individual indicators is considered higher at OP than at NSRF level** (average score of 3,10 points - out of 5 - versus 2,90 in the latter case).

Moreover the **average time required to obtain information from the monitoring system is valued as adequate** (between 2 weeks and 1 month) without substantial difference between OP and NSRF levels.

Figure 6 - Quality of the monitoring system: top/least performing Sub Criteria and average score of criterion



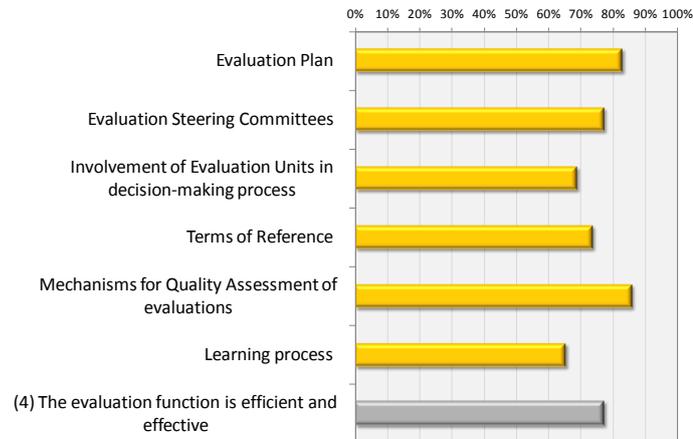
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)

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**:

- ▶ **Multiannual and annual plans always exist and are entirely or partially revised when necessary.** The degree of accomplishment of plans varies by OP ranging from full accomplishment (NSRF⁸, ROP) to medium (SOP IEC, SOP HRD, OPTA) and low level of accomplishment (SOP T). Delays, in some cases substantial, are registered between the execution of evaluations and the date on which they were scheduled in the multiannual plans.
- ▶ **Evaluation Steering Committees (ESC) are in place with clearly assigned roles and responsibilities** as described in OPs and further detailed in multiannual plans, operational procedures and internal functioning regulations with the apparent exception of SOP Environment for which limited evidence was found. A new approach concerning ESCs composition is wide spreading mainly for NSRF evaluations and consists in inviting thematic experts to take part to the ESC according to the evaluation theme analyzed. **The activity of ESCs is considered of medium effectiveness.**
- ▶ **A formalized process of the involvement of Evaluation Units in Managing Authority decision-making process most of the times exists.** Evaluation Unit members participate to Monitoring Committee meetings where they present evaluation findings, Action Plans, Annual and Multi-annual evaluation Plans. Also, some of the Evaluation Units, such as the Evaluation Central Unit, or the SOP HRD Evaluation Unit, have clearly stated responsibilities related to provision of advice and analyses to support decision-making.
- ▶ Based on the assessment of respondents the **Terms of References are of medium-high quality.**
- ▶ **In 2006 the Evaluation Working Group adopted a set of Evaluation Standards** linked to those used at EU Level (DG Regio, EU Regulations) and a number of tools developed within the projects financed under KAI 1.2 have also been disseminated (see chapter 3).
- ▶ **Internal procedures related to the EF (design/implementation/use) are partially updated, as a result of the experience gathered.** Furthermore, based on the interviews with ECU Stakeholders it results that evaluation procedures have been recently revised in the context of the project "Evaluation Capacity Development for the Evaluation Units within MAs and ACIS" and were at the time of drafting of this report, in the process of consultation among MAs.

⁸ For the NSRF a revised multi-annual plan yet in course of formal approval has been taken into account.

Figure 7 - Evaluation function efficiency and effectiveness: top/least performing Sub Criteria and average score of criterion

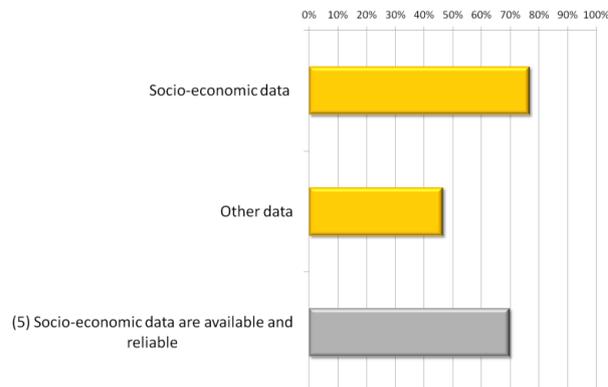


(5) Socio-economic data availability and reliability

Survey results underline that key socio-economic data (i.e. GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level are available in a timely manner.

On the other hand, alternative data sources for key socio-economic indicators are considered only partially available and their consistency of medium level.

Figure 8 - Socio-economic data availability and reliability: top/least performing Sub Criteria and average score of criterion

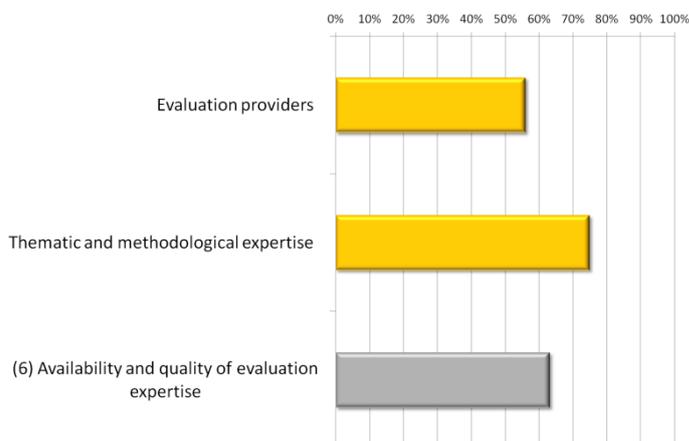


(6) Availability and quality of evaluation expertise

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 in the evaluation market **international firms are more present than local firms** and the involvement of universities in evaluation activities is not yet developed.

The supply side has, to some extent, the thematic and methodological expertise required and based on the feedback of survey respondents, the **evaluation reports**, assessed by means of specific check-lists for quality control, **are of medium /almost high quality**.

Figure 9 - Availability and quality of evaluation expertise top/least performing Sub Criteria and average score of criterion



(7) Dissemination of evaluation outputs

This criterion, composed of a single sub-criterion is one of the least performing and registers a 59% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ According to the survey response, only between 50-75% of the reports carried out at OP level during the last 12 months are publicly available in full format while the percentage is lower (25-50%) at NSRF level.

Considering that based on stakeholders feedback provided with the occasion of the focus group for the validation of preliminary results of the survey, different interpretation could be attributed to the concept of “public availability” of the report (i.e. the report is publically available if at least the summary format is published or only if the full report is published), a desk based analysis of the reports published on the website of the Evaluation Working Group was also performed, confirming substantially the results at OP level, but providing a much more positive outlook for the publication of NSRF level reports, all of which were published at least in summary format.

Overall in fact 78% of the reports produced are publicly available either in full or summary format, with the vast majority however being published only in summary format.

Table 5- Publication of evaluation report by OP

OPERATIONAL PROGRAMME	Evaluations finalized	Evaluations published			Not published
		Full or summary	Full format	Summary format	
SOP IEC	2	2		2	
OP DAC	2	0			2
ROP	4	3		3	1
SOP ENV	1	0			1
OP TA	1	1		1	
SOP TRANSP	0	0			
SOP HRD	4	4	4		
TOTAL - OP LEVEL	14	10	4	6	4
% - OP LEVEL		71%	29%	43%	29%
NSRF LEVEL	4	4		4	
% - NSRF LEVEL		100%		100%	
TOTAL	18	14	4	10	4
%		78%	22%	56%	22%

- ▶ Only 1 public debate has been organized on average in the last 12 months both for evaluations carried out at OP and NSRF level. On the other hand the **awareness activities financed under the OPTA are considered effective.**

Table 6 - Dissemination of evaluation outputs: top/least performing indicators

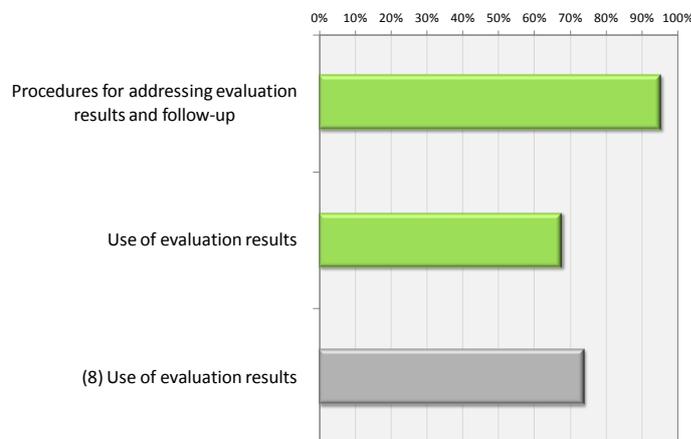
Criteria	Sub criteria	Indicators	Achieved Score	Max Score	Contribution to ECI
(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available) - OP Level	2,77	4	○
		40. Evaluation reports publicly available (out of total available) - NSRF LEVEL	1,75	4	●
		41. Public events / debates organized to discuss evaluation results - OP Level	2,36	4	○
		41. Public events / debates organized to discuss evaluation results - NSRF LEVEL	1,67	4	●
		41.a OPTA dissemination activities contribute to the dissemination of evaluation outputs	5,05	7	○

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

(8) Use of evaluation results

- ▶ **Procedures for addressing evaluation results and follow-up are in place** (both at OP and NSRF level) with the responsibilities being assigned to a decision making body (Monitoring Committee /Managing Authority): a **follow-up mechanism**, based on an Action Plan drafted upon approval of the Evaluation Report, **is foreseen for all Programmes** either in the evaluation procedures, internal functioning regulations or MEPS.
- ▶ Respondents consider that **the use of evaluation results has a considerable impact both on the programming and on the implementation process** (this impact is considered higher at Programme Level than at NSRF level).

Figure 10 - Use of evaluation results: top/least performing Sub Criteria and average score of criterion



(9) Mental framework

This criterion is composed of a single sub-criterion and registers a 64% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ Evaluation is **considered to some extent an essential part for achieving success at institutional level** both by management/executive staff and policy makers but there is room for improvement, especially among policy makers.
- ▶ **Evaluation providers are largely independent** from Clients' interests.

Table 7 - Mental Framework: top least performing criteria

Criteria	Sub criteria	Indicators	Achieved Score	Max Score	Contribution to ECI
(9) Mental framework	Values	45. 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/ACSI) by policy makers	2,88	5	○
		46. 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/ACSI) - by management/executive staff	3,27	5	○
		47. Evaluation is independent (supply side)	3,44	5	●

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

(10) Legal context of evaluation

This criterion is composed of a single sub-criterion and registers the lowest score (28% of the maximum available score), with the scoring methodology based on a desk research analysis and interviews with Institutional Stakeholders of Structural Instruments evaluation. Regarding specific elements of the legal context we found that:

- ▶ The legal provisions regulating evaluation transpose EC legislation (Council Regulation (EC) No. 1083/2006) into the National Legal Framework (G.D. No. 457/2008) and complement it with additional provisions such as the formalization of multi-annual evaluation plans at OP and NSRF Level.
- ▶ 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 (e.g. 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 Central Evaluation Unit.

(11) Evaluative Human resources policy

This criterion is composed of a single sub-criterion and registers a 64% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ **More than half of the civil servants have a background in social sciences;**
- ▶ Though **there are evaluation champions** (i.e. persons supporting the evaluation process) both at Programme and NSRF Level, the **degree of participation of civil servants** (other than those dedicated to evaluation) in evaluation activities **has substantial room for improvement;**
- ▶ There are **valid options for education/training** in the field of evaluation in Romania and they do not cover all developmental and training needs.

Nevertheless, based on the opinion expressed in occasion of the Focus Group for the validation of preliminary findings **the number of available training options is considered rather limited.**

Table 8 - HR policy: top/least performing indicators

Sub criteria	Indicators	Contribution to ECI
Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)	○
	51. Civil servant, at all levels, participate widely and openly in evaluation activities	●
	52. Evaluation champion(s) is/are present	○
	54. Existence of evaluation training/education options on the market	○

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

(12) Embedded demand for evaluation (in SIS)

This criterion is composed of a single sub-criterion and registers a 73% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ **The demand for evaluations is low compared to other Member States:** the average number of evaluations procured by OP in Romania in the period 2009-2011 is 1 compared to an annual average of 3 resulting from international benchmarking.
- ▶ At Programme level, the percentage of **evaluations triggered in response to a need of knowledge** (and not in response to a compliance requirement) is **64% (85% at NSRF level) compared to 80.5% resulting from international benchmarking.**

Table 9 - Embedded demand for evaluation (in SIS): top/least performing indicators

Sub criteria	Indicators	Contribution to ECI
Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	●
	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (OP level)	○
	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF level)	○

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

(13) Networking

This criterion is composed of two sub-criteria revealing that:

- ▶ **There is an insufficient contribution of the national organization of evaluators** to the creation of a network and to the dissemination of good practices (the achieved score is about 50% of the maximum score available).

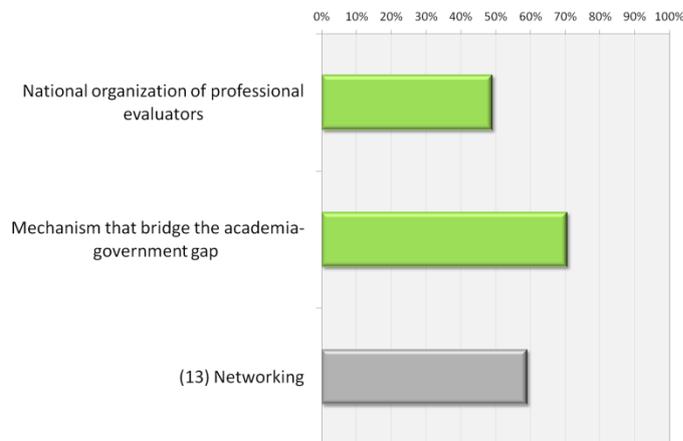
Based on the information provided in occasion of the dissemination workshop, 3 such organizations currently exist, respectively EVALROM, ADER and an association of project evaluators. EVALROM, founded with the support of pre-accession assistance, has not been able to provide a substantial contribution to the dissemination of evaluation knowledge nationally and this has led to the creation of the newly born ADER. A key factor for the functioning of such organizations, as confirmed by the workshop participants appears to be the availability of public funding.

- ▶ **There is an effective mechanism of cooperation between Government and academia** which allows a better policy formulation (the achieved score is about 70% of the maximum score available).

Nevertheless, based on the opinion expressed in occasion of the Focus Group for the validation of preliminary findings **this result should be interpreted cautiously given that the involvement of academia has been very limited so far.**

As emerged in occasion of the dissemination workshop, the recent organization of a public event on evaluation topics, through collaboration between the Ministry for European Affairs - Authority for the Coordination of Structural Instruments, Universities and ADER, may represent a turning point in this respect.

Figure 11 - networking: top/least performing Sub Criteria and average score of criterion

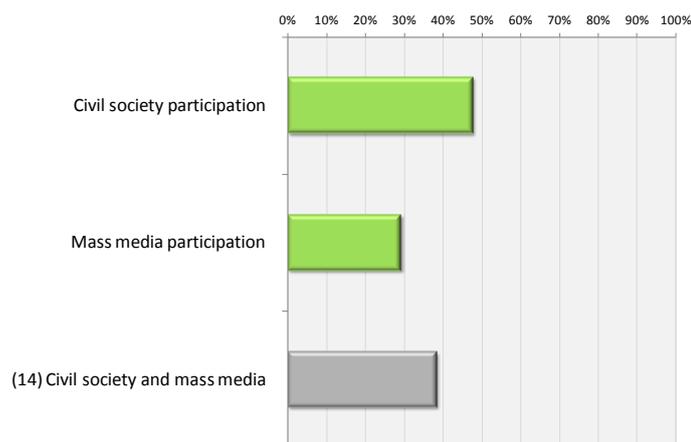


(14) Civil Society and Mass Media

This criterion registers the second lowest result (approximately a 40% achievement of the maximum available score). Indeed respondents reveal that:

- ▶ there is a **“low” level of participation of civil society** in evaluation-related activities;
- ▶ the **number of public events realized (per year) related to evaluation and dissemination is very low** (50% of respondents declare a number between 0-3)

Figure 12 - Civil society and top/least performing Sub Criteria and average score of criterion



(15) World Bank Governance Index

The indicators falling under this sub-criterion are measured based on the World Bank Governance index for 2011⁹ indicating the rank of Romania against all countries in the world for the following aspects:

- ▶ Voice and accountability: **above** world average
- ▶ Political Stability: **above** world average
- ▶ Government effectiveness: **below** world average
- ▶ Regulatory quality: substantially **above** world average
- ▶ Rule of law: **above** world average
- ▶ Control of corruption: **above** world average

(16) Impacts in long-run and outside SIS

Institutions involved in the Structural Instruments (IBs, major beneficiaries, Audit Authority, Certifying Authority) **have internalized evaluation only in part**. The integration of evaluation both in the policy making process and in the administrative and operating aspects has room for improvement:

Table 10 - Effects beyond SIS: top/least performing indicators

Sub criteria	Indicators	Contribution to ECI
Effects beyond SIS	62. Institutions involved in SIS, other than MAs and ACSI (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority) have internalized evaluation	○
	63. The integration, in all political fields, of evaluation into management strategies and practices	○

⁹ Kaufmann D., A. Kraay, and M. Mastruzzi (2010), *The Worldwide Governance Indicators: Methodology and Analytical Issues*, available at http://info.worldbank.org/governance/wgi/sc_chart.asp#

Sub criteria	Indicators	Contribution to ECI
	64. The integration, at all levels of administration and government, of evaluation into management strategies and practices	●

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

2.5 Results by Operational Programme

Based on available data resulting from the e-survey a comparison has been drawn among 8 Operational Programmes (7 Convergence Programmes and ETC Programmes, the latter being analyzed as a single Programme).

For this purpose a restricted version of the ECI was developed using only 11 criteria, 22 sub criteria and 50 indicators (Table 11) containing comparable and relevant information at Programme level.

Table 11 - Restricted version of ECI for OP comparison

Criteria	Sub-criteria	Indicators
(1) The architecture of Evaluation	Evaluation Responsibilities	3
	Coordination	2
	Linkage among evaluation function and other functions	4
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	5
(3) Quality of monitoring system	Indicator systems	2
	Individual indicators	2
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan	3
	Evaluation Steering Committees	2
	Involvement of Evaluation Units in decision-making process	1
	Terms of Reference	1
	Learning process	2
(6) Availability and quality of evaluation expertise	Thematic and methodological expertises	2
(7) Dissemination of evaluation outputs	Dissemination	3
(8) Use of evaluation results	Procedures for addressing evaluation results and follow-up	2
	Use of evaluation results	1
(9) Mental framework	Values	3
(11) "Evaluative" human resources policy – targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	4
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	1
(13) Networking	Mechanisms that bridge the academia-government gap	1
(14) Civil society and mass media	Civil society participation	1
	Mass media participation	2
(16) Impacts in long-run and outside SIS	Effects beyond SIS	3

The compared analysis among Operational Programmes should be interpreted with caution due to the following limitations:

- ▶ the restricted version of the ECI is not able to capture all relevant dimensions of evaluation capacity and evaluation culture concepts;
- ▶ the lowest number of answers under analysis (i.e. only survey responses clearly related to each OP were used) give a higher degree of subjectivity;

In terms of results, the good level of diffusion of the evaluation culture is confirmed by an average achievement across the 8 OP included in the analysis of 67,1% of the maximum available score (see

Annex 3 for the details). The first annual measurement gives more satisfactory results for ETC, OPTA, OP ACD, ROP and SOP T, while SOP Environment, SOP HRD and SOP IEC show poorer performances.

This first annual measurement also shows that according to most respondents:

- ▶ **there is significant demand for evaluation and evaluation is triggered in response to the need for empirically based knowledge (and not because is an obligation):** for OPTA, SOP HR and SOP T the top performing criteria is (12) Embedded/bottom up evaluation demand (in SIS) and also OPACD, ROP and ETC have a good performance under this criterion;
- ▶ **there are effective procedures for addressing evaluation results and follow-up:** OP ACD, SOP E, ETC show a satisfactory performance under criteria (8) Use of evaluation results;
- ▶ **an improvement of the evaluative human resources policy is required:** for OP ACD, ROP, SOP E, SOP HR and SOP IEC the least performing criteria is (11) "Evaluative" human resources policy.

Annex 3 presents the results by OP highlighting top and least performing criteria for each OP considered in the analysis.

Chapter 3. Analysis of KAI 1.2 “Evaluation” of OPTA

The analysis of KAI 1.2 of OPTA included in this Chapter covers two different levels, respectively the internal consistency of the design of KAI 1.2 as described in the programming and implementation documents (section 3.1) and the analysis of the response in terms of project implemented (section 3.2), which are both aimed at providing recommendations that can contribute to the improvement of the level of diffusion of evaluation culture in the system of Structural Instruments.

More specifically, the analysis of internal consistency of KAI 1.2 is aimed at providing strategic recommendations on possible improvements in the design of KAI 1.2 that may require changes in the OP, FID or that should be taken into account for the future programming period while the analysis of the current response is aimed at providing recommendations of operational nature, in terms of projects that can be implemented under the current design of KAI 1.2.

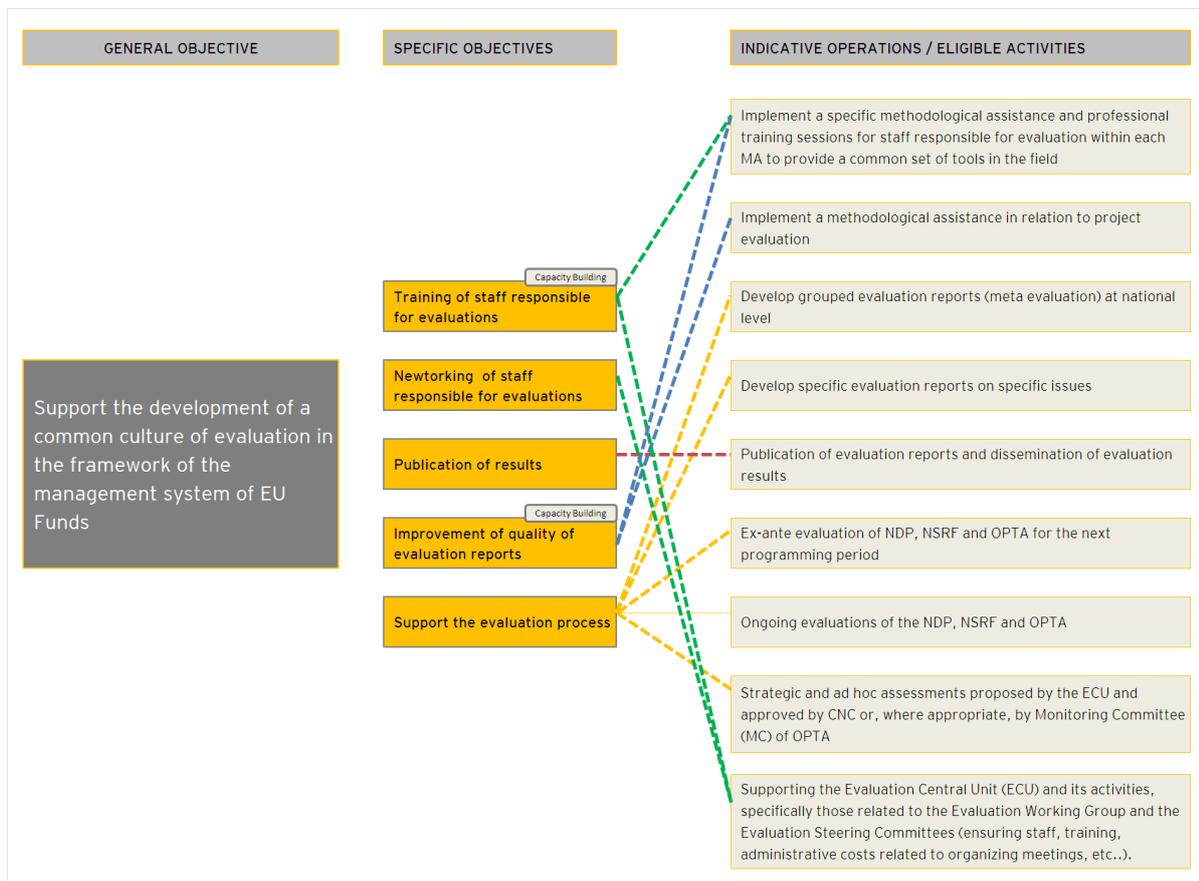
3.1 Analysis of the design of KAI 1.2

3.1.1 Methodology

The objective of this analysis is to review the structure of KAI 1.2 “Evaluation” of the OPTA in terms of specific objectives, indicative operations and target groups, in order to provide recommendations concerning its design that may be functional to increase the level of diffusion of evaluation culture.

For this purpose our analysis starts from the logic of intervention of KAI 1.2 as expressed in terms of the general objective, i.e. to “support the development of a common culture of evaluation in the framework of the management system of EU Funds”, the five specific objectives and the nine types of eligible operations identified in the OP and FID.

Figure 13 - Logic of intervention of KAI 1.2



Taking into account the fact that at the moment of drafting of the OPTA and of the FID, there did not exist a comprehensive and a detailed definition of evaluation culture and that this has been introduced through the Evaluation Culture Measurement Index, the current design of KAI 1.2 has been assessed in terms of:

- ▶ coherence with the indicators, criteria and dimensions of the ECI, given that if KAI 1.2 is to support the development of evaluation culture, then its specific objectives and eligible operations must also be coherent, or in other words “serve”, such aspects;
- ▶ coherence between the target groups of KAI 1.2 and the stakeholder groups indicated in the Research Panel which are part of the ECI methodology.

The two analyses as well as the detailed approach are presented in the following sections of this chapter.

3.1.2 Coherence of KAI 1.2 objectives with the ECI

In order to assess the coherence of KAI 1.2 with the ECI, our methodological approach consisted in analyzing the coherence between the specific objectives and indicative operations of KAI 1.2 with the indicators of the ECI. More specifically the following steps were undertaken:

Step 1 - Coherence at indicator level

- ▶ in presence of coherence between a specific objective (and indicative operation) of KAI 1.2 and an indicator of the ECI, i.e. when the objective may “serve” in principle the development of the related aspect of evaluation culture, the corresponding cell of the matrix was **marked in green**;
- ▶ in absence of coherence between a specific objective (and indicative operations) of KAI 1.2 and the indicators of the ECI, i.e. when none of the objectives “serve” the development of any aspect of the evaluation culture, the corresponding cells of the matrix were left blank;
- ▶ when an indicator of the ECI cannot be addressed through KAI 1.2 (as it relates to for example to factual/contextual aspects) the corresponding cell of the matrix were **marked in grey**.

Step 2 - Coherence at sub-criterion level

- ▶ based on the analysis at indicator level, we have considered that a specific objective of KAI 1.2 is coherent with a sub-criterion of the ECI in presence of coherence for at least 50% of the respective indicators, in such case the sub-criterion was **marked in green**, when the coherence is below 50% the sub-criterion was left blank, when over 50% of the indicators cannot be addressed by KAI 1.2 the sub-criterion was **marked in grey**.

Step 3 - Coherence at criterion level

- ▶ based on the analysis at sub-criteria level we have considered that the specific objectives of KAI 1.2 are coherent with a criterion of the ECI in presence of coherence for at least 50% of the respective sub-criteria, in such case the criterion was **marked in green**, when the coherence is below 50% the criterion was left blank, when over 50% of the indicators cannot be addressed by KAI 1.2 the criterion was **marked in grey**.

The detailed analysis of the correlations between objectives of KAI 1.2 and ECI indicators is presented in Annex 8, while the following tables presents the overall correlation at the level of the 16 criteria:

Table 12 - Coherence between KAI 1.2 objectives and ECI criteria

CRITERIA	SPECIFIC OBJECTIVES OF KAI 1.2				
	Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
EVALUATION CAPACITY: DEMAND SIDE					
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with				○	
				○	
				○	
		○			

CRITERIA	SPECIFIC OBJECTIVES OF KAI 1.2				
	Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
other functions)		○		○ ○ ○ ○	
(2) The financial and human resources allocated to Evaluation under the NSRF	○ ○			○	
(3) Quality of monitoring system				○ ○ ○ ○	
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)		○ ○ ○		○ ○ ○ ○ ○ ○ ○ ○ ○ ○	○ ○
EVALUATION CAPACITY: SUPPLY SIDE					
5) Socio-economic data are available and reliable				○	
(6) Availability and quality of evaluation expertise					
EVALUATION CULTURE: DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS					
(7) Dissemination of evaluation outputs			○ ○	○ ○	○ ○
(8) Use of evaluation results		○ ○		○ ○	. .
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	○ ○		○ ○	○ ○ ○	
(10) Legal context of evaluation				○	
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations				○ ○	
(12) Embedded/bottom up evaluation demand (in SIS)	○ ○	○ ○		○ ○	
(13) Networking					
(14) Civil society and mass media			○		
(15) Governance					
IMPACT BEYOND SIS MANAGEMENT SYSTEM					
16) Impacts in long-run and outside SIS			○	○	

CRITERIA	SPECIFIC OBJECTIVES OF KAI 1.2				
	Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			○	○	
			○	○	

Based on such analysis it result that the following criteria of the ECI are not served by KAI 1.2:

- ▶ (6) Availability and quality of evaluation expertise;
- ▶ (11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations;
- ▶ (13) Networking.

3.1.3 Coherence between target groups of KAI 1.2 and ECI

The OP and FDI do not identify any category of target group, therefore in order to assess the coherence between the target groups of KAI 1.2 and the stakeholder groups indicated in the Research Panel (which are part of the ECI methodology) we have taken into account the target groups of contracted projects of KAI 1.2.

In the table below we have indicated in orange the research panel sub-categories that are addressed by the contracted projects of KAI 1.2 while the detailed list of target groups by project is included in Annex 14.

Table 13 - ECI Stakeholder groups addressed by KAI 1.2 projects

TARGET GROUPS OF KAI 1.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES				
	DEMAND SIDE				SUPPLY SIDE
	NATIONAL LEVEL	PROGRAMME LEVEL	USERS	OTHER STAKEHOLDERS	
CEU within ACIS ACIS	○				
Evaluation Units within MAs Personnel of other structures involved in SIS evaluation Members of the Evaluation Steering Committee		○			
Managing Authorities Policy makers in Romania			○		
Intermediate Bodies Common Technical Secretariats Members of the Monitoring Committee Structural Instruments beneficiaries Members of the National Coordination Committee European Commission Potential beneficiaries of SI: public administration, business, NGOs, the academic and research areas Officials from the various structures in charge of SI management in Romania (ACIS, MA, MC, ESC, AA, CPA)				○	

TARGET GROUPS OF KAI 1.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES				
	DEMAND SIDE				SUPPLY SIDE
	NATIONAL LEVEL	PROGRAMME LEVEL	USERS	OTHER STAKEHOLDERS	
Consultants, specialists using CBA					
Universities and NGOs acting in the field of governance					●
Evaluation supply side					

The analysis shows that **the demand side** of the evaluation as defined in the research panel of the ECI has been adequately addressed, with the most addressed stakeholder sub-categories being the demand side at national level (ACIS Central Evaluation Unit), the demand side at Programme level (Evaluation Units) and the users of evaluation (Policy Makers and Managing Authorities). The **supply side**, though to a limited extent, has also been involved (consultants, universities, NGOs).

Overall therefore, while the target groups of KAI 1.2 are not clearly identified in Programming and implementation Documents all stakeholders sub-categories have been addressed by the current projects.

3.2 Analysis of the response to KAI 1.2

3.2.1 Methodology

The purpose of the analysis presented under this Chapter is to determine the contribution of the projects contracted under KAI 1.2 to the overall objective of KAI 1.2, which is the development of a common culture of evaluation in the framework of the management system of EU funds.

Based on the methodology presented in the Inception Report the projects contracted under KAI 1.2 have been analyzed in terms of their design, outputs and outcomes (results). The analysis has covered a total of 7 projects, each of which associated to a SMIS code¹⁰.

Table 14 - Projects contracted under KAI 1.2

No.	Project Title	SMIS	Status	Period	Contracted ERDF Lei	Contracted ERDF EUR
1	Capacity development for Cost-Benefit Analysis	34843	Completed	2010-2012	3,854,054	856,456
2	Conducting Evaluations for the period 2009-2010	4534	Completed	2009-2011	1,920,000	426,667
2.1	A formative evaluation of the Structural Instruments in Romania	4534	Completed	2009-2010		
2.2	Challenges in the capacity of structural instruments beneficiaries	4534	Completed	2011		
2.3	Analysis of the transport and environment infrastructure investments	4534	Completed	2011		
2.4	Synthesis report of the interim evaluations carried out between 2009-2010	4534	Completed	2009-2011		
2.5	Operational Programme Technical Assistance Interim Evaluation	4534	Completed	2011		
3	Evaluation Capacity Development for the Evaluation Units within MAs and ACIS	5375	Completed	2009-2011	2,236,000	496,889
4	Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 1 - Evaluations	37659	Implementation	2011-2015		
4.1	SC 1: Forecasting the absorption and evaluation of the options for reallocation of funds under "2007-2013 NSRF"	37659	Implementation	2012	486,100	108,022

¹⁰ For projects n. 2 and 4, given their nature of Framework Agreements the subsequent contracts have also been taken into account

No.	Project Title	SMIS	Status	Period	Contracted ERDF Lei	Contracted ERDF EUR
4.2	SC 2: Evaluation of the absorption capacity of the Operational Programme Technical Assistance	37659	Implementation	2012	355,000	78,889
4.3	SC 3: Examination of pre-financing rate applied to projects financed by Structural Instruments	37659	Implementation	2012	404,403	89,867
4.4	SC 4: Evaluation of the way in which provisions regarding equal opportunities have been mainstreamed in the Romanian Framework for Structural instruments	37659	Implementation	2012	471,803	104,845
5	Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 2 - "Capacity Building in the Field of Evaluation, SC1: Examination of the evaluation culture	43465	Implementation	2012-2014	870,288	193,397
6	Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 2 - "Capacity Building in the Field of Evaluation, SC2: Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania"	41649	Implementation	2012-2014	1,281,032	284,674
7	Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation	40880	Implementation	2012-2015	549,331	122,074
Total					12,428,011	2,761,780

For each of the above projects and based on the analysis of Project Application Files, their terms of reference (where applicable) and the latest available progress reports, a project fiche was prepared (see Annex 7) covering all the types of analysis foreseen in the Inception Report , i.e. design, outputs and outcomes (results).

3.2.2 Project design

In assessing the design of the projects we have made reference to the Logic of Intervention of KAI 1.2 and analyzed the contracted projects of KAI 1.2 in terms of:

- ▶ **external consistency:** consistency between the project objectives and the objectives of KAI 1.2
- ▶ **internal coherence:** links existing between the general and specific objectives of each project, the proposed activities and outputs. Moreover the analysis has covered the correlation between such outputs and the operational objectives of KAI 1.2.

The findings at project level have then been aggregated at the level of KAI, in order to provide an overall picture of the relevance of the response generated and are presented in this chapter.

External consistency

Based on the general and specific objectives of each project we have identified the strength of their correlations with the specific objectives of KAI 1.2, differentiating a strong correlation (marked in **green**) from a weak/indirect correlation (marked in **orange**). In case a project does not address one or more of the specific objectives the cell contains the wording "not applicable" (n.a.), however at least one of the specific objectives of the KAI should be addressed for the project to be considered consistent. The table below presents, for each contracted project, the identified correlation between its objectives and the specific objectives of KAI 1.2:

Table 15- Correlation between general / specific objectives of projects and specific objectives of KAI 1.2

N.	PROJECT TITLE	KAI 1.2 SPECIFIC OBJECTIVES				
		Capacity building		Networking of staff responsible for evaluations	Publication of results	Support the evaluation process
		Training of staff responsible for evaluations	Improvement of quality of evaluation reports			
1	Capacity development for Cost-Benefit Analysis	○	○	○	○	○
2	Conducting Evaluations for the period 2009-2010	n.a.	n.a.	n.a.	○	●
3	Evaluation Capacity Development for the Evaluation Units within MAs and ACIS	●	●	●	●	●
4	Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 1 - Evaluations	n.a.	n.a.	n.a.	○	●
5	FA Lot 2, SC1 - Examination of the evaluation culture	●	●	●	●	●
6	FA Lot 2, SC2 "Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania"	●	●	●	●	●
7	Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation	●	n.a.	n.a.	n.a.	n.a.

When looking at specific projects, the analysis revealed that there are **three initiatives particularly effective in terms of design, as they address all the specific objectives of KAI 1.2**: "Evaluation Capacity Development for the Evaluation Units within MAs and ACIS"; Framework Agreement Lot 2 - "Capacity Building in the Field of Evaluation SC1 -Examining the evaluation culture" and Framework Agreement Lot 2 " Capacity Building in the Field of Evaluation - SC2 - Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania".

On the other hand, the project "Capacity development for Cost-Benefit Analysis" appears to be somehow disconnected from the remaining interventions financed. The link with KAI 1.2 objectives exists however, although indirectly, given that according to EVALSED, the online resource of DG REGIO, providing guidance on the evaluation of socio-economic development with specific focus on EU Cohesion Policy, Cost-Benefit is presented as "tool for judging the advantages of interventions from the point of view of all the groups concerned".

The remaining projects are either strictly evaluation or training projects and are therefore characterized by a strong direct link respectively with the specific objectives of capacity building or support to the evaluation process.

Internal Coherence

For all projects we have analyzed the internal links existing **between their general and specific objectives, activities, outputs.**

Moreover we have analyzed the correlation of outputs with the operational objectives of KAI 1.2 differentiating, even in this case, a strong direct correlation (marked in **green**) from an indirect correlation (marked in **orange**), thus allowing us to understand whether the contracted projects are producing outputs coherent to the operational objectives of the KAI, or not.

In case a project does not address one or more of the operational objectives the cell contains the wording “not applicable” (n.a.), however at least one of the specific operational objectives of the KAI should be addressed for the project to be considered coherent.

The table below presents, for each contracted project, the identified correlation between its outputs and the operational objectives of KAI 1.2:

Table 16- Correlation between project outputs and operational objectives of KAI 1.2

KAI 1.2 OPERATIONAL OBJECTIVES										
N.	Project title	Implement a specific methodological assistance and professional training sessions for staff responsible for evaluation within each MA to provide a common set of tools in the field	Supporting the Evaluation Central Unit (ECU) and its activities, specifically those related to the Evaluation Working Group and the Evaluation Steering Committees	Implement a methodological assistance in relation to project evaluation	Publication of evaluation reports and dissemination of evaluation results	Develop grouped evaluation reports (meta evaluation) at national level	Develop specific evaluation reports on specific issues	Ex-ante evaluation of NDP, NSRF and OPTA for the next programming period	Ongoing evaluations of the NDP, NSRF and OPTA	Strategic and ad hoc assessments proposed by the ECU and approved by CNC or, where appropriate, by Monitoring Committee (MC) of OPTA
1	Capacity development for Cost-Benefit Analysis	n.a.	n.a.	🟢	🟡	n.a.	🟡	n.a.	n.a.	
2	Conducting Evaluations for the period 2009-2010	n.a.		n.a.	🟡		🟢	n.a.		n.a.
3	Evaluation Capacity Development for the Evaluation Units within MAs and ACIS	🟢	🟢	n.a.	🟢	n.a.	🟢	n.a.	n.a.	n.a.
4	Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 1 - Evaluations	n.a.		n.a.	🟡		🟢	n.a.		n.a.
5	FA Lot 2, SC1 - Examination of the evaluation culture	🟢	n.a.	n.a.	🟢	n.a.	🟢	n.a.	n.a.	n.a.
6	FA Lot 2, SC2 "Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania"	🟢	🟢	n.a.	🟢	n.a.	🟢	n.a.	n.a.	n.a.
7	Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation			n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.

In terms of internal coherence, as supported by the analyses included in the project fiches of Annex 7, we can conclude that all the projects are correctly designed, with general objectives further detailed in specific objectives, activities and outputs. Moreover as shown in Table 16, each project has at least one output that is coherent with the operational objectives of KAI 1.2.

When looking at specific projects, the analysis confirms the quality of the capacity building initiatives (recalled also in the section of analysis of External Consistency) addressing simultaneously the development of methodological assistance in the field of evaluation, professional training of staff and dissemination of evaluation results. For the last operational objective, it has to be noted that the projects go actually beyond the mere publication of results and include wider dissemination activities potentially including stakeholders outside the system of Structural Instruments.

The coverage of the operational objectives of the KAI is further described in the table below, where for each operational objective of KAI 1.2 we present a sample of the most representative outputs, either achieved or planned, depending on the status of the project:

Table 17 - Correlation between main outputs of projects and KAI 1.2 operational objectives

<p>1) Implementation of specific methodological assistance and professional training sessions for staff responsible for evaluation within each MA to provide a common set of tools in the field</p>
<p>Comment: the operational objective is well covered and a considerable number of tools and methodologies functional to evaluation have been produced. Staff of Managing Authorities involved in the evaluation process has benefited of training sessions and notably internships have also been organized in other Member States.</p>
<p>TOOLS AND METHODOLOGIES</p> <ul style="list-style-type: none"> ▶ Analysis of the current evaluation system including a revision of the evaluation procedures ▶ Updated translation of the EVALSED Guide ▶ An analysis report of the training needs of the evaluation units' staff ▶ Manual on the evaluation of Structural Instruments in Romania for beginner and advanced level ▶ Definition of evaluation culture and its dimensions and development of methodology for the measurement of evaluation culture ▶ Creation of an evaluation knowledge management tool, including the creation of a standard format of the evaluation report and of nomenclature relevant for public policy evaluation <p>TRAININGS</p> <ul style="list-style-type: none"> ▶ Advanced trainings for the members of the evaluation units and beginner trainings in the field of evaluation for the members of the Evaluation Steering Committees ▶ Internships within the evaluation units of other Member States
<p>2) Supporting the Evaluation Central Unit (ECU) and its activities, specifically those related to the Evaluation Working Group and the Evaluation Steering Committees (ensuring staff, training, administrative costs related to organizing meetings, etc..).</p>
<p>Comment: despite a specific project targeting the professional development of the staff of UCE, the strengthening of the capacity of the Evaluation Working Group has been pursued by supporting the activities and facilitating the debates of the Evaluation Working Group with external expertise. More broadly the consolidation of the Evaluation Working Group has been addressed by assigning to the EWG group the role of Evaluation Steering Committee within the projects financed under LOT 2 of the Framework Agreement for Structural Instruments evaluation.</p> <ul style="list-style-type: none"> ▶ Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation ▶ Evaluation Working Group meetings organized and facilitated ▶ Evaluation Working Group acting as Evaluation Steering Committee for projects implemented under LOT 2 of the

Framework Agreement
3) Implement a methodological assistance in relation to project evaluation
Comment: an extensive number of deliverables have been produced on the topic of Cost-Benefit Analysis and a wide number of training sessions organized.
<p>TOOLS AND METHODOLOGIES</p> <ul style="list-style-type: none"> ▶ Evaluation report regarding efficiency and effectiveness of practices related to CBA ▶ Case studies on CBA ▶ Manuals regarding Cost Effectiveness Analysis and Multi-criteria Analysis ▶ Studies regarding financial and economic discount rates and IRR ▶ EC Guide for Cost-Benefit Analysis of investment Projects, translated into Romanian <p>TRAININGS</p> <ul style="list-style-type: none"> ▶ Trainings to staff of the structural instruments management structures and potential beneficiaries, regarding CBA
4) Publication of evaluation reports and dissemination of evaluation results
Comment: besides the publication of evaluation reports on the publicly accessible website of the Evaluation Working Group a number of wider events targeting both stakeholders of the Structural Instrument Evaluation System and wider public have been organized or are planned within the context of contracts under implementation.
<ul style="list-style-type: none"> ▶ Evaluation Working Group website, including a publicly accessible repository of relevant material and tools for evaluation practitioners and downloadable evaluation reports either in extended version or their executive summary ▶ International conference in the field of evaluation ▶ Presentation of the results of the reports on evaluation culture in the framework of meetings with relevant stakeholders (planned) ▶ Debates of policy and decision makers on key issues regarding the Structural Instruments resulting from meta-evaluations aimed at disseminating good practices and encouraging their wider use across Programmes (planned)
5) Develop grouped evaluation reports (meta evaluation) at national level
<ul style="list-style-type: none"> ▶ Synthesis report of the interim evaluations carried out between 2009-2010
6) Develop specific evaluation reports on specific issues
<ul style="list-style-type: none"> ▶ Examination of pre-financing rate applied to projects financed by Structural Instruments ▶ Evaluation of the way in which provisions regarding equal opportunities have been mainstreamed in the Romanian Framework for Structural instruments
7) Ex-ante evaluation of NDP, NSRF and OPTA for the next programming period
Comment: at the current state of Programming a single evaluation has recently been launched "Ex-ante Evaluation of the Partnership Agreement 2014-2020"
8) Ongoing evaluations of the NDP, NSRF and OPTA
<ul style="list-style-type: none"> ▶ A formative evaluation of the Structural Instruments in Romania ▶ Operational Programme Technical Assistance Interim Evaluation ▶ Forecasting the absorption and evaluation of the options for reallocation of funds under 2007-2013 NSRF ▶ Evaluation of the absorption capacity of the Operational Programme Technical Assistance

9) Strategic and ad hoc assessments proposed by the ECU and approved by National Coordination Committee or, where appropriate, by Monitoring Committee (MC) of OPTA

Comment: this operational objective has been addressed only in part, mainly due to the fact that the National Coordination Committee has not been operational.

- ▶ Challenges in the capacity of structural instruments beneficiaries
- ▶ Analysis of the transport and environment infrastructure investments

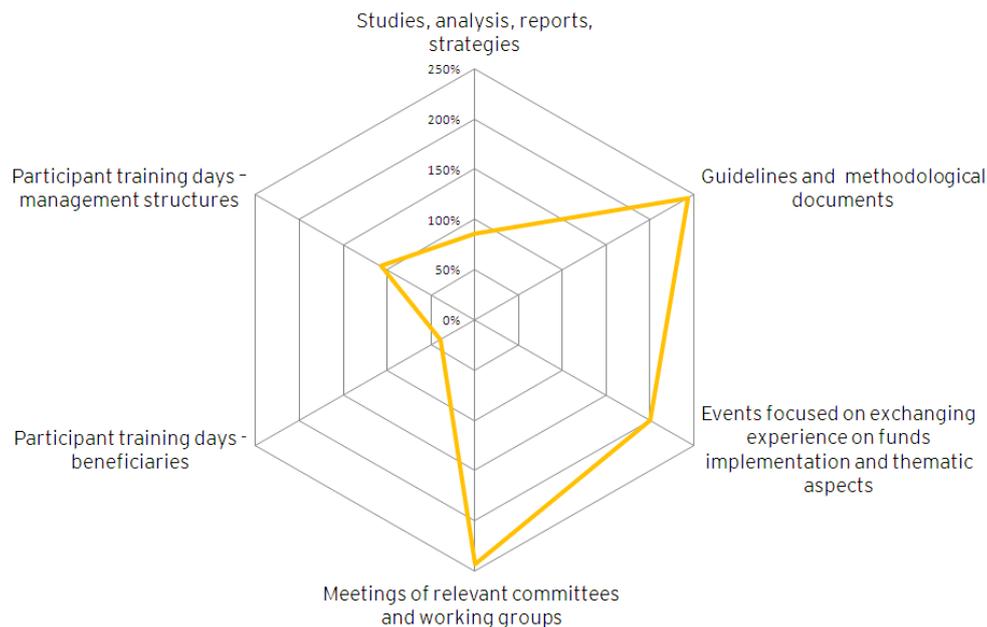
3.2.3 Analysis of outputs

Programme indicators

Based on the information included in the progress and final reports of the contracted projects and on monitoring data made available by the Technical Assistance Department (DAT) of ACIS, we have quantified the achieved outputs of each project in respect of the set of output indicators included in the Framework Implementation Document for KAI 1.2.

The aggregated values of each indicator have been then compared to the target values included in the Framework Implementation Document (FID) for KAI 1.2 determining the overall degree of achievement, which is represented in the radar chart below, where every angle of the radar is associated to one of the output indicators:

Figure 14 - Progress in the achievement of output indicators of KAI 1.2



The analysis shows a strong performance of the KAI against the planned targets included in the FID:

- ▶ **over 200% achievement is registered for 3 indicators, namely: Number of Guidelines and methodological documents, Number of events focused on exchanging experience on funds implementation and thematic aspect, number of meetings of relevant committees and working groups and;**

- ▶ **approximately 100%** achievement is registered for 2 indicators, namely Number of **participant training days - management structures (107%)** and **Number of Studies, analysis, reports (87%)**
- ▶ **below 100%** achievement is registered for a single indicator, namely and **Number of Participant training days - beneficiaries (39%)**.

The figures in absolute terms are presented also in the table below:

Table 18 - Progress in the achievement of FDI output indicators of KAI 1.2

Output indicator	Target Value (a)	Achieved Value (b)	Degree of achievement (c) = (b) / (a)
Studies, analysis, reports, strategies	14	12	86%
Guidelines and methodological documents	7	17	243%
Events focused on exchanging experience on funds implementation and thematic aspects	3	6	200%
Meetings of relevant committees and working groups	7	17	243%
Participant training days - management structures	2200	751	34,14%
Participant training days - other structures	700	0	0%

Additional indicators

A second layer of analysis has been performed in relation to the additional project indicators, i.e. indicators that are specific to each project in order to identify any possible additional achievements not captured by the indicators included in the Framework Implementation Document.

Table 19- Additional achievements of KAI 1.2

Additional indicators	Achieved value	Type of activity
Communication and promotional events	8	Dissemination
Guidelines and other methodological documents translated	1	Methodological assistance
Number of memberships in associations/networks	6	n.a.
Number of presentations within committees and relevant working groups	7	Dissemination
Number of publications/subscriptions/books purchased	8	n.a.
Number of technical assistance days provided	306.5	Methodological assistance
Number of web pages implemented	1	Dissemination
Participant training days - beneficiaries	864	Training

The additional achievements are consistent with the operational objectives of the KAI being related either to dissemination or to methodological assistance. Of particular notice the **over 300 days of technical assistance** provided to the Evaluation Central Unit and the Managing Authorities in the context of the project "Evaluation Capacity Development for the Evaluation Units within MAs and ACIS".

3.2.4 Analysis of outcomes (results)

By outcomes (results) we intend the contribution of contracted projects to the general objective of KAI 1.2 which is to "support the development of a common evaluation culture in the framework of the management system of EU Funds".

In order to assess how contracted projects contribute to this objective we have performed a qualitative assessment of the relevant dimensions of the evaluation culture index addressed by each project based on the analysis of project documentation and on the interview findings with ACIS project managers responsible for KAI 1.2 projects. The methodological approach adopted is further detailed as follows:

1. **Step 1 - Indicator level:** for each of the contracted projects we have identified the way in which each of the 64 indicators of the index is addressed, distinguishing the degree of incidence on each indicator in direct (marked in **green**), indirect (marked in **orange**) and no incidence. We have considered that an indicator is adequately addressed either in presence of at least one **direct** incidence or a minimum of 4 **indirect** incidences. This enabled us to identify whether the dimensions of the index (starting from the indicator level) are covered by existing projects. This level of detail is included in Annex 3 of the Report.
2. **Step 2 - Sub-criteria level:** based on the information at indicator level we have considered the respective sub-criteria addressed by existing projects if at least half of the indicators are addressed.
3. **Step 3 - Criteria level:** based on the information at sub-criteria level we have considered the respective criteria addressed by existing projects if at least half of the sub-criteria are addressed.

The table below provides an overview of the coverage of the index at the level of criteria and sub-criteria:

Table 20 - Incidence of contracted projects on sub-criteria and criteria

CRITERIA	SUB CRITERIA
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Evaluation Responsibilities
	Coordination
	Linkage among evaluation function and other functions
(2) The financial and human resources allocated to Evaluation under the NSRF	Financial Resources
	Human Resources
(3) Quality of monitoring system	Indicator systems
	Individual indicators
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan
	Evaluation Steering Committees
	Involvement of Evaluation Units in decision-making process
	Terms of Reference
	Mechanisms for Quality Assessment of evaluations
	Learning process
5) Socio-economic data are available and reliable	Socio-economic data
	Other data
(6) Availability and quality of evaluation expertise	Evaluation providers
	Thematic and methodological expertises
(7) Dissemination of evaluation outputs	Dissemination
(8) Use of evaluation results	Procedures for addressing evaluation results and follow-up
	Use of evaluation results
(9) Mental framework	Values
(10) Legal context of evaluation	Legal provisions
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)
(13) Networking	National organization of professional evaluators
	Mechanisms that bridge the academia-government gap
(14) Civil society and mass media	Civil society participation

CRITERIA	SUB CRITERIA
	Mass media participation
(15) Governance	Governance index
16) Impacts in long-run and outside SIS	Effects beyond SIS

The following comments apply:

- (1) **The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions):** existing projects have not addressed particularly this criteria, a possible reason being that the architecture of the evaluation system is consolidated, having been in place since 2007.
- (2) **The financial and human resources allocated to Evaluation under the NSRF:** existing projects have addressed directly the quality of evaluation competences and expertise of evaluation staff both at OP and NSRF level by deploying different training activities. Number of human resources allocated to evaluation and evaluation budget shares are adequately addressed at different levels.
- (3) **Quality of monitoring system:** the quality of the indicator system has been addressed by ACIS through a dedicated project financed under KAI 1.1, **nevertheless**, the results of the evaluation exercise were not considered satisfactory, thus the final report was not approved.¹¹.
- (4) **The evaluation function efficiency and effectiveness (planning, management, quality control and learning):** this area has been extensively addressed by most projects. Further efforts could be possibly made in relation to the **formalization of a process for the involvement of Evaluation Units in the decision making process at Programme Level.**
- (5) **Socio-economic data are available and reliable:** this issue has not been addressed directly under KAI 1.2, however, based on the interviews with the Central Evaluation Unit, a project is currently under implementation being financed under KAI 1.1, aimed at defining the need for socio-economic data in view of the preparation of the future Programming period.
- (6) **Availability and quality of evaluation expertise:** due to the existing rules on eligibility of expenditure **the supply side could not benefit directly up to now of any support measure** under KAI 1.2. The number and type of evaluation expertise present on the market have been therefore driven exclusively by the demand side of evaluation.
- (7) **Dissemination of evaluation outputs:** existing projects are fostering the dissemination of evaluation outputs, in most cases in terms of their publication on the website of the Evaluation Working Group (created with the support of KAI 1.2) but also through the organization of international conferences (such as the international conference organized under the project "Conducting Evaluations for the Period 2009-2010) and the (planned) organization of wider dissemination events under LOT 2 of the Framework Agreement on Structural Instruments.
- (8) **Use of evaluation results:** generally this area is not addressed by the projects financed under KAI 1.2 but this have may been redundant given that at Programme Level there are procedures in place for monitoring upon the follow-up of evaluation recommendations.

¹¹ Based on interviews with ACIS stakeholders

- (9) **Mental framework:** these aspects are targeted in particular by the Capacity Building Projects financed under KAI 1.2.
- (10) **Legal context of evaluation:** has not been addressed by existing projects
- (11) **“Evaluative” human resources policy - targeted at ensuring adequate human resources, at all levels for conducting evaluations:** the key aspect that still needs to be addressed is the shortcoming of evaluation training/education options on the market.
- (12) **Embedded/bottom up evaluation demand (in SIS):** the capacity building activities implemented and under implementation are supporting the creation of an embedded bottom up demand for evaluation, however these aspects could be further addressed.
- (13) **Networking, (14) Civil society and mass media, (15) Governance, (16) Impacts in long-run and outside SIS:** these aspects have been addressed to a limited extent. In particular no initiatives have been undertaken under KAI 1.2 up to date to support the functioning of a national organization of professional evaluators, the cooperation mechanism between academia and government, the participation of civil society in evaluation. On the other hand capacity building initiatives under implementation are expected to further strengthen the integration of evaluation outside the system of Structural Instruments.

Chapter 4. Overall conclusions and recommendations

The first annual measurement of evaluation culture based on the ECI has revealed a good diffusion of evaluation culture within the Structural Instruments management system, quantified in an average achievement of the ECI of 63.35% of the maximum available score of 100%.

A good level of diffusion of the evaluation culture is determined by a good average achievement across Operational Programmes showing more satisfactory results for OPTA, OP ACD, ROP and SOP T, while SOP Environment, SOP HRD and SOP IEC show poorer performances.

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

In order to provide solid recommendations concerning either strategic changes in the design 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 first measurement cycle.

Figure 15 - Structure of conclusions and recommendations table

ECI CRITERIA	CONCLUSIONS OF THE FIRST ANNUAL MEASUREMENT				RECOMMENDATIONS FOR IMPROVEMENT OF EVALUATION CULTURE	
	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 RESPONSE	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 (KAI 1.2 ACTIONS) or by other means, without requiring any changes in the logic of intervention of KAI 1.2.
- ▶ 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.

Table 21 - Conclusions of the annual measurement and recommendations for improvement

ECI CRITERIA	CONCLUSIONS OF THE FIRST ANNUAL MEASUREMENT				RECOMMENDATIONS FOR IMPROVEMENT OF EVALUATION CULTURE	
	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 RESPONSE	OPERATIONAL	STRATEGIC
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	<ul style="list-style-type: none"> IN LINE WITH 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 ACIS and formally collaborating on technical issues within the Evaluation working Group. 	<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 (programming in most cases) and that there is a lack of formal procedures linking evaluation to programming and monitoring. 	<ul style="list-style-type: none"> There was no specific need to address this area considering that the architecture has been in place since 2007. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Support analysis related to the reorganization of Evaluation Units into dedicated compartments, bearing in mind that the implementation of changes is subject to Programme Level approval. Support development of procedures aimed at formalizing links between evaluation, programming, monitoring (e.g. schedule periodic meetings to assess data needs in relation to multi-annual evaluation plan requirements, programming needs) 	
(2) The financial and human resources allocated to Evaluation under the NSRF	<ul style="list-style-type: none"> TOP 	<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), skills and low turnover rate. The financial resources are also adequate and in line with the international benchmark. 	<ul style="list-style-type: none"> There appears to be a tendency towards downsizing of evaluation units, driven by the need to strengthen the capacity on Programme implementation issues. 	<ul style="list-style-type: none"> Training and professional development of staff at OP and NSRF level. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Continue to support staff development and propose targeted criteria for selection of staff to be assigned to evaluation functions. OTHER ACTIONS <ul style="list-style-type: none"> Monitor headcount of staff dedicated to evaluation in order not to jeopardize the current level of diffusion of 	

					evaluation culture.	
(3) Quality of monitoring system	<ul style="list-style-type: none"> • IN LINE WITH ECI AVERAGE 	<ul style="list-style-type: none"> • The quality of the indicator system is considered adequate and capable of providing timely information. 	<ul style="list-style-type: none"> • Areas of improvement have been indicated in relation to the indicator system at NSRF level 	<ul style="list-style-type: none"> • A dedicated project has addressed the improvement of the indicator system, nevertheless results were not considered satisfactory. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> • Further pursue improvement of the indicator system. 	
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	<ul style="list-style-type: none"> • TOP 	<ul style="list-style-type: none"> • Planning of evaluation is ensured by the existence of multiannual/annual 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. • In the case of NSRF two positive tendencies are noted, respectively the role of the EWG as ESC of evaluation assignments under LOT 2 of the FA on Structural Instrument Evaluation and the invitation of thematic experts to take part to ESC discussions. • Standards aligned with the EU Level have been adopted and procedures are in place for design, implementation and use of 	<ul style="list-style-type: none"> • The degree of accomplishment of plans is not always satisfactory. 	<ul style="list-style-type: none"> • Existing projects have addressed directly the quality of evaluation competences and expertise of evaluation staff both at OP and NSRF level by deploying different training activities as well as tools and methodologies. • Number of human resources allocated to evaluation and evaluation budget shares have been adequately addressed at different levels. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> • Support the planning process of evaluations for 2014-2020 in order to align from an early stage the evaluation demand with the data needs (criteria 5). OTHER ACTIONS <ul style="list-style-type: none"> • Constantly update multiannual evaluation plans based on feasible schedules and actual needs. Plans should not exceed in level of details in order to allow sufficient flexibility in the drafting of the Terms of Reference. 	

		evaluation which are partially updated as a result of the experience gathered and provide for the involvement of Evaluation Units in decision making.				
(5) Socio-economic data are available and reliable	<ul style="list-style-type: none"> IN LINE WITH ECI AVERAGE 	<ul style="list-style-type: none"> Socio-economic data are available in a timely manner. 	<ul style="list-style-type: none"> Other data such as micro-data at beneficiary level are only partially available and their consistency is considered of medium level. 	<ul style="list-style-type: none"> No specific action undertaken. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Support development of statistical baseline for micro-data that may prove of particular use for counterfactual analyses in the future programming period (criteria 4). 	
(6) Availability and quality of evaluation expertise	<ul style="list-style-type: none"> IN LINE WITH 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. 	<ul style="list-style-type: none"> There is room for improvement in the quality of evaluation reports. The number of national companies as well as the involvement of universities in evaluation is still low. 	<ul style="list-style-type: none"> Large multi-annual framework contracts have attracted a number of international players in the national evaluation market. 		<ul style="list-style-type: none"> KAI 1.2 specific objectives and eligible activities should be revised as a pre-condition for building further evaluation capacity on the supply side with specific focus on national companies and academia.
(7) Dissemination of evaluation outputs	<ul style="list-style-type: none"> IN LINE WITH ECI AVERAGE 	<ul style="list-style-type: none"> A number of Evaluation Reports are publicly available on the website of the Evaluation Working Group (www.evaluare-structurale.ro) and public debates have been organized in order to present and discuss evaluation findings. 	<ul style="list-style-type: none"> Not all the evaluation reports are publicly available and some of them are published only in terms of Executive Summary. The average number of 1 public debate organized per OP in the last 12 months appears to be low. The Communication of 	<ul style="list-style-type: none"> Development of the EWG website Publication on the EWG website of the evaluation reports Organization of international conferences Planned organization of wider dissemination events under LOT 2 of the Framework Agreement on 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Support a study aimed at identifying the most appropriate communication channels, tools and language use, in order to reach relevant stakeholders. Deploy targeted communication campaigns once the study is finalized. 	

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			evaluation towards stakeholders is not fully effective.	Structural Instruments.	<ul style="list-style-type: none"> Embed in projects financed under KAI 1.2 components related to wide dissemination of evaluation evidences, leveraging as well on the available web resources to increase visibility. 	
(8) Use of evaluation results	<ul style="list-style-type: none"> TOP 	<ul style="list-style-type: none"> Procedures for addressing evaluation results and their follow-up are in place. The use of evaluation results is considered as having a considerable impact both on the programming and implementation process. 	<ul style="list-style-type: none"> No weakness identified. 	<ul style="list-style-type: none"> No specific action undertaken. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> See recommendation under criteria 7 on communication. 	
(9) Mental framework	<ul style="list-style-type: none"> IN LINE WITH ECI AVERAGE 	<ul style="list-style-type: none"> Evaluation is considered <u>to some extent</u> as an essential part for achieving success at institutional level and the requirement of independency is understood and respected. 	<ul style="list-style-type: none"> The role of evaluation is not yet fully understood by policy makers and management /executive staff. 	<ul style="list-style-type: none"> Capacity Building Projects financed under KAI 1.2. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> Embed in projects financed under KAI 1.2 targeted communication sessions towards policy makers. 	
(10) Legal context of evaluation	<ul style="list-style-type: none"> LOW 	<ul style="list-style-type: none"> The national legal provisions regulating evaluation are the transposition of the EU Legal Framework and provide for the additional requirement of preparation of multiannual and annual evaluation plans. 	<ul style="list-style-type: none"> There are elements of the Romanian legal framework hampering evaluation, in particular public procurement rules, national ordinances on staff hire and rules on expense eligibility. 	<ul style="list-style-type: none"> No specific action undertaken. 		<ul style="list-style-type: none"> Address rules on eligibility of expenditure that are limiting the types of target groups eligible for capacity development actions

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<p>(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources for conducting evaluations</p>	<ul style="list-style-type: none"> • IN LINE WITH 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"> • The degree of participation of civil servants (other than those dedicated to evaluation) has room for improvement. • The number of training options remains limited especially as concerns those provided by academia. 	<ul style="list-style-type: none"> • Training and professional development of staff at OP and NSRF level 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> • Organize dissemination events involving a wider number of civil servants to spread evaluation culture. 	<ul style="list-style-type: none"> • KAI 1.2 specific objectives and eligible activities should be revised as a pre-condition for supporting the academia in building additional training options on the market.
<p>(12) Embedded/bottom up evaluation demand (in SIS)</p>	<ul style="list-style-type: none"> • TOP 	<ul style="list-style-type: none"> • There is a demand for evaluation. 	<ul style="list-style-type: none"> • The overall demand for evaluation as well as the number of evaluations triggered in response to a need of knowledge and not in response to a compliance requirement is lower than in other member states as results from international benchmarking. 	<ul style="list-style-type: none"> • Capacity building activities implemented and / under implementation are supporting the creation of an embedded bottom up demand for evaluation. 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> • Embed in projects financed under KAI 1.2 targeted communication sessions addressing stakeholders of Structural Instruments concerning the importance of evaluation. 	
<p>(13) Networking</p>	<ul style="list-style-type: none"> • LOW 	<ul style="list-style-type: none"> • There exists a national organization of evaluators. • There is a mechanism of cooperation between Government and academia. 	<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. 	<ul style="list-style-type: none"> • Addressed to a very limited extent. 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> • Organize dissemination events involving Institutional Stakeholders, Academia and Professionals as well as the media 	<ul style="list-style-type: none"> • KAI 1.2 specific objectives and eligible activities should be revised as a pre-condition for supporting the activity of the national organization of evaluators and strengthening the links between Government and academia.

(14) Civil society and mass media	<ul style="list-style-type: none"> • LOW 	<ul style="list-style-type: none"> • No strengths identified. 	<ul style="list-style-type: none"> • The level of participation of civil society in evaluation related activities is low as well as the number of public events organized per year. 	<ul style="list-style-type: none"> • Addressed to a very limited extent. 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> • Organize additional dissemination and communication events 	
(15) Governance	<ul style="list-style-type: none"> • LOW 	<ul style="list-style-type: none"> • Political stability, regulatory quality, rule of law and control of corruption are above the world average as measured by the World Bank Governance index. 	<ul style="list-style-type: none"> • Government effectiveness is below the world average as measured by the World Bank Governance index. 	<ul style="list-style-type: none"> • Not addressed within the framework of KAI 1.2 	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> • In order to improve Regulatory Quality, KAI 1.2 may support both capacity building and projects related to Regulatory Impact Assessment, in line with the new draft Regulations for 2014 - 2020 (see Annex IV COM (2012) 496 final)¹². 	

¹² Making regulatory systems more efficient is complex and widespread. 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. 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. 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.

(16) Impacts in long-run and outside SIS	<ul style="list-style-type: none"> • IN LINE WITH ECI AVERAGE 	<ul style="list-style-type: none"> • No strengths identified. 	<ul style="list-style-type: none"> • Institutions involved in Structural Instruments have internalized evaluation only in part. 	<ul style="list-style-type: none"> • Addressed to a very limited extent. 	KAI 1.2 ACTIONS <ul style="list-style-type: none"> • Organize wider dissemination events to further spread knowledge of evaluation. 	
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Annex 1 - Literature review

The literature review detailed here is presented in chronological order, in order to capture the changes occurred in the “European and Romanian context” of KAI 1.2 - in conceptual terms, but also to present the most recent developments in the field and, consequently to ensure, in the year 2012, maximum validity to our measurement instrument, as developed in the future chapter.

The literature review investigates **the most relevant resources**, but we also went through a series of miscellaneous ones, (grouped in Box 1). At the same time, **all relevant sources were taken stock of**, directly or indirectly (i.e. as quoted in other articles). We concentrated our resources on reviewing literature after 2008, as sources made available at that date already extensively reviewed the older literature in the field.

Evaluation Culture concept in the specialized literature

In this section we present the main aspects of the evaluation culture concept as analyzed in depth by the most relevant literature regarding this topic:

- ▶ *Toulemonde, J. (2000), Evaluation Culture(s) in Europe: Differences and Convergence between National Practices, in Vierteljahrshefte zur Wirtschaftsforschung 69 (3/2000)*

Before defining it, Toulemonde identifies three levels in the evaluation culture of political and administrative actors:

1. Evaluation experienced as a bureaucratic burden (e.g. the requirements under the EC Cohesion Policy were perceived as **external** pressure for using evaluation - Southern Europe);
2. Evaluation as a Public Management Aid - a source of management advice and mediator between public partners (corresponding to the evaluation purpose of “learning” - stemming in many cases from **internal openness to EC requirements**- e.g. Finland, Ireland);
3. Evaluation as a political act (corresponding to the evaluation purpose of “accountability” - Scandinavian countries and UK);

Analysing all three levels in the European Union, Toulemonde concludes that “evaluation culture relates to relations of trust, the use of evaluation conclusions and, consequently, the integration, almost everywhere, of evaluation into management strategies and practices”. Some European countries have reached or are close to a certain form of maturity as regards “evaluation culture” [at country level]: evaluation concerns all political fields, is used at all levels of government and administration, and is practiced by multiple competent evaluators who exchange their experiences and define their best practice within a professional society.

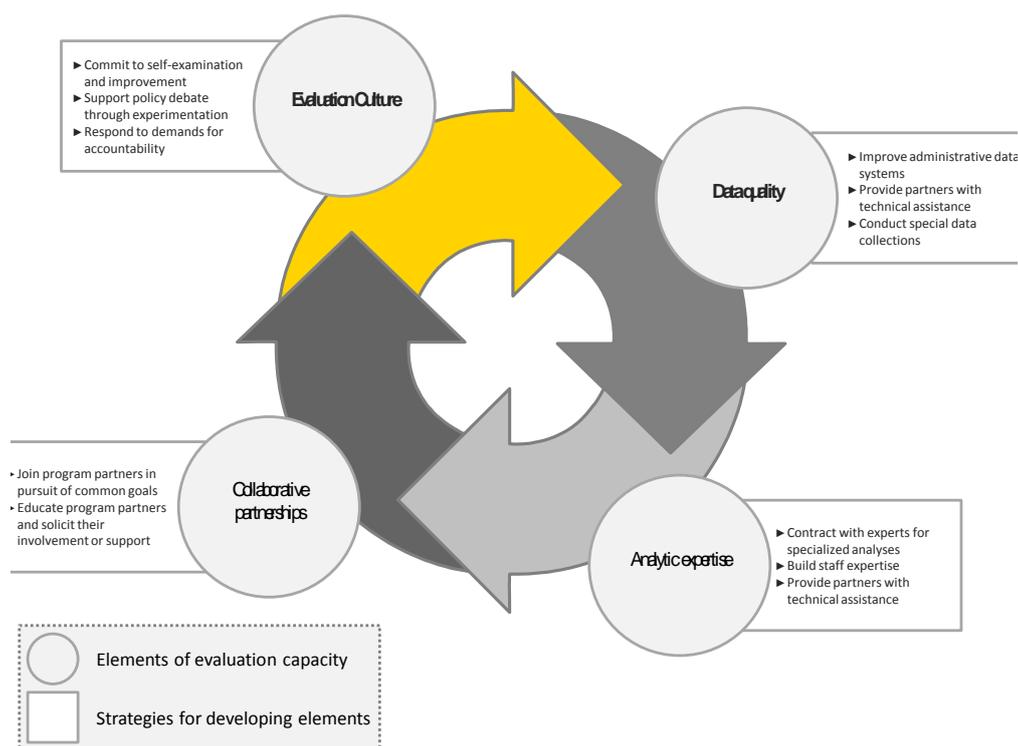
In 2000 the progressive shift from evaluation as a constraint to a managerial use of the exercise has largely been achieved [in the EU 15]. However, the shift to a democratic evaluation culture was still very far from being attained in Europe.

- ▶ *US GAO (2003), Report to Congressional Committees, Program Evaluation. An Evaluation Culture and Collaborative Partnerships Help Build Agency Capacity*

According to the US GAO main handbook in the field, the key elements of evaluation capacity are:

1. evaluation **culture** - a commitment to self-examination
2. data quality
3. analytic expertise and
4. collaborative partnerships.

Figure 16: Key evaluation capacity element



Source: GAO Handbook

As we can see, evaluation culture is perceived as an intrinsic element of evaluation capacity and is defined as commitment to self-examination.

Further on, the indicators of an evaluation **culture** [of an agency] are (collected from various chapters of the handbook):

1. a **formal, regular process** in place to **plan, execute, and use** information from evaluations;
2. a commitment to learning through analysis and experimentation;

while the key elements of evaluation **capacity** are:

1. a commitment to **accountability** and to improving program performance/to institutionalize an evaluation culture
2. improved administrative systems or turned to special **data** collections to obtain better quality data
3. external sources or development of staff/whatever **expertise** was needed to ensure the credibility of analyses and conclusions

According to GAO, the agencies examined **did not appear to deliberately set out to build an evaluation culture**. Rather, a systematic, reinforcing process of self-examination and improvement seemed to grow with the support and involvement of agency leadership and oversight bodies. The factors triggering this process were:

1. external conditions/**policy debates and budget constraints**, respectively, that stimulated a search for a more effective approach than in the past;
2. reinforcing cycle of rigorous research providing credible, relevant information to **policy-makers who then came to support and encourage additional rigorous research**.
3. outgrowth of operational self-examinations, conducted in response to **budget constraints**.

- *European Commission (2008), Final Report on the framework to analyse the development of evaluation capacity in the EU Member States*

As we present in the next-subchapter, Curley&Perianu's 2006 "Analysis of the Romanian Evaluation Culture and the Romanian National Evaluation Strategy" were developed on the Furubo's Evaluation Culture Benchmarking Criteria (9), as adjusted by the 2003 Evaluation Advisory Group (9+3). Already the EAG "Guide to Good Practices of Evaluation Capacity Building" is turning evaluation "culture" into evaluation "capacity", although it keeps in place the 9 criteria developed by Furubo in 2002.

In 2007 the European Commission took further the work of the 2003 Evaluation Advisory Groups and developed a comprehensive framework for benchmarking "evaluation **capacity**". We need to underline here that "evaluation capacity", and not "evaluation culture", is at the conceptual core of this framework, although evaluation culture is considered under the "institutionalisation" key dimension of the evaluation capacity. While a "a working definition" is provided for the latter:

"The ability of Structural and Cohesion Fund administrations to effectively organise and utilise timely, high-quality evaluations of EU-funded programmes."

..."evaluation culture" is not clearly defined in this EC benchmarking framework.

The 4 Key Dimensions of Evaluation Capacity as defined here were developed on the basis of the EVALSED "most important key decisions to be made when starting to develop evaluation capacity in a strategic way", as compared with World Bank, International Evaluation Working Group on Policy and Programme Evaluation and other major contributions in the field, including from the academic world. These are:

1. **Evaluation demand**, referring to the "commissioning side of the evaluation process", more specifically to the **capacity** and **commitment** of governments to commission and use evaluation (!). These are perceived in the literature as being the **starting point** in building evaluation capacity and can be **strengthened** in different manners (e.g. incentives and obligations, mainly external). However, these external inputs (as above presented by Toulemonde) may have no impact on the evaluation demand if there is no **awareness** as regards the benefits of evaluation.
2. **Evaluation supply**, referring to the necessary **resources, skills and information infrastructures** are available to effectively respond to demand pressures, more specifically **methods and standards, information** (or data under GAO), **financial resources** and **professional skills** (or analytical skills under GAO) (Guerrero 1999).

If demand side is presented as the starting point of developing evaluation capacity, there is overarching consensus in the literature that one needs to work in parallel on both the demand and supply sides to reach this goal.

3. **Evaluation architecture**, referring to "how evaluation systems are organised and coordinated": central vs. decentralized, internal vs. external; the architectural type influences the evaluation demand. Quoting EVALSED, if in an early stage the evaluation capacity development "strategy" (or policy) may be located in a central institution, if evaluation is to become a valued function within the public sector "it must itself mirror the architecture of governance within the country concerned".
4. **Institutionalisation of evaluation**, referring strictly to (4.1.) evaluation **utilisation and follow-up mechanisms** or widely to (4.2.) an **overarching factor** which reflects the interaction of the other evaluation capacity development dimensions, and captures the extent to which **evaluation forms an integral part of the policymaking process and of the business of government generally**.

As we can see, the second interpretation of "institutionalization of evaluation" allows for consideration of the wider, **cultural** factors that determine the degree of influence of evaluation. These are, as distilled by the EC Report from the most relevant literature:

- ▶ the openness of the system to evidence and argument, depending on the existence of a democratic and competitive political system and the decentralisation of policy;
- ▶ the functional specialisation of policymakers; i.e., when policy makers are specialised experts in their policy domain they will have been exposed to the "understandings and insights provided by evaluation";

- ▶ the educational and professional background of policy makers; wherever law is the dominant profession of legislators and top civil servants, the “social sciences seem to fare relatively poorly”;
- ▶ on the supply-side, the presence of a thriving social science community or communities and, within this, a university system that is hospitable to the social sciences;
- ▶ again, on the supply-side, the availability of a sizeable group of social scientists who are interested in conducting policy-oriented research;
- ▶ the presence of institutions that bridge the academia-government gap;
- ▶ a “climate of rationality” and
- ▶ the nature of the issues on the policy agenda, the characteristics of which will determine the extent to which they lend themselves to evaluation influence. In particular, the issues need to be ones where evaluators have worked and not issues that are emotive or highly-charged.

As we can see, and as the report itself says, elements related to evaluation culture are sub-summed to the “evaluation capacity” concept, under its fourth dimension: “A final point is that it is important to take account of the **wider** factors that influence the role of evaluation in policymaking generally. Some of these wider, cultural-type factors have been highlighted under the institutionalisation dimension above. These are taken into account when developing the evaluation capacity benchmarking framework.”

Box1: Other definitions of evaluation culture and evaluation capacity

A number of definitions of evaluation capacity, varying in terms of breadth and complexity, are evident from the literature review. For example, **Mackay (1999)** defines evaluation capacity development in a rather broad, but nevertheless straightforward, manner as “the development of national or sectoral evaluation systems”.

The definition used by **Picciotto (1998)** is somewhat broader - “the ability of public institutions to manage information, assess programme performance, and respond flexibly to new demands” - in that it does not confine itself to evaluation as such.

Boyle and Lemaire (1999) link their definition of evaluation capacity development to the notion of an evaluation regime, which they describe as “the configuration of evaluation capacity, evaluation practice, organisational arrangements and institutionalisation”.

Evaluation capacity development is then defined as “activities and initiatives taken to implement the regime”. The definition presented in the **EVALSED** is comprehensive in scope: they define evaluation capacity development as “the institutional, human, resource, skill and procedural base for conducting evaluations in public policy and public management systems”.

Stockill, Baizerman and Compton (2002) devote a chapter to the issue of conceptualising and defining evaluation capacity building. Initially, they present a conceptual definition of evaluation capacity building: “a context-dependent, intentional action system of guided processes and practices for bringing about and sustaining a state of affairs in which quality program evaluation and its appropriate uses are ordinary and ongoing practices within and/or between one or more organizations/programs/sites”. The authors emphasise that evaluation capacity building, contrary to the actual practice of evaluation, is a continuous process. In a colourful metaphor, they characterise evaluation capacity building as “never ending - like the circus performer who constantly spins the many plates on top of the pole she holds”. This discussion leads them to what they term a working definition of evaluation capacity building as “the intentional work to continuously create and sustain overall organizational processes that make quality evaluation and its uses routine”. In summary, evaluation capacity development is concerned with creating and sustaining the factors that support evaluation in the public or government sector. In the next chapter, we draw on the various conceptualisations of evaluation capacity development summarised here in arriving at a working definition of evaluation capacity development for the purposes of this project.

One other framework worthy of note is that presented recently by **Lahey (2007)**. His framework rests on four “essential building blocks” as follows:

- Vision; this encompasses an understanding of the role of monitoring and evaluation information in

-
- public sector management and decision-making and strategic leadership;
 - Enabling Environment; this captures the commitment to sustain a monitoring and evaluation system over the long-term and the political will to support underlying values and ethics such as objectivity, transparency and good governance;
 - Infrastructure to Supply Monitoring and Evaluation Information; in other words the supply-side dimension;
 - Infrastructure to Demand and Use Monitoring and Evaluation Information; the demand-side dimension.

Again, Lahey's "building blocks" correspond closely to the key evaluation capacity development dimensions or issues emphasised in the other contributions outlined above. Lahey's "Vision" building block captures elements relating to leadership that in other frameworks are associated with demand or institutionalisation dimensions.

Source: European Commission 2008

► *De Peuter, B. Pattyn, V (2008) Evaluation capacity: enabler or exponent of evaluation culture?, Public Management Institute K.U. Leuven (Belgium)*

This article has been an excellent source as regards (1) relevant literature stock-taking, (2) defining the two concepts and their composing dimensions and (3) investigating the linkages between the two. De Peuter&Pattyn covered also sources not addressed by the EC framework benchmark (e.g. Varone at all 2006¹³, Lahey 2004¹⁴).

Before proceeding with the three points above, De Peuter&Pattyn firstly reiterates the main points which need to be taken into account by any discourse on evaluation culture and capacity:

- there is a growing consensus on the necessity of a mature evaluation capacity in the light of good governance;
- keeping the overview over the multitude of opinions circulating on both 'phenomena' is difficult;
- the analysis is even more complicated if one tries to shed light on the interrelationship of both concepts as, surprisingly, both 'discourses' are indeed seldom explicitly integrated;
- opinions range from the conviction that both concepts mean the same, to the assumption that both variables develop independently from each other.

De Peuter&Pattyn come to a number of categories of indicators with general relevance as regards evaluation culture and capacity. They did this by taking stock of all relevant literature in the field and systematically comparing the indicators defined by all authors. This exercise resulted in a first list of, in total, **251 indicators** (see next table). This first list was not "clustered" in any way in culture versus capacity indicators.

Indicator (Source)	Category
Boyle et al. (1999)	

¹³ *Varone et al.* developed an index of institutionalization of evaluation, suitable to apply at the national level. The index basically revolves around two dimensions: existence of formal organisations and existence of an epistemic community. Their instrument correlates in several respects with the Furubo & Sandahl's 'evaluation maturity index'. No country seems to demonstrate an intensive institutionalization process without an accompanying increase in maturity. The inverse is nevertheless not always valid. There are countries who developed a mature evaluation culture, without displaying a high degree of institutionalization (Varone et al., 2006)

¹⁴ Lahey, experienced in evaluation in the Canadian federal public service, also emphasizes to distinguish between developing the capacity to 'do' evaluations and developing the capacity to 'use' evaluations. Based on his expertise, he has developed an 'evaluation infrastructure checklist' with both cultural and operational key factors crucial for effective evaluations.(Lahey, 2004). EC framework does cover Lahey 2007.

Indicator (Source)	Category
Human capital (skills, knowledge, experience)	SK
Financial, material resources	FR
Sound data systems	DCM
Familiarity with social sciences	SK
Absence of corruption (political and economic)	POL
<i>Key issues that must be dealt with by governments wishing to institutionalize evaluations</i>	
Anchoring the evaluation regime	LE
Anchoring evaluation capacity within organizations	ORG
Evaluation coverage	CPS
Linking evaluation with other public sector functions and institutions	CPM
Using evaluation in decision-making	USE
Professionalizing the evaluation function	SK
Fostering demand	POL
Mackay (1999)	
<i>Barriers (and hence points of attention) for building evaluation systems in developing countries:</i>	
Genuine demand	DEM
Supply: evaluation, accounting, or auditing skills	SK
Information infrastructure: high quality financial and other performance information; accounting/auditing standards and systems	DCM
Ownership	OWN
Culture of fact-based accountability	AVE
Absence of corruption	POL
Evaluation feedback mechanisms into decision making processes	DIF
Critical mass	HR
Comprehensive approach; link with performance measurement and performance management	CPM
Presence of supportive culture or set of values- or at least the possibility to develop such a culture	AVE
Guerrero (1999)	
<i>Demand</i>	
Leadership and vision	POL
Awareness	AVE
Incentives: laws and regulation	LE
Institutional set-up	ORG
Enabling environment (internal/external pressures)	DEM
<i>Supply</i>	
Staffing	HR
Skills	SK
Financial resources	FR

Indicator (Source)	Category
Methods	SK
Professional evaluation standards	QLI
Information	DCM
Evaluation timing	CPM
<i>Organisation of the evaluation function and actionable steps</i>	
For evaluation to be successfully implemented, it needs to be located in several places within the governance structure to meet the demands of various markets and stakeholders	ORG
<i>General</i>	
In depth diagnosis of a country's institutional framework country-adapted strategy	CTX
Matching evaluation capacity interventions with public sector management reforms	CPM
Mackay (2002)	
Demand as main prerequisite	DEM
Long-term commitment of government	POL
Tailor ECB according to country circumstances	CTX
Achieving an ongoing, enduring and sustainable state of affairs where evaluation is utilized	USE
ECB needs guided process (clear guidance and support)	POL
Emphasis on utilization	USE
<i>Operations Evaluation Department: Checklist for which it regards as good-quality country level-ECB</i>	
Based on a formal country diagnosis and clear action plan	CTX
Form part of a public sector management reform program	CPM
Develop and implement a customized training program for ECB	SK
Establish linkages with financial management and accountability programs	CPM
Develop linkages with statistical system improvements	DCM
Establish linkages with research initiatives	DCM
<i>Evaluation Capacity Building Results Chain: Performance indicators</i>	
<i>Outcomes:</i>	
M&E findings are used in budget decision making, in sectoral strategy making, and in line management decisions	USE
M&E findings are used by media, in parliamentary debates, and in NGO submissions to government	USE
Government structures and processes have been realigned to commission M&E findings and to feed them into budget processes and into ministries' planning and management processes	CPM
<i>Outputs:</i>	
Greater quantity of monitoring information and evaluation findings	DCM
Better quality of monitoring information and evaluation findings	QLI
Formal M&E framework is established by government	LE
Number of officials who undertake M&E training	HR
Number of officials working on M&E	HR

Indicator (Source)	Category
Number of evaluations or reviews conducted	CPS
<i>Activities:</i>	
M&E training and trainer-training offered	SK
In-country seminars provided to build awareness and strengthen demand for M&E	AVE
Stufflebeam (2002)	
Take into account the context-dependent nature of evaluation systems	CTX
Identify, support and address internal and external driving forces for evaluation	DEM
Locate the evaluation unit as a staff operation at a high level of the organization	ORG
Promote and support stakeholders' buy-in, participation, and support from all levels	OWN
Adopt and apply the evaluation field's Standards and Guiding principles	QLI
Define and apply clear, functional evaluation policies and contracts	QLI
Define and pursue clear, appropriate evaluation purposes	SK
Engage and support a capable, credible evaluation team	HR
Supply the evaluation effort with sufficient funds, facilities, equipment, services, software and technical	FR
<i>Support</i>	
Adopt and apply appropriate evaluation models	SK
Employ a range of qualitative and quantitative evaluation methods	SK
Regularly conduct evaluations	CPS
Establish and maintain functional databases	QLI
Employ effective communication channels and mechanisms	DIF
Provide evaluators and stakeholders with ongoing evaluation education	SK
Establish and maintain a quick response mechanism to address emergency evaluation needs	CPM
Periodically secure internal and external meta-evaluations	QLI
Maintain and employ an evaluation system review and improvement process	QLI
Furubo et al. (2002)	
Evaluation takes place in many policy domains	CPS
There is a supply of evaluators, specializing in different disciplines who have mastered different evaluation methods and who conduct evaluations	SK
National discourse concerning evaluation in which more general discussions are adjusted to the specific national environment	CTX
Profession with its own societies or frequent attendance at meetings of international societies and at least some discussion concerning the norms or ethics of the profession	NET
Institutional arrangements in the government for conducting evaluations and disseminating their results to decision makers.	ORG
Institutional arrangements are present in Parliament for conducting evaluations and disseminating them to decision-makers	ORG
An element of pluralism exists, that is, within each policy domain there are different people or agencies commissioning and performing evaluations	CPS

Indicator (Source)	Category
Evaluation activities within the Supreme Audit Institution	ORG
Some public sector evaluations must have program or policy outcomes as their object (in addition to focus on outputs or technical production)	CPS
United States General Accounting Office (2003)	
The ability to systematically collect data on program results	DCM
The ability to systematically analyze data on program results	SK
The ability to systematically use data on program results	USE
Evaluation culture: Regular self-assessments to inform program improvement- Commitment to self-examination and learning through experimentation.	AVE
Data quality: credibility, reliability and consistency	QLI
Analytic expertise: Knowledge of research methods and relevant subject matter	SK
Collaborative partnerships: the sharing of resources and expertise among stakeholders	NET
Dabelstein (2003)	
Lack of demand means low impact of evaluation institutions on policy and management decisions	DEM
Policy advocacy and senior management demand	POL
Legal foundation or a firm statutory organizational regulation	LE
Evaluation unit's independence from line management	ORG
McDonald et al. (2003)	
Evaluation capability only to be understood as self-evaluation by programme staff and managers; but refers also to the effective use of external evaluations and ongoing monitoring. Hence: not only conduct evaluations but also commission, manage and use them.	USE
Equipment to successfully fish	SK
Effective distribution system	DIF
People who want to eat fish	USE
Entire fishing system that is sustainable	ORG
Hence: not just developing skills of individuals, but of the whole organization	
<i>Lessons in building evaluation capability</i>	
Develop a common evaluation framework	LE
Build knowledge about what works in evaluation in your context:	SK
Knowledge building through partnerships between government and research institutions	NET
Good evaluation practice depends on context	CTX
Systematically and visibly evaluate each stage (evaluation of the evaluation capability process)	QLI
Lahey (2004)	
<i>Developing the capacity to 'do' evaluations</i>	
Recognition of the role played by a champion/advocate for the evaluation function, to ensure the necessary resourcing and maintenance of momentum	ORG
Financial resources	FR
Trained/experienced personnel.	SK

Indicator (Source)	Category
Vehicles to train:	
Evaluator Internship Program	SK
Networking events with departemental evaluators	NET
Formal conferences	NET
Professional development series	SK
Links with other professional organizations	NET
Educating the users of evaluation	SK
<i>Developing capacity 'to use' evaluation.</i>	
Central agency driven demand for evaluation	ORG
Steering the evaluation function in Departments	ORG
Credibility building for evaluators	AVE
Developing a comprehensive evaluation plan	ORG
Evaluation in full public view (transparency)	QLI
<i>Success factors needed for effective evaluation ["Evaluation infrastructure checklist"]</i>	
<i>Cultural</i>	
Institutions are prepared to divulge information	DIF
Managers trust that assessments will be objective	AVE
Agencies are willing to be reviewed	AVE
Managers have the courage to make changes and implement recommendations	AVE
Evaluation function is prepared to evaluate itself	AVE
Relevant accountabilities have been clarified	ORG
<i>Operational</i>	
Technical, professional resources are available	SK
Financial resources are available	FR
Time is sufficient	CPM
Evaluation policies and standards are in place	QLI
Need for objectivity can be met	QLI
Authority exists to oversee evaluations	QLI
Authority exists to act on findings	USE

In a second phase, De Peuter&Pattyn strived to come to a **common denominator for every "cluster of a particular type of indicators"**. This exercise yielded **17 categories of indicators**, which were further assigned to the "capacity" and "culture" clusters (see table under). For doing this the following definitions were taken into account:

- *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 evaluation (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”)

- *Evaluation capacity is concerned 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.”*

The table below presents the 17 categories of indicators, as well as the number of indicators assigned to each category and the cluster under which the respective category falls.

Table 22: Indicators, the number of indicators assigned to each category and the cluster under which every category falls.

Category	Number of indicators	Cluster
1. Organisational anchoring of evaluation function	37	(CAPACITY CLUSTER)
2. Skills to perform evaluation	33	CAPACITY CLUSTER
3. Awareness of intrinsic value of evaluation	21	CULTURE CLUSTER
4. Networking	20	CULTURE CLUSTER
5. Quality instruments	19	CAPACITY CLUSTER
6. Coupling with policy and management decisions	14	(CAPACITY CLUSTER)
7. Political commitment	13	CULTURE CLUSTER
8. Use	13	CULTURE CLUSTER
9. Diffusion and feedback mechanisms	12	CAPACITY CLUSTER
10. Data collection mechanisms	11	CAPACITY CLUSTER
11. Financial resources	11	CAPACITY CLUSTER
12. HR volume (internal and external)	11	CAPACITY CLUSTER
13. Coverage of the policy spectrum	9	(CULTURE) CLUSTER
14. Context-dependency	8	CULTURE CLUSTER
15. Demand	8	CULTURE CLUSTER
16. Legal embedding	6	(CULTURE) CLUSTER
17. Ownership	5	CULTURE CLUSTER

According to De Peuter&Pattyn, the cultural cluster contains the awareness for evaluation, the context-dependency of evaluation, the (existence of) a genuine demand for evaluation, the (degree of) networking activities, the ownership of evaluations, political commitment to evaluation, and the ways and extent of effective utilisation of evaluation results.

The capacity cluster includes mechanisms for data collection and for diffusion and feedback, financial and human resources, as well as skills to perform evaluation and the presence of instruments to guarantee the quality of evaluation.

The 4 categories in brackets are more difficult to classify either in the culture cluster or in the capacity cluster. In fact, all four can be associated with both clusters.

In order to position evaluation culture and capacity vis-à-vis each other, De Peuter&Pattyn used a framework which captured a dynamic perspective and was shaped on the 6 stages of the evaluation process: (1) **deciding to evaluate**, (2) **structuring / planning the evaluation**, (3) **observing**, (4) **analyzing**; (5) **judging**; (6) **utilization**, further grouped in 3 main phases, i.e. (1) **deciding to evaluate**, (2) **conducting the evaluation** and the (3) **utilization / influence of an evaluation**.

The table below presents the linkage between the phases/stages identified and the 17 categories of indicators/clusters:

Table 23: linkage between the phases and the indicators

DECIDING TO EVALUATE	CONDUCTING EVALUATION				USE/INFLUENCE
	STRUCTURING	OBSERVING	ANALYSING	JUDGING	
<ul style="list-style-type: none"> ▸ Awareness of intrinsic value of evaluation (CUL) ▸ Political commitment (CUL) ▸ Demand (CUL) ▸ Coverage of the policy spectrum (CUL) ▸ Context-dependency (CUL) 	<ul style="list-style-type: none"> ▸ Financial resources (CAP) ▸ HR capacity (internal / external) (CAP) ▸ Skills to perform evaluation (CAP) ▸ Data collection mechanisms (CAP) ▸ Diffusion and feedback mechanisms (CAP) ▸ Quality-instruments (CAP) 				<ul style="list-style-type: none"> ▸ Ownership (CUL) ▸ Use (CUL)
<ul style="list-style-type: none"> ▸ Legal embedding (CUL) ▸ Organisational anchoring (CAP) ▸ Coupling with policy and management decisions (CAP) ▸ Networking (CUL) 					

The most relevant conclusions of this wide investigation are:

- ▶ both demand and use of evaluation are predominantly driven by factors relating to evaluation culture;
- ▶ the process of performing an evaluation relies predominantly on conditions which relate to (technical) evaluation capacity;
- ▶ there are some cultural factors which can be regarded as prerequisites for capacity components to be built up in order to perform evaluations: (1) Political commitment and awareness of the added value of evaluation will trigger demand for evaluation. (2) Demand on its part needs supply and thus technical capacity to carry out an evaluation. Hence, the need for (3) capacity building will increase when demand increases.
- ▶ in turn evaluation capacity will have an influence on the (4) use of evaluation. The amount of resources, the presence of quality control instruments and mechanisms to feed the evaluation findings into the policy process will contribute the extent of evaluation use. Ownership is also an important cultural element which contributes to evaluation use.
- ▶ consequently, evaluation capacity is both an exponent and an enabler of evaluation culture. Nevertheless, at the very start of evaluation finding its way into the policy process, we can presume that some elements of evaluation culture must be in place as a trigger for evaluation capacity building. Over time, the building of evaluation capacity may strengthen the evaluation culture.

▶ *The Evalsed Guide*¹⁵

In Evalsed, the evaluation capacity is perceived as part of institutional capacity, defined broadly to include **legal rules** (e.g., regulating employment and procurement), **normative assumptions** (e.g., about equal opportunities or open competition), **governance** (e.g., democratic accountability and

¹⁵ Current edition. Although the 2008 Commission Report on Evaluation Capacity Development widely takes it into account, we covered EVALSED, too, because this guide was updated in 2009 and might have added new elements to the former.

divisions of responsibility between tiers of government and civil society) as well as **administrative and organisational arrangements** (e.g., how ministries are structured and resourced).

In this context, developing evaluation capacity has to be a **shared concern of the wider policy community**. Those responsible for policies and programmes (i.e. those who manage and commission evaluations, those who have an interest in evaluation results at a policy and programme level as well as those who undertake evaluations) must first be convinced of the need for evaluation. However, the capacity of public institutions to conduct evaluations is part of the **wider requirements that the State must meet to address contemporary economic and social demands**. Indeed, where **evaluation capacity has been most developed is often in the very sectors that have conceived of it as an integral part of a much wider programme of public sector innovation and modernisation (in other words, in sectors where an evaluation culture existed already)**.

As underlined also in the 2008 Commission framework, evaluation capacity is multi-faceted and needs to be **located** at many different levels that reinforce each other. For example there is an:

- ▶ Individual level consisting of necessary skills and competencies;
- ▶ Organizational level of management arrangements and structures;
- ▶ Inter-organizational level that bridges public and private bodies through networks, procedures and partnerships; and
- ▶ Societal level that embeds evaluative thinking in civil society including professional organizations - as well as in the public sector.

At each level, EVASED identifies a series of “indicators” which point towards elements/arrangements which need to exist/to be created for an evaluation **system** to be sustainable.

- ▶ At an individual level:

There are **people** throughout government who have **experience and skill** in evaluation and this is reinforced and renewed by appropriate recruitment and training and **professional development**.

Training courses and diplomas are available nationally or on a regional basis, variously delivered by universities, private training providers and professional bodies and open to both evaluation practitioners and commissioners.

- ▶ At an organisational level:

Evaluation is **routinely** undertaken at each stage of policy and programming: from planning through to implementation and follow-up.

Evaluation findings are integrated into decision-making when deciding what policy options to choose, how best to implement and deliver and when identifying lessons about what has been effective.

Managers look to evaluation as one important input that will help them **improve performance and manage for results**.

A **regular flow of evaluations are commissioned** that cover the broad spectrum of policies and programmes.

There are **follow-up procedures** to ensure that evaluation recommendations are taken seriously and, where feasible, acted upon.

There are procedures to accumulate evaluation findings and lessons learned so that programme managers and policy makers have an accessible evidence base and an **organisational memory**.

- ▶ At an inter-organisational level:

There is **coordination through a network of dedicated evaluation units or functions** - to ensure sufficient **consistency** in the way evaluations are commissioned, managed and executed across government and ultimately across the public sector.

There are requirements that evaluations take place embodied in **legislation, articulated policies and regulatory activity** (e.g., audit or parliamentary reviews).

There is a well-defined **market** with clear rules so that potential evaluation providers can organise themselves to respond to tenders, complete evaluation assignments on time, develop sectoral and technical expertise and understand the priorities of policy and programme customers.

There is a culture of evaluation that values professional standards, independence, learning from experience and evidence based policy.

- ▶ At a societal level:

Open and systematic **dialogue** is maintained **between policy makers and evaluation specialists** so that priorities for evaluation can be identified and scrutinised.

There is an **evaluation community** of practice whose members may work for universities or consultancies or be independent evaluation practitioners and consultants but still **share a common ethos and standards**.

Evaluation associations exist that **bring together those who commission, provide and use evaluations and reinforce a culture of evaluation, disseminates good practice and safeguards the independence of evaluation functions and practitioners**.

There is an **awareness of evaluation** activity and outputs and a dissemination of reports and findings such that evaluations will be routinely used by various stakeholders (in parliaments, civil society, etc.) to support democratic accountability and transparency.

As regards “developing” evaluation capacity, as taken over in the 2008 Commission framework, the most important measures in accordance with EVALSED refer to:

1. Making a decision on the institutional **architecture of the evaluation** system: locating and structuring evaluation functions and their coordination. Further than what the 2008 Commission Report underlines, it is worth mentioning what EVALSED says (quoting the World Bank) about balancing a centralised with a decentralised approach to the architecture of the evaluation capacity: “centralization may led to **little** use of evaluation elsewhere in the government concerned. Too much de-centralisation on the other hand - for example having different coordination arrangements for different programmes, policies or territories, risks **incoherence**.”
2. Strengthening evaluation **demand**: ensuring that there is an effective and well managed demand for evaluations. As mentioned by other sources, too, demand may stem from internal and external sources. EVALSED confirms that the “learning” effect of evaluation is stronger when this is triggered by internal motivation. At the same time, if the impetus for evaluation is entirely **external** (or even externalised by government departments or agencies to national scrutiny bodies) **the foundation for building evaluation capacity is likely to be weak**. Strengthening demand for evaluation requires first, the mobilization of a **broad coalition of internal stakeholders including managers and policy makers**. As civil society might also trigger evaluation, capacity development has to include civil-society actors if it is to be true to the logic and values of public sector reform.
3. Strengthening evaluation **supply**: ensuring that the skills and competencies are in place with appropriate organisational support. The response - and speed of response - to evaluation demand depends on **pre-existing** resources, skills and institutions. The quality of the educational institutions, the community of independent consultants and of the professional evaluation community determine the level and quality of evaluation supply.
4. **Institutionalising** evaluations: building in evaluation in to policy making systems and across the broader policy system/embed and deepen evaluation within public sector institutions¹⁶.

¹⁶ While evaluation is built in the policy-making system related to structural instruments in Romania (SIES in SIS - it remains to be seen how “developed” this is), little is of relevance for the purpose of this project (concentrated

In developing the fourth measure to be taken in order to develop evaluation capacity, EVALSED starts from the Furubo's criteria set up in 2002 for the assessment of the evaluation "culture". However, in the Box *Assessing Evaluation Capacity Building* it mentions the 9 criteria developed by Furubo&all and re-names them "criteria to assess the extent of evaluation **capacity**", thus uses, at least here, interchangeable, the concepts of "capacity" and "culture".

However, it also says: "Creating an evaluation culture is a phrase that is intended to suggest that **a well developed evaluation system is more than just a structural arrangement**. For example:

- ▶ there is a commitment to learning lessons and improvement;
- ▶ there is avoidance of a blame-culture which discourages learning;
- ▶ policy makers are committed to evidence based policies in the broadest sense;
- ▶ there is also a commitment to excellence, high standards and continuous improvement;
- ▶ evaluation is used as one element in a general move towards transparency and multiple accountabilities to citizens and communities as well as to Ministers and parliaments; and
- ▶ the government and public sector is committed to continuous adaptation to becoming a learning organisation"

According to literature reviewed, by EVALSED the degree of "institutionalisation" of evaluation depends on factors such as: evaluation timing - application of evaluation at all policy stages, degree of centralisation, location of evaluators - internal or external, integration with decision making.

Institutionalisation of evaluation is a continuous **process** which over time has to be **integrated with other planning and assessment tools** (e.g., impact assessments, project planning techniques) **and other channels for identifying and disseminating and implementing good practice** (e.g., public consultation, decentralisation to local stakeholders).

At the same time potential barriers to institutionalising evaluation cannot be ignored:

- ▶ first, evaluation is stronger when it is seen as an integral part of institutional development and public sector reform. If these broader organisational and cultural changes are not pursued in parallel it will be more difficult to institutionalise evaluation.
- ▶ second, a coherent institutionalisation process requires both financial and human resources. Institutionalisation can be undermined if there is insufficient investment in the skills and management systems for specialist evaluation units.
- ▶ third, high-level political commitment is also important in the evaluation institutionalisation process. This is especially so when such a process inevitably takes time and needs to be built-up in stages. Changes in direction when officials or ministers change can be a barrier to the successful building of evaluation capacity

We developed more the "institutionalisation" of evaluation part of this review in order to stress that EVALSED's approach, as the EC approach are sub-sums evaluation culture to evaluation capacity. The links between the two are not clearly made, although it presents the two also separately.

- ▶ *Linda G. Morra Imas&, Ray C. Rist (2009), The road to results. Designing and Conducting Effective Development Evaluations, The World Bank.*

The analysis carried out by Morra Imas&Rist is based on the dichotomy between developed and developing countries and starts also with Furubo's "evaluation culture" criteria; it is further based on the 2003 version of EVALSED (sic!), OECD research, GAO Handbook (presented above). We will

on KAI 1.2 of OPTA) as regards the building of evaluation in the broader policy system. For assessing the former, an evaluation of the OPDAC KAI 1.2 needs to be carried out.

underline here the most important aspects related to “evaluation culture” and “evaluation capacity” as identified by the authors.

According to Furubo's criteria, Australia, Canada, the Netherlands, Sweden, and the United States had the highest “evaluation culture rankings” among OECD countries in 2002. OECD countries have developed evaluation cultures and M&E systems in response to varying degrees of **internal and external** pressures. France, Germany, and the Netherlands, for example, developed an evaluation culture in response to **both strong internal and external (mostly European Union-related) pressures**. In contrast, countries such as Australia, Canada, the Republic of Korea, and the United States were motivated largely by strong internal pressures (Furubo, Rist, and Sandahl 2002).

Among the strongest internal **pressures** for developing an evaluation culture, Morra Imas&Rist mention:

- ▶ domestic planning,
- ▶ programming, and
- ▶ budgeting imperatives for new socioeconomic spending programs, as well as
- ▶ legislative oversight.

There were also **factors** which contributed to the adoption of an evaluation culture in the pioneering countries:

- ▶ democratic political systems,
- ▶ strong empirical traditions,
- ▶ civil servants trained in the social sciences (as opposed to strict legal training), and
- ▶ efficient administrative systems and institutions.

Evaluation culture spread from **education, health, and social welfare** fields into other areas of public policy and from more advanced OECD countries to less developed (from an evaluation culture perspective) ones. External pressures are exerted from the side of EC, other international organisation and, as mentioned before, other countries with a developed evaluation culture.

As regards creating monitoring and evaluation **systems**, OECD countries took one of three approaches, denominated by Morra Imas&Rist as:

- ▶ whole-of-government approach (WGA) (e.g. Australia)
- ▶ enclave approach
- ▶ mixed approach.

The main features of the WGA would be a **broad-based, comprehensive** establishment of M&E across the government - in all policy fields, support of the government ensured, necessary **skills** developed, civil service **structures and systems** set up (in other words, the main elements of evaluation culture and capacity in place).

The **enclave approach** focuses on one part or sector of the government, such as a single ministry, probable run by a strong “evaluation champion”; other ministries follow (e.g. Mexico, Jordan). Countries such as Ireland have adopted a **mixed** approach to evaluation. While some areas (such as projects financed by EU structural funds) are comprehensively evaluated, other areas receive less attention. The government of Ireland began creating its evaluation system with an enclave approach, but it moved in the direction of a more comprehensive approach with respect to government expenditure programs (Lee 1999).¹⁷

¹⁷ Further than Ireland, France is an interesting example of a “mixed approach”. Until 2001, France was among the group of OECD countries that was slowest to move toward a mature evaluation system. Indeed, France lagged behind many transition economies and developing countries in this regard. In 2001, the government passed sweeping legislation, replacing the 1959 financial constitutional, eliminating line item budgeting, and instituting a

Morra Imas&Rist map the following major challenges for building an evaluation **system**:

- ▶ interested stakeholders and commitments to transparency and good governance lack;
- ▶ demand for and ownership of an evaluation may be more difficult to establish;
- ▶ weak political will and institutional capacity;
- ▶ difficulties in interministerial cooperation and coordination impeding progress toward strategic planning;
- ▶ no evaluation champion;
- ▶ lack of efficient and effective administrative institutions, requiring civil service reform or reform of legal and regulatory frameworks;
- ▶ lack of adequate statistical system;
- ▶ lack of skills in M&E;

As regards developing evaluation capacity (to be mirrored with 2008 Commission framework), the following measures are recommended by Morra Imas&Rist:

- ▶ Focus on national and sector levels, as well as central and local levels.
- ▶ Development of concepts and tools, including capacities to keep score on development effectiveness, specification of project and program objectives and result chains, performance information (including basic data collection), program and project M&E, beneficiary assessment surveys, sector reviews, and performance auditing (Kusek and Rist 2004; Mackay 2007).

new program approach. The new constitutional by-law, phased in over a five-year period (2001-06), had two primary aims:

(a) to reform the public management framework, in order to make it results and performance oriented and (b) to strengthen legislative supervision.

About 100 programs were identified, and financial resources were budgeted against them. Every program budget submitted to the legislature was required to have a statement of precise **objectives and performance indicators**. Public managers had greater freedom and autonomy with respect to the allocation of resources, but in return they **were held more accountable for results**. Thus the new budget process was results driven. Budget requests for additional funds had to include **annual performance plans** detailing the expected versus actual results for each program. Annual performance reports also were included in budgetary reviews. **These steps were intended to improve legislators' ability to evaluate the performance of governmental programs**. This reform initiative altered some of the political and institutional relationships within the French government, **giving the legislature increased budgetary powers**.

Box 2: Key Issues for Diagnosing a Government's M&E Systems

1. Genesis of the existing M&E system: role of M&E advocates or champions, key events that created the priority for M&E information (for example, election of reform-oriented government, fiscal crisis).
2. The ministry or agency responsible for managing the M&E system and planning evaluations. Roles and responsibilities of the main parties to the M&E system (the finance ministry, the planning ministry, the president's office, the sector ministries, the legislature). Incentives for stakeholders to take M&E seriously (strength of demand for M&E information). Possible existence of several uncoordinated M&E systems at the national and sectoral levels. Importance of federal/state/local issues to the M&E system.
3. The public sector environment and whether it makes it easy or difficult for managers to perform to high standards and to be held accountable for their performance. Existence of public sector reforms—such as a poverty reduction strategy, performance budgeting, the strengthening of policy analysis skills, creation of a performance culture in the civil service, improvements in service delivery (such as customer service standards), government decentralization, greater participation by civil society, or an anticorruption strategy—that might benefit from a stronger emphasis on the measurement of government performance.
4. The main aspects of public sector management that the M&E system supports strongly, such as budget decision making, national or sectoral planning program management, and accountability relationships (to the finance ministry, president's office, parliament, sector ministries, civil society).
5. The role of M&E information at the various stages of the budget process (policy advising and planning, budget decision making, performance review and reporting) and the possible disconnect between the M&E work of sector ministries and the use of such information in the budget process. The existence of any disconnect between the budget process and national planning. Opportunities to strengthen the role of M&E in the budget.
6. The extent to which the M&E information commissioned by key stakeholders (for example, the finance ministry) is used by others (such as sector ministries). Identification of barriers to use (if any). Evidence concerning the extent of utilization by different stakeholders (for example, a diagnostic review or a survey). Examples of major evaluations that have been highly influential with the government.
7. Types of tools emphasized in the M&E system (regular performance indicators, rapid reviews or evaluations, performance audits, rigorous in-depth impact evaluations). Scale and cost of each of these types of M&E. Manner in which evaluation priorities are set (are they focused on “problem programs,” “pilot programs, high-expenditure or high-visibility programs, or are they based on a systematic research agenda to answer questions about program effectiveness?).
8. Responsibility for collecting performance information and conducting evaluations (ministries themselves, academics, or consulting firms). Problems with data quality or reliability or with the quality of evaluations that have been conducted. Strengths and weaknesses of local supply of M&E. Key capacity constraints and the government's capacity-building priorities.
9. Extent of donor support for M&E in recent years. Donor projects that support M&E at whole-of-government, sectoral, or agency levels (provision of technical assistance, other capacity building, and funding for the conduct of major evaluations, such as rigorous impact evaluations).
10. Conclusions regarding overall strengths and weaknesses of the M&E system, including its sustainability in the face of a change in government. Dependence of system on donor funding or other support. Current plans for future strengthening of the M&E system..

Source: World Bank 2006

As we can see, Morra Imas&Rist start from **culture**, develops the concept of “evaluation **system**” and then, based on the first two steps, make recommendations for strengthening evaluation **capacity**. The concepts are not defined but we considered important to list the most important aspects presented by the authors, in order to make sure that no “indicator”/element relevant for the measuring instrument was missed.

► *Marelize Görgens and Jody Zall Kusek (2009), Making Monitoring and Evaluation Systems Work A Capacity Development Toolkit, World Bank*

The purpose of the Görgens and Kusek's book is to provide a road map of the components to a sustainable monitoring and evaluation **system**. For this purpose they define all the pieces of an M&E

system jigsaw puzzle, and, as we can see under, a lot of these pieces are the same or the equivalents of the evaluation culture/capacity composing elements as identified in the “EU strand” of the discourse:

Components relating to “people, partnerships and planning”

1. Structure and organizational alignment for M&E systems
2. Human capacity for M&E systems
3. M&E partnerships
4. M&E plans
5. Costed M&E work plans
6. Advocacy, communication, and culture for M&E systems

Components relating to “collecting, capturing and verifying data”

7. Routine monitoring
8. Periodic surveys
9. Databases useful to M&E systems
10. Supportive supervision and data auditing
11. Evaluation and research

Final component about “using data for decision-making”

12. Using information to improve results

Coming to sustain the argument brought in other sources reviewed above, i.e. **that awareness on benefits of evaluation is the precondition for external pressures to have an impact on evaluation culture**, the sixth element of the M&E system as developed by Görgens&Kusek covers advocacy& communication and their role in enhancing evaluation culture. As the authors mention, this element/ring was included because **“a positive culture for M&E is an essential and important part of having an enabling environment for your organization’s M&E system in place.”**

Here M&E culture is defined as a:

“Shared set of values, conventions, or social practices about M&E. A positive M&E culture is where M&E is accepted, welcomed, encouraged and valued by all members of the team as an essential part of achieving implementation success.”

The M&E culture (within an organization) depends on the answers given to the following questions:

1. Are **decisions made using clear evidence** on what works or what has been tested?
2. Is **information fed back to decision makers** about design and implementation problems with the program and program outputs and outcomes? Is that information considered when deciding whether to scale up, scale back, continue or end activities? Or are decisions often based solely upon the political needs or expectations of the organizations or its leaders?
3. Do you have a sense of how people in your organization feel about M&E? Do they **consider M&E an important and useful management function**, just like the budget or human resource function?
4. Will they **participate in M&E activities**?
5. Do they ask for M&E reports, and are **these reports used when decisions** are made?
Are there **M&E champions** in your organization?

When assessing M&E culture the organization’s readiness to **manage for results** needs to be assessed. This assessment determines the organization’s political willingness to monitor and evaluate its goals and develop a **performance-based framework**.

A “readiness assessment” does not necessarily entail a formal or even public assessment report but it addresses, in any case the following key questions (Kusek and Rist, 2005):

1. What potential **pressures** are encouraging the need for the M&E system within the organization and why?
2. Who is the **advocate** for an M&E system?
3. What is motivating the champion to support the M&E effort?
4. Who will **own the system**?
5. Who will **benefit** from the system?
6. How much **information** is really required?
7. How will the system directly support **better resource allocation and the achievement of program goals**?
8. How will the organization, the champions, and the staff react to **negative information generated by the M&E system**?

9. Where does **capacity** exist to support a results-based M&E system?
10. How will the M&E system **link project, program, sector and national goals**? (only applicable if the focus is on a national M&E system).

▶ *UNDP (2011), Institutionalization of Monitoring and Evaluation Systems to Improve Public Sector Management, ECD Working Paper Series*

Evaluation culture is defined in this collection as “the existence of a **results or performance orientation** (in government). The focus lays on the development of a culture in the public sector “to encourage the supply of and demand for evaluative evidence to inform decision-making”. The first source quoted on the subject is the Furubo’s “9 criteria” for assessing evaluation culture.

According to the authors, people reject evaluations because they see them as punishment. This frame of mind must be changed. It is important to stress that in the new culture evaluations are not meant to disqualify institutions or programmes but to **improve them and maximize** their benefits. Evaluating becomes a necessary process for the **optimal use of state resources**.

Kuzmin argues in this book that although evaluation capacity building (ECB - equivalent to EC development in the EU) definitions vary, they can be seen as complementary rather than contradictory (Kuzmin 114). To describe the essence of ECB he summarized the key concepts presented in various definitions:

1. ECB is two-fold: it enhances both ‘ability to do’ (**potential**) and actual ‘doing’ (**practice**).
2. ECB is aimed at developing evaluation demand and supply.
3. ECB is aimed at increasing the use of evaluation and its results.
4. ECB requires development and implementation of evaluation systems.
5. ECB requires institutionalization of evaluation.
6. ECB could be and should be implemented at various levels: individual, group, organization, sector, nation.
7. ECB is linked to creation and development of professional evaluation organizations (associations).

As argued also in EVALSED and as taken over by the EC framework, Kuzmin says that **the development of a culture of evaluation and national expertise occurs through the process of institutionalization**. However, as also Toulemond and De Peuter&Pattyn remark, the question remains as to which should come first. In other words, **is the existence of an institutional framework a prerequisite for the existence of a culture of evaluation as we commonly understand it, involving established practices, being well-accepted, having a culture of presenting and distributing information on public action?** (Kuzmin 142).

According to Kuzmin, evaluation culture can be defined in the simplest terms as how evaluation is considered by key stakeholders in a particular context. It is also a process of ‘**reality construction**’ that allows these stakeholders to see and understand particular events, actions, objects or situations linked with evaluation in distinct ways. Paying attention to issues of culture helps to avoid viewing **it as a mechanical or engineered structure but rather as a product of the social interaction of several key actors** (Kuzmin 149).

Taking stock, at his turn, of existing literature, Kuzmin argues that several factors influence the development of an evaluation culture (Levine 1981; Toulemonde 2000; Haarich 2005):

- ▶ the political consensus about the objectives of the government,
- ▶ the concentration of services and the public and scientific life of major cities;
- ▶ the level of decentralization or federalism;
- ▶ the legal requirements of performing evaluations;
- ▶ the role of different government offices more or less interested in the development of evaluations;
- ▶ the existence of internationally funded projects (by the World Bank, for instance) that require the integration of evaluation in different policies;
- ▶ civil society;

- ▶ mass media; and
- ▶ the role of international professional networks.

For Boyle, Lemaire and Rist (1999:3) a friendly or favourable **environment** for development of evaluation has six dimensions:

1. the development and institutionalization of the social sciences;
2. the existence and maintenance of a trustworthy statistical apparatus;
3. the capacity to staff a national evaluation system;
4. the constitutional relationship between the executive and the legislative branches of the government;
5. the population and geographic size; and
6. the administrative distance from the centre to the periphery of the governmental system.

The different existence of these factors in dissimilar national contexts makes it difficult to find a pure 'culture of evaluation'. **This means that the diversity of culture in regions and countries is a permanent source of enrichment and social innovation and that evaluation practice, while getting mature, may escape from uniformity.**

What are the problems in the absence of an evaluation culture?

1. Institutional and political constraints are more difficult to overcome;
2. the struggle for adequate budgets demands extra energy;
3. the evaluator is closer to the image of a detective or a spy than a critical friend; and
4. it is more difficult for the evaluation to reflect local and regional priorities. (Kuzmin 154)

A deeply rooted culture of democratic evaluation at all administrative levels can help evaluation **practice** to fully produce its benefits. This would imply that public managers are prepared **to accept and publish reports that contain negative or disturbing conclusions** (Toulemonde 2000). This requires the media and politicians to use evaluations without distorting their conclusions. Another factor that could contribute to achieving this goal is the creation and consolidation of **national evaluation societies or associations**, which help to ensure recognition of evaluation as an integral part of democratic functioning.

- ▶ *Heider, C. A Conceptual Framework for Developing Evaluation Capacities: Building on Good Practice, in Influencing Change.*

Similar differentiations as EVALSED (between individual and higher levels) are made by Heider as regards capacity development: "The concept of capacity development began with a focus on training **individuals**. It evolved into **institutional** development when it was recognized that individuals worked within the context of their organizations and that more than training was therefore needed for them to be successful. It further evolved into **capacity development**, acknowledging that organizations do not work in isolation but require an enabling **environment** that consists of, among other components, of **policies, networks, and an attitude of engagement**. Capacity therefore goes beyond an individual or an organization. **Evaluation principles need to be integrated with measures that go beyond the individual to span the institutional framework and the enabling environment for evaluation.**"

While the enabling environment provides **a context that fosters (or hinders) the performance and results** of individuals and organizations, the institutional framework in which individuals work needs to provide a **system and structure** in which individuals can perform and attain results individually as well as collectively as an organization. At his/her turn, the individual has the **knowledge, skills, and competencies** that are essential to perform tasks and manage processes and relationships.

These elements: environment/context(/culture?) - institutions/system and structure - individual/knowledge, skills, and competencies articulated together bring results and performance.

According to Heider, the enabling environment for evaluation is determined by a **culture of learning and accountability**—that is, the degree to which **information about past performance is sought and the extent to which there is a drive to continuously improve and hold people responsible** for actions taken, resources spent, and results achieved. In such an environment, evaluation is understood to **help decision makers and implementers achieve common goals more efficiently and effectively**. Such a

culture is embedded in tacit **norms of behaviour**: the understanding of what can and should (and should not) be done. Behaviours are often modelled by **leaders**.

These norms should be codified in **government legislation or an evaluation policy** that expresses the **commitment of leadership** or the organization to learning, accountability, and evaluation principles. An enabling environment is also **supported by or created through governance structures that demand independent evaluation**, be it through parliaments or governing bodies, and enhanced through **professional associations and networks** that set **standards** and strive toward greater **professionalism** in evaluation.

The structural **independence of an evaluation function** is important to create an enabling environment: the evaluation function should not report to the person or function responsible for the policies, strategies, or operations being evaluated. Ideally, the enabling environment is such that **decision makers proactively demand impartial evaluations to inform their debates and choices, which increases the usefulness of evaluations**.

The institutional framework for evaluation ensures that a **system** exists to **implement and safeguard** the **independence, credibility, and utility** of the evaluation. Such a framework reduces the risk that declared commitments to independence are revoked by making systems more difficult to reverse without the agreement of all stakeholders. It also reduces the risk inherent in depending on individuals and their behaviour. Creating a system of checks and balances helps ensure accountability and protect individuals.

Even with structures and systems in place, the independence and impartiality of evaluation depends on the integrity and professionalism of individuals. The profession requires **limiting personal biases** to the extent possible. However, individual or intellectual independence depends on individuals, whose behaviour demonstrates adherence to and practice of the following evaluation principles: avoiding conflict of interest, acting with integrity and independence of mind, engaging in evaluations for which they are **competent**, acting impartially, and undertaking evaluations with a clear understanding of the clients and their decision-making process.

Heider further distils evaluation capacity, at each of the three levels, in “capabilities”. The starting point was a five-year project on capacity development (ECDPM 2008), which concluded that the following capacities needed to be developed:

- ▶ committing and engaging: developing volition, empowerment, motivation, attitude, and confidence
- ▶ carrying out technical, service delivery, and logistical tasks: performing core functions directed at the implementation of mandated goals
- ▶ relating to stakeholders and attracting resources and support: managing relationships, mobilizing resources, engaging in networking, building legitimacy, and protecting space
- ▶ adapting and engaging in self-renewal: learning, strategizing, adapting, repositioning, and managing change
- ▶ balancing coherence and diversity: encouraging innovation and stability, controlling fragmentation, managing complexity, and balancing the capability mix.

The enabling environment for evaluation needs to be committed to a culture of learning and accountability; to adopt an evaluation policy that is in line with the evaluation principles and legitimizes evaluation; and to use evaluation findings and insights in policy making, performance improvements, and organizational renewal. Such an environment accepts that the independence of evaluation, including its funding, needs to be safeguarded.

In a national context, doing so could entail embedding evaluation into legislation and government policy. Within an organization, the **institutional culture, evaluation policy, and resources for evaluation form the context in which an evaluation function operates**.

Table 24: Evaluation Principles and the Three Levels of Capacity

Level	Independence	Credibility	Utility
Enabling	▶ Culture of accountability and	▶ Provision of access to	▶ Attitude that entails

Level	Independence	Credibility	Utility
environment	<ul style="list-style-type: none"> ▶ learning ▶ Government legislation or evaluation policy ▶ Community of practice, networks, and associations for evaluation ▶ Governing or oversight body that seeks independent credible advice ▶ Structural independence 	<ul style="list-style-type: none"> ▶ information that facilitates credible evaluation 	<ul style="list-style-type: none"> ▶ intention to use evaluation findings and recommendations
Institutional framework	<ul style="list-style-type: none"> ▶ Institutionalized process of peer review to assess independence, credibility, and utility of the evaluation function ▶ Independent budget ▶ Impartial selection of evaluation subjects ▶ Independent planning and conduct ▶ Non interference in reporting of findings ▶ Measures to protect evaluators from repercussions ▶ Ethics guidelines ▶ Code of conduct 	<ul style="list-style-type: none"> ▶ Evaluation quality assurance system to ensure credibility, transparency, and impartiality ▶ Multidisciplinary evaluation team that works well together 	<ul style="list-style-type: none"> ▶ Understanding of the value of evaluation ▶ Consultation processes ▶ Timeliness of the evaluation ▶ Accessibility of the evaluation ▶ Active sharing of lessons from evaluation ▶ Utility of the evaluation, demonstrated by implementation of recommendations
Individual	<ul style="list-style-type: none"> ▶ Ethics guidelines ▶ Code of conduct ▶ Avoidance of conflict of interest ▶ Behavioral independence ▶ Integrity 	<ul style="list-style-type: none"> ▶ Competence (technical knowledge and evaluation skills) ▶ Impartiality 	<ul style="list-style-type: none"> ▶ Client orientation ▶ Communication ▶ Coordination with different stakeholders and ongoing processes

Table 25: Evaluation Capabilities at the Three Levels of Capacity

Capability	Enabling environment for evaluation	Institutional framework for evaluation	Evaluators, evaluation managers, and heads of evaluations units
Commit and engage	Culture of learning and accountability that empowers individuals and organizations to reflect on their practice, take stock of what works and what does not, and take necessary action	Commitment to evaluation principles and the motivation and attitude to follow through on them in daily practice	Commitment to evaluation principles, ethical guidelines, and code of conduct; attitude of independence and impartiality; motivation to conduct evaluations in a credible and useful way
Carry out technical, service delivery, and logistical tasks	Evaluation policy that codifies evaluation principles and good practice	Ability to conduct independent, credible, and utilizable evaluations to support organizational adaptation and renewal	Competence, from both an evaluation and a technical point of view, to conduct evaluations
Relate to stakeholders and attract	Legitimization of evaluation through evaluation policy and actions and recognition of	Ability to demonstrate legitimacy based on impartiality and credibility, to	Ability to conduct evaluations transparently and credibly and to relate to and communicate

resources and support	need to ensure adequate and independent funding	protect evaluation principles and standards and evaluators, and to generate adequate funding	with stakeholders
Adapt and self-renew	Recognition that evaluation plays a role in adaptation and self-renewal	Ability to make strategic choices about evaluation's engagement in organizational renewal and to relate evaluation findings to stakeholders to ensure learning; ability to frequently adapt and update evaluation methods and approaches	Ability to learn new evaluation skills
Balance coherence and diversity	Management of change, using evaluation evidence and recommendations when available; avoidance of fragmentation of systems for learning and accountability	Ability to ensure evaluation processes and approaches are systematic but flexible, to balance capabilities on the team, and to employ a mix of approaches to develop an evaluation culture	Ability to find the right balance between systematically applying evaluation guidelines and seeking opportunities for innovation

Placing Evaluation Capacities in the Context of Good Governance

The relationship between governance and evaluation is interdependent: **good governance creates an enabling environment for evaluation, and evaluation reinforces good governance.** Ideally, governments or chief executives of organizations seek independent, credible, and utilizable advice through an evaluation. **Demand for evaluation creates a strong enabling environment for evaluation.** In this case, decision makers demand feedback on the use of resources and the results achieved; through their demand for such information, they create an environment that enables **evaluative thinking and practice.** **Political and institutional power structures** can limit the environment in which evaluations are conducted, especially if vested interests resist evidence that might demonstrate the weaknesses of political choices. In these cases, it is important to counterbalance political power structures with **other stakeholders (civil society) and establish legislation** or an evaluation policy that legitimizes and commits the country or organization to the evaluation principles.

An environment that is unresponsive to, or even fearful of, evaluation may reflect **lack of understanding of how evaluation can improve decision making.** In these cases, the evaluation function needs to deliver credible, high-quality evaluations to demonstrate the value added of evaluation. In addition, it will be necessary to **explain** the role and usefulness of evaluation in the context of governance and performance of the organization as a whole. Incremental approaches are observed to be successful in gaining confidence and creating an environment that eventually **believes in the value of evaluation.**

- ▶ *Lopez-Acevedo, G. Krause, P. and Mackay, K. (2012), Building Better Policies. The Nuts and Bolts of Monitoring and Evaluation Systems, World Bank*

The most recent publication in the field connects evaluation culture to: *“performance management and evidence-based policy-making culture”* and to *“measurement-oriented “performance culture”*.

Analysing the case of Australia (one of the most advanced according to Furubo's set of criteria for assessing evaluation culture), the author identifies a series of possible reasons why a broader evaluation culture might not persist in a country, proving their importance otherwise.

Without intending to end our literature review and analysis on a negative note, we mention them here to be taken into account when distilling the elements of evaluation capacity vs. culture concepts:

- ▶ many departmental secretaries and their ministers are naturally disinclined to conduct evaluations. While positive evaluation findings are always welcome, adverse findings can pose significant political and reputational risks.

- ▶ the departure of key reform champions—not just reformist ministers, but also the leading champions of M&E in the central departments, who were either advised to retire or were moved to less influential positions. It is well known from other countries that the existence of such champions is a key factor for the creation and sustainability of a successful M&E system.
- ▶ the change in government in 1996. The new government believed the civil service to be caught up in red tape and inherently less efficient than the private sector.
- ▶ the new government also changed the entire policy process by: relying less on the civil service and much more on non-government sources of advice; substantially weakening the role of DoF, which had been the main guardian of fiscal rectitude; concentrating policy and budget decision making in the Prime Minister's Office; making many expenditure decisions after the end of the formal budget process; and basing many government decisions on ideological considerations, with relatively little attention to hard evidence such as M&E information.

This approach can perhaps be regarded as the **antithesis of evidence-based decision making**. It was considerably facilitated by the economic good fortune that Australia enjoyed as a result of **booming exports** (largely due to a very strong resource sector), and especially by the continuing high levels of **budget surplus**. Thus, just as difficult macroeconomic circumstances can provide a powerful motivator for public sector reform and for greater effort to be devoted to getting the most value from government spending, abundant prosperity can have the opposite effect by undermining these reforms.

Rather, the system was abolished for what were essentially ideological reasons, and government decision making came to rely much less on hard evidence about value for money from government spending.

Miscellaneous

- ▶ *Gellia T. Castillo, (2010), Evaluation, evaluators and evaluation culture, IRRI Discussion Paper Series 35*

An evaluation culture means that *attention* is being paid to a *system of generating information about the program and documenting events and progress so that useful evaluation can be made*. Evaluation keeps us focused on our intent and our route. Nowadays, participatory M&E has become fashionable where stakeholders are involved in developing and choosing indicators from their different perspectives and in assessing what has been achieved. The social learning process supposedly leads to improved program effectiveness and a sense of ownership among stakeholders.

When evaluation culture is underdeveloped, documentation for evaluation is inadequate, and empirical evidences of impact have yet to present themselves, evaluations rely mainly on authoritative judgments of the evaluators.

- ▶ *Conference of the American Evaluation Association (2008), Evaluation culture and evaluation policy as guides to practice: reflections on the Brazilian experience*

Culture can be understood as common beliefs and practices of a group of people, in other words, the integrated pattern of human knowledge, belief, and behaviour built around learning and transmitting knowledge to succeeding generations.

“Evaluation culture” is presently understood as an overall comprehension and acceptance in the realm of institutions, organizations and society in general, of evaluation importance, need, practice and utilization. In other words, when “evaluation culture” is present, there is a set of learned beliefs, values, styles and behaviours that makes evaluation welcome. Evaluation here does not threaten or condemn.

On the other hand, understanding policy as a deliberate plan of action to guide decisions and achieve rational outcome(s) “evaluation policy” is perceived as **a set of guidelines that establishes rules and procedures to properly conduct planning, implementation and utilization of evaluation, in all circumstances or levels of possible implementation**. However, such guidelines must be on one hand, directive enough to ensure consensus that is essential to achieve a common major purposes in a disciplined way. On the other hand, they must be flexible enough to respect diversity and pluralities of

interests among the various settings of evaluation conception and practice. Evaluation policies should be well documented and be transparent for both evaluator and evaluatee.

An "evaluation policy" must answer questions such as: "What makes up the evaluation? Who is responsible for what? What standards do we use? Thus an "evaluation policy" should contain: a clear explanation of the concept and role of evaluation; the adopted Evaluation Standards; clear definition of roles and responsibilities; emphasis on the need to operationalize the policy through evaluation guidelines; how evaluations are planned and implemented; mechanisms for the follow-up of evaluations; and the dissemination procedures for evaluations

Taking the above into account, we identify three categories: (1) evaluation without a guiding policy; (2) evaluation with a pre-determined policy designed by a small group, not submitted for wide and substantial discussion, nor using language accessible to specific groups, often lacking transparency and wide dissemination; (3) evaluation with a pre-determined policy designed in an open and collective manner, and widely disseminated.

It is important to point out that our experiences showed that the further one develops an evaluation culture the closer one approaches the third type of evaluation practice mentioned above.

Nevertheless, in situations where evaluation culture is not yet fully developed, **building evaluation policies in a collective way has been successful in promoting integration and commitment among stakeholders.** This result represents, indeed, a starting point to develop an evaluation culture.

Evaluation is usually a challenge to both evaluation and the evaluatee. As mentioned before, **presence of an evaluation culture facilitates facing this challenge; its absence frequently generates fear of evaluation. Although it is hard to frame an evaluation policy in a context of poor evaluation culture, there should necessarily be an effort from evaluators towards constructing a policy (e.g. as mentioned during the focus group, KAI 1.2 of POAT as such can be considered as "evaluation policy").**

Conflicts in the evaluative process emerge either **when principles and considerations are not clear to all involved or when they are violated.** Briefly, these conflicts appear in the form of evaluations of deteriorated quality, failure in identifying and involving stakeholders, and inadequate training of the evaluator, or results not fully utilized. **Conducting an evaluation without evaluation policy, in a field without evaluation culture, provokes chaos.**

In synthesis, collectively constructing an evaluation policy prevents misunderstandings, conflicts, and avoids inappropriate use of results, in other words, it avoids evaluation pain. **Moreover, evaluation culture emerges from the positive impact of the evaluation process, which must respect the values of the community or society involved.**

- ▶ Evaluation culture, policy and practice should work together:
- ▶ Evaluation policy has to be a public document;
- ▶ Evaluation policies have to be constructed in a participative way;
- ▶ Evaluation policies are a necessary guide to true evaluations;
- ▶ **Evaluation should not be developed in a community just because evaluators want to do it but only and solely when the community understands its importance and takes it on its own.**

- ▶ *Owen, J (2003), Evaluation culture: a definition and analysis of its development within organizations. Evaluation Journal of Australia, Vol.3*

An evaluation culture can be regarded as a commitment to roles for evaluation in decision-making within an organisation (Owen & McDonald 1999). This is systematic enquiry which is initiated and controlled by members of the organisation, and is carried out with the explicit purpose of contributing to the stock of its working knowledge. Enquiry of this nature is not undertaken routinely, but in response to the need for empirically based knowledge to contribute to issues regarded as strategic.

Key factors which lead to the institutionalisation of an evaluation culture, where institutionalisation is understood as "to make part of a structured and usually well-established system":

1. a joint and cohesive commitment from the operational managers to the introduction of internal evaluation to aid decision-making. The managers represented a 'cosmopolitan' externally

- focused managerial group, all had recent university training in the social sciences, and one had completed a master's degree in evaluation studies;
2. the operational managers knowing where to look for expert outside assistance for evaluation work, and the employment of external evaluators who had an empathy towards a pragmatic participatory/interactive form of evaluation;
 3. a high level of support from the executive manager. While a key factor in his support was that evaluation would provide information for internal decision-making, he was also motivated by the need to supply information to external audiences;
 4. the creation of an evaluation team which included a member of the EMA staff and the external evaluators who worked cooperatively to develop protocols which responded to the information needs of middle management within the organisation;
 5. communication to all staff about how evaluation could be used and how it might affect individuals. This was particularly important for the training staff, some of whom were concerned that evaluation was to be used in the assessment of their work. Communication involved a series of meetings with the external evaluation team, and continuous reinforcement by operational managers
 6. a decision taken by operational managers and the evaluation team to commence with an evaluation protocol which concentrated more on processes than outcomes. This decision was motivated by the need, in the first instance, to provide trainers with information that could be used to modify and refine the programs for which they were responsible;
 7. the creation of an internal committee to be responsible for receiving the findings of each evaluation. This was designed to emphasise that the organisation as a whole was responsible for receiving and making meaning of the findings, rather than individual trainers or managers;
 8. requiring staff training teams to use the findings to modify and refine the programs for which they were responsible. This was an attempt to change delivery practices without directly apportioning blame to an individual trainer;
 9. identification of barriers to collection of systematic data. This involved convincing some staff members that the findings from a well-designed evaluation protocol would provide additional and relevant information over and above that which they were already collecting through more ad hoc methods. Over time, objections of these members were overcome through tactics, such as asking them to 'armchair' instruments being developed and generally seeking them out to be sounding boards in the development of the evaluation protocol;
 10. developing an internal capacity for the routine analysis of evidence collected from participants in each training program being evaluated. This involved assigning some members of the secretarial staff to undertake data entry. In addition, and most importantly, the internal member of the evaluation team was given the responsibility of analysing this evidence and reporting it to the internal committee. To achieve this, the individual was provided with some technical assistance (for example on the use of the program Access) to prepare these reports;
 11. the decision, from 2002, to prepare a second protocol which concentrated on training outcomes. This protocol involves following up on participants some months after the conclusion of the program they attended. In 2003, online data capture techniques are being used for this follow-up. The primary audience for this report was the executive manager. This was a recognition:
 - ▶ that the executive manager needed to report 'up and out' and that conclusions about outcomes were expected as part of the reports he assembled
 - ▶ that there could be information which related to an individual staff member, and would need sensitive handling.

Evaluation Culture adapted to EU Funds and Cohesion Policy in Romania

The literature on evaluation culture in Romania is scarce, perhaps this being a first indication of its maturity level. We review under the key documents relevant for our analysis.

- ▶ *Curley, H. Perianu, E. (2006) Assessment on the evaluation culture in Romania,*

The analysis carried out by Curley&Perianu was based on the Evaluation Advisory Group's "9+3" criteria, the most advanced and, at the same time, relevant for Romania and evaluation discourse in 2006. We present here these criteria, mentioned several times in the previous sub-chapter:

- ▶ Criterion 1: Evaluation takes place in many policy domains
- ▶ Criterion 2: There is a supply of domestic evaluators in different disciplines
- ▶ Criterion 3: There is a national discourse concerning evaluation
- ▶ Criterion 4: There is a professional organization of evaluators
- ▶ Criterion 5: There is a degree of institutionalization of evaluation in Government
- ▶ Criterion 6: There is a degree of institutionalization of evaluation in Parliament
- ▶ Criterion 7: There is a pluralism of institutions or evaluators performing evaluations within each public intervention domain
- ▶ Criterion 8: There is an evaluation function within the Supreme Audit Institution
- ▶ Criterion 9: There is a proportion of outcome evaluations in relation to output or process evaluation
- ▶ Criterion 10: There is monitoring capacity
- ▶ Criterion 11: There is a diversity of evaluation: strategy, policy, programme, projects
- ▶ Criterion 12: There is an information flow within government relating to evaluation

As mentioned before, this set of 9+3 criteria for assessing the "evaluation capacity" is composed of the 9 criteria developed by Furubo&all for assessing the evaluation culture, to which criteria 10-12 were added by the EAG. Curley&Perianu grouped the 12 criteria into three categories:

- ▶ the current practice of evaluation (criteria 1, 3, 5, 6, 8, 9);
- ▶ the supply of evaluation services (criteria 2,4,7);
- ▶ criteria for candidate countries (criteria 10, 11, 12).

Curley&Perianu use this set of criteria without defining the concept of "evaluation culture" as such. However, their stated approach is across " a range of areas, namely:

- ▶ the level of awareness and mainstream thinking about evaluation;
- ▶ know-how of evaluation, including experience in commissioning, performing and using the results of evaluation projects (findings and recommendations);
- ▶ the level of demand for evaluation and supply of evaluators.

Although the assessment addresses the evaluation culture of the country as a whole, we present here its most relevant concluding points:

- ▶ evaluation has been a constantly developing practice for donor-funded programmes, but is still under-developed for the activities funded by the Romanian national budget;
- ▶ three main areas of further action can be identified: further development of the legal framework; preparing an adequate know-how base: methodologies, guidelines, publications and increasing the capacity of the public managers to manage the evaluation process;
- ▶ however, a series of initiatives for improving were in place in 2006 and the National Evaluation Strategy (NES) was perceived as an important vehicle that could bring together all of the disparate strands currently trying to drive evaluation and will make the case stronger if stakeholders are unified and in agreement;
- ▶ moving from a legalistic framework to a performance management framework is a necessary step if evaluations are to move away from mere reporting and become a tool for improvement. Experience suggests that such a process may take up a considerable amount of time.

► *National Evaluation Strategy, 2006*

The National evaluation Strategy 2007-2013 was designed with the stated overall aim that “there will be a functioning national evaluation system, the parts of which reinforce each other; encompassing the public and private sector and civil society; and contributing to the effective management of public interventions and the accountability of policy makers and public managers. There shall be recognition of the importance of evidence based policy making.”

This overall aim and the Strategy’s objectives (please see table under) were set up as the result of “juxtaposing the evaluation *culture* criteria with the *capacity* criteria” as presented in the EVALSED guide.

Operational objectives of NES

1. Evaluation **training** and HRD **resources** are available from various sources (civil service, private training providers, universities) service, private training providers, universities) and open to participants from within and without the public sector.
2. Professional **networks** are established to provide a medium for the exchange of ideas/good practice, professional development, the development of standards, etc. They will enjoy the participation of civil society as well as public service participants.
3. A **central government ‘resource’** will be created as a repository of evaluation expertise. It will promote good practice by networking across all departments.
4. There is **capacity** at all levels of government to commission or carry-out evaluations, and to know the right evaluation questions to ask.
5. Quality and appropriate **monitoring systems** are in place at all levels of government (local and central) and in any agency where public money is spent.
6. Evaluation is **integrated** into the procedures for the formulation, delivery and follow-up of all public interventions, regardless of funding lines. Documented **procedures** will ensure diligent follow-up of evaluation results/recommendations.

We can already state that these operational objectives contain both “capacity” elements (including the capacity “element” itself) and a “culture” nuance in the sixth objective.

► *Garboan, R. Sandor, s. (2007) Evaluation culture and capacity in Romanian public institutions, Transylvanian Review of Administrative Sciences, 19 e/2007, pp. 71-78*

This article does not bring significant added value to the information collected above - it puts together the Curley&Perianu assessment of the Romanian evaluation culture with the U.S. GAO 2003 handbook on evaluation capacity.

► *Analysis of the current evaluation system, Ministry of Finance/ECU, Romania 2011*

Although it does not specifically deal with capacity and/or culture, the 2011 ANALYSIS OF THE CURRENT EVALUATION SYSTEM carried out under the ECU coordination for the SIS in Romania constitutes at this moment a key source for our assessment. The analysis seems to follow the trend observed in the World Bank literature, and places at its core the concept of “system”.

The scope of the analysis was broad and addressed both the context of the Structural Instruments Evaluation System and its efficiency and effectiveness. Specifically, the analysis covered:

- Assessment of the general written framework for evaluation (regulatory, institutional and procedural evaluation set up)
- Analysis of the current profile, roles, tasks and resources of the evaluation function, highlighting the common points and departures from the general written framework and exploring the reasons for such departures
- Analysis on the performance of the current practice of planning and managing evaluations and using evaluation results, highlighting the bottlenecks of the processes and the quality of the results achieved within each of these processes.

- ▶ Lessons learnt by stakeholders involved in the first round of evaluations.
- ▶ Suggestions to improve the current practice and the existing general written framework for evaluation.
- ▶ Although focused on “system”, as mentioned above, the list above obviously addresses several core elements of the evaluation culture (i.e. use) and capacity concepts.

The main concluding points/recommendations of this analysis touch the very core of (building) evaluation capacity and culture and, as mentioned above, will be thoroughly taken into account by the current project:

1. Awareness raising actions are necessary for a better integration of evaluation to the decision making processes;
2. All evaluation reports should be published in their full content, and open, professional debates should be organized to discuss their results;
3. Evaluation units should be separated from other units in the MA-s, and they should be integrated more in the decision making process of the management;
4. A review should be carried out to analyze the data-needs of evaluations and the bottlenecks of the monitoring information system;
5. The early warning function of the monitoring system should be strengthened, making it able to trigger evaluations;
6. More flexible project implementation methods should be used, incorporating experiences of the first set of evaluations;
7. The experiences of the first set of evaluations should be internalized by the evaluation units by a managed learning and development process

One of the findings which is particularly relevant for our analysis in the light of the overall objective of KAI 1.2 of OPTA refers to the differences between the MAs in divers evaluation phases/elements/aspects e.g. degree of involvement of the ESC in the ToR preparation.

Annex 2 - Long list of elements related to the evaluation culture and capacity

Evaluation culture - key elements	Evaluation capacity - key elements
<ul style="list-style-type: none"> • Trust • the use of evaluation conclusions • the integration, almost everywhere, of evaluation into management strategies and practices • evaluation concerns all political fields, is used at all levels of government and administration, and is practiced by multiple competent evaluators who exchange their experiences and define their best practice within a professional society • a commitment to self-examination • a formal, regular process in place to plan, execute, and use information from evaluations • a commitment to learning through analysis and experimentation • the openness of the system to evidence and argument, depending on the existence of a • democratic and competitive political system and the • decentralisation of policy • the functional specialisation of policymakers • the educational and professional background of policy makers • a thriving social science community or communities and, within this, a university system that is hospitable to the social sciences • a sizeable group of social scientists who are interested in conducting policy-oriented research • the presence of institutions that bridge the academia-government gap • a "climate of rationality" and • the nature of the issues on the policy agenda, the characteristics of which will determine the extent to which they lend themselves to evaluation influence. In particular, the issues need to be ones where evaluators have worked and not issues that are emotive or highly-charged. • 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 • awareness of intrinsic value of evaluation • networking • political commitment • use • coverage of the policy spectrum • context-dependency • demand • legal embedding • ownership • demand and use of evaluation • a commitment to learning lessons and improvement • avoidance of a blame-culture which discourages learning • policy makers are committed to evidence based polices in the broadest sense • there is also a commitment to excellence, high standards and continuous improvement 	<ul style="list-style-type: none"> • evaluation culture—a commitment to self-examination • data quality • analytic expertise and • collaborative partnerships • a commitment to accountability and to improving program performance/to institutionalize an evaluation culture • improved administrative systems or turned to special data collections to obtain better quality data • external sources or development of staff/whatever expertise was needed to ensure the credibility of analyses and conclusions • "The ability of administrations to effectively organise and utilise timely, high-quality evaluations of EU-funded programmes." • Demand: capacity and commitment of governments to commission and use evaluation • Supply, referring to the necessary resources, skills and information infrastructures are available to effectively respond to demand pressures, more specifically methods and standards, information, financial resources and professional skills • architecture, referring to "how evaluation systems are organised and coordinated" • institutionalisation - evaluation utilisation and follow-up mechanisms or widely to an overarching factor which reflects the interaction of the other evaluation capacity development dimensions, and captures the extent to which evaluation forms an integral part of the policymaking process and of the business of government generally • the openness of the system to evidence and argument, depending on the existence of a democratic and competitive political system and the decentralisation of policy; • the functional specialisation of policymakers; i.e., when policy makers are specialised experts in their policy domain they will have been exposed to the "understandings and insights provided by evaluation"; • the educational and professional background of policy makers; in particular she argues that wherever law is the dominant profession of legislators and top civil servants, the "social sciences seem to fare relatively poorly"; • on the supply-side (or the "sending" side as she refers to it), the presence of a thriving social science community or communities and, within this, a university system that is hospitable to the social sciences; • again, on the supply-side, the availability of a sizeable group of social scientists who are interested in conducting policy-oriented research; • the presence of institutions that bridge the academia-government gap; • a "climate of rationality" and

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- evaluation is used as one element in a general move towards transparency and multiple accountabilities to citizens and communities as well as to Ministers and parliaments; and
 - the government and public sector is committed to continuous adaptation to becoming a learning organisation”
 - democratic political systems,
 - strong empirical traditions,
 - civil servants trained in the social sciences (as opposed to strict legal training), and
 - efficient administrative systems and institutions
 - shared set of values, conventions, or social practices about M&E
 - a positive M&E culture is where M&E is accepted, welcomed, encouraged and valued by all members of the team as an essential part of achieving implementation success
 - decisions made using clear evidence
 - information fed back to decision makers
 - consider M&E an important and useful management function
 - participate in M&E activities
 - M&E champions present
 - readiness to manage for results
 - use of a performance-based framework
 - the existence of a results or performance orientation (in government).
 - to encourage the supply of and demand for evaluative evidence to inform decision-making
 - how evaluation is considered by key stakeholders in a particular context.
 - a process of ‘reality construction’ that allows these stakeholders to see and understand particular events, actions, objects or situations linked with evaluation in distinct ways.
 - the political consensus about the objectives of the government,
 - the concentration of services and the public and scientific life of major cities;
 - the level of decentralization or federalism;
 - the legal requirements of performing evaluations;
 - the role of different government offices more or less interested in the development of evaluations;
 - the existence of internationally funded projects (by the World Bank, for instance) that require the integration of evaluation in different policies;
 - civil society;
 - mass media; and
 - the role of international professional networks.
 - the enabling environment for evaluation is determined by a culture of learning and accountability—the degree to which information about past performance is sought and the extent to which there is a drive to continuously improve and hold people responsible for actions taken, resources spent, and results achieved.
 - evaluation understood to help decision makers and implementers achieve common goals more efficiently and effectively.
 - government legislation or an evaluation policy that expresses the commitment of leadership or the
 - **the nature of the issues on the policy agenda, the characteristics of which will determine the extent to which they lend themselves to evaluation influence. In particular, the issues need to be ones where evaluators have worked and not issues that are emotive or highly-charged.**
 - “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
 - Organisational anchoring of evaluation function
 - Skills to perform evaluation
 - Quality instruments
 - Coupling with policy and management decisions
 - Diffusion and feedback mechanisms
 - Data collection mechanisms
 - Financial resources
 - HR volume (internal and external)
 - legal rules (e.g., regulating employment and procurement), normative assumptions (e.g., about equal opportunities or open competition), **governance** (e.g., democratic accountability and divisions of responsibility between tiers of government and civil society) as well as administrative and organisational arrangements (e.g., how ministries are structured and resourced).
 - people, experience and skill, recruitment, training, professional development (Individual level)
 - Organizational level:
 - Evaluation routinely undertaken;
 - **Evaluation findings are integrated into decision-making;**
 - **evaluation as important input to improve performance and manage for results;** regular flow of evaluations; follow-up procedures; accessible evidence base and an organisational memory.
 - inter-organizational level that bridges public and private bodies through networks, procedures and partnerships; and
 - coordination through a network of dedicated evaluation units or functions, consistency in evaluation; legislation, articulated policies and regulatory activity (e.g., audit or parliamentary reviews); well-defined market; **there is a culture of evaluation that values professional standards, independence, learning from experience and evidence based policy.**
 - **Societal level that embeds evaluative thinking in civil society including professional organizations - as well as in the public sector.**
 - dialogue between policy makers and evaluation specialists; evaluation community which shares a common ethos and standards; awareness of evaluation activity and outputs and a dissemination of reports and findings
 - Focus on national and sector levels, as well as central and local levels.
 - Development of concepts and tools, including capacities to keep score on development effectiveness, specification of project and program objectives and result chains, performance
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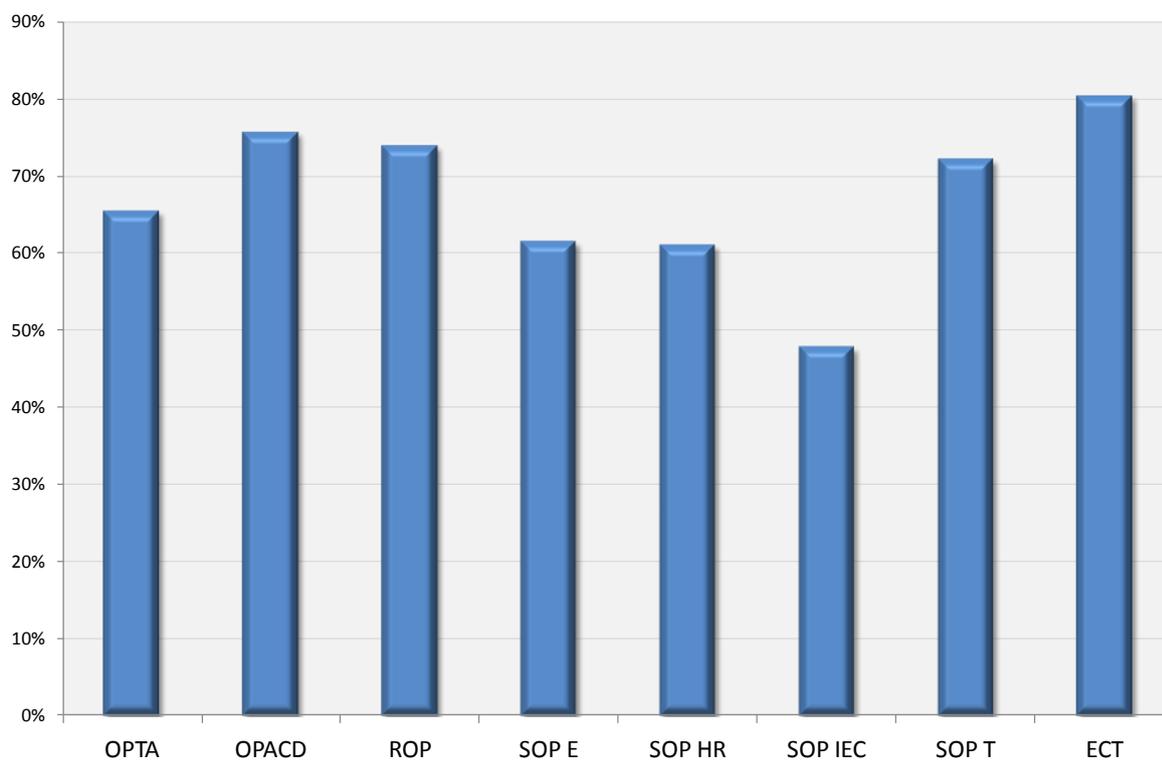
organization to learning, accountability, and evaluation principles.

- governance structures that demand independent evaluation, be it through parliaments or governing bodies, and enhanced through professional associations and networks that set standards and strive towards greater professionalism in evaluation.
- the structural independence of an evaluation function
- an institutional framework for evaluation which ensures that a system exists to implement and safeguard the independence, credibility, and utility of the evaluation.
- commitment to a culture of learning and accountability;
- an evaluation policy that is in line with the evaluation principles and legitimizes evaluation
- use evaluation findings and insights in policy making, performance improvements, and organizational renewal.
- independence of evaluation, including its funding, needs to be safeguarded
- good governance creates an enabling environment for evaluation, and evaluation reinforces good governance
- Demand for evaluation creates a strong enabling environment for evaluation
- believes in the value of evaluation.
- “performance management and evidence-based policy-making culture” and to “measurement-oriented “performance culture”.
- an overall comprehension and acceptance in the realm of institutions, organizations and society in general, of evaluation importance, need, practice and utilization.
- there is a set of learned beliefs, values, styles and behaviours that makes evaluation welcome. Evaluation here does not threaten or condemn.
- evaluation with a pre-determined policy designed in an open and collective manner, and widely disseminated
- the positive impact of the evaluation process, which must respect the values of the community or society involved
- a commitment to roles for evaluation in decision-making within an organisation
- systematic enquiry which is initiated and controlled by members of the organisation, and is carried out with the explicit purpose of contributing to the stock of its working knowledge
- not undertaken routinely, but in response to the need for empirically based knowledge to contribute to issues regarded as strategic.
- Evaluation as a compulsory item at the “call for proposal” level.
- Evaluation as a compulsory item in each of the proposed projects’ activities.

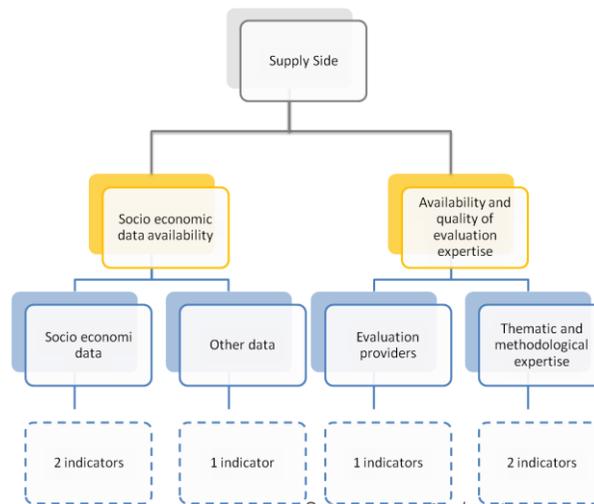
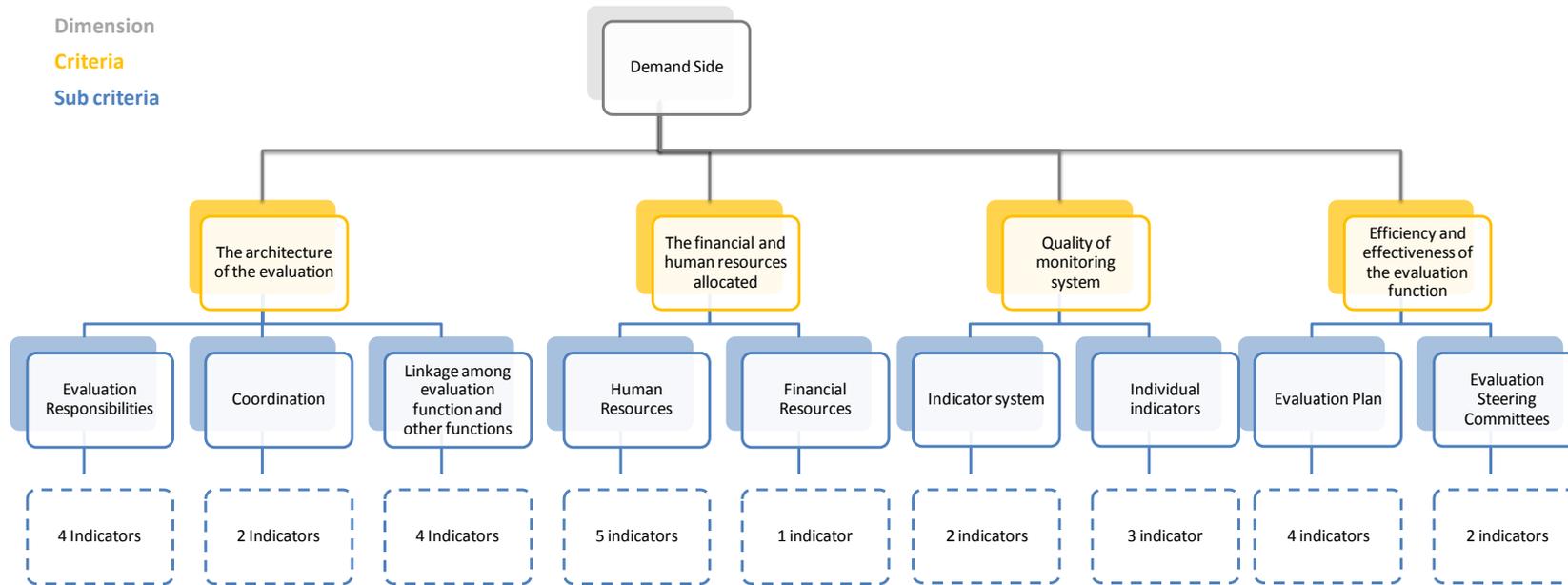
information (including basic data collection), program and project M&E, beneficiary assessment surveys, sector reviews, and performance auditing.

- **committing and engaging: developing volition, empowerment, motivation, attitude, and confidence**
 - carrying out technical, service delivery, and logistical tasks: performing core functions directed at the implementation of mandated goals
 - relating to stakeholders and attracting resources and support: managing relationships, mobilizing resources, engaging in networking, building legitimacy, and protecting space
 - adapting and engaging in self-renewal: **learning**, strategizing, adapting, repositioning, and managing change
 - balancing coherence and diversity: encouraging innovation and stability, controlling fragmentation, managing complexity, and balancing the capability mix.
-

Annex 3 - Analysis of results by Operational Program



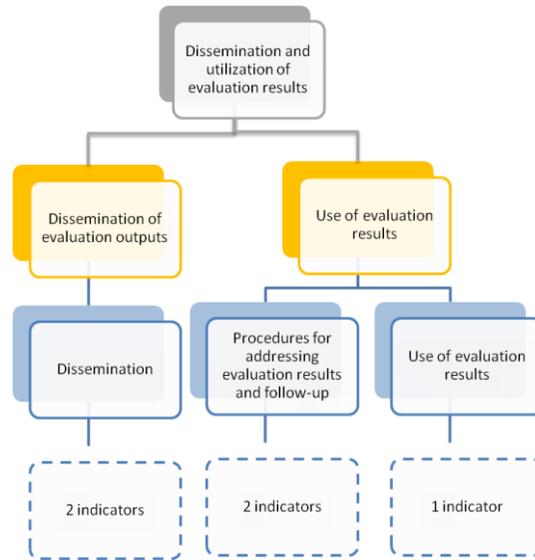
Annex 4 - Evaluation Culture and Evaluation Capacity Framework



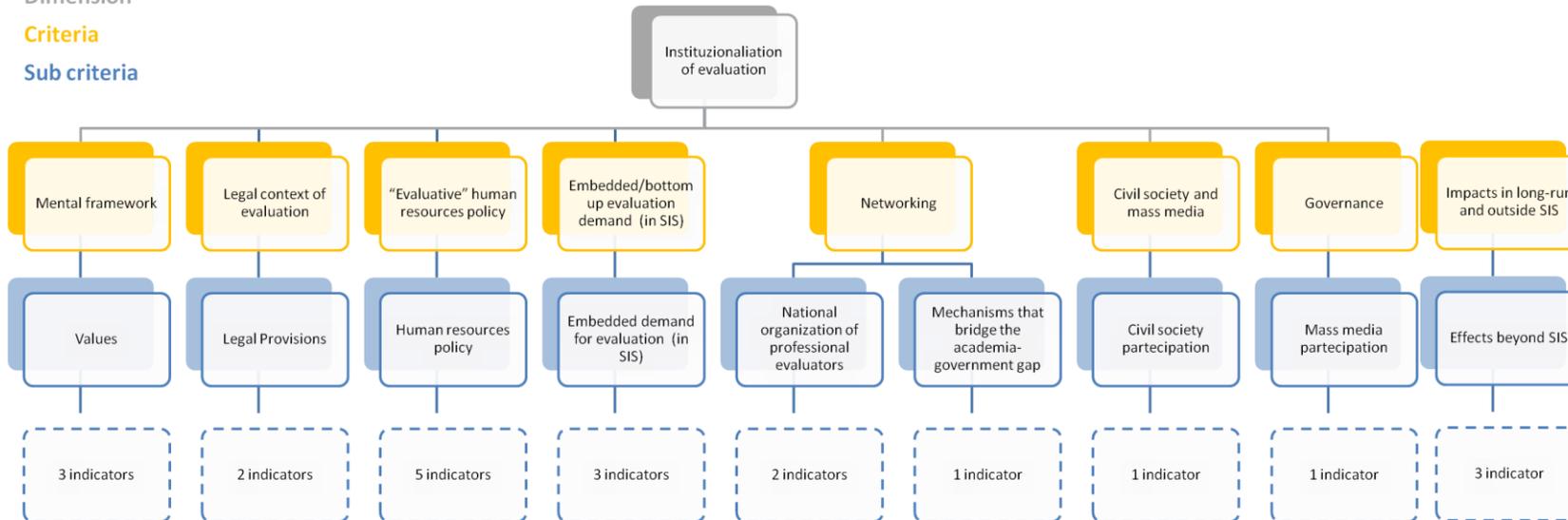
Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
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Dimension
Criteria
Sub criteria



Annex 5 - Top/Least performing indicators

SUB CRITERIA	INDICATORS	Contribution to ECI
Evaluation Responsibilities	1. Existence of dedicated Evaluation Functions	○
	2. The Evaluation Functions within the Managing Authorities are separate from other functions and report to the Head of the MA	○
	3. Existence of procedures/provisions which set up the mission, roles and tasks of Evaluation Functions with responsibility for evaluation within the managing authority/authorities	○
	4. The roles and the tasks of Evaluation Functions with responsibility for evaluation within the Managing Authorities are clearly assigned	○
Coordination	5. Existence of formal mechanisms for coordination among Evaluation Functions of different Programmes	○
	6. The coordination mechanisms among Evaluation Functions of Programmes are effective	○
Linkage among evaluation function and other functions	7. Existence of formal procedures linking evaluation to programming	○
	8. The cooperation between the evaluation and the programming functions is efficient and effective	○
	9. Existence of formal procedures linking monitoring to evaluation	●
	10. The cooperation between the evaluation and monitoring functions is efficient and effective	○
Financial	11. Evaluation budget share (%)	○
Human resources	12. Human resources allocated to Evaluation Function	○
	13. Staff turnover within the Evaluation Function	○
	14. Procedures in place to recruit the staff within the Evaluation Function	○
	15. Quality of the Evaluation staff competences and expertise	○
	16. Staff benefits from professional development actions deployed	○
Indicator systems	17. Quality of indicator system at Programme level	○
	18. Quality of indicator system at NSRF level	●
Individual indicators	19. Quality of individual indicators at OPTA/regional level	○
	20. Quality of individual indicators at NSRF/national level	●
	21. Average interval between monitoring period end (3/6 months) and availability of validated data for period in question	○
Evaluation Plan	22. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF	○
	23. Degree of accomplishment of Multi-Annual Evaluation Plans	○
	24. Average delay of evaluations according to the Annual Plan	○
	25. Plans are revised during the Programme implementation cycle, if necessary	○
Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP level)	○
	27. The activity developed by Evaluation Steering Committees is effective (OP level)	○
Involvement of Evaluation Units in decision-making	28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (OP level)	○

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SUB CRITERIA	INDICATORS	Contribution to ECI
process		
Terms of Reference	29. Overall quality of evaluation Terms of References	○
Mechanisms for Quality Assessment of evaluations	30. Existence of approved set of quality standards for evaluations	○
Learning process	31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the OP level	○
	31.bis OPTA Guidelines contribute to the improvement of learning process	○
Socio-economic data	32. Timely availability of key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level	○
Other data	33. Key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level are consistent with other sources	○
	34 Other necessary data for evaluation are available	●
Evaluation providers	35. Number of international firms active in the market	○
	36. Number of local firms active in the market	○
	37. Number of universities involved in the evaluation activities	●
	37.bis <i>Competitiveness of the evaluation market</i>	○
Thematic and methodological expertise	38. The supply side of evaluation has the required thematic and methodological expertise needed	○
	39. The evaluation reports produced meet quality standards	○
Dissemination of evaluation outputs	40. Evaluation reports publicly available (out of total available)	●
	41. Public events / debates organized to discuss evaluation results	●
	41.bis <i>OPTA dissemination activities contribute to the dissemination of evaluation outputs</i>	○
Procedures for addressing evaluation results and follow-up	42. 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)	○
	43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results	○
Use of evaluation results	44. Significant decisions triggered by evaluation results	○
Values	45. 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/ACSI) by policy makers	○
	46. 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/ACSI) - by management/executive staff	○
	47. Evaluation is independent (supply side)	○
Legal Provision	48. Existence of legal provisions regulating evaluation	○
	49. Existence of other legal provisions hampering, directly or indirectly evaluation practice (e.g. public procurement - to be scored with - minus)	●
Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)	○
	51. Civil servant, at all levels, participate widely and openly in evaluation activities	●
	52. Evaluation champion(s) is/are present	○

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SUB CRITERIA	INDICATORS	Contribution to ECI
	54. Existence of evaluation training/education options on the market	○
Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	●
	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (OP level)	○
	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF level)	○
National organization of professional evaluators	57. Existence of a strong national organization of professional evaluators	●
	57.bis Contribution of the organization to the creation of the network and the dissemination of best practise	●
Mechanisms that bridge the academia-government gap	58. Existence of a cooperation mechanisms between academia and government which lead to a better policy formulation	○
Civil Society participation	59. Civil Society actively participates in evaluation-related activities	●
Mass Media Participation	60. Degree of participation of mass media to public events related to evaluation and dissemination	●
Governance	61. World Bank Governance Index (<i>Voice and accountability, Political Stability, Government effectiveness, Regulatory quality, Rule of law, Control of corruption</i>)	○
Effects beyond SIS	62. Institutions involved in SIS, other than MAs and ACSI (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority) have internalized evaluation	○
	63. The integration, in all political fields, of evaluation into management strategies and practices	○
	64. The integration, at all levels of administration and government, of evaluation into management strategies and practices	○
EVALUATION CULTURE MEASUREMENT INDEX (ECI)		62,35%

- Positive contribution (Score achieved above the average score)
- Neutral contribution (Score achieved in line with the average score)
- Negative contribution (Score achieved below the average score)

Annex 6 - Contribution of KAI 1.2 projects to evaluation culture

CRITERIA	SUB CRITERIA	INDICATOR	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7	
			Capacity development for Cost-Benefit Analysis"	Conducting Evaluations for the period 2009-2010	"Evaluation Capacity Development for the Evaluation Units within MAs and ACIS"	Framework Agreement LOT 1	Framework Agreement LOT 2 - SC 1	Framework Agreement LOT 2 - SC 2	Training, conferences and seminars in the field of evaluation	
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Evaluation Responsibilities	1. Existence of dedicated Evaluation Functions (OP Level)			○		○			
		1. Existence of dedicated Evaluation Function (NSRF Level)			○		○			
		2. The Evaluation Functions within the Managing Authorities are separate from other functions and report to the Head of the MA			○		○			
		3. Existence of procedures/provisions which set up the mission, roles and tasks of Evaluation Functions with responsibility for evaluation within the managing authority/authorities			●		○			
		4. The roles and the tasks of Evaluation Functions with responsibility for evaluation within the Managing Authorities are clearly assigned			○		○			
	Coordination	5. Existence of formal mechanisms for coordination among Evaluation Functions of different Programmes			●		○			
		6. The coordination mechanisms among Evaluation Functions of Programmes are effective		○	●	○	○	○		
	Linkage among evaluation function and other functions	7. Existence of formal procedures linking evaluation to programming (OP Level)					○	○		
		8. The cooperation between the evaluation and the programming functions is efficient and effective (OP Level)					○	○		
		8. The cooperation between the evaluation and the programming functions is efficient and effective (NSRF Level)			○		○	○		
		9. Existence of formal procedures linking monitoring to evaluation (OP Level)					○	○		
		9. Existence of formal procedures linking monitoring to evaluation (NSRF Level)					○	○		
		10. The cooperation between the evaluation and monitoring functions is efficient and effective (OP Level)					○	○		
		10. The cooperation between the evaluation and monitoring functions is efficient and effective (NSRF Level)					○	○		
(2) The financial and human resources allocated to Evaluation under the NSRF	Financial	11. Evaluation budget share (%) (OP Level)					○			
		11. Evaluation budget share (%) (NSRF Level)					○			
	Human resources	12. Human resources allocated to Evaluation Function (OP Level)			○		○			
		12. Human resources allocated to Evaluation Function (NSRF Level)			○		○			
		13. Staff turnover within the Evaluation Function (OP Level)			○		○			
		13. Staff turnover within the Evaluation Function (NSRF Level)			○		○			

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CRITERIA	SUB CRITERIA	INDICATOR	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7	
		14. Procedures in place to recruit the staff within the Evaluation Function					○			
		15. Quality of the Evaluation staff competences and expertise (OP level)	○		○	○	○	○		
		15. Quality of the Evaluation staff competences and expertise (NSRF level)	○		○	○	○	○	○	
		16. Staff benefits from professional development actions deployed	○		○		○	○	○	
(3) Quality of monitoring system	Indicator systems	17. Quality of indicator system at Programme level		○		○	○			
		18. Quality of indicator system at NSRF/National level		○		○	○			
	Individual indicators	19. Quality of individual indicators at Programme level		○		○	○			
		20. Quality of individual indicators at NSRF/national level		○		○	○			
		21. Average interval between monitoring period end (3/6 months) and availability of validated data for period in question				○	○			
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan	22. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF			○		○			
		23. Degree of accomplishment of Multi-Annual Evaluation Plans		○	○		○			
		24. Average delay of evaluations according to the Annual Plan					○			
		25. Plans are revised during the Programme implementation cycle, if necessary			○		○			
		26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP Level)		○	○	○	○	○		
	Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (NSRF Level)		○	○	○	○	○	○	
		27. The activity developed by Evaluation Steering Committees is effective (OP Level)		○	○	○	○	○		
		27. The activity developed by Evaluation Steering Committees is effective (NSRF Level)		○	○	○	○	○	○	
	Involvement of Evaluation Units in decision-making process	28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (OP Level)				○		○	○	
		28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (NSRF Level)				○		○	○	
	Terms of Reference	29. Overall quality of evaluation Terms of References			○		○			
	Mechanisms for Quality Assessment of evaluations	30. Existence of approved set of quality standards for evaluations			○		○			
	Learning process	31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the OP level				○		○		
		31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the NSRF level				○		○		
	5) Socio-economic data are available and reliable	Socio-economic data	32. Timely availability of key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level					○		

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CRITERIA	SUB CRITERIA	INDICATOR	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7	
(6) Availability and quality of evaluation expertise		33. Key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level are consistent with other sources					○			
	Other data	34 Other necessary data for evaluation are available					○			
	Evaluation providers	35. Number of international firms active in the market			○		○	○		
		36. Number of local firms active in the market			○		○	○		
		37. Number of universities involved in the evaluation activities						○		
		37a. Competitiveness of the evaluation market			○		○	○		
Thematic and methodological expertises	38. The supply side of evaluation has the required thematic and methodological expertise needed			○		○	○			
	39. The evaluation reports produced meet quality standards			○		○	○			
(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available)			○		○	○		
		41. Public events / debates organized to discuss evaluation results	○	○	○	○	○	○		
		41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	○	○	○	○	○	○	○	
(8) Use of evaluation results	Procedures for addressing evaluation results and follow-up	42. 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)				○		○		
		42. 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)				○		○		
		43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results (OP Level)				○		○		
		43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results (NSRF Level)				○		○		
	Use of evaluation results	44. Significant decisions triggered by evaluation results (OP Level)			○	○		○		
		44. Significant decisions triggered by evaluation results (NSRF Level)			○	○		○		
(9) Mental framework	Values	45. 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/ACIS) by policy makers				○	○	○		
		46. 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/ACIS) - by management/executive staff				○	○	○		
		47. Evaluation is independent (supply side)					○			
(10) Legal context of evaluation	Legal provisions	48. Existence of legal provisions regulating evaluation					○			
		49. Existence of other legal provisions hampering, directly or indirectly evaluation practice					○			
(11) "Evaluative" human resources policy - targeted at	Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)					○		○	

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First measurement cycle

CRITERIA	SUB CRITERIA	INDICATOR	Project 1	Project 2	Project 3	Project 4	Project 5	Project 6	Project 7
ensuring adequate human resources, at all levels, for conducting evaluations		51. Civil servant, at all levels, participate widely and openly in evaluation activities			○		○	○	
		52. Evaluation champion(s) is/are present (National)			○		○	○	
		53. Evaluation champion(s) is/are present (Programme)			○		○	○	
		54. Existence of evaluation training/education options on the market					○		○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)			○		○	○	
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (OP Level)			○		○	○	
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF Level)		○	○	○	○	○	
(13) Networking	National organization of professional evaluators	57. Existence of a strong national organization of professional evaluators					○		
	Mechanisms that bridge the academia-government gap	58. Existence of a cooperation mechanisms between academia and government which lead to a better policy formulation					○		
(14) Civil society and mass media	Civil society participation	59. Civil Society actively participates in evaluation-related activities				○	○	○	
	Mass media participation	60. Degree of participation of mass media to public events related to evaluation and dissemination			○		○	○	
(15) Governance	58. Governance index (as further composed of 6 dimensions - 59 Governance index)	61. Governance index					○		
(16) Impacts in long-run and outside SIS	Effects beyond SIS	62. Institutions involved in SIS, other than MAs and ACIS (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority) have internalized evaluation					○	○	
		63. The integration, in all political fields, of evaluation into management strategies and practices					○	○	
		64. The integration, at all levels of administration and government, of evaluation into management strategies and practices					○	○	

○ The project has direct incidence on the indicator

○ The project has direct incidence on the indicator

Annex 7 - KAI 1.2 Project Fiches



Project: Capacity Development for Cost-Benefit Analysis (SMIS Code 34843)

Contracted Budget: EUR 856,456

Duration: 18 months

Status: Finalized

ANALYSIS OF PROJECT DESIGN

Internal Coherence: the general objective of the project is to improve the tools used in the decision making process regarding necessity and financing opportunity of investment projects and to ensure the professional development of stakeholders within the Structural Instruments system (MAs, IBs, Beneficiaries and potential Beneficiaries). This general objective is further declined in three specific objectives related respectively to:

- ▶ Evaluation of the efficiency and effectiveness of practical use of cost-benefit analysis in project appraisal;
- ▶ Assistance in addressing weaknesses identified, including alternative methods of evaluation;
- ▶ Facilitation of the improvement of knowledge in the field for all stakeholders;

Project activities are structured in a coherent manner around three components: (1) assessment of the current situation concerning the use of cost-benefit analysis in project appraisal as well as of available tools, (2) addressing identified weaknesses by developing appropriate methodologies to fill in the identified gaps and (3) development of stakeholders' capacity by means of organizations of trainings and workshops.

The outputs of the project, quantified by means of indicators, are consistent with the general and specific objectives and planned activities and consist in an evaluation report regarding efficiency and effectiveness of practices related to CBA, methodological tools (e.g. manuals, studies, guidelines), trained participants and workshop organization. These outputs are directly linked to the operational objective of KAI 1.2 „**Implementation of methodological assistance in relation to project evaluation**”:

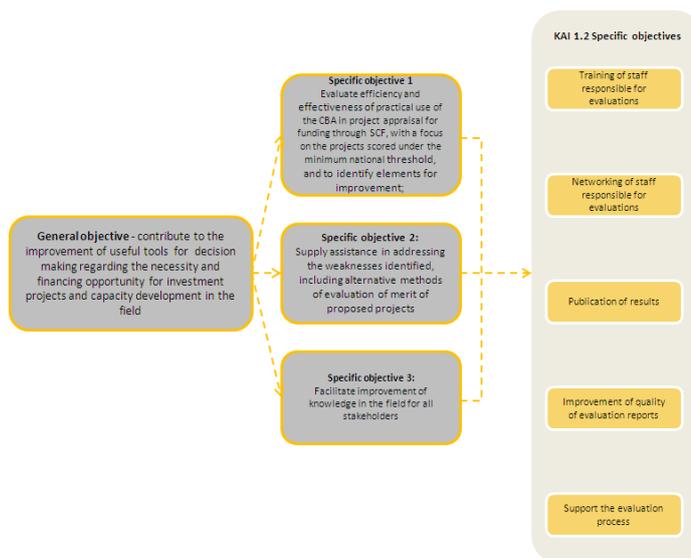
General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
Contribute to the improvement of the tools used for decision making regarding the necessity and financing opportunity of investment projects as well as capacity development in the field	Evaluate efficiency and effectiveness of practical use of the CBA in project appraisal for funding through Structural and Cohesion Fund with a focus on the projects scored under the minimum national threshold, and to identify elements for improvement;	<p><i>Component 1:</i></p> <ul style="list-style-type: none"> - Evaluation of efficiency and effectiveness in the CBA practice; - Improving current methodological framework; - Enhancing knowledge about specific provisions and regulations concerning funding of investment projects - Analysis of use of CBA in project appraisal; - Conclusions and recommendations regarding clarifications, updates, improvements and developments needed. 	<ul style="list-style-type: none"> - Evaluation report regarding efficiency and effectiveness of practices related to CBA, drafted; 	<ul style="list-style-type: none"> - Develop specific evaluation reports on specific issues
	2. To supply assistance in addressing the weaknesses identified, including alternative methods of evaluation of merit of proposed projects;	<p><i>Component 2: addressing the identified weaknesses</i></p> <ul style="list-style-type: none"> - Task1: Clarifying documents and case studies - Task2: providing alternatives to the economical analysis within the CBA; - Task3: Study regarding financial and social discount rates; - Task4: Study regarding the IRR; - Professional translation of the existent methodological framework 	<ul style="list-style-type: none"> - 10 clarifying documents/case studies on topics that need clarification - 2 Manuals regarding Cost Effectiveness Analysis and Multi-criteria Analysis respectively; - Study regarding financial and economic discount rates, drafted; - Study regarding the IRR, drafted; - EC Guide for Cost-Benefit Analysis of investment 	<ul style="list-style-type: none"> - Implement methodological assistance in relation to project evaluation

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
	3. Facilitate improvement of knowledge in the field for all stakeholders	<p><i>Component 3:</i> development of professional capacity for project appraisal;</p> <ul style="list-style-type: none"> - Task 1: Training sessions; - Task 2: Workshops on methods for project appraisal. 	<p>Projects, translated into Romanian;</p> <ul style="list-style-type: none"> - 300 trainees form the staff of the structural instruments management structures and potential beneficiaries, regarding CBA; - 8 Workshops for dissemination of results, organize 	<ul style="list-style-type: none"> - Implement methodological assistance in relation to project evaluation

External Consistency

According to EVALSED, the online resource of DG REGIO, providing guidance on the evaluation of socio-economic development with specific focus on EU Cohesion Policy, Cost-Benefit is presented as “tool for judging the advantages of the intervention from the point of view of all the groups concerned”.

In this perspective, despite the fact that the specific objectives of KAI 1.2 are linked to Programme evaluation rather than project evaluation (i.e. project appraisal in this case) the specific objectives of this project linked although indirectly to all the objectives of KAI 1.2



ANALYSIS OF OUTPUTS

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
0	1	2	3	4	5	6 = 5 / 4
Capacity development for Cost-Benefit Analysis						
1	Output	Simple	Studies, analysis, reports, strategies (nr)	3	3	100%
2	Output	Simple	Guidelines and other methodological documents (nr)	12	12	100%
5	Output	Composed	Participants' training days	1,200	1,225	102%
6	Output	Simple	Participants' training days - management structures	360	361	100%
7	Output	Simple	Participants' training days - beneficiaries (nr)	840	864	103%
Additional indicators:						
1	Output	Simple	Guidelines and other methodological documents translated (nr)	1	1	100%
2	Output	Simple	Communication and promotional events (nr)	8	8	100%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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: **(2) Financial and human resources allocated to Evaluation under the NSRF (Sub-Criteria Human Resources)** and **(7) Dissemination of evaluation outputs**:

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
"Capacity development for Cost-Benefit Analysis"			
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Coordination	5. Existence of formal mechanisms for coordination among Evaluation Functions of different Programmes	○
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	15. Quality of the Evaluation staff competences and expertise (OP level)	●
		15. Quality of the Evaluation staff competences and expertise (NSRF level)	●
		16. Staff benefits from professional development actions deployed	●
(6) Availability and quality of evaluation expertise	Evaluation providers	36. Number of local firms active in the market	○
	Thematic and methodological expertises	38. The supply side of evaluation has the required thematic and methodological expertise needed	○
(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available)	○
		41. Public events / debates organized to discuss evaluation results	○
		41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	○
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)	○
		54. Existence of evaluation training/education options on the market	○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	○

ANALYSIS OF TARGET GROUP:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES																	
		DEMAND SIDE												SUPPLY SIDE					
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS	USERS		OTHER STAKEHOLDERS					ER	IE	UNI			
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA				NIS		
1	Capacity Development for Cost-Benefit Analysis (SMIS Code 34843)																		
	ACIS	○		○															
	Managing Authorities		○			○		○											
	Intermediate Bodies																		
	Common Technical Secretariats																		
	Structural Instruments beneficiaries													○					
	Consultants, specialists using CBA																	○	○
	European Commission																		



Project: Conducting Evaluations for the Period 2009-2010 (SMIS Code 4534)

Contracted Budget: EUR 426,667

Duration: 18 months

Status: Finalized

ANALYSIS OF PROJECT DESIGN

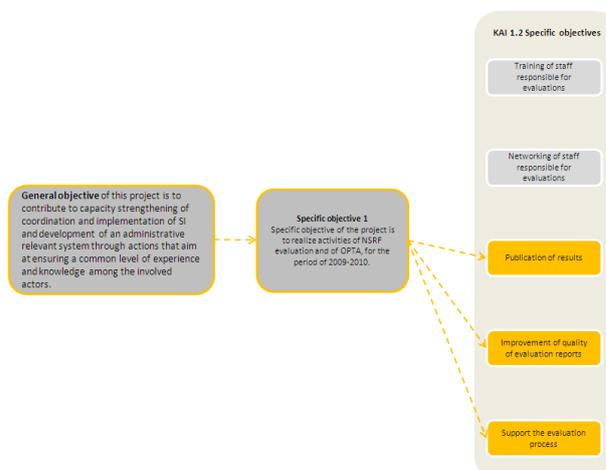
Internal Coherence: the objective of the project is to contribute to the strengthening of the capacity of coordination and implementation of Structural Instrument in Romania, by implementing evaluation activities at NSRF and OPTA level for the period 2009-2010. Consistently the planned activities and outputs of the project include a Formative Evaluation, the Interim Evaluation of the OPTA, a Synthesis report of interim evaluations at OP level and 2 ad-hoc evaluations. These outputs are directly linked to the operational objective of KAI 1.2 "Ongoing evaluations NDP, NSRF, OPTA", "Strategic and ad-hoc evaluations", "Publication of evaluation reports":

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
Contribute to the strengthening the capacity of coordination and implementation of Structural Instruments and development of an administrative relevant system through actions that aim at ensuring a common level of experience and knowledge among the stakeholders	Specific objective of the project is to implement evaluation activities at NSRF and OPTA level for the period of 2009-2010.	<i>Component 1:</i> drafting a Formative Evaluation of Structural Instruments in Romania;	One Formative Evaluation of Structural Instruments in Romania covering: 1. Real performance of Structural Instruments 2. Internal and external factors influencing performance 3. Support of technical assistance to the management and implementation of SI 4. Information and publicity measures 5. Adequacy of project pipelines and project appraisal	<ul style="list-style-type: none"> - Ongoing evaluations NDP, NSRF, OPTA - Develop grouped evaluation reports (meta evaluations) at national level - Strategic and ad-hoc evaluations - Publication of evaluation reports
		<i>Component 2:</i> other evaluations - OPTA interim evaluation; - Synthesis report of interim evaluations at OP level; - Ad-hoc evaluations	<ul style="list-style-type: none"> - One interim evaluation report for OPTA - One synthesis report - 1st ad-hoc - 2nd ad-hoc 	

External Consistency

The objectives of the project are highly coherent with those of KAI 1.2 and in particular with the following:

- ▶ Support to the evaluation process
- ▶ Improvement of the quality of evaluation reports
- ▶ Publication of results.



ANALYSIS OF OUTPUTS

In terms of outputs the project has exceeded the planned outcomes both in relation to the number of evaluations performed and in terms of the events aimed at exchange of experience in relation to the implementation of Structural Funds:

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
0	1	2	3	4	5	6 = 5 / 4
Conducting Evaluations for the period 2009-2010						
1	Output	Simple	Studies, analysis, reports, strategies (nr)	4	5	125%
2	Output	Simple	Events focused on exchanging experience on fund implementation and thematic aspects	4	5	125%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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 with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions), (3) Quality of monitoring system, (4) The evaluation function is efficient and effective (planning, management, quality control and learning), (6) Availability and quality of evaluation expertise, (7) Dissemination of evaluation outputs, (8) Use of evaluation results, (12) Embedded/bottom up evaluation demand (in SIS):**

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE	
Conducting Evaluations for the period 2009-2010				
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Coordination	6. The coordination mechanisms among Evaluation Functions of Programmes are effective		
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan	23. Degree of accomplishment of Multi-Annual Evaluation Plans		
	Evaluation Committees	Steering	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP Level)	
			26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (NSRF Level)	
	Evaluation Committees	Steering	27. The activity developed by Evaluation Steering Committees is effective (OP Level)	
			27. The activity developed by Evaluation Steering Committees is effective (NSRF Level)	

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
(6) Availability and quality of evaluation expertise	Evaluation providers	35. Number of international firms active in the market	○
		36. Number of local firms active in the market	○
		37a. Competitiveness of the evaluation market	○
	Thematic and methodological expertise	38. The supply side of evaluation has the required thematic and methodological expertise needed	○
		39. The evaluation reports produced meet quality standards	○
(7) Dissemination of evaluation outputs	Dissemination	41. Public events / debates organized to discuss evaluation results	○
		41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	○
(8) Use of evaluation results	Use of evaluation results	44. Significant decisions triggered by evaluation results (OP Level)	○
		44. Significant decisions triggered by evaluation results (NSRF Level)	○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF Level)	○
(14) Civil society and mass media	Mass media participation	60. Degree of participation of mass media to public events related to evaluation and dissemination	●

ANALYSIS OF TARGET GROUP:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES																
		DEMAND SIDE														SUPPLY SIDE		
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS		USERS		OTHER STAKEHOLDERS								
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI	
2	Conducting Evaluations for the Period 2009-2010 (SMIS Code 4534)																	
	CEU within ACIS	○																
	Evaluation Units within Mas		○			○												
	Members of the Evaluation Steering Committee																	
	Members of the Monitoring Committee																	
	Members of the National Coordination Committee									○								



Project: Evaluation Capacity development for the Evaluation Units within MAs and ACIS
(SMIS Code 5375)

Contracted Budget: EUR 496,889

Duration: 19 months

Status: Finalized

ANALYSIS OF PROJECT DESIGN

Internal Coherence: the general objective of the project is to contribute to development of adequate administrative system through actions aiming at setting up a common ground of experience and knowledge on evaluation. This general objective is detailed in three specific objectives, respectively:

- ▶ supply of technical assistance and training for improving the common framework for evaluation of the Structural instruments and the existent working tools;
- ▶ improving knowledge and skills for evaluation;
- ▶ enhancing awareness of the Monitoring Committee and NCC members regarding usefulness of evaluation in the implementation of the Ops and of the NSRF.

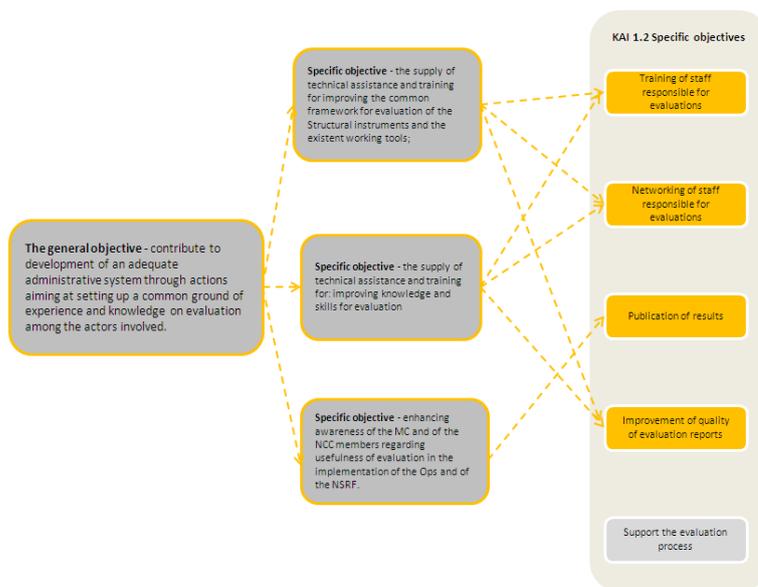
The specific objectives of the project are detailed coherently in terms of activities and outputs which are directly linked to the operational objectives of KAI 1.2 and in particular “Support the Evaluation Central Unit (ECU) and its activities, specifically those related to the Evaluation Working Group and Evaluation Steering Committees (ensuring staff, training, administrative costs related to organizing the meetings, etc.)”, “Implement specific methodological assistance and professional training sessions for staff responsible for evaluations within each MA to provide a common set of tools in the field”, Publication of evaluation results and dissemination of evaluation results:

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
The general objective of the project is to contribute to development of an adequate administrative system through actions aiming at setting up a common ground of experience and knowledge on evaluation among the actors involved.	The specific objective of the project is the supply of technical assistance and training for improving the common framework for evaluation of the Structural instruments and the existent working tools	<p><i>Component 1:</i> support for consolidation of the EWG, improving the Structural Instrument evaluation system, the standards, guides and procedures.</p> <p><i>Component 2:</i> support for the evaluation activities and coordination of activities related to evaluation of Structural Instruments.</p> <p><i>Component 4:</i> International Conference in the field of evaluation.</p>	<ul style="list-style-type: none"> - Current evaluation system analysis; - Proposals for improvement of the evaluation system - Updated translation of the Evalsed Guide; - Development of the ECU Library; - 16 EWG meetings organized; - EWG dedicated website developed; - One website maintenance manual; - Membership in networks/evaluation associations for 6 members of CEU. - Technical assistance delivered; - Paperback regarding the evaluation utility, elaborated and published in 1000 copies; - One international conference organized; 	<ul style="list-style-type: none"> - Support the Evaluation Central Unit (ECU) and its activities, specifically those related to the Evaluation Working Group and Evaluation Steering Committees (ensuring staff, training, administrative costs related to organizing the meetings, etc.) - Implement specific methodological assistance and professional training

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
	Improving knowledge and skills for evaluation;	<i>Component 3:</i> training programs in the field of evaluation Training programs for the EU within MAs and ACSI -TNA; -training sessions; -advanced evaluation manual Training programs for members of the ESCs -training sessions; -beginners' evaluation manual; Internships	<ul style="list-style-type: none"> – One report regarding the training needs assessment of Evaluation Units; – 10 days of training at advanced level for members of the EUs; – 6 training days for beginners for members of the ESCs; – One evaluation Manual of SI in Romania for advanced users of evaluation; – One evaluation Manual of SI in Romania for beginners; – 11 members of evaluation units that have participated at internship in evaluation units of other Member States; 	sessions for staff responsible for evaluations within each MA to provide a common set of tools in the field
	Enhancing awareness of the Monitoring Committee and of NCC members regarding usefulness of evaluation in the implementation of the Ops and of the NSRF.	<i>Component 5:</i> Rising awareness among the MC and NCC members regarding utility of evaluation in the OP implementation process, and of NSRF	<ul style="list-style-type: none"> – One hour presentations in the MCs of the 7 Ops; 	– Publication of evaluation results and dissemination of evaluation results

External Consistency

The specific objectives of this project are highly coherent with the specific objectives of KAI 1.2, focusing in particular on the building of evaluation capacity among stakeholders of Structural Instruments, their networking, the improvement of quality of evaluation reports. Dissemination of evaluation knowledge among policy makers (rather than strictly the publication of evaluation reports) is also addressed. The only specific objective not directly addressed is the support to the evaluation process, intended as drafting of evaluation reports.



ANALYSIS OF OUTPUTS

An analysis of the degree of achievement of output indicators show that the produced outcomes are substantially in line with the planned ones with the exception of the number of training days delivered and the number of technical assistance session provided:

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
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N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
0	1	2	3	4	5	6 = 5 / 4
Evaluation Capacity Development for the Evaluation Units within MAs and ACIS						
1	Output***	Simple	Studies, analysis, reports, strategies (nr)	2	2	100%
2	Output	Simple	Events focused on exchanging experience on fund implementation and thematic aspects	1	1	100%
3	Output	Simple	Guidelines and other methodological documents (nr)	3	4	133%
4	Output	Simple	Meetings of committees and relevant working groups (nr)	16	17	106%
5	Output	Composed	Participants' training days	480	390	81%
6	Output	Simple	Participants' training days - management structures (nr)	480	390	81%
Additional Indicators						
1	Output	Simple	number of technical assistance days provided	300	307	102%
2	Output	Simple	number of presentations within committees and relevant working groups	7	7	100%
3	Output	Simple	number of publications/subscriptions/books purchased	5	8	160%
4	Output	Simple	number of memberships in associations/networks	6	6	100%
5	Output	Simple	number of web pages implemented	1	1	100%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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 with specific regard to the linkage between Evaluation, Programming and monitoring (sub-criteria evaluation responsibilities, coordination), (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, (9) Mental framework, (11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations, (12) Embedded/bottom up evaluation demand (in SIS), (14) Civil society and mass media:**

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
Evaluation Capacity Development for the Evaluation Units within MAs and ACIS			
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Evaluation Responsibilities	1. Existence of dedicated Evaluation Functions (OP Level)	○
		1. Existence of dedicated Evaluation Function (NSRF Level)	○
		2. The Evaluation Functions within the Managing Authorities are separate from other functions and report to the Head of the MA	○
		3. Existence of procedures/provisions which set up the mission, roles and tasks of Evaluation Functions with responsibility for evaluation within the managing authority/authorities	●
	Coordination	4. The roles and the tasks of Evaluation Functions with responsibility for evaluation within the Managing Authorities are clearly assigned	○
		5. Existence of formal mechanisms for coordination among Evaluation Functions of different Programmes	●
	Linkage among evaluation function	6. The coordination mechanisms among Evaluation Functions of Programmes are effective	●
		8. The cooperation between the evaluation and the programming functions is efficient and effective (NSRF Level)	○

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

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

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

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
	and other functions		
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	12. Human resources allocated to Evaluation Function (OP Level)	○
		12. Human resources allocated to Evaluation Function (NSRF Level)	○
		13. Staff turnover within the Evaluation Function (OP Level)	○
		13. Staff turnover within the Evaluation Function (NSRF Level)	○
		15. Quality of the Evaluation staff competences and expertise (OP level)	○
		15. Quality of the Evaluation staff competences and expertise (NSRF level)	○
		16. Staff benefits from professional development actions deployed	○
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan	22. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF	○
		23. Degree of accomplishment of Multi-Annual Evaluation Plans	○
		25. Plans are revised during the Programme implementation cycle, if necessary	○
	Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP Level)	○
		26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (NSRF Level)	○
		27. The activity developed by Evaluation Steering Committees is effective (OP Level)	○
		27. The activity developed by Evaluation Steering Committees is effective (NSRF Level)	○
	Involvement of Evaluation Units in decision-making process	28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (OP Level)	○
		28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (NSRF Level)	○
	Terms of Reference	29. Overall quality of evaluation Terms of References	○
	Mechanisms for Quality Assessment of evaluations	30. Existence of approved set of quality standards for evaluations	○
	Learning process	31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the OP level	○
		31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the NSRF level	○
	(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available)
41. Public events / debates organized to discuss evaluation results			○
41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs			○

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

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
(8) Use of evaluation results	Procedures for addressing evaluation results and follow-up	42. 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)	○
		42. 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)	○
		43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results (OP Level)	○
		43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results (NSRF Level)	○
	Use of evaluation results	44. Significant decisions triggered by evaluation results (OP Level)	○
		44. Significant decisions triggered by evaluation results (NSRF Level)	○
(9) Mental framework	Values	45. 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/ACIS) by policy makers	○
		46. 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/ACIS) - by management/executive staff	○
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	51. Civil servant, at all levels, participate widely and openly in evaluation activities	○
		52. Evaluation champion(s) is/are present (National)	○
		53. Evaluation champion(s) is/are present (Programme)	○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	○
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (OP Level)	○
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF Level)	○
(14) Civil society and mass media	Mass media participation	60. Degree of participation of mass media to public events related to evaluation and dissemination	○

ANALYSIS OF TARGET GROUP:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES															
		DEMAND SIDE												SUPPLY SIDE			
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS		OTHER STAKEHOLDERS									
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI
3	Evaluation Capacity development for the Evaluation Units within MAs and ACIS (SMIS Code 5375)																
	CEU within ACIS	○															
	Evaluation Units within Mas		○		○												
	Members of the Evaluation Steering Committee																
	Members of the Monitoring Committee																
	Members of the National Coordination Committee									○							



Project: Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 1 - Evaluations, (SMIS Code 5375)

Contracted Budget: EUR 2,810,728

Duration: 57 months

Status: In implementation

ANALYSIS OF PROJECT DESIGN

Internal Coherence: the general objective of the “Framework Agreement for evaluating the Structural Instruments during 2011-2015” is to contribute to strengthening of the coordination capacity of Structural Instruments implementation as well to the improvement of quality, efficacy and consistency of financial assistance of OPs implementation strategy. The specific objective is to deliver technical assistance in performing research studies in the field of Structural Instruments. LOT 1 of the Framework Agreement finances the preparation of evaluation reports that are meta evaluations at national level and/ or thematic evaluations and/ or ex-ante evaluations and/ or continuous evaluations of NPD, NSRF, OPTA and/ or strategic evaluations and ad-hoc, etc. All the subsequent contracts financed under the Framework Agreement LOT 1 are highly coherent with the operational objectives of KAI 1.2.

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
General objective of this project is to contribute to strengthen the coordination capacity of Structural Instruments implementation as well to improvement of quality, efficacy, consistency of financial assistance of OPs implementation strategy.	Specific objective of the project is to deliver technical assistance in performing research studies in the field of SI.	Evaluation reports (meta evaluations at national level and/ or thematic evaluations and/ or ex-ante evaluations and/ or continuous evaluations of NPD, NSRF, OPTA and/ or strategic evaluations and ad-hoc, etc.) performed, published and disseminated	10 studies, analysis, reports, strategies (no.)	<ul style="list-style-type: none"> - Develop grouped evaluations reports (meta-evaluation) at national level - Develop specific evaluation reports on specific issues - Ex-ante evaluation of NDP, NSRF, and OPTA for the next programming period - Ongoing evaluations of the NDP, NSRF, OPTA - Strategic and ad-hoc assessments proposed by the ECU and approved by CNC or where appropriate by the Monitoring Committee - Publication of evaluation reports and dissemination of evaluation results.
SC n. 1: “Forecasting the absorption and evaluation of the options for reallocation of funds under 2007-2013 NSRF”				
The overall objective of this project is to contribute to the strengthening of the capacity of coordinating Structural Instruments and to the development of a relevant administrative system through actions aimed at ensuring a joint level of experience and knowledge among the stakeholders.	<ul style="list-style-type: none"> - Make available for decision-makers and policy-makers, as well as for Programme managers, relevant information and reliable analyses regarding the optimum financial course that SI should follow in order to maximize the absorption level by 2015 and to avoid and mitigate the automatic fund decommitment risk. - Focus on the information which may provide a significant contribution to the preparation of future programmatic documents related to the 2014-2020 period 	<p>Evaluation Questions:</p> <p>Q1. Which are the Priority Axes to record a low level of performance by the end of the programming period - 2015? Which are the Priority Axes to record a high level of performance by the end of the programming period - 2015? Is the common treatment of the programming periods 2007-2013 - 2014-2020, in strategic terms, likely to eliminate the danger of non-implementation of strategic objectives?</p> <p>Q2. Is there a danger of automatic decommitment of funds? If so, to what extent?</p> <p>Q3. Which is the probability for projects approved and contracted so far to reach the targets of indicators set out at NSRF level?</p> <p>Q4. Are the Programme interventions wide enough to meet the new strategy?</p>	<p>Deliverables:</p> <ul style="list-style-type: none"> - Set of data used to forecast absorption - An ad-hoc evaluation report “Forecasting the absorption and evaluation of options for reallocation of funds under 2007-2013 NSRF” - A meeting of the Managing Committee for Coordination of Structural Instruments will be organized exclusively for disseminating the evaluation results. 	<ul style="list-style-type: none"> - Ongoing evaluations of the NDP, NSRF and OPTA - Publication of evaluation reports and dissemination of evaluation results
SC no. 2: “ Evaluation of the absorption capacity of the Operational Program Technical Assistance”				
The overall objective of this evaluation is to improve the quality, effectiveness and coherence of the assistance by providing a thorough analysis of the absorption potential of OPTA and of the risk related to the non-use of the funds allocated for the program, by	<ul style="list-style-type: none"> - Support ACIS, the MA and OPTA Monitoring Committee in the quantification of the risk of non-absorption of the funds allocated for PA2 and PA3; - The identification and contribution to the reduction of deadlocks in the implementation of PA2 and PA3; - The analysis of the potential 	<p>Evaluation Questions:</p> <p>Q1. Before the end of the programming period, will all allocations to PA2 and PA3 be used in full, unless additional measures are adopted?</p> <p>Q2. To what extent and in what manner does the beneficiaries’ low capacity impact on the planning and management of the projects financed from PA2 and PA3? Which are the beneficiary’s tasks/responsibilities that</p>	<p>Deliverables:</p> <ul style="list-style-type: none"> - An evaluation report regarding the OPTA absorption capacity - A presentation of the evaluation results at the autumn meeting of OPTA MC. 	<ul style="list-style-type: none"> - Ongoing evaluations of the NDP, NSRF and OPTA - Publication of evaluation reports and dissemination of evaluation results

Subsequent Contract no. 1

Examination of the Evaluation Culture, SMIS 43465

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

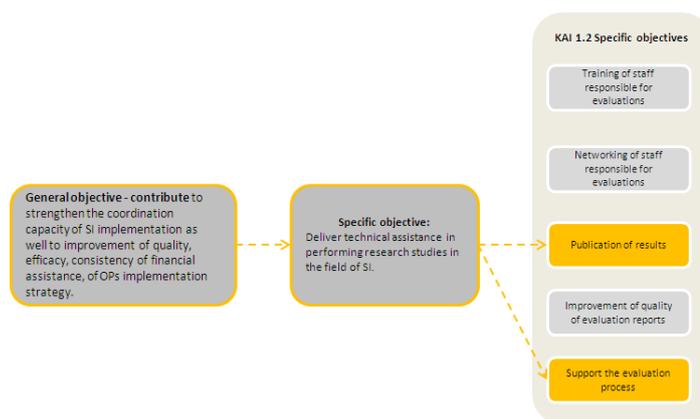
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Measurement report of evaluation culture in the context of EU Cohesion Policy in Romania
First measurement cycle

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
evaluating the danger of automatic decommitment of the funds during subsequent years and by making appropriate proposals for reallocation of the potential funds not used within the program or to other programs.	<p>for an increase in the demand for PA2 and PA3;</p> <ul style="list-style-type: none"> - The investigation of options for PA2 and PA3 reallocations; - The estimation of potential annual allocations to PA1 until 2013, in order to avoid automatic decommitment of OPTA funds; - The establishment of the possibility to include new eligible costs/new eligible activities/new eligible applicants, etc., for PA1 and for the proposal of additional interventions for inclusion in the program; - The evaluation of the reallocation need within OPTA and to other programs 	<p>can be outsourced?</p> <p>Q3. Are there changes related to the eligible costs/activities/applicants/target groups, etc., that can be included and could ensure the increase in the demand/absorption of funds from PA2 and PA3? If yes, will these significantly change the probability of full use of the financial allocations to PA2 and PA3 until the end of the programming period?</p> <p>Q4. What is the spending potential for PA1 funds in the following years, taking into consideration the avoidance of the automatic decommitment for OPTA?</p> <p>Q5. Are there new eligible costs/activities/applicants/target groups that might be added to the already eligible ones so as to ensure absorption increase for PA1?</p> <p>Q6. What are the options for reallocation of the funds not used and what would their effects be on the target indicators and on the overall and specific objectives of the program?</p>		
SC no. 3: "Examination of pre-financing rate applied to projects financed by Structural Instruments"				
The general objective of this project is to contribute to the consolidation of the coordination capacity for implementation of Structural Instruments and to the development of an adequate administrative system through actions aiming to ensure common level of experience and knowledge amongst the stakeholders.	Provide to decision makers, policy formulation stakeholders and programme managers, relevant information and reliable analyses related to the efficiency and effectiveness of pre-financing mechanism, location of beneficiaries, identified problems in accessing and utilization of pre-financing and optimum relationships within the pre-financing mechanism that ensure fast project implementation during the present and the following programming period.	<p>Evaluation Questions:</p> <p>Q1. Is the pre-financing scheme/mechanism aligned with its objective, as defined by NSRF/ Operational Program and the relevant regulation? Are there any alternatives that could better serve the same objective?</p> <p>Q2. How was the pre-financing scheme used by beneficiaries? Is the method used leading to the achievement of the pre-financing goals, as they are defined in the programming documents or in the legal provisions?</p> <p>Q3. Can any differences or changes in the use of the scheme be identified? To what extent can these differences and changes be attributed to internal factors or external factors?</p> <p>Q4. What are the optimum pre-financing rates for each type of project and beneficiary, so that the implementation process picks up pace? How would the new proposal impact the national budget?</p>	<p>Deliverables:</p> <ul style="list-style-type: none"> - Evaluation Report entitled "Examination of the Pre-Financing Rate for Beneficiaries of Structural Instruments" 	<ul style="list-style-type: none"> - Develop specific evaluation reports on specific issues - Publication of evaluation reports and dissemination of evaluation results
SC no. 4: "Evaluation of the way in which provisions regarding equal opportunities have been mainstreamed in Romanian Framework of Structural Instruments"				
General objective of this evaluation is to make an analysis regarding the way in which the principle of equal opportunities has been transposed / mainstreamed in all phases of Cohesion Policy Programmes in Romania - policy co-financed by ESF, ERDF and CF.	<ul style="list-style-type: none"> - Offering a reference framework of trends, policies and agreements, included in European and national framework. - Transposition of policies and legal obligations regarding anti discrimination, accessibility and gender equality, in coherent rules and procedures for implementation which are in compliance with relevant regulations. - Mainstreaming European Agreement and Cohesion Policy objectives in relation to anti discrimination, accessibility and gender equality of vulnerable groups in implementing rules and institutional aspects. - Defining targeted/ special interventions orientated towards improving the opportunities of vulnerable groups and in assisting beneficiaries to comply with relevant norms, for the present programming period and for the future one. 	<p>Evaluation Questions:</p> <p>Q1. What are the relevant areas/topics of Structural Instruments regarding equal opportunities? Which is the national legal framework regarding the issue of equal opportunities? Are there any European policies referring to equal opportunities that have not been transposed in the national legislation?</p> <p>Q2. How have the European and national policies been implemented in the various phases of Cohesion Policy Programmes, co-financed by ESF, ERDF, CF in Romania? What other topics, relevant to equal opportunities have been promoted/ mainstreamed in different OPs? Is it possible to identify best practices pertaining to the promotion/ mainstreaming of topics relevant to equal opportunities through Structural Instruments?</p> <p>Q3. To what extent have existing programming and implementation mechanisms provided access to financing sources for people identified as being part of vulnerable groups?</p> <p>Q4. Which are the specific projects aimed towards or dedicated to vulnerable groups (targeted interventions)? Which of these targeted interventions have been identified as (potential) best practices?</p>	<p>Deliverables:</p> <ul style="list-style-type: none"> - An "Evaluation report regarding the way in which the stipulations regarding equal opportunities have been transposed in Romanian Framework of Structural Instruments". 	<ul style="list-style-type: none"> - Develop specific evaluation reports on specific issues - Publication of evaluation reports and dissemination of evaluation results

External Consistency

The objectives of LOT 1 of the Framework Agreement are consistent with the specific objectives of KAI 1.2 as expressed in terms of "Support to the evaluation process" and "Publication of evaluation results"



ANALYSIS OF OUTPUTS

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
0	1	2	3	4	5	6 = 5 / 4
Framework Agreement LOT 1						
1	Output	Simple	Studies, analysis, reports, strategies (nr)	10	2	20%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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 with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions), (2) The financial and human resources allocated to Evaluation under the NSRF, (3) Quality of monitoring system, (4) The evaluation function is efficient and effective (planning, management, quality control and learning), (6) Availability and quality of evaluation expertise, (7) Dissemination of evaluation outputs, (12) Embedded/bottom up evaluation demand (in SIS), (14) Civil society and mass media:

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
Projects for Framework Contract in the field of evaluation Lot 1			
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Coordination	6. The coordination mechanisms among Evaluation Functions of Programmes are effective	○
	Linkage among evaluation function and other functions	7. Existence of formal procedures linking evaluation to programming (OP Level)	○
		8. The cooperation between the evaluation and the programming functions is efficient and effective (OP Level)	○
		8. The cooperation between the evaluation and the programming functions is efficient and effective (NSRF Level)	○
		9. Existence of formal procedures linking monitoring to evaluation (OP Level)	○
		9. Existence of formal procedures linking monitoring to evaluation (NSRF Level)	○
		10. The cooperation between the evaluation and monitoring functions is efficient and effective (OP Level)	○

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
		10. The cooperation between the evaluation and monitoring functions is efficient and effective (NSRF Level)	○
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	15. Quality of the Evaluation staff competences and expertise (OP level)	○
		15. Quality of the Evaluation staff competences and expertise (NSRF level)	○
(3) Quality of monitoring system	Indicator systems	17. Quality of indicator system at Programme level	○
		18. Quality of indicator system at NSRF/National level	○
	Individual indicators	19. Quality of individual indicators at Programme level	○
		20. Quality of individual indicators at NSRF/national level	○
		21. Average interval between monitoring period end (3/6 months) and availability of validated data for period in question	○
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP Level)	○
		26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (NSRF Level)	○
		27. The activity developed by Evaluation Steering Committees is effective (OP Level)	○
		27. The activity developed by Evaluation Steering Committees is effective (NSRF Level)	○
(6) Availability and quality of evaluation expertise	Evaluation providers	35. Number of international firms active in the market	○
		36. Number of local firms active in the market	○
		37a. Competitiveness of the evaluation market	○
	Thematic and methodological expertise	38. The supply side of evaluation has the required thematic and methodological expertise needed	○
		39. The evaluation reports produced meet quality standards	○
(7) Dissemination of evaluation outputs	Dissemination	41. Public events / debates organized to discuss evaluation results	○
		41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF Level)	○
(14) Civil society and mass media	Civil society participation	59. Civil Society actively participates in evaluation-related activities	○

ANALYSIS OF TARGET GROUP

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES															
		DEMAND SIDE														SUPPLY SIDE	
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS		USERS		OTHER STAKEHOLDERS							
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI
4	Framework Agreement for evaluating the Structural Instruments during 20EE- 20ES. Lot E - Evaluations, (SMIS Code 5375)																
	ACIS			○													
	Managing Authorities						○										
	Intermediate Bodies																
	Common Technical Secretariats																
	Personnel of other structures involved in SIS evaluation		○														
	Potential beneficiaries of SI: public administration, business, NGOs, the academic and research areas													○			



2011-2015, Lot 2 - Capacity Building in the Field of Evaluation, SC n.1 Examination of the evaluation culture
Contracted Budget: EUR 193,397
Duration: 30 months
Status: In implementation

ANALYSIS OF PROJECT DESIGN

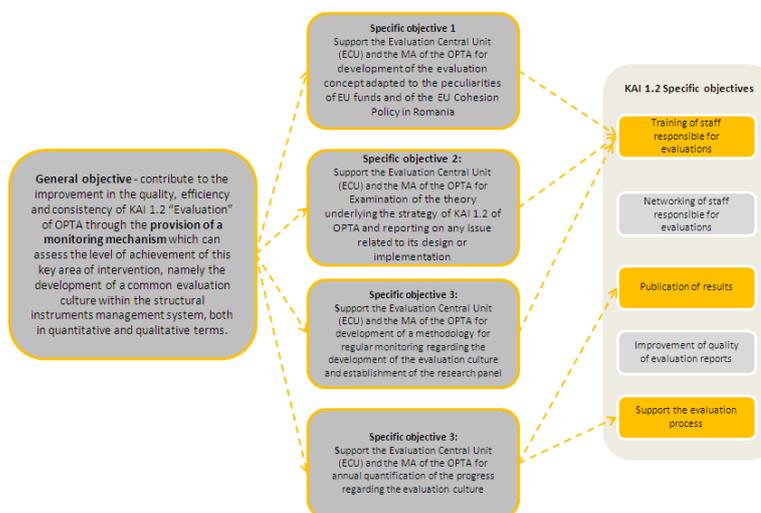
Internal Coherence

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
The general objective of the project is to contribute to the improvement of the quality, effectiveness and consistency of KAI 1.2 „Evaluation” of OPTA through supply of a mechanism that can assess the degree of achievement of the KAI objectives, respectively, developing a common evaluation culture within SIS, both quantitatively and qualitatively	Development of the evaluation concept adapted to the peculiarities of EU funds and of the EU Cohesion Policy in Romania;	1. Development of the evaluation culture concept	Definition of evaluation culture and its dimensions and development of methodology for the measurement of evaluation culture	<ul style="list-style-type: none"> - Specific methodological assistance and professional training sessions for staff responsible for evaluation within each MA to provide a common set of tools in the field - Develop specific evaluation reports on specific issues - Publication of evaluation reports and dissemination of evaluation results
	Examination of the theory underlying the strategy of KAI 1.2 of OPTA and reporting on any issue related to its design or implementation;	2. Examination of the theory underlying KAI 1.2 “Evaluation”		
	Development of a methodology for regular monitoring regarding the development of the evaluation culture and establishment of the research panel;	3.1 Development of the methodology for annual measurement of evaluation culture	Elaboration of three annual reports on evaluation culture describing the state and progress of the evaluation culture of cohesion policies in Romania and an assessment of the implementation of KAI 1.2 and its results. Presentation of the results of the reports on evaluation culture in the framework of meetings with relevant stakeholders	
	Annual quantification of the progress regarding the evaluation culture.	3.2 Annual measurement of evaluation culture 4. Annual reporting on evaluation culture		

External Consistency

The general objective of this project addresses directly the general objective of KAI 1.2 that is the development of a common culture of evaluation in the framework of the management system of EU Funds. The specific objectives of KAI 1.2 directly addressed are:

- **training activities of staff** in terms of development of an evaluation culture concept, analysis of the strategy of KAI 1.2 and methodology for



- measurement of evaluation culture;
- **support to the evaluation process**, by development of the annual measurements reports on evaluation culture
 - **publication of results**, or more broadly their dissemination in terms of presentation of the results of the reports on evaluation culture in the framework of meetings with relevant stakeholders
 - **networking of staff**, mainly in relation to the implementation mechanism of KAI 1.2, given that the Evaluation Working Group is acting as Evaluation Steering Committee of the project;
 - **improvement of the quality of evaluation reports**, as the ultimate result of the improvement of the evaluation culture within the system of Structural Instruments.

ANALYSIS OF OUTPUTS

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
Examination of Evaluation Culture						
1	Output	Simple	Studies, analysis, reports, strategies (nr)	3	-	0%
2	Output	Simple	Guidelines and other methodological documents (nr)	1	1	100%
Additional Indicators:						
1	Output	Simple	Events for the presentation, explanation and sharing of results	3	-	0%

ANALYSIS OF RESULTS

In terms of contribution to the creation of evaluation culture, the project is linked indirectly to all the criteria, sub-criteria and indicators of the index.

ANALYSIS OF TARGET GROUPS:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E,2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES															
		DEMAND SIDE											SUPPLY SIDE				
		NATIONAL STRATEGY LEVEL			INVOLVED IN PROCESS		USERS		OTHER STAKEHOLDERS								
		CEU	EWG	ACIS OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI	
5	Framework Agreement for the Evaluation of Structural Instruments during 20EE-20E5, Lot 2 - Capacity Building in the Field of Evaluation SC n.E Examination of the evaluation culture																
	Policy makers in Romania																
	Officials from the various structures in charge of SI management in Romania (ACIS, MA, MC, ESC, AA, CPA)																
	governance																
	Evaluation supply side																



Project: Framework Agreement for the Evaluation of Structural Instruments during 2011- 2015, Lot 2 - Capacity Building in the Field of Evaluation, SC n. 2- Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania
Contracted Budget: EUR 284,674
Duration: 24 months
Status: In implementation

ANALYSIS OF PROJECT DESIGN

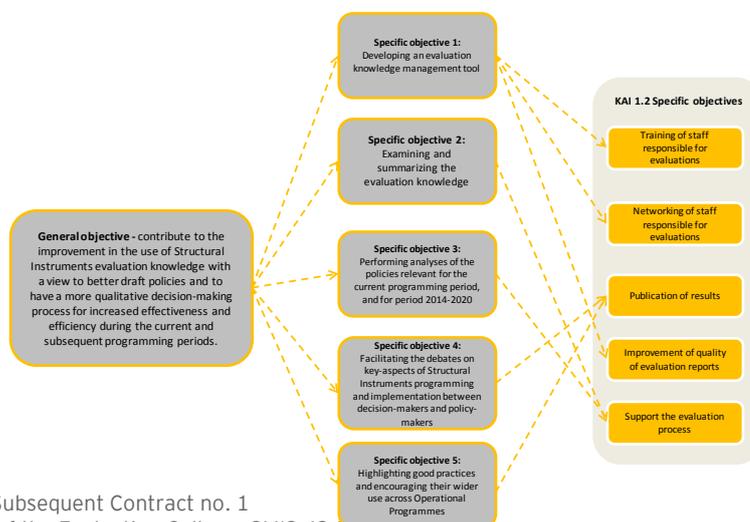
Internal Coherence

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
The overall objective of this project is to contribute to the improvement in the use of Structural Instruments evaluation knowledge with a view to better draft policies and to have a more qualitative decision-making process for increased effectiveness and efficiency during the current and subsequent programming periods.	Support the Central Evaluation Unit in strengthening the use of evaluation in the decision-making and policy-making process by:			-
	- developing an evaluation knowledge management tool	Activity 1: - Creation of an evaluation knowledge management tool; - Compilation and facilitation of the debates on the Nomenclature within the Evaluation Work Group - Processing existing Evaluation Reports for knowledge management purposes; - Development of the cross-reference function on the EWG website; - Development of standard format for the Evaluation Report to allow the creation of links; - Provision of hotline services for the evaluators to use the knowledge management tool; the requests for support may be initiated by evaluators by phone or by email; - Development of a Guideline on the evaluation of knowledge management and the facilitation of debates on it within the Evaluation Work Group.	- A proposal for nomenclature requested under Activity 1 to be included in the Inception Report; - A standard format of the evaluation report, allowing to make connections; - A guideline for managing evaluation results; - Cross-reference function of the developed EWG webpage	- Implement a specific methodological assistance and professional training
	- Examining and summarizing the evaluation knowledge	Activity 2: - Processing and using evaluation evidence	- Processed evaluation reports for the evaluation evidence management; - A number of summaries and policy analyses upon request.	- Develop grouped evaluation reports (meta-evaluation) at national level
	- Performing analyses of the policies relevant for the current programming period, and for period 2014-2020	Activity 3: - Facilitating the debates of policy and decision makers on key issues regarding the Structural Instruments, disseminating good practices and encouraging their wider use across the Operational Programmes	- Hotline services for evaluators using the evaluation report's standard format, upon request; - A number of communication events (around 10), upon request.	- Publication of evaluation reports and dissemination of evaluation
	- Facilitating the debates on key-aspects of Structural Instruments programming and implementation between decision-makers and policy-makers			
	- Highlighting good practices and encouraging their wider use across Operational Programmes.			

External Consistency

The objectives of the project are highly coherent with the specific objectives of KAI 1.2 all of which are being addressed:

- **publication of results** and more broadly public debates aimed at the discussion of evaluation findings.



ANALYSIS OF OUTPUTS

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania						
1	Output	Simple	Studies, analysis, reports, strategies (nr)	2	-	0%
2	Output	Simple	Guidelines and other methodological documents (nr)	1	-	0%
Additional indicators:						
1	Output	Simple	evaluation reports processed in order to manage evaluation results	17	-	0%
2	Output	Simple	cross-reference function of the EWG webpage	1	-	0%
3	Input	Simple	hotline services for evaluators using the standard format of evaluation report (man/days)	62	-	0%
3	Output	Simple	events for the presentation, explanation and sharing of results	10	-	0%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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 with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions), (2) The financial and human resources allocated to Evaluation under the NSRF, (4) The evaluation function is efficient and effective (planning, management, quality control and learning), (4) The evaluation function is efficient and effective (planning, management, quality control and learning), (7) Dissemination of evaluation outputs, (9) Mental framework, (11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations, (12) Embedded/bottom up evaluation demand (in SIS), (14) Civil society and mass media, 16) Impacts in long-run and outside SIS.**

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
Lot 2 -" Capacity Building in the Field of Evaluation - SC2 - Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania"			
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Coordination	6. The coordination mechanisms among Evaluation Functions of Programmes are effective	○
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	15. Quality of the Evaluation staff competences and expertise (OP level)	○
		15. Quality of the Evaluation staff competences and expertise (NSRF level)	○
		16. Staff benefits from professional development actions deployed	○
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (OP Level)	○
		26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned (NSRF Level)	○
		27. The activity developed by Evaluation Steering Committees is effective (NSRF Level)	○

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

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Involvement of Evaluation Units in decision-making process	28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (OP Level)	○
		28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme (NSRF Level)	○
(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available)	●
		41. Public events / debates organized to discuss evaluation results	●
		41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	●
(9) Mental framework	Values	45. 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/ACIS) by policy makers	●
		46. 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/ACIS) - by management/executive staff	●
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	51. Civil servant, at all levels, participate widely and openly in evaluation activities	○
		52. Evaluation champion(s) is/are present (National)	○
		53. Evaluation champion(s) is/are present (Programme)	○
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	○
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (OP Level)	○
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation) (NSRF Level)	○
(14) Civil society and mass media	Civil society participation	59. Civil Society actively participates in evaluation-related activities	○
	Mass media participation	60. Degree of participation of mass media to public events related to evaluation and dissemination	○
16) Impacts in long-run and outside SIS	Effects beyond SIS	62. Institutions involved in SIS, other than MAs and ACIS (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority) have internalized evaluation	○
		63. The integration, in all political fields, of evaluation into management strategies and practices	○
		64. The integration, at all levels of administration and government, of evaluation into management strategies and practices	○

ANALYSIS OF TARGET GROUP:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES															
		DEMAND SIDE														SUPPLY SIDE	
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS		USERS		OTHER STAKEHOLDERS							
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI
6	Framework Agreement for the Evaluation of Structural Instruments during 2007-2013, Lot 2 - Capacity Building in the Field of Evaluation SC n. 2-Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania																
	Policy makers in Romania															○	
	Officials from the various structures in charge of SI management in Romania (ACIS, MA, MC, ESC, AA, CPA)														○	○	



Project: Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation”

Contracted Budget: EUR 122,074

Duration: 37 months

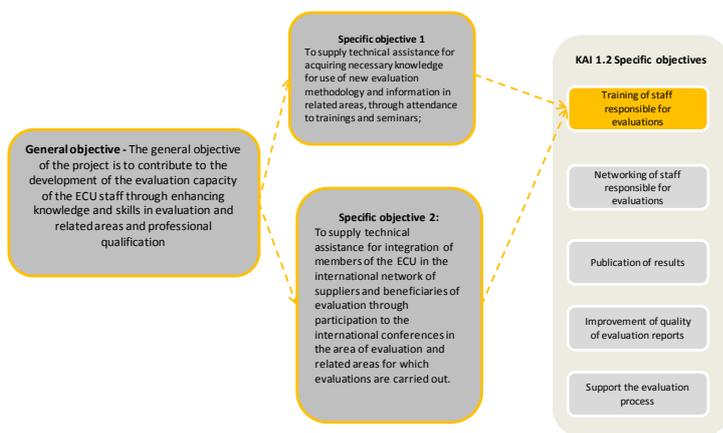
Status: In implementation

ANALYSIS OF PROJECT DESIGN

Internal Coherence

General objective	Specific objectives	Activities planned	Outputs	Link to KAI 1.2 Operational Objectives
The general objective of the project is to contribute to the development of the evaluation capacity of the ECU staff through enhancing knowledge and skills in evaluation and related areas and professional qualification	The specific objective of the project is to supply technical assistance for:			
	<ul style="list-style-type: none"> - acquiring necessary knowledge for use of new evaluation methodology and information in related areas, through attendance to trainings and seminars; - integration of members of the ECU in the international network of suppliers and beneficiaries of evaluation through participation to the international conferences in the area of evaluation and related areas for which evaluations are carried out. 	<p>Activity 2: Ensuring participation of ECU personnel to seminars and training courses in the field of evaluation and in related areas..</p> <p>Activity 1: Ensuring attendance to conferences in the field of evaluation of ECU personnel for improvement of networking and knowledge regarding the methods and techniques for evaluation used in the international environment</p>	<p>Participation of ECU personnel to conferences, seminars and courses in the field of evaluation and in related areas so as to contribute to a common evaluation culture. Participant days = 180 Networking events and trainings in evaluation and related areas attended = 12</p>	<ul style="list-style-type: none"> - Supporting the ECU and its activities, specifically those related to the Evaluation Working Group and the Evaluation Steering Committee

External Consistency



ANALYSIS OF OUTPUTS

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation						
5	Output	Composed	Participants' training days	180	8	4%

N.	Category of indicator	Type of indicator	Indicator	Target Value	Achieved value	Degree of achievement
6	Output	Simple	Participants' training days - management structures (nr)	180	8	4%
Additional indicators						
1	Output	Simple	number of participations to events for the improvement of networking and knowledge in evaluation and related fields	12	2	17%

ANALYSIS OF RESULTS

Based on the analysis of the project documentation and interview with the officer in charge of KAI 1.2, we have identified the 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: **(2) Financial and human resources allocated to Evaluation under the NSRF (Sub-Criteria Human Resources) and (7) Dissemination of evaluation outputs, (11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations.**

CRITERIA	SUB CRITERIA	INDICATOR	INCIDENCE
Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation			
(2) The financial and human resources allocated to Evaluation under the NSRF	Human resources	15. Quality of the Evaluation staff competences and expertise (NSRF level)	○
		16. Staff benefits from professional development actions deployed	○
(7) Dissemination of evaluation outputs	Dissemination	41a. OPTA Dissemination activities contribute to the dissemination of evaluation outputs	○
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)	○
		54. Existence of evaluation training/education options on the market	○

ANALYSIS OF TARGET GROUP:

N.	BENEFICIARIES / TARGET GROUPS OF KAI E.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES															
		DEMAND SIDE														SUPPLY SIDE	
		NATIONAL STRATEGY LEVEL				INVOLVED IN PROCESS		USERS		OTHER STAKEHOLDERS							
		CEU	EWG	ACIS	OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI
7	Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation"	○															
	CEU within ACIS	○															

Annex 8- Detailed analysis of the coherence of KAI 1.2

Dimension 1: EVALUATION CAPACITY: DEMAND SIDE (including both individual and institutional level)

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
EVALUATION CAPACITY: DEMAND SIDE							
(1) The architecture of Evaluation with specific regard to the linkage between Evaluation, Programming and monitoring (responsibilities, coordination, linkage with other functions)	Evaluation Responsibilities	1. Existence of dedicated Evaluation Functions				○	
		2. The Evaluation Functions within the Managing Authorities are separate from other functions and report to the Head of the MA				○	
		3. Existence of procedures/provisions which set up the mission, roles and tasks of Evaluation Functions with responsibility for evaluation within the managing authority/authorities				○	
		4. The roles and the tasks of Evaluation Functions with responsibility for evaluation within the Managing Authorities are clearly assigned				○	
	Coordination	5. Existence of formal mechanisms for coordination among Evaluation Functions of different Programmes		○			
		6. The coordination mechanisms among Evaluation Functions of Programmes are effective		○			
	Linkage among evaluation function and other functions	7. Existence of formal procedures linking evaluation to programming				○	
		8. The cooperation between the evaluation and the programming functions is efficient and effective				○	

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

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			INDICATIVE OPERATIONS				
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
		9. Existence of formal procedures linking monitoring to evaluation				○	
		10. The cooperation between the evaluation and monitoring functions is efficient and effective				○	
(2) The financial and human resources allocated to Evaluation under the NSRF	Financial	11. Evaluation budget share (%)					
	Human resources	12. Human resources allocated to Evaluation Function					
		13. Staff turnover within the Evaluation Function					
		14. Procedures in place to recruit the staff within the Evaluation Function				○	
		15. Quality of the Evaluation staff competences and expertise	○				
		16. Staff benefits from professional development actions deployed	○				
(3) Quality of monitoring system	Indicator systems	17. Quality of indicator system at Programme level				○	
		18. Quality of indicator system at NSRF/National level				○	
	Individual indicators	19. Quality of individual indicators at Programme level				○	
		20. Quality of individual indicators at NSRF/national level				○	

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

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
		21. Average interval between monitoring period end (3/6 months) and availability of validated data for period in question					
(4) The evaluation function is efficient and effective (planning, management, quality control and learning)	Evaluation Plan	22. Existence of multi-annual and annual Evaluation Plans at the level of Operational Programme and NSRF		○		○	
		23. Degree of accomplishment of Multi-Annual Evaluation Plans		○		○	○
		24. Average delay of evaluations according to the Annual Plan		○		○	○
		25. Plans are revised during the Programme implementation cycle, if necessary				○	
	Evaluation Steering Committees	26. Evaluation Steering Committees are in place and their roles and responsibilities are clearly assigned				○	
		27. The activity developed by Evaluation Steering Committees is effective				○	
	Involvement of Evaluation Units in decision-making process	28. Existence of a formalized process for the involvement of Evaluation Units in MA decision-making process related to the Programme				○	
	Terms of Reference	29. Overall quality of evaluation Terms of References				○	
	Mechanisms for Quality Assessment of evaluations	30. Existence of approved set of quality standards for evaluations				○	
	Learning process	31. Internal procedures related to evaluations (design/implementation/use) are regularly updated as a result of the experience gathered at the OP level				○	

Dimension 2: EVALUATION CAPACITY: SUPPLY SIDE

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			INDICATIVE OPERATIONS				
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
EVALUATION CAPACITY: SUPPLY SIDE							
5) Socio-economic data are available and reliable	Socio-economic data	32. Timely availability of key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level					
		33. Key socio-economic indicator data (GDP, employment, unemployment, R&D investment) at national and regional (NUTS II) level are consistent with other sources					
	Other data	34 Other necessary data for evaluation are available				○	
(6) Availability and quality of evaluation expertise	Evaluation providers	35. Number of international firms active in the market					
		36. Number of local firms active in the market					
		37. Number of universities involved in the evaluation activities					
	Thematic and methodological expertise	38. The supply side of evaluation has the required thematic and methodological expertise needed					
		39. The evaluation reports produced meet quality standards					

Dimension 3: EVALUATION CULTURE: DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			INDICATIVE OPERATIONS				
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
EVALUATION CULTURE: DISSEMINATION AND UTILIZATION OF EVALUATION RESULTS							
(7) Dissemination of evaluation outputs	Dissemination	40. Evaluation reports publicly available (out of total available)			○	○	○
		41. Public events / debates organized to discuss evaluation results			○	○	○
(8) Use of evaluation results	Procedures for addressing evaluation results and follow-up	42. 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)		○		○	
		43. A decision-making Monitoring/Coordination Committee/ Managing Authority responsible is following-up the evaluation results		○		○	
	Use of evaluation results	44. Significant decisions triggered by evaluation results					

Dimension 4 - EVALUATION CULTURE: INSTITUTIONALIZATION OF EVALUATION/EVALUATION CULTURE - TO WHAT EXTENT IS EVALUATION EMBEDDED IN GOVERNANCE OF SIS AND HAS FURTHER IMPACTS?

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			INDICATIVE OPERATIONS				
			Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee
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	Values	45. 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/ACSI) by policy makers	○		○	○	
		46. 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/ACSI) - by management/executive staff	○		○	○	
		47. Evaluation is independent (supply side)				○	
(10) Legal context of evaluation	Legal provisions	48. Existence of legal provisions regulating evaluation				○	
		49. Existence of other legal provisions hampering, directly or indirectly evaluation practice					
(11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting evaluations	Human resources policy	50. Civil servants, at all levels, are trained in social sciences (as opposed to strict legal training)					
		51. Civil servant, at all levels, participate widely and openly in evaluation activities					
		52. Evaluation champion(s) is/are present (NSRF)				○	
		53. Evaluation champion(s) is/are present (MA)				○	

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

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2					
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process	
			INDICATIVE OPERATIONS					
		54. Existence of evaluation training/education options on the market						
(12) Embedded/bottom up evaluation demand (in SIS)	Embedded demand for evaluation (in SIS)	55. There is significant demand for evaluation (all types/all levels)	○	○		○		■
		56. Evaluation is triggered in response to the need for empirically based knowledge (not as an obligation)	○	○		○		
(13) Networking	National organization of professional evaluators	57. Existence of a strong national organization of professional evaluators						■
	Mechanisms that bridge the academia-government gap	58. Existence of a cooperation mechanisms between academia and government which lead to a better policy formulation						
(14) Civil society and mass media	Civil society participation	59. Civil Society actively participates in evaluation-related activities						
	Mass media participation	60. Degree of participation of mass media to public events related to evaluation and dissemination			○			
(15) Governance	Governance index	61. Governance index						
IMPACT BEYOND SIS MANAGEMENT SYSTEM (POINTS 12 AND 13 BEING AT CROSSROAD BETWEEN THE TWO, IT ENABLES BUT IT IS A RESULT OF IT TOO)								
(16) Impacts in long-run and outside SIS	Effects beyond SIS	62. Institutions involved in SIS, other than MAs and ACSI (IB's, Beneficiaries, Audit Authority, Certification and Paying Authority) have internalized evaluation			○	○		■

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

CRITERIA	SUB CRITERIA	INDICATOR	SPECIFIC OBJECTIVES OF KAI 1.2				
			Training of staff responsible for evaluations	Networking of staff responsible for evaluations	Publication of results	Improvement of quality of evaluation reports	Support the evaluation process
			INDICATIVE OPERATIONS				
		Specific methodological assistance and professional training sessions; Support ECU activities, specially related to EWG and ESC	Support ECU activities, specially related to EWG and ESC	Publication of evaluation reports and dissemination of results	CAPACITY BUILDING: Specific methodological assistance and professional training sessions; Methodological assistance in relation to project evaluation	Grouped evaluations at national level Specific evaluation reports Ex-ante evaluations at NDP, NSRF and OPTA levels Ongoing evaluations at NDP, NSRF and OPTA levels Strategic or ad-hoc evaluations approved by CNC or OPTA Monitoring Committee	
		63. The integration, in all political fields, of evaluation into management strategies and practices			○	○	
		64. The integration, at all levels of administration and government, of evaluation into management strategies and practices			○	○	

Annex 9- Documents analyzed

Documents related to the Evaluation Culture Index:

Operational Programme Development of Administrative Capacity

- 1) MIA, Operational Programme for Administrative Capacity Development 2007-2013, July 2007
- 2) MIA, Multiannual Evaluation Plan, revised version, June 2010
- 3) MIA, Framework Implementation Document for the Operational Programme "Administrative Capacity Development", version 4, November 2011
- 4) MIA, Mandate of the Assessment Unit AM PO DCA (approved by the working group for evaluation in April 12), PS EVAL - annex no. 3, second edition 2, revision 1
- 5) MIA, Flow diagram Operational Programme Evaluation, PS EVAL - annex nr. 1, edition 2, revision 1
- 6) MIA, Specific evaluation procedure PO DCA, second Edition, Revision 1
- 7) Organizational chart
- 8) MIA, Regulation for organization and functioning of the Directorate for Development of the Administrative capacity, Annex 4 of the Order for the Approval of the Regulation for organization and functioning, published in the Official Journal of Romania, Part I, Nr. 401/15.VI.2012
- 9) MIA, Operational Programme for Administrative Capacity Development 2007-2013, Annual Implementation Report 26 May 2008
- 10) MIA, Operational Programme for Administrative Capacity Development 2007-2013, Annual Implementation Report 2008, may 2009
- 11) MIA, Operational Programme for Administrative Capacity Development 2007-2013, Annual Implementation Report 2009, June 2010
- 12) MIA, Operational Programme for Administrative Capacity Development 2007-2013, Annual Implementation Report 2010, June 2011
- 13) MIA, Operational Programme for Administrative Capacity Development 2007-2013, Annual Implementation Report 2011, June 2012

Operational Programme Increase of Economic Competitiveness

- 1) MEF, Operational Programme Increase of Economic Competitiveness 2007-2013, Final Version 2007
- 2) MEF, Multiannual Evaluation Plan for the Operational Programme Increase of Economic Competitiveness 2007-2013, Bucharest, May 2008.
- 3) Annex to the MECMA Order no 50/06.01.2011, Framework document for implementing the Operational Programme Increase of Economic Competitiveness 2007-2013, V 1, January 2011
- 4) MEF, Operational Evaluation procedure for the Operational Programme COD: P.O. EP-123, Edition 1, Revision 0, 17 December 2007
- 5) Organizational chart
- 6) MECBE, Regulation for organization and functioning of the General Directorate Managing Authority SOPIEC within the Ministry Of Economy (MECMA) (undated, stamped)
- 7) Regulation for organization and functioning of the General Directorate Managing Authority SOPIEC within the Ministry Of Economy (MECMA) (draft)
- 8) MEF, Annual Implementation Report 2007 of the Sectoral Operational Programme Increase of Economic Competitiveness 2007-2013, Bucharest 2008.
- 9) MEF, Annual Implementation Report 2007 of the Sectoral Operational Programme Increase of Economic Competitiveness 2007-2013, Bucharest June 2009.
- 10) MECBE, Annual Implementation Report 2007 of the Sectoral Operational Programme Increase of Economic Competitiveness 2007-2013, Bucharest May 2010.
- 11) MECBE, Annual Implementation Report 2007 of the Sectoral Operational Programme Increase of Economic Competitiveness 2007-2013, Project, Bucharest May 2009.
- 12) Decision 12 of the Monitoring Committee of the Sectoral Operational Programme Increase of Economic Competitiveness 2007-2013, 7 June 2011

Operational Programme Technical Assistance

- 1) MEF, Operational Programme Technical Assistance 2007-2013, Final Version 2007

- 2) MEF, Multiannual Evaluation Plan for the Operational Programme Technical Assistance 2007-2013, September 2007, revised version in May 2008.
- 3) MAE, Framework document for the implementation of the Operational Programme Technical Assistance 2007-2013, February 2012.
- 4) MEF, Operational evaluation procedures of the structural instruments, Edition 1, Revision 0, 1 Mars 2008
- 5) Organizational chart
- 6) MEF, Operational Programme Technical Assistance 2007-2013, Annual Implementation Programme 2007, 16 May 2008
- 7) MEF, Operational Programme Technical Assistance 2007-2013, Annual Implementation Programme 2008, 3 June 2009
- 8) MFP, Operational Programme Technical Assistance 2007-2013, Annual Implementation Programme 2009, June 2010

Operational Programme Transport

- 1) MT, Sectoral Operational Programme Transport 2007-2013, Final Version 2007
- 2) MT, Multiannual Evaluation Plan for the Sectoral Operational Programme Transport 2007-2013, October 2008
- 3) MT, Framework document for the implementation of Sectoral Operational Programme Transport 2007-2013, Version 3, January 2012
- 4) Organizational chart
- 5) MTI, Sectoral Operational Programme Transport 2007-2013, Annual Implementation Programme 2009, 2010
- 6) MTI, Sectoral Operational Programme Transport 2007-2013, Annual Implementation Programme 2010, 2011
- 7) MTI, Sectoral Operational Programme Transport 2007-2013, Annual Implementation Programme 2011, 2012

Operational Programme Environment

- 1) MESD, Sectoral Operational Programme Environment 2007-2013, Final Version 2007
- 2) MESD, Sectoral Operational Programme Environment 2007-2013, Multiannual Evaluation Plan 2007-2013, September 2008
- 3) Framework document for implementing the Sectoral Operational Programme Environment 2007-2013, Version 2, May 2009
- 4) Operational procedure Projects Programming and Development, Cod:POPDP-111, Edition II, Revision 0
- 5) Organizational Chart
- 6) MEFOR, Regulation for organization and functioning of the Ministry Of Environment, Annex of the order no. 697/04.05.2010 (signed and stamped)
- 7) Sectoral Operational Programme Environment 2007-2013, Management Authority, Intermediate Bodies and Beneficiaries, Training Plan 2012, No. 137702, 20 Mars 2012
- 8) MESD, Sectoral Operational Programme Environment 2007-2013, Annual Implementation Report 2007, 30 June 2008
- 9) Sectoral Operational Programme Environment 2007-2013, Annual Implementation Report 2008, 30 June 2009
- 10) MESD, Sectoral Operational Programme Environment 2007-2013, Annual Implementation Report 2009, June 2010
- 11) MESD, Sectoral Operational Programme Environment 2007-2013, Annual Implementation Report 2010, June 2011
- 12) MESD, Sectoral Operational Programme Environment 2007-2013, Annual Implementation Report 2011, June 2012

Operational Programme Human Resource Development

- 1) MLFEO, Sectoral Operational Programme Human Resources Development 2007-2013, Adopted by the European Commission Decision C(2007) 5811/22.11.2007
- 2) MLFEO, Multiannual Evaluation Plan for the Sectoral Operational Programme Human Resources Development 2007-2013, November 2008

- 3) Framework document for the implementation of the Sectoral Operational Programme Human Resources Development 2007-2013, Version 4, June 2010
- 4) Organizational Chart
- 5) MLFSP, Regulation for organization and functioning of the General Directorate Managing Authority for the Sectoral Operational Programme Human Resources Development. (undated)
- 6) MLFSP, Sectoral Operational Programme Human Resources Development 2007-2013, Annual Implementation Report 2007, May 2008
- 7) MLFSP, Sectoral Operational Programme Human Resources Development 2007-2013, Annual Implementation Report 2008, 28 May 2009
- 8) MLFSP, Sectoral Operational Programme Human Resources Development 2007-2013, Annual Implementation Report 2009, 8 June 2010
- 9) MLFSP, Sectoral Operational Programme Human Resources Development 2007-2013, Annual Implementation Report 2010, 24 May 2011
- 10) MLFSP, Sectoral Operational Programme Human Resources Development 2007-2013, Annual Implementation Report 2011, 5 June 2012

Regional Operational Programme

- 1) MDPWL, Regional Operational Programme 2007-2013, Final Version 2007
- 2) MDRT, Multiannual Evaluation Plan for the Regional Operational Programme 2007-2013, Bucharest: December 2009
- 3) MDRT, Multiannual Evaluation Plan 2011 for the Regional Operational Programme, Bucharest: October 2010
- 4) MDRT, Multiannual Evaluation Plan 2012 for the Regional Operational Programme, Bucharest: November 2011
- 5) MDRT, Framework Document for Implementing the Regional Operational Programme 2007-2013, Version 2012, February 2012.
- 6) MDPWL, Evaluation Procedure for the Procedura de Evaluare a Regional Operational Programme, Procedure code: PO/II/AM/3
- 7) Organizational structure of the Ministry of Regional Development and Tourism, Annex no. 1 at the Government Decision no. 1631/2009
- 8) MDRT, Regulation for organization and functioning
- 9) MDPWL, Annual Implementation Report 2007, Regional Operational Programme 2007-2013, September 2008
- 10) MDPWL, Annual Implementation Report 2008, Regional Operational Programme 2007-2013, June 2009
- 11) MDRT, Annual Implementation Report 2009, Regional Operational Programme 2007-2013, June 2010
- 12) MDRT, Annual Implementation Report 2010, Regional Operational Programme 2007-2013, Final Draft, May 2011
- 13) MDRT, Annual Implementation Report 2011, Regional Operational Programme 2007-2013, June 2012

OTHER SOURCES:

- AAM Management Information Consulting Private Company Limited by Shares, Analysis of the Current Evaluation System Report, Final, 3rd of August 2011
- KPMG, Analysis Report of the Indicator System

Documents related to KAI 1.2:

- Operational Programme Technical Assistance
- Framework Implementation Document for OPTA
- The Evaluation Working Group documents made available at www.evaluare-structurale.ro
- Multiannual Evaluation Plan for OPTA

Project 1: Development of capacity for Cost-Benefit Analysis

- Financing Request
- ECU Progress Report No. 1,2, and 3
- Supplier First Interim Progress
- Project deliverables
- Terms of Reference

Project 2: Conducting Evaluations for the Period 2009-2010 (SMIS Code 4534)

- Financing Request
- ECU Progress Report No. 8
- Project deliverables
- Terms of Reference

Project 3: Evaluation Capacity development for the Evaluation Units within MAs and ACIS

- Financing Request
- ECU Progress Report no. 7
- Supplier Fifth Interim Progress Report
- Terms of Reference

Project 4: Framework Agreement for evaluating the Structural Instruments during 2011-2015, Lot 1 - Evaluations

- Financing Request
- ECU Progress Report NO 1, 2, 3 and 4
- Terms of reference for Framework Agreement
- Terms of Reference for Subsequent Contract No. 1, 2, 3, and 4

Project 5: Framework Agreement for the Evaluation of Structural Instruments during 2011-2015, Lot 2 - Capacity Building in the Field of Evaluation, SC n.1 Examination of the evaluation culture

- Financing Request
- Terms of Reference for Subsequent Contract No. 1 "Examination of the Evaluation Culture"

Project 6: Framework Agreement for the Evaluation of Structural Instruments during 2011- 2015, Lot 2 - Capacity Building in the Field of Evaluation, SC n. 2-Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania

- Financing Request
- Terms of Reference for Subsequent Contract No. 2 "Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania"
- ECU Progress Report No. 1

Project 7: Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation"

- Financing Request
- Financing Decision 1.2.094 / 22.03.2012

Annex 10 - Validation Focus Group on Evaluation Culture concept

List of participants to the validation focus group of 15 May 2012

No.	Name	Title	Institution
1	Claudia Magdalena	Head of Office	Managing Authority for the Coordination of Structural Instruments, ECU
2	Catalina Melita	General Director	Managing Authority for SOP IEC, Ministry of Economics, Commerce and Business Environment
3	Pompilia Idu	Head of Office	Managing Authority for Regional Operational Programme, Ministry of Regional Development and Tourism / Programme Evaluation Office
4	Claudia Vasilca	Deputy Director	Managing Authority for Operational Programme for Administrative Development Capacity, Ministry of Administration and Interior
5	Adrian Miroiu	Professor	National School of Political and Administrative Studies, Bucharest
6	Lucian Jora	Professor	Babes - Bolyai University, Cluj-Napoca European Studies Faculty Project Manager Regional Development Evaluation
7	Marian Nica	Evaluator	Evalrom/NTSN
8	Roxana Mihalache	President	EVALROM/Pluriconsult
9	Gabriel Popa/SGG	Public Manager	General Secretariat of Government/ Public Policies Direction
10	Sandica Neagu	Director	Direction for the Coordination of National Statistical System - National Institute of Statistics

Annex 11 - Validation Focus Group on preliminary measurement results

List of participants to the focus group of 11 October 2012

No.	Name	Title	Institution
1	Claudia Magdalena	Head of Office	Managing Authority for the Coordination of Structural Instruments, ECU
2	Aneta Stoica	Councillor	Managing Authority for the Coordination of Structural Instruments, ECU
3	Anton Enachescu	Councillor	Managing Authority for the Coordination of Structural Instruments, ECU
4	Loredana Suditu	Councillor	Managing Authority for the Coordination of Structural Instruments, ECU
5	Pompilia Idu	Head of Office	Managing Authority for Regional Operational Programme, Ministry of Regional Development and Tourism / Programme Evaluation Office
4	Alina Iacob	Councillor	Managing Authority for Operational Programme for Environment, Ministry of Environment
5	Adriana Rachieru	Expert	Managing Authority for Operational Programme for Human Resource Development, Ministry of Labour
6	Steluta Bulaceanu	Public Manager	Managing Authority for Operational Programme Development of Administrative Capacity, Ministry of Administration and Interior
7	Alina Muraru	Councillor	Managing Authority for OP Technical Assistance, Ministry of European Affairs
8	Ramona Moldovan	Director	Public Policy Unit, Ministry of Interior and Administration
9	Maria Luiza Apostolescu	Intern	Managing Authority for the Coordination of Structural Instruments, ECU

Annex 12 - List of interviews and feedback providers

ANALYSIS OF KAI 1.2 PROJECTS

Person	Institution	Date
Anton Enachescu	ACIS - Central Evaluation Unit	25.09.2012
Aneta Stoica	ACIS - Central Evaluation Unit	25.09.2012
Mariana Acatrinei	ACIS - Central Evaluation Unit	26.09.2012
Loredana Suditu	ACIS - Central Evaluation Unit	26.09.2012
Claudia Magdalena	ACIS - Central Evaluation Unit	27.09.2012

PILOT TESTING

Person	Institution	Date
Prof. Lucian Jora	Professor, Babes Bolyai University, Cluj-Napoca, Faculty of European Studies	20.08.2012
Marian Nica	EVALROM	20.08.2012
Anca Simion	Ministry of Regional Development and Tourism Counsellor	20.08.2012
Angelica Vladescu	ACIS - Central Evaluation Unit	24.08.2012

Annex 13 - 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"/>		
What is the percentage of the budget allocated to Evaluation out of the total budget of your Operational Programme?		
<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		
<input type="text"/>		
<input type="text"/>		
<input type="text"/>		

Annex 14 - Coherence of KAI 1.2 project target groups with ECI

N	BENEFICIARIES / TARGET GROUPS OF KAI 1.2 PROJECTS	STAKEHOLDER CATEGORIES AND SUB-CATEGORIES																
		DEMAND SIDE												SUPPLY SIDE				
		NATIONAL STRATEGY LEVEL			INVOLVED IN PROCESS	USERS		OTHER STAKEHOLDERS										
		CEU	EWG	ACIS OTHER	EU	MA	PM	SC	RLA	BEN	CPA	AA	NIS	ER	IE	UNI		
1	Capacity Development for Cost-Benefit Analysis (SMIS Code 34843)																	
	ACIS	○		○														
	Managing Authorities		○		○	○												
	Intermediate Bodies																	
	Common Technical Secretariats																	
	Structural Instruments beneficiaries												○					
	Consultants, specialists using CBA															○	○	
	European Commission																	
2	Conducting Evaluations for the Period 2009-2010 (SMIS Code 4534)																	
	CEU within ACIS	○																
	Evaluation Units within MAs		○		○													
	Members of the Evaluation Steering Committee																	
	Members of the Monitoring Committee																	
	Members of the National Coordination Committee										○							
3	Evaluation Capacity development for the Evaluation Units within MAs and ACIS (SMIS Code 5375)																	
	CEU within ACIS	○																
	Evaluation Units within MAs		○		○													
	Members of the Evaluation Steering Committee																	
	Members of the Monitoring Committee																	
	Members of the National Coordination Committee										○							
4	Framework Agreement for evaluating the Structural Instruments during 2011- 2015, Lot 1 - Evaluations, (SMIS Code 5375)																	
	ACIS			○														
	Managing Authorities								○									
	Intermediate Bodies																	
	Joint Technical Secretariats																	
	Personnel of other structures involved in SIS evaluation		○															
	Potential beneficiaries of SI: public administration, business, NGOs, the academic and research areas												○					
5	Framework Agreement for the Evaluation of Structural Instruments during 2011-2015, Lot 2 - Capacity Building in the Field of Evaluation SC n.1 Examination of the evaluation culture																	
	Policy makers in Romania									○								
	Officials from the various structures in charge of SI management in Romania (ACIS, MA, MC, ESC, AA, CPA)			○				○					○	○				
	Universities and NGOs acting in the field of governance											○						○
	Evaluation supply side															○	○	
6	Framework Agreement for the Evaluation of Structural Instruments during 2011- 2015, Lot 2 - Capacity Building in the Field of Evaluation SC n. 2-Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania																	
	Policy makers in Romania									○								
	Officials from the various structures in charge of SI management in Romania (ACIS, MA, MC, ESC, AA, CPA)			○				○					○	○				
7	Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation"																	
	CEU within ACIS	○																

Annex 15 - Participants to the dissemination workshop 06.12.2012

PERSON	INSTITUTION
Pompilia Idu	ROP
Laurentiu Tescan	ROP
Claudia Magdalena	ACIS - CEU
Mariana Acatrinei	ACIS - CEU
Anton Enachescu	ACIS - CEU
Adriana Rachieru	SOP HRD
Cristina Preda	SOP HRD
Anca Simion	Ministry of Regional Development and Tourism - ETC
Ion Stochita	SOP T
Chitescu Mirela	Ministry of Environment and Forestries
Emanuel Constantin	Ministry of Public Finances - Public Policies Unit
Serban Totescu	NTSN Conect
Ioana Melenciuc	SNSPA
Stavaru Ana Maria	SNSPA
George Clitan	Timisoara Western University
Vale Cristina	Acrafe
Vlad Zubucu	Acrafe
Berescu Andreea	MAI
Cristina Ciocoiu	Audit Authority
Razvan Pavel	National Institute of Statistics
Dan Platon	RDA Bucharest-Ilfov
Dana Ignat	MAI UCRAP
Alina Alexe	MADR
Mioara Moi	MADR
Camelia Popescu	MADR