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Examination of the evaluation culture, SMIS 43465

Ministry of European Funds

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

Second measurement cycle

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## Chapter 1 Executive Summary

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

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

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

More specifically, as regards the demand side of evaluation, the analysis shows that this dimension is generally performing well (59%) although a bit lower than the supply side (63%). Concerning criteria:

- ▶ the architecture of the evaluation system (*criterion 1*) has an overall achievement above average, due to the good coordination of "evaluation responsibilities", which is one of the top performing sub-criteria (62%);
- ▶ the human resources allocated to evaluation are sufficient, but there is room for improvement concerning the allocated financial resources (*criterion 2*). Indeed, Operational Programs allocated, on average, 0.13% of their budget to evaluation, which is lower than the international benchmark of 0.4%. This indicator obtained a lower score than in the first annual measurement due to the fact that, for the second annual measurement, we included in the international benchmark aggregated data related to French OPs which have a higher allocation of resources to evaluation compared to the Hungarian NSRF which did not take part to the second measurement cycle;
- ▶ the quality of the monitoring system is considered adequate and able to provide timely information, even with some areas of improvement at NSRF Level (*criterion 3*);
- ▶ 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 (*criterion 4*);
- ▶ socio-economic data are available in a timely manner, although micro-data at beneficiary level are only partially available (*criterion 5*);
- ▶ national and international companies that provide evaluation services and are present on the Romanian market possess the required thematic and methodological expertise. Beneficiaries and Evaluation Steering committees play an important role in improving evaluation reports through the use of quality assessment grids (*criterion 6*);

Although these criteria generally perform well, the analysis shows that there are areas of improvement. Looking at the programming period 2014-20, the following Recommendations apply:

How to improve the evaluation capacity	
R.1	support an international benchmark study aimed at comparing organizational aspects related to Evaluation Units as well as procedures for the coordination between evaluation, monitoring and programming in order to identify models that can be transferred to the Romanian system;
R.2	identify 2007-2013 indicators that will be used also in the future programming period, assess their reliability and consistency across OPs and identify possible solutions for improvement (e.g. manuals / guidelines for MAs). This analysis should be based on desk review of Annual Implementation Reports and on interviews with the relevant stakeholders/users of monitoring system. The Results of the analysis should be used starting from the Partnership Agreement.
R.3	provide TA support for the structuring and animation of EWG subgroups focusing on specific themes and for the regular update of official evaluation related documents (their approval remains the competency of the MA)
R.4	support a project in collaboration with the National Institute of Statistics in order to develop a statistical baseline for micro-data that may prove of particular use for counterfactual analyses in the future programming period and perform a review of information that are needed to construct socio-economic indicators to be used to capture impacts of Structural Instruments at local and national level (i.e. socio-economic indicators adapted to investment priorities)

R.5	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 (for example financing higher education options in management of European cohesion policy and public policy evaluation)
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The dimension of the evaluation system related to the dissemination and utilization of evaluation results is also performing adequately (63%), but the institutionalization of the evaluation culture is the least performing dimension (50%).

- ▶ 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 (*criterion 7*)
- ▶ effective procedures exist to foster use evaluation results and for follow-up on the implementation of evaluation recommendations (*criterion 8*);
- ▶ evaluation is considered an essential part for achieving success at institutional level, with a clear understanding and respect of the requirement of independency (*criterion 9*);
- ▶ the EU Legal provisions have been transposed into the Romanian Legal Framework (*criterion 10*) which regulates evaluation activities and provides additional requirements for the preparation of multi-annual evaluation plans. However within the Romanian legal framework there are some elements that hamper evaluation (e.g. public procurement rules, national ordinances on staff hire and rules on expense eligibility).
- ▶ the quality/expertise of the human resources involved in evaluation activities (*criterion 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.
- ▶ the number of evaluations triggered in response to a need of knowledge is lower than in other member states (*criterion 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 contribution of the national organization of evaluators to the dissemination of good practices (*criterion 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 (*criterion 14*) are considered as weak;
- ▶ Romanian indicators of the World Bank Index position Romania above the average for most indicators on the *governance effectiveness* (*criterion 15*);
- ▶ the participation of civil servants (other than those dedicated to evaluation) in evaluation activities has room for improvement as well as the availability of training options on the market (especially as concerns those provided by academia) and the level of internalization of evaluation by institutional stakeholders (*criterion 16*).

Then, some areas of improvement have been identified following recommendations have been provided:

How to improve the evaluation culture	
R.6	support a study to identify the <i>most appropriate communication channels, tools and language use</i> to enhance the effectiveness of communication towards Structural Instruments stakeholders
R.7	continue embedding in evaluation projects wide communication events
R.8	regularly discuss within the EWG the follow-up on evaluation recommendations. The topic may be subject of systematic analysis on behalf of a sub-group of the EWG.
R.9	continue performing communication activities especially targeted to policy makers and the civil society (e.g. supporting the organization of an international conference aimed at exchanging experiences on "Impact of evaluation evidences on policy making process", including among speakers from EC, OECD, other MS)
R.10	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
R.11	promote capacity building activities to pursue the creation of an embedded bottom up demand for evaluation
R.12	improve the evaluation capacity and the regulatory framework by supporting under KAI 1.2 a pilot projects aimed at introducing better regulation instruments (e.g. Regulatory Impact Assessment), in accordance with the new draft Regulations for 2014 - 2020.

## Chapter 2 Introduction

### 2.1. 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 Ministry of European Funds. 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

Within the project, we are asked to measure the diffusion of Evaluation Culture within the System of Structural Instruments in Romania and monitor its progress through three Annual Measurement cycles until the end of 2014. The first cycle was completed with the approval of the First Annual Measurement Report in February 2013. The present document, the Second Annual Measurement Report, illustrates the results of the second cycle of evaluation.

### 2.2. Definition of Evaluation Culture and its dimension

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

- ▶ the main purposes of evaluation, i.e. accountability and learning
- ▶ the strong links existing between the concept of evaluation culture and the overall administrative capacity of a country and the maturity of its democracy, these elements being distilled in the last years in the "good governance concept" (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 has had on it. Generally it is argued that evaluation culture is stronger in countries where this has been fostered bottom-up. However, external inputs, including especially the ones under the EU Cohesion Policy, have had an important impact, stronger in southern 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 evaluation<sup>1</sup>
- ▶ 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
- ▶ secondly, we eliminated overlapping elements within each concept, clearing out from the “capacity” concept all elements presented in literature as “culture” related
- ▶ thirdly, we organized the elements in “clusters” which we also labeled (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

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<sup>1</sup> 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”



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><b>CONTEXT – GOOD GOVERNANCE</b></p> <ol style="list-style-type: none"> <li>1. democratic and competitive political system and decentralised policy-making process;</li> <li>2. a thriving social science community or communities and, within this, a university system that is hospitable to the social sciences;</li> <li>3. a sizeable group of social scientists who are interested in conducting policy-oriented research;</li> <li>4. strong empirical traditions;</li> <li>5. strong civil society and involved mass media;</li> </ol>	<p><b>INPUT – what you need to carry out evaluations</b></p> <ol style="list-style-type: none"> <li>1. data quality</li> <li>2. skills/analytic expertise</li> <li>3. human resources (internal and external)</li> <li>4. financial resources</li> <li>5. instruments</li> <li>6. methods and standards</li> </ol>
<p><b>MENTAL FRAMEWORK/VALUES (ALSO CONTEXT)</b></p> <ol style="list-style-type: none"> <li>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;</li> <li>2. no blame-culture which discourages learning (both ways, evaluation does not blame and evaluation results are not interpreted as blame);</li> <li>3. evaluation is accepted, welcomed, encouraged and valued as an essential part of achieving success;</li> <li>4. independency of evaluation</li> <li>5. awareness of intrinsic value of evaluation</li> </ol>	<p><b>FRAMEWORK – how you obtain/ensure what you need to carry out evaluations</b></p> <ol style="list-style-type: none"> <li>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;</li> <li>2. Focus on national and sector levels, as well as central and local levels;</li> <li>3. Data collection mechanisms;</li> <li>4. Recruitment, training, professional development provisions, legal rules (e.g., regulating employment), normative assumptions (e.g., about equal opportunities or open competition);</li> <li>5. Provisions for effectively organising timely, high-quality evaluations, including for public procurement and for other necessary instruments;</li> <li>6. Provisions for accessible evidence base and an organisational memory;</li> <li>7. Diffusion and feedback mechanisms;</li> <li>8. Articulated policies and regulatory activity;</li> <li>9. Development of concepts and tools, including capacities to keep score on development effectiveness and quality assessment</li> <li>10. Coupling with policy and management decisions (dialogues between policy makers and evaluation specialists).</li> </ol>
<p><b>...APPLIED IN LEGAL PROVISIONS</b></p> <ol style="list-style-type: none"> <li>1. legal embedding of evaluation</li> <li>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;</li> <li>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.</li> </ol>	<p><b>PRACTICE</b></p> <ol style="list-style-type: none"> <li>1. evaluation routinely undertaken;</li> <li>2. regular flow of evaluations;</li> <li>3. well-defined market (re supply side).</li> </ol>
<p><b>...APPLIED AT HUMAN RESOURCES LEVEL</b></p> <ol style="list-style-type: none"> <li>1. policymakers educated, specialised and with professional background connected to evaluation;</li> <li>2. civil servants trained in the social sciences (as opposed to strict legal training);</li> <li>3. participation in M&amp;E activities;</li> <li>4. M&amp;E champions present;</li> <li>5. ownership of evaluation.</li> </ol>	
<p><b>..APPLIED IN PRACTICE</b></p> <ol style="list-style-type: none"> <li>1. the integration, in all political field and at all levels of administration and government, of evaluation into management strategies and</li> </ol>	

Evaluation culture	Evaluation capacity
<p>practices;</p> <ol style="list-style-type: none"><li>2. triggering demand of evaluation in response to the need for empirically based knowledge and use the evaluative evidence to inform decision-making;</li></ol>	
<p>NETWORKING (INTER-INSTITUTIONAL TIES) FOR ENHANCING</p> <ol style="list-style-type: none"><li>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;</li><li>2. the presence of institutions that bridge the academia-government gap;</li><li>3. presence and involvement of international professional networks.</li></ol>	

*Source: elaboration of Commission Study "Developing Evaluation Capacity"*

## 2.3. First annual measurement results

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

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

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

The dimension of the evaluation system related to the dissemination and utilization of evaluation results was also performing adequately. Evaluation reports were publicly available, public debates have been organized in order to present and discuss evaluation findings and there was a positive tendency in organizing wide dissemination events for presenting evaluation evidence. Moreover, in order to support the use of evaluation results and make the best use of them, the system had put in place procedures to address them and defined actions for follow-up. This supported a use of evaluation results that was considered as having a considerable impact.

The last dimension of the evaluation system that has been considered, the institutionalization of the evaluation culture, was the least performing one. As related to the mental framework, evaluation was

considered to some extent 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 was lower than in other member states, there was still room for improvement among policy makers, even if capacity building projects financed by KAI 1.2 were already addressing this goal.

The quality/expertise of the *human resources* involved in evaluation activities was in line with the average of the index, with the presence of some evaluation champions (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) had room for improvement as well as the availability of training options (especially as concerns those provided by academia) on the market and the level of internalization of evaluation by institutional stakeholders.

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

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

## 2.4. Content of the report

This report represents the Second 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 the Evaluation Culture Measurement Index (ECI)
- ▶ and an analysis of the impact of KAI 1.2 on the level of diffusion of evaluation culture

The Report is structured in four chapters:

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

## Chapter 3 Second annual measurement of evaluation culture

### 3.1. Revised methodology

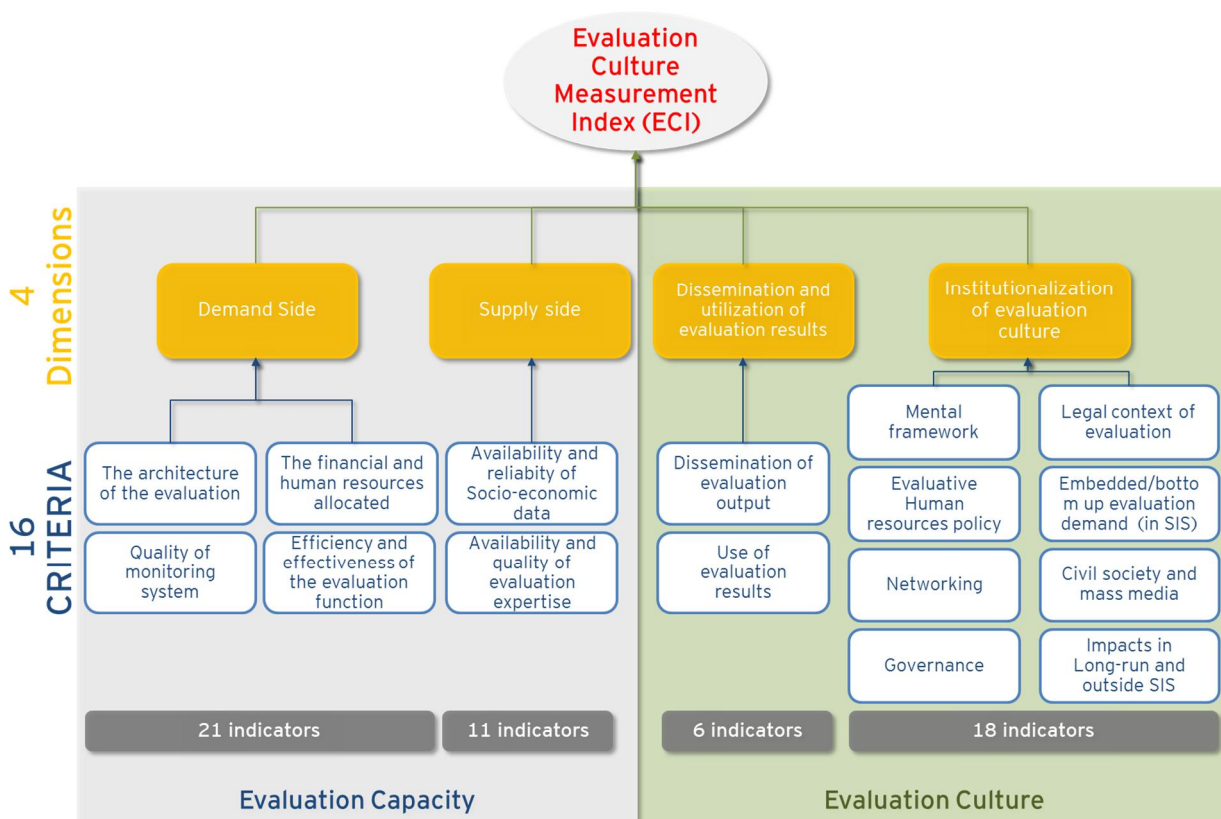
The framework presented in the previous section has been the starting point for the development of a tool aimed at measuring the achievement of evaluation culture among the structures involved in the management of Structural Instruments. Such tool, the Evaluation Culture Measurement Index (ECI), includes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

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

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

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

Figure 1 – The Evaluation Culture Measurement Index Framework



Compared to the previous measurement exercise, the following improvements were adopted:

- ▶ Triangulation: increased number of indicators quantified through more than one source of information (30 out of 56 use at least 2 sources)
- ▶ Supply side: 2 new sub-criteria introduced under the supply side (Development of evaluation skills and Independence of evaluators) and one moved from demand side to supply side (Quality assurance of evaluations)
- ▶ Rationalization of indicators: indicators reduced from 64 to 56 (OP and NSRF indicators related to the same aspect have been regrouped under a single one; elimination of indicators related to the analysis of the impact of KAI 1.2)
- ▶ Research panel: the number of respondents included in the research panel was increased (from approximately 150 members selected for the first measurement cycle to approximately 290 members selected for the second cycle), in order to ensure a better degree of representativeness for all sub-categories, belonging both to offer and demand sides.

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

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

Table 2 – ECI: sources of information

Sources of information	
Primary sources	<ul style="list-style-type: none"> <li>▶ Survey of wider stakeholders' evaluation community covering demand (e.g. Evaluation Units, MAs, IBs, Policy Makers) and supply side (evaluation societies, independent evaluators, Universities): 100 responses received out of a research panel composed of 288 potential respondents (35% response rate)</li> <li>▶ Focus Group with academic members of ADER in order to assess the supply side of the evaluation market in terms of independence and skills</li> <li>▶ Focus-group with the EWG aimed at validating the preliminary results and obtaining additional comments and inputs before drafting the Second Measurement Report</li> <li>▶ Dissemination event to communicate the results of the measurement cycle among stakeholders of the Structural Instrument Management System and to collect additional information among stakeholders in order to finalize the Second Measurement Report</li> </ul>
International benchmarking	<ul style="list-style-type: none"> <li>▶ Questionnaire among MAs of EU Member States: responses covered 16 OPs from ItalyBulgaria and Lithuania and aggregated data related to French OPs<sup>2</sup>.</li> </ul>
Secondary sources	<ul style="list-style-type: none"> <li>▶ Desk research covering relevant national documents, EU and national methodological guidance, programming and operational documents at OP and NSRF level, evaluation reports</li> </ul>

<sup>2</sup> French OPs were not included in the first measurement cycle, which on the other hand covered the Hungarian NSRF.

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

### 3.2. Results at the level of ECI, dimensions and criteria

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

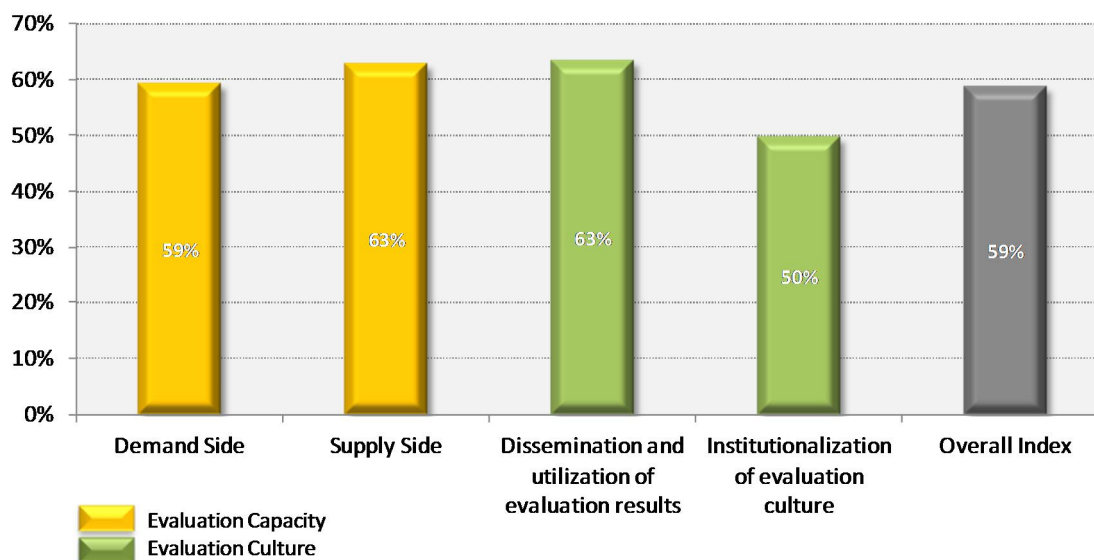
#### 3.2.1. Overall results by dimension

The second annual measurement continues to give satisfactory results both in the pattern of shared beliefs and values of policy makers and evaluators and in operational aspects and components deemed necessary for conducting an evaluation, totaling an overall score of 59%, representing the achieved score in the range between minimum and maximum score obtainable

The second annual measurement continues to give satisfactory results both in the pattern of shared beliefs and values of policy makers and evaluators and in operational aspects and components deemed necessary for conducting an evaluation.

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

Figure 2 - Overall Index and results by dimensions

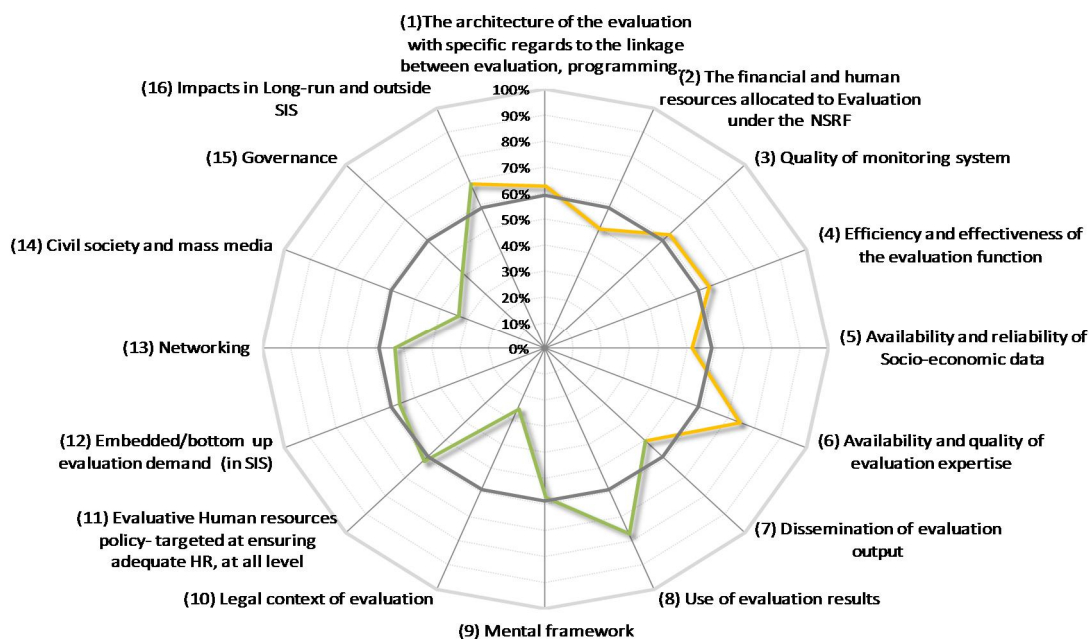


#### 3.2.2. Results by criteria

The good level of diffusion of evaluation culture derives from an average achievement across the 16 criteria of 59% (this is the result of the second 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 and the maximum value under criteria (8) Use of Evaluation Results.



Figure 3 – Results of evaluation culture by criteria



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

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

TOP PERFORMING	LEAST PERFORMING
<ul style="list-style-type: none"> <li>▶ Use of evaluation results</li> <li>▶ Availability and quality of evaluation expertise</li> <li>▶ Impact in the long-run and outside the SIS</li> <li>▶ The architecture of the evaluation with specific regards to the linkage between evaluation, programming and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>▶ Legal context of evaluation</li> <li>▶ Civil Society and mass media involvement</li> <li>▶ Governance</li> <li>▶ The financial and human resources allocated to Evaluation under the NSRF</li> </ul>

### 3.2.3. Results by sub-criteria and indicators

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

#### (1) The architecture of the evaluation

The architecture of the evaluation system has an overall achievement above the average, due to the good coordination of “evaluation responsibilities”, which is one of the top performing sub-criteria. However, the participants to the dissemination event, organised in order to present the results of the second evaluation cycle, evidenced some elements affecting the effectiveness of evaluation (e.g.: the focus on the programme implementation and the fact that there is a need of further dissemination among policy makers). The need to enhance the awareness of evaluation among policy makers, both at central and local level, was also confirmed by the supply side. (criterion overall achievement: 62%)



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

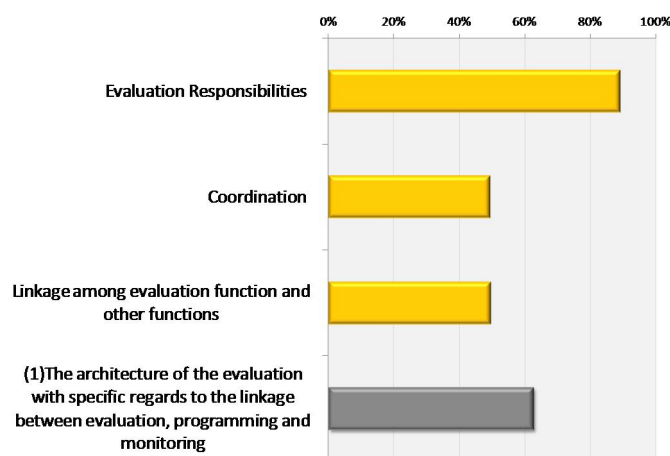
Half of the Evaluation Units are performing also other activities (e.g.: communication,, programming) and do not report solely to the head of MA (i.e.: some evaluation units are subordinated to the head of a broader unit that incorporates also the evaluation activities, such as in the case of OP TA, where the Evaluation Unit reports to the head of the General Directorate of Analysis, Programming and Evaluation). The representatives of the Managing Authorities consider that the effectiveness of evaluation is affected when Evaluation Units have to perform also other tasks.

Mission, roles and tasks of EUs are clearly defined and assigned based on the Regulation on Organization and Functioning, procedures and job descriptions. (sub-criterion achieved score: 89%)

- ▶ **Coordination:** based on the e-survey, in the last 12 months the respondents took part on average to 2 - 3 EWG meetings out of the 4 organized and the approaches shared were sometimes adopted at OP level. On the other hand, the desk research revealed that the applied procedure concerning the coordinating role of the EWG is in draft status. (sub-criterion achieved score: 49%)
- ▶ **Linkage among evaluation function and other functions:** desk research shows that there are procedures in place linking monitoring to evaluation (i.e.: *"If the monitoring data indicate a deviation from the initially set objectives, the Evaluation Unit will perform ad-hoc evaluations"*). However, the focus group with the EWG revealed that, in practice, monitoring is very rarely triggering evaluations. Moreover, according to survey respondents, there is still room for improvement concerning access to additional monitoring data.

Based on the desk research and on the focus group with the EWG, it appears that no evaluations have been initiated in order to investigate issues raised by Programming. On the other hand, the representatives from European Territorial Cooperation evidenced, during the dissemination event, the strong links existing between evaluation and programming, in particular, in what concerns the drafting of multi-annual evaluation plans and the use of follow-up tables of recommendation (sub-criterion achieved score: 46%)

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

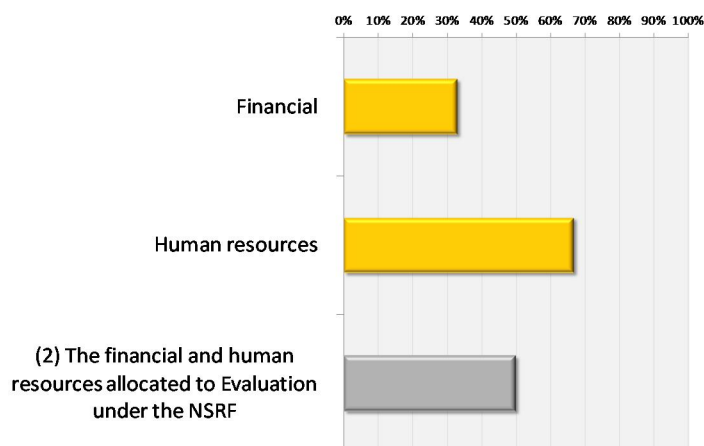


## (2) Financial and human resources allocated to Evaluation

The second annual measurement concluded that resources allocated to evaluation are sufficient in terms of human resources, but there is place for improvement concerning the availability of financial resources. (criterion overall achievement: 50%)

- ▶ Financial resources: OPs allocated, on average, 0.13% of their budget to evaluation, which is lower than the international benchmark of 0.4%. This indicator obtained a lower achievement score than in the first annual measurement, which was caused by the fact that, for the second annual measurement, we included in the international benchmark aggregated data related to French OPs which have a higher allocation of resources to evaluation compared to the Hungarian NSRF which did not respond to the second measurement cycle. (sub-criterion achieved score: 33%)
- ▶ Human resources: according to the information provided by the representatives of the Managing Authorities, the number of persons working for the Evaluation Units is 3 on average, which is in line with the international benchmark. Based on the desk research (i.e. CVs received from the Evaluation Units), the evaluation staff has the right mix of competences (e.g.: relevant degrees, language skills, work experience, trainings including those financed under KAI 1.2) and it is hired through dedicated selection processes. On the other hand, we noticed that the number of persons performing evaluation activities varies greatly between OPs (from only 1 employee for SOP Transport or SOP Environment to 6 employees for OP TA and NPRD). (sub-criterion achieved score: 67%)

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



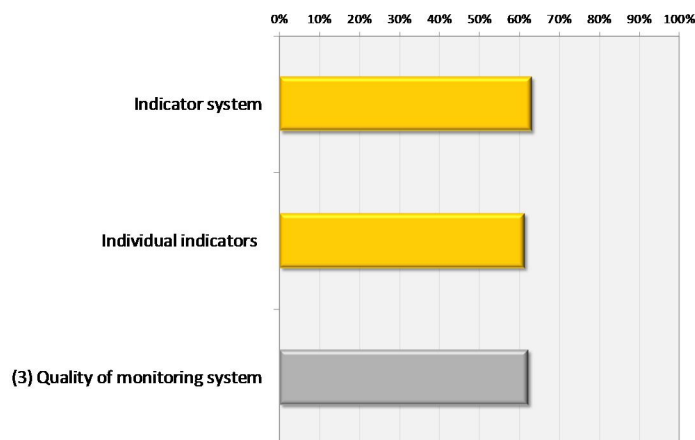
## (3) Quality of monitoring system

The quality of the monitoring system is considered adequate, both in terms of the Indicator System and Individual indicators, as revealed by the desk analysis, based on the KMPG report *“Analysis Report of the Indicator System”*, and by the e-survey. (criterion overall achievement: 62%)

- ▶ Indicator system: the quality of the indicator system, in terms of coverage and manageability, is considered higher at OP than NSRF level. The average time to obtain information from the monitoring system is lower at OP than NSRF level (OP level not more than 1 month versus not more than 2 months for NSRF). (sub-criteria achieved score: 63%)

- ▶ Individual indicators: the quality of individual indicators, in terms of correspondence, normativity, robustness and feasibility, obtained the same score both at OP and NSRF level. (sub-criterion achieved score: 61%)

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

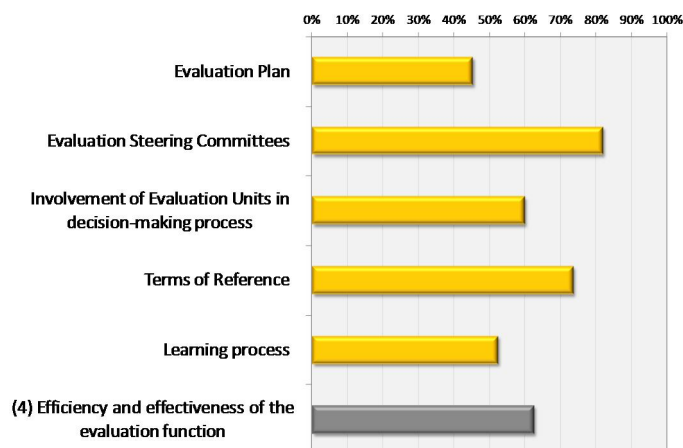


#### (4) The evaluation function is efficient and effective

The demand side dimension, which refers to the commissioning side of the evaluation process, is supported by efficient and effective activities of planning, management, quality control and learning. (criterion overall achievement: 60%)

- ▶ Evaluation Plans: except for the National Programme Rural Development, all OPs have multiannual evaluation plans (MEP) in place; however, they are not always updated (for example, the MEP for SOP IEC was not updated since 2008). Annual plans either do not exist or are not regularly revised (except for ROP, who prepared AEPs for 2010, 2011 and 2012). The execution rate of the MEP is between 25% and 50%, with an average delay of 6 months between the planned date included in the MEP and the completion date. (sub-criterion achieved score: 45%)
- ▶ Evaluation Steering Committees: ESCs are in place with clearly assigned roles and responsibilities and the approach that consists in inviting other thematic experts to take part in the meetings, according to the evaluation theme, is wide spreading. Based on the e-survey, the activity of ESCs is considered of medium to high effectiveness. (sub-criterion achieved score: 82%)
- ▶ Involvement of Evaluation Units in decision making process: based on the e-survey and on the focus group with the EWG, EUs are consulted by MAs in decision making processes, but not in a formalized manner. (sub-criterion achieved score: 60%)
- ▶ Terms of reference: the e-survey respondents consider ToRs to be of medium to high quality. There is evidence also of guidelines supporting the preparation of ToRs (e.g.: *The 2012 Interim evaluation guidelines*, which can be consulted on the website of the Ministry of European Funds). (sub-criterion achieved score: 73%)
- ▶ Learning process: evaluation procedures were not updated for approximately half of the OPs and do not reflect the latest organizational changes (for example, for NSRF, OP TA, SOP IEC and SOP Environment, there was no update on the procedures). (sub-criterion achieved score: 52%)

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

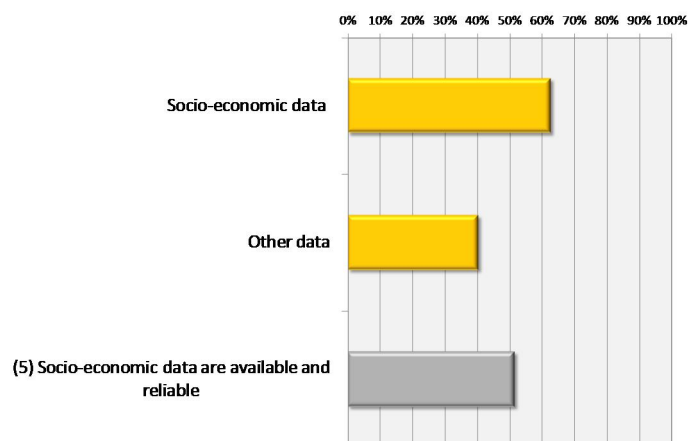


#### (5) Socio-economic data are available and reliable

The socio-economic data are available on time, both at national and regional level, on the INSSE and Eurostat websites. However, based on the e-survey, the micro data are partially available and are not always consistent. (criterion overall achievement: 52%)

- ▶ Socio-economic data: key socio-economic data regarding GDP, employment, unemployment and R&D investment are available in a timely manner: 2012 or even 2013 on INSSE Tempo. Other sources for key socio-economic indicator data are partially available and the judgment on their consistency is of medium level. (sub-criterion achieved score: 63%)
- ▶ Other data: according to the e-survey respondents, other necessary data (e.g. micro-data at beneficiary level) are only partially available. This statement is confirmed by the limitation sections of some evaluations (e.g.: Ex-ante Evaluation of the Operational Programme Human Resource Development, completed in January 2007: "*The most significant statistics missing are about the transition from school to working life: what kind of jobs do school leavers get?*"). (sub-criterion achieved score: 40%)

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



## (6) Availability and quality of evaluation expertise

The *Availability and quality of evaluation expertise* is one of the top performing criteria. The perceived quality of evaluations registered a high increase since the first annual measurement, based on the e-survey, and the evaluators have the right skills and expertise. (criterion overall achievement: 74%)

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

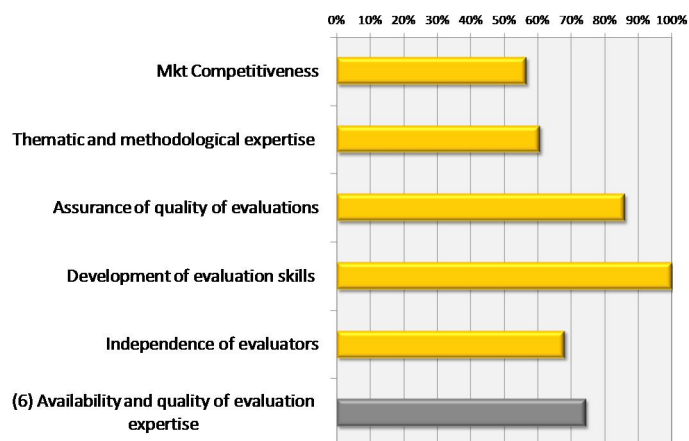
Overall, the Romanian evaluation market is considered as partially competitive since evaluation services are most of the times assigned to a limited number of players. Furthermore, international firms are more present than local firms on the Romanian evaluation market (12 international, 7 national) and the involvement of universities in evaluation activities is not yet developed.

The Focus Group with ADER revealed that universities are not financially motivated to perform business activities (i.e. extra-budgetary incomes are considered public money and universities are restricted in using them). Moreover, the structure of public procurements discourages some small firms to participate in the bidding processes (e.g. awarding projects based on the lowest price, very restrictive requirements). The fact that there is no advance payment for evaluation projects imposes some difficulties for smaller firms to support the cash flows. This contributes to create a concentration of awards among big players of the evaluation market.

(sub-criterion achieved score: 56%)

- ▶ **Thematic and methodological expertise:** the e-survey respondents consider that the supply side of evaluation has the thematic and methodological expertise needed, but there is room for improvement (e.g.: they pointed out the lack of expertise by areas and topics of evaluations, such as econometric methods and counter-factual impacts). (sub-criterion achieved score: 61%)
- ▶ **Assurance of quality of evaluations:** based on the discussions with the EWG, the use of check-lists has a very important role in increasing the quality of reports, which are perceived as being of medium to high quality. The quality of the evaluation process is also ensured by the existence of evaluation standards adopted in 2006 by the EWG, but not officially approved. ADER representatives consider that the internal control, performed by the evaluation team, also has a strong impact on the quality of the report. (sub-criterion achieved score: 85%)
- ▶ **Development of evaluation skills:** the desk research evidenced the existence of two master programs, which lead to a recognized qualification. However, the focus group with the EWG revealed that there is need for more training options on the market. The focus group with ADER confirmed the limited number of short-term courses in the field of public policies evaluation. (sub-criterion achieved score: 100%)
- ▶ **Independence of evaluators:** evaluators are perceived as being independent, both by the e-survey respondents and by the members of the EWG. In order to ensure a higher degree of independence, ADER representatives suggested that the contracting authority should be separated from the beneficiary authority. (sub-criterion achieved score: 68%)

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



### (7) Dissemination of evaluation output

This criterion is composed of a single sub-criterion and registers a 50% achievement of the maximum available score. In order to compute the level of dissemination, we analyzed the number of reports available to the wider public and the number of public events.

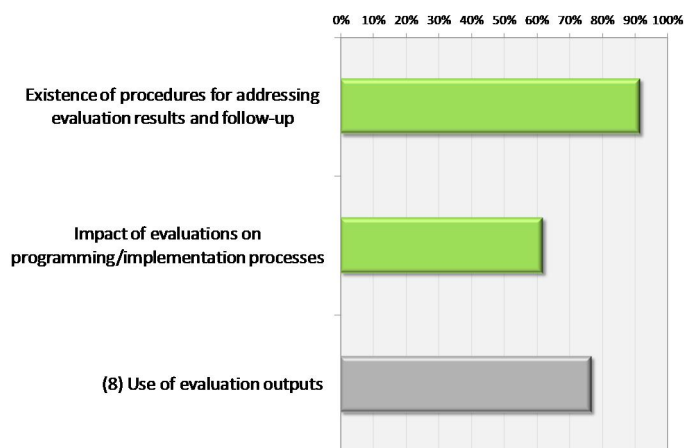
- ▶ During the last 12 months, all reports carried out at NSRF level were published in their integrity on the website of the Evaluation Working Group: [www.evaluate-structurale.ro](http://www.evaluate-structurale.ro). For some of the reports carried out at OP level, only an executive summary was published, and not the full report.
- ▶ The public debates, organized in order to discuss the results of evaluation, also contributed to the high level of dissemination. In the last 12 months, 1 debates was organized at OP level and 3 at NSRF level.

### (8) Use of evaluation results

The criterion *Use of evaluation results* is performing above the average. Procedures are in place for the implementation of the evaluation results, but there is still room for improvement regarding the implementation of the action plan, especially at NSRF level. (criterion overall achievement: 77%)

- ▶ Procedures for addressing evaluation results and follow-up: procedures for addressing evaluation results and for follow-up are in place, both at OP and NSRF level, and responsibilities are being assigned to a decision making body (Monitoring Committee / Managing Authority). A follow-up mechanism, based on an Action Plan drafted upon approval of the Evaluation Report is foreseen for all Programmes in the evaluation procedures, except for NPRD. (sub-criterion achieved score: 92%)
- ▶ Impact of evaluations on programming/implementation processes: based on the desk research and on the e-survey, the degree of implementation of evaluation recommendations is higher at OP than at NSRF level (e.g.: for ROP, both recommendations related to the reallocation of funds, produced under the Interim Report, were implemented). (sub-criterion achieved score: 62%)

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



### (9) Mental framework

This criterion is composed of a single sub-criterion and registers a 57% achievement of the maximum available score. An analysis at the level of indicator evidences that evaluation is considered an essential part of achieving success at institutional level by management and executive staff, but there is room for improvement, especially among policy makers.

During the dissemination event it was evidenced that, although the major beneficiaries of OP DAC do not perform evaluations within their projects, self-assessment of the activities performed are already carried out. It is expected that the future operational programme, will include a call for proposal aimed at supporting public authorities in setting out monitoring and evaluation systems. According to ROP representatives, there is also need of raising further awareness about the use of evaluation as a tool for improving policies and programme performance based on the lessons learned

### (10) Legal context of evaluation

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

- ▶ Legal provisions regulating evaluation transpose EC legislation into the National Legal Framework (G.D. No. 457/2008) and complement it with additional provisions such as multi-annual evaluation plans.
- ▶ There are legal provisions hampering directly or indirectly evaluation:
  - Public Procurement – Government Ordinance 34/2006, determining blockages and delays in the acquisition process
  - Ordinance no. 34/2009 based on the agreement with the IMF, World Bank and EU, freezing the hiring of personnel in public administration
  - Programming documents and eligible costs orders, limiting the types of target groups eligible for capacity development actions (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 CEU.



- ▶ In addition, the focus group with the EWG concluded that political changes affect the continuity of the actions performed by the Evaluation Units.
- ▶ Concerning the regulatory impact assessment, both the evaluation team and the participants to the dissemination event agreed on the importance of use of Regulatory Impact Assessment, which although foreseen in the Romanian legal framework is often treated as a formality.

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

This criterion is composed of a single sub-criterion and registers a 61% achievement of the maximum available score. An analysis at the level of indicator evidences that:

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

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

This criterion is composed of a single sub-criterion and registers a 56% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ The overall demand for evaluation is in line with other Member States: the average number of evaluations carried out per OP has been 3.
- ▶ At OP level there is a low number of evaluations triggered by need of knowledge, which is confirmed by desk analysis and e-survey.
- ▶ At NSRF level there is a high number of evaluations triggered by need of knowledge, but there is no convergence between desk analysis and e-survey (i.e. the indicator obtained a lower score based on the e-survey).

### (13) Networking

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

- ▶ National organization of professional evaluators: the e-survey evidenced that there is an insufficient contribution of the national organization of evaluators to the creation of a network, aimed at disseminating the good practices.

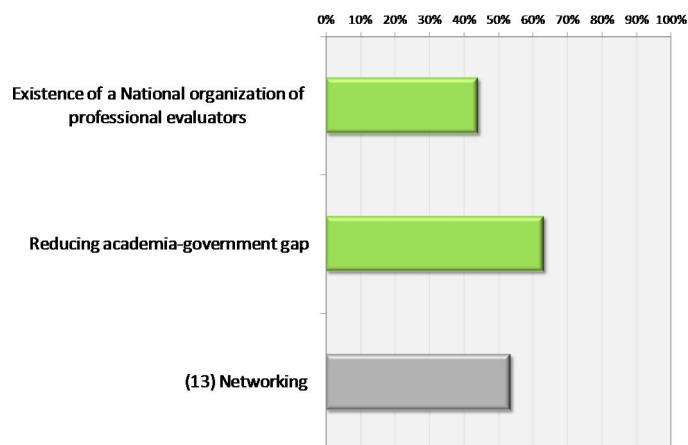
The overall good score assigned through the e-survey to role played by the professional association of evaluators can mainly be interpreted in terms of consistency of the mission of ADER with the role that such associations should play in terms of networking and dissemination of best practices. ADER members, in fact, aim to expand their organization to subject matter experts and involve them through working groups created ad-hoc. (sub-criterion achieved score: 44%)

- ▶ Reducing academia-government gap: based on the e-survey, there is an effective mechanism of cooperation between Government and academia, which allows for a better policy formulation. However, the desk research gave no evidence of this. ADER representatives



explained that the cooperation between public administration and academia is ensured at individual level and not at institutional level (i.e. some teachers are involved in evaluation projects).(sub-criterion achieved score: 63%)

Figure 11 – Networking, by sub-criteria

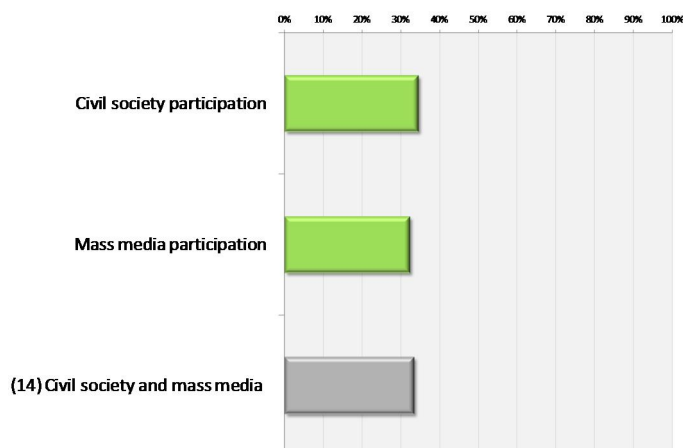


#### (14) Civil society and mass media

The criterion *Civil society and mass media* is one of the lowest performing, with an average achievement substantially below average. (criterion overall achievement: 33.46%)

- ▶ Civil Society participation: the level of participation of civil society in evaluation related activities is perceived as being “low”. E-survey respondents advocate for the involvement of relevant professional associations, NGOs and banks. (criterion overall achievement: 35%)
- ▶ Mass Media participation: respondents reveal that the number of public events carried out (per year), other than Monitoring Committees, related to evaluation and dissemination of evaluation evidence, is very low. (criterion overall achievement: 32%)

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



### (15) Governance

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

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

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

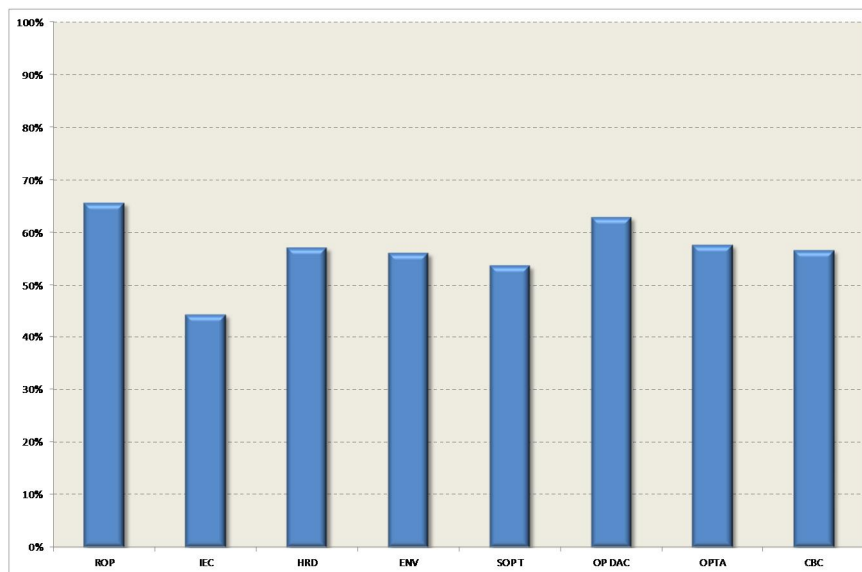
This criterion is composed of a single sub-criterion and registers a 63% achievement of the maximum available score. An analysis at the level of indicator evidences that:

- ▶ The perceived sensitivity to evaluation on behalf of the institutions involved in the Structural Instruments System (IBs, major beneficiaries, Audit Authority, Certifying Authority) is good. An important development is represented by the first contracting of evaluation assignments through Joint Technical Secretariats under ETC Programmes. This is expected to increase their level of awareness concerning the importance of evaluation as a tool to improve programme performance, actively contribute to the preparation of annual / multi-annual evaluation plans and structure ad-hoc evaluations that may address specific issues related to Programme implementation.
- ▶ The integration of evaluation both in the policy making process and in the administrative and operating aspects has room for improvement.

## 3.3. Results by Operational Programme

Based on the available data resulting from the e-survey, a comparison has been drawn among 8 Operational Programmes: 7 Convergence Programmes and ETC Programmes. Despite the increase of the research panel size, the number of e-survey responses that can be associated to a single Programme amounts to approximately 30% of the total survey respondents, i.e. 30 persons. The ECI at OP level is, therefore, characterized by higher degree of subjectivity if compared to the overall ECI.

Figure 13 – Results by Operational Programme



As can be seen in the table above, the second measurement cycle evidenced that the top performing operational programme is ROP, in comparison to the first measurement cycle when the highest score was obtained by CBC, and the least performing operational programme continues to be SOP IEC. The average achievement across the 8 OPs included in the analysis is 57%, lower than the global ECI.

### 3.4. Comparison with the first year results

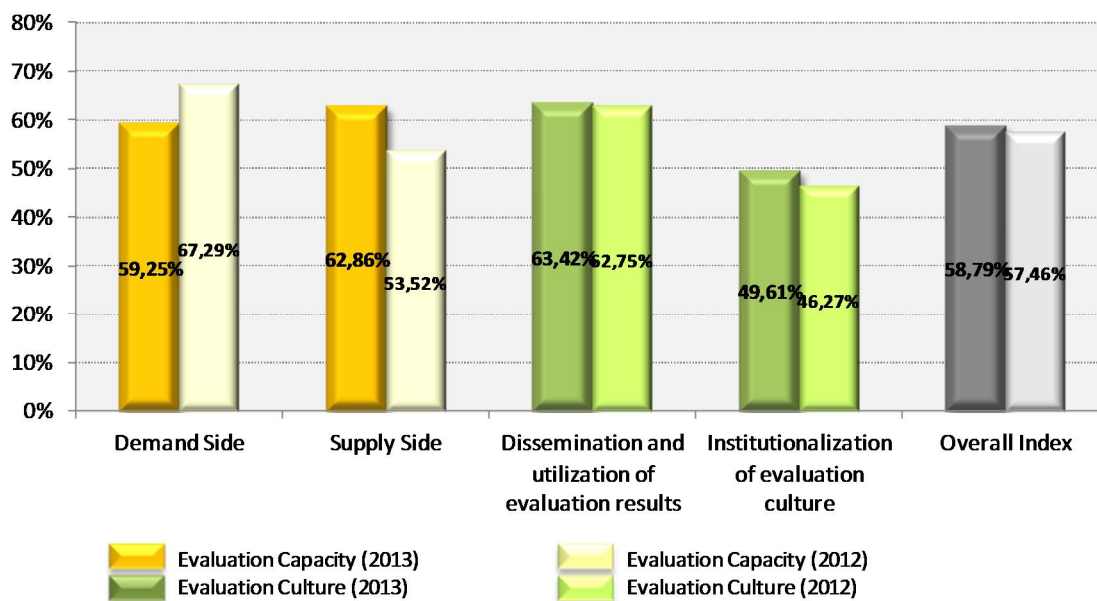
Following the normalization of the results of the first year annual measurement<sup>3</sup>, the comparison with the second annual measurement of evaluation culture show an improvement from 57% to 59% achieved score under ECI. As shown in the figure below, the most significant improvement is registered for the supply side.

On the other hand, the demand side registered a lower score, which was mainly caused by the indicator *Financial resources allocated to Evaluation*. However, the gap between the two measurement cycles was not caused by a reduction of the financial allocation since last year, but mainly by the inclusion in the international benchmarking of aggregated data related to French OPs which have a higher allocation of resources to evaluation compared to the Hungarian NSRF which is not included in the second measurement cycle. .

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<sup>3</sup> As presented in chapter 2.1 *Methodology*, based on the experience of the first cycle of annual measurement and on the recommendations received from EWG, we updated the methodology for the second annual measurement. In order to be able to compare the results between the two cycles, a normalization method is applied to each indicator, normalizing values between [0-1] through Min-Max method.

Figure 14 – ECI achieved score – comparison between the first and the second annual measurement cycles



## Chapter 4 Analysis of KAI 1.2 “Evaluation” of OPTA

### 4.1. Overview of the Methodology

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

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

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

The methodology for measuring the impact of KAI 1.2 on the level of achievement of evaluation culture has been based on the attempt to identify possible correlations between the activities / outputs generated by the projects implemented under this measure and the indicators of the ECI.

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

Table 4 – Impact of KAI 1.2: sources of information

Sources of information	
Desk research	▶ Analysis of evaluation related materials (e.g. guidelines, training materials, studies, reports, selection criteria for staff) and cross-checking with the deliverables indicated in KAI 1.2 projects
Validation interviews / discussions	▶ Validation of correlations between existing guidelines / procedures related to evaluation and deliverables of the projects
Focus Group with EWG	▶ Validation with representatives of the EWG that are expected to be among those that benefited the most of the activities performed under KAI 1.2 of the correlations between projects and ECI

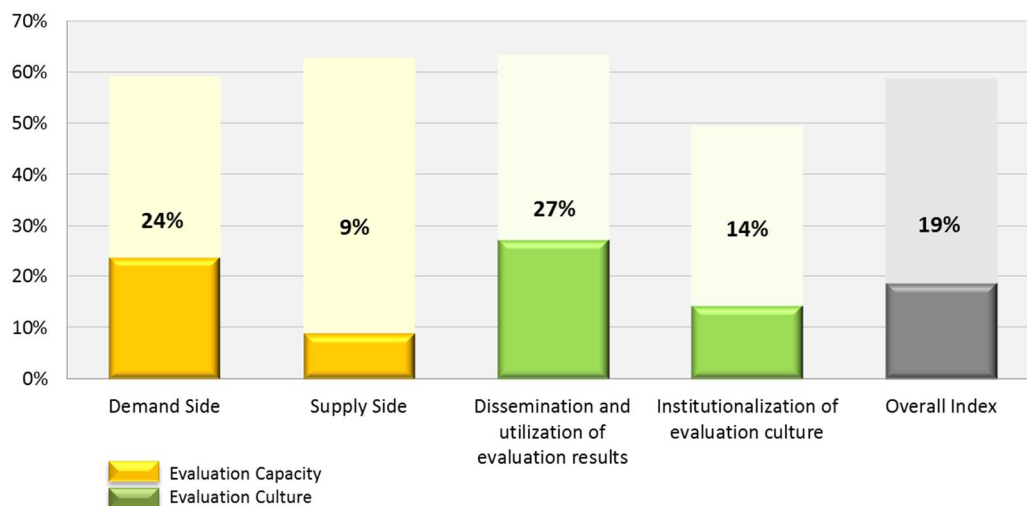
### 4.2. Impact of KAI 1.2 on ECI, dimensions and criteria

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

### Overall impact by dimension

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

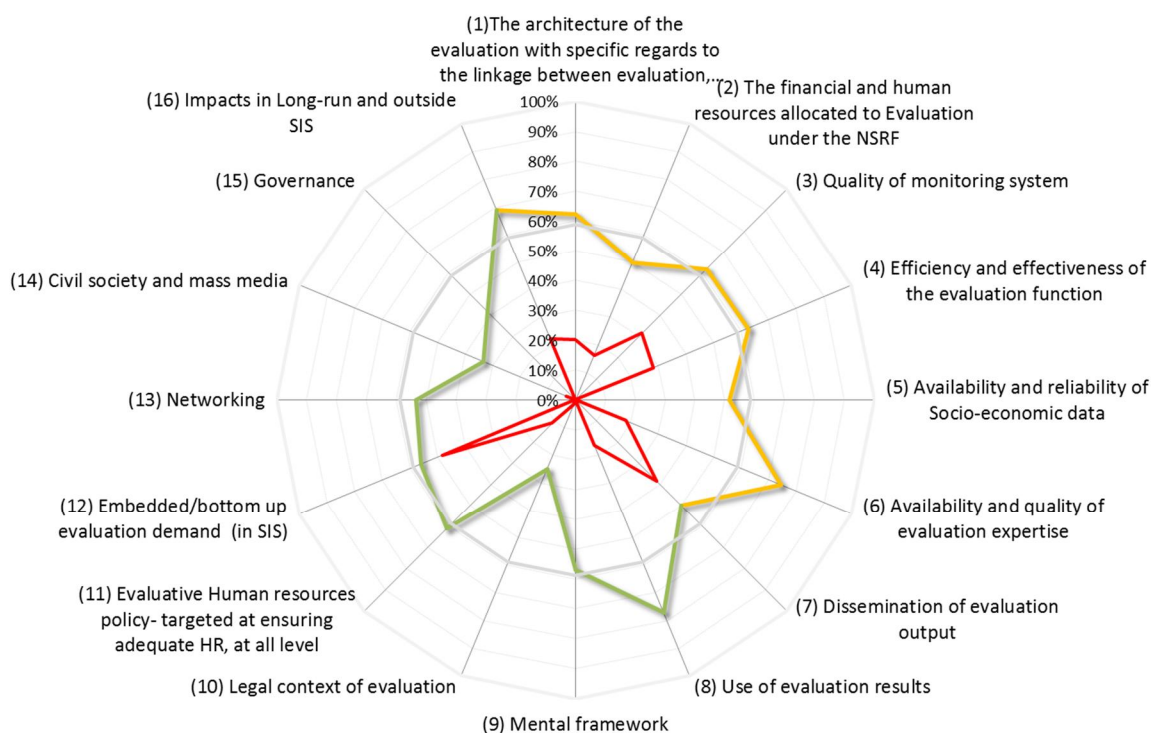
Figure 15 – Overall impact of KAI 1.2, by dimensions



### 4.3. Results by criteria

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

Figure 16 – Impact of KAI 1.2, by criteria



#### 4.4. Results by sub-criteria and indicators

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

##### (1) The architecture of the evaluation

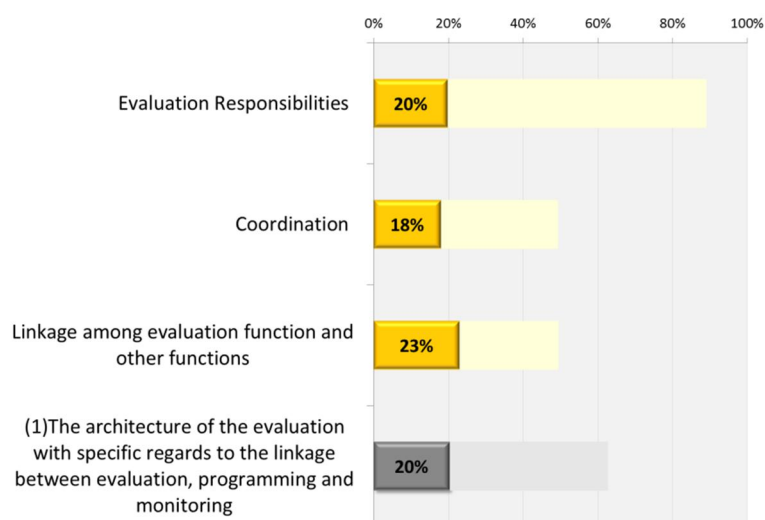
There is evidence of KAI 1.2 impact on all three indicators of this criterion. The overall impact of KAI 1.2 on the architecture of the evaluation is 20% of the total achieved score of 62%.

- Evaluation Responsibilities: KAI 1.2 has an impact on the structure of Evaluation Units, but not on the definition of their mission, roles and tasks. The *Analysis Report of the Evaluation System*, produced under the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS<sup>4</sup>*, recommends to have dedicated units inside the MAs, separated from other functions.

<sup>4</sup> Based on the desk analysis of the documents produced under the project "Evaluation Capacity development for the Evaluation Units within MAs and ACIS", financed through OP TA KAI 1.2, we have identified a number of links between project objectives and activities and areas of the evaluation culture index that are addressed either directly or indirectly. The strongest and direct links are identified in particular with the following criteria of the index: (1) The architecture of Evaluation, (2) The financial and human resources allocated to Evaluation under the NSRF, (4) The evaluation function is efficient and effective, (7) Dissemination of evaluation

- ▶ Coordination: half of the EWG meetings were organized under KAI 1.2 (25 out of 46 meeting). The focus group with the EWG revealed that more than 50% of the approaches discussed during these meetings were implemented at OP level. KAI 1.2 has no impact on the definition of the mechanism for the coordination of Evaluation Units.
- ▶ Linkage among evaluation function and other function: based on the desk research, there is evidence of KAI 1.2 impact on the linkage between evaluation and monitoring. The *Analysis Report of the Evaluation System* suggests that monitoring data should trigger evaluations and this recommendation was integrated in all evaluation procedures, both at OP level and NSRF.

Figure 17 – The architecture of the evaluation: impact of KAI 1.2



## (2) Financial and human resources allocated to Evaluation

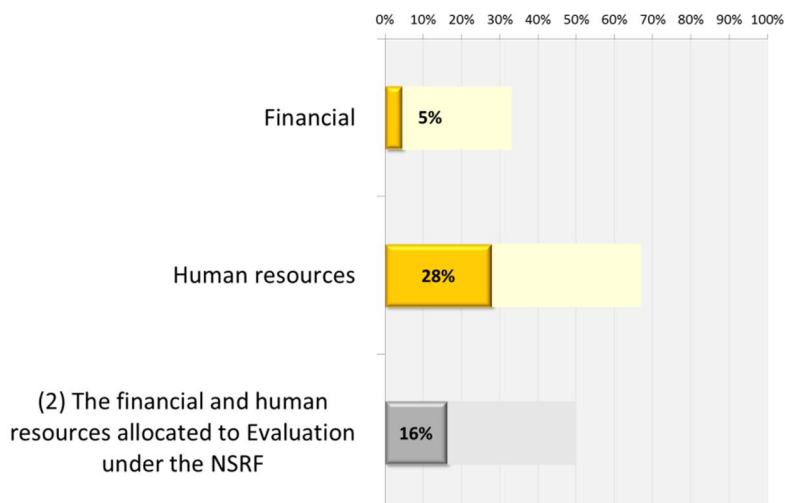
The overall impact of KAI 1.2 on this criterion is 16% of the total achieved score of 50%.

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

outputs, (8) Use of evaluation results, (11) "Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, (12) Embedded/bottom up evaluation demand (in SIS), (14) Civil society and mass media.



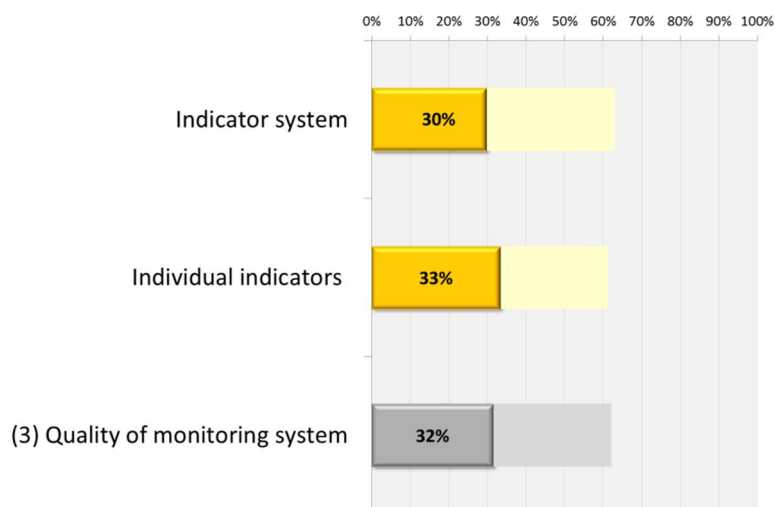
Figure 18 – Financial and Human Resources allocated to Evaluation: impact of KAI 1.2



### (3) Quality of monitoring system

The impact of KAI 1.2 on this criterion was computed based on a survey distributed to the members of the EWG. The results suggest that both the Indicator System and the Individual Indicators are designed or revised according to the recommendations of KAI 1.2. However, the desk research gave no evidence of this. The overall impact of KAI 1.2 on this criterion is 32% of the total achieved score of 62%.

Figure 19 – Quality of monitoring system: impact of KAI 1.2



### (4) The evaluation function is efficient and effective

We identified a number of recommendations produced under KAI 1.2 related to this criterion. However, as shown below, not all of them were implemented. The overall impact of KAI 1.2 is 28% of the achieved score of 60%.

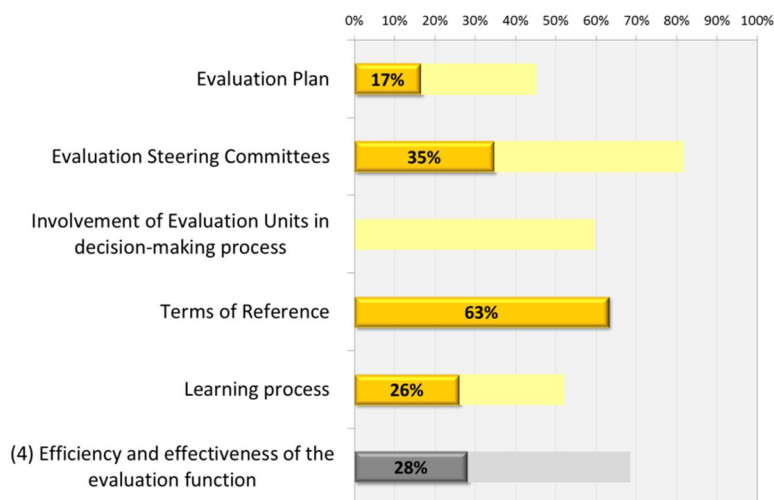
- Evaluation Plans: KAI 1.2 produced recommendations related to the regular update of Annual and Multiannual Evaluation Plans. The manual *Evaluation of Operational Programmes. Introductory concepts* produced under the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS* states that the MEP should be a dynamic document,

regularly updated, and the AEPs should be developed at the beginning of each year throughout the programming period. However, only ROP has updated both the MEP and the AEPs.

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

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

Figure 20 – Evaluation function efficiency and effectiveness: impact of KAI 1.2



#### (5) Socio-economic data are available and reliable

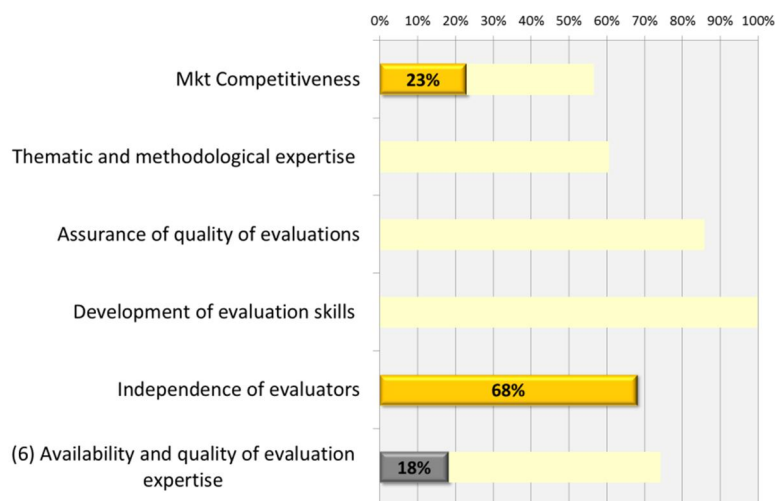
No evidence was found related to the impact of KAI 1.2 on the availability and reliability of socio-economic data. The focus group with the EWG confirmed that there are no projects financed under KAI 1.2 envisaged at collecting socio-economic data. The overall impact of KAI 1.2 on this criterion is 0% of the total achieved score of 52%.

## (6) Availability and quality of evaluation expertise

The second annual measurement revealed that KAI 1.2 has impact on only 2 sub-criteria related to the availability and quality of evaluation expertise: market competitiveness and independence of evaluators. The overall impact of KAI 1.2 on this criterion is 18% of the total achieved score of 74%.

- ▶ **Market Competitiveness:** the large multi-annual framework contracts financed under KAI 1.2 aroused the interest of both national and international firms active on the evaluation market (6 out of the 12 international firms and 4 out of the 7 national firms are working on KAI 1.2 projects).
- ▶ **Thematic and methodological expertise:** no evidence was found of training opportunities financed under KAI 1.2 for the supply side of evaluation. Therefore we can conclude that KAI 1.2 did not contribute to the good level of thematic and methodological expertise.
- ▶ **Assurance of quality of evaluations:** no evidence was found of guidelines financed under KAI recommending a certain structure of check-lists.
- ▶ **Development of evaluation skills:** no evidence was found of training opportunities for the supply side of evaluation, financed under KAI 1.2. Therefore, we can conclude that KAI 1.2 has no impact on the development of evaluation skills of the supply side.
- ▶ **Independence of evaluators:** the project *Evaluation Capacity development for the Evaluation Units within MAs and ACIS* financed training materials related to the independence of evaluators: "*Dealing with conflict of interest, independence and impartiality of evaluators*". The perceived impact of KAI 1.2 on the independence of evaluators, based on the focus group with EWG, is medium to high.

Figure 21 – Availability and quality of evaluation expertise: impact of KAI 1.2



## (7) Dissemination of evaluation output

This criterion is composed of a single sub-criterion and registers a 38% impact of KAI 1.2, out of the 50% achieved score. An analysis at the level of indicators evidences that:

- ▶ Starting from January 2013, the Ministry of European Funds has made available for decision-makers and for the wide public a centralized Evaluation Library, containing evaluation reports carried out both at OP and NSRF level, which can be consulted on-line on the web page

[www.evaluare-structurale.ro](http://www.evaluare-structurale.ro). This instrument for managing the evaluation results has been deployed under the project *Improving the use of evaluation in the policy-making and decision-making process in the field of structural instruments in Romania*, financed through KAI 1.2. In the last 12 months, at OP level, 33% of the evaluation reports published in full version on the Evaluation Library were financed under KAI 1.2. At NSRF level, the percentage is 100%.

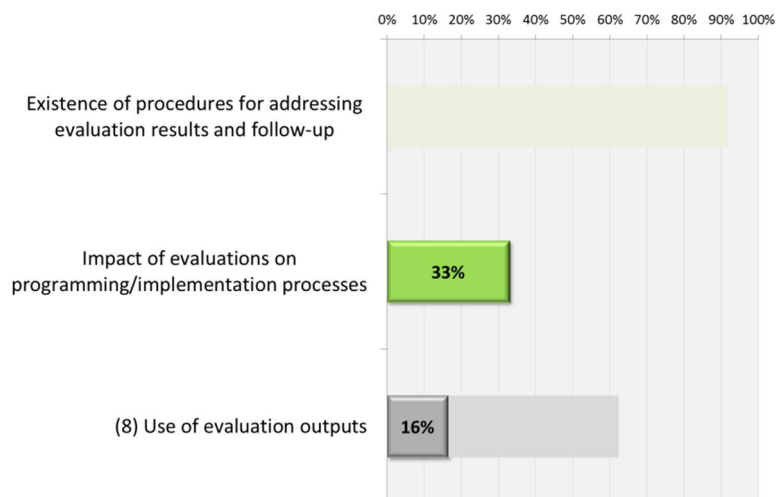
- ▶ Furthermore, at NSRF level, all public events organized in the last 12 months in order to discuss the results of evaluations were financed from KAI 1.2. At OP level, public debates are financed from other sources, and therefore the impact of KAI 1.2 is limited.

## (8) Use of evaluation results

Based on the desk research, the impact of KAI 1.2 on this criterion is limited. Procedures are in place for the implementation of the evaluation results, but they were not financed under KAI 1.2. The overall impact of KAI 1.2 on this criterion is 16% of the total achieved score of 77%.

- ▶ Procedures for addressing evaluation results and follow-up: no evidence was found of guidelines produced under KAI 1.2 related to the follow up process (the existing guidelines were financed under Phare).
- ▶ Impact of evaluations on programming/implementation processes: based on the survey submitted to the members of the EWG, the impact of evaluation projects financed under KAI 1.2 on programming and implementation processes is perceived as medium to high. However, the number of respondents to the survey is rather low (8 respondents), which can be a limiting factor for the accuracy of the analysis.

Figure 22 – Use of evaluation outputs: impact of KAI 1.2



## (9) Mental framework

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

#### (10) Legal context of evaluation

The desk analysis evidenced that KAI 1.2 does not have an impact on the legal context of the evaluation. The results of the survey distributed to the EWG are not in line with the desk analysis; however only 8 responses were received, and so the measurement is not very reliable. The overall impact of KAI 1.2 on this criterion is 1,8% of the total achieved score of 25%.

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

This criterion is composed of a single sub-criterion and registers an 11% impact of KAI 1.2, out of the 61% achievement score. An analysis at the level of indicator evidences that:

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

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

This criterion is composed of a single sub-criterion and registers a 48% impact of KAI 1.2, out of the 56% achievement score. An analysis at the level of indicator evidences that:

- ▶ 28% of the completed evaluations, including both OP and NSRF level, were financed under KAI 1.2
- ▶ 14% of the evaluations carried out at OP level in response to the need for empirical knowledge, and not as an obligation, were financed under KAI 1.2. The percentage at NSRF level is 100%.

#### (13) Networking

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

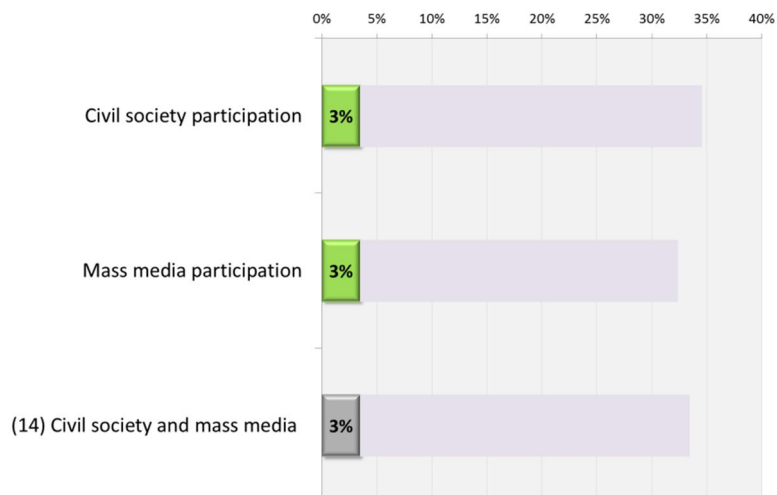
- ▶ National organization of professional evaluators: no evidence was found of KAI 1.2 projects supporting the activity of the national organization of evaluators.
- ▶ Reducing academia-government gap: no evidence was found of KAI 1.2 projects supporting the cooperation mechanisms between academia and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

#### (14) Civil society and mass media

The overall impact of KAI 1.2 on this criterion is 3% of the total achieved score of 33%.

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

Figure 23 – Civil society and mass media: impact of KAI 1.2



### (15) Governance

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

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

This criterion is composed of a single sub-criterion and registers a 22% impact of KAI 1.2, out of the 63% achievement score. An analysis at the level of indicator evidences that:

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

## Chapter 5 Overall Conclusions and recommendations

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

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

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

If we make a comparison with the results from the previous cycle, we observe an increase only for the score achieved by the supply side, which was mainly based on the perceived performance of the dimension determined through an e-survey. The timeframe of one year difference between the two cycles of annual evaluations may be too short in order to capture substantial improvements for all four dimensions.

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

Figure 24 – Structure of conclusions and recommendations table

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

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

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

ECI Criteria	PERFORMANCE	STRENGTHS	WEAKNESSES	KAI 1.2 IMPACT	OPERATIONAL	STRATEGIC
(1)The architecture of Evaluation	<ul style="list-style-type: none"> <li>ABOVE ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>The architecture of the evaluation system is in place with dedicated Evaluation Units established and operational at Programme level, effectively coordinated by the Central Evaluation Unit set-up within MFE.</li> <li>Mission, roles and tasks of EUs are clearly defined and assigned based on ROF, procedures and job descriptions.</li> </ul>	<ul style="list-style-type: none"> <li>The main downside concerning architecture relates to the fact that Evaluation Units are organized within compartmental performing also other functions (ex: programming, communication) and that there is a lack of formal procedures linking evaluation to programming.</li> <li>The applied procedure concerning the coordinating role of the EWG is in draft status.</li> </ul>	<ul style="list-style-type: none"> <li>There is evidence of KAI 1.2 impact on the architecture of Evaluation (recommendation to have dedicated units, separated from other units)</li> <li>Half of EWG meeting were organized under KAI 1.2</li> <li>KAI 1.2 has impact only on the linkage between evaluation and monitoring and not between evaluation and programming.</li> </ul>	<p><b>KAI 1.2 ACTIONS</b></p> <ul style="list-style-type: none"> <li>Support an international benchmarking study aimed at comparing organizational aspects related to Evaluation Units as well as procedures for the coordination between evaluation, monitoring and programming in different Member States in order to identify models that can be transferred to the Romanian system and fully implemented in the next programming period.</li> </ul> <p>Owner: Ministry of European Funds (MEF)</p> <p>Timeframe</p> <ul style="list-style-type: none"> <li>Start: Q.4 of 2013</li> <li>End: Q.2 of 2014/aligned with programming process 2007-2013</li> </ul>	
(2) Financial and human resources allocated to Evaluation	<ul style="list-style-type: none"> <li>BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>The human resources allocated to evaluation are adequate both in terms of number (average 3 persons per evaluation unit in line with international benchmark) and</li> </ul>	<ul style="list-style-type: none"> <li>The financial resources are below the international benchmark (0.13% of the total budget of the operational programme is dedicated to evaluation, in comparison to 0.4% from</li> </ul>	<ul style="list-style-type: none"> <li>KAI 1.2 contributed with financial resources to the evaluations carried out at OP level (i.e. OP TA) and NSRF level.</li> <li>KAI 1.2 financed training and professional development of staff at</li> </ul>	<p><b>KAI 1.2 ACTIONS</b></p> <ul style="list-style-type: none"> <li>Continue to finance evaluations both at OP and NSRF level.</li> </ul> <p>Owner: MEF</p>	<p><b>OTHER ACTIONS</b></p> <ul style="list-style-type: none"> <li>Framework Implementation Documents for the period 2014-2020 could earmark resources to support salaries of</li> </ul>

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Examination of the Evaluation Culture, SMIS 43465

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



		competences.	the international benchmarking). This gap was influenced by the fact that we included in the international benchmark aggregated data related to French OPs which have a higher allocation of resources to evaluation compared to the Hungarian NSRF which did not respond to respond to the second measurement cycle.	OP and NSRF level. <ul style="list-style-type: none"> <li>KAI 1.2 has no impact in terms of coverage of salaries.</li> </ul>	Timeframe: ongoing	<p>Evaluation Staff Units as foreseen in the current programming period under DMI 1.1 of the OPTA for the staff dedicated to coordination, management and control of EU Funds.</p> <p>Owner: MEF Timeframe: in accordance to the programming process</p> <p>OTHER ACTIONS</p> <ul style="list-style-type: none"> <li>Framework Implementation Documents for the period 2014-2020 could earmark resources to evaluation, based on the experience of other Member States (e.g. Italian OPs)</li> </ul> <p>Owner: MEF Timeframe: in accordance to the programming process</p>
(3)Quality of monitoring system	<ul style="list-style-type: none"> <li>ABOVE ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>The quality of the indicator system is considered adequate and capable of providing timely information.</li> </ul>	<ul style="list-style-type: none"> <li>Areas of improvement have been indicated in relation to the indicator system at NSRF level</li> </ul>	<ul style="list-style-type: none"> <li>No evidence was found of projects financed under KAI 1.2 that may have an impact on the quality of the monitoring system.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Starting from the Partnership Agreement, identify 2007-2013 indicators that will be used also in the future programming period, assess their reliability and consistency across OPs and identify possible solutions for improvement (e.g. manuals / guidelines for MAs). This analysis</li> </ul>	

					<p>should be based on desk review of Annual Implementation Reports and on interviews with the relevant stakeholders/users of monitoring system. The assessment</p> <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> <li>Start: Q.4 of 2013</li> <li>End: Q.2 of 2014/aligned with programming process 2007-2013</li> </ul>	
(4)Efficiency and effectiveness of the evaluation function	<ul style="list-style-type: none"> <li>IN LINE WITH ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>Planning of evaluation is ensured by the existence of multiannual plans.</li> <li>Single evaluation assignments are effectively managed by Evaluation Steering Committees (ESCs) set-up at Programme level producing terms of reference of medium-high quality.</li> <li>EUs are consulted by MAs in decision making processes, but not in a formalized manner.</li> <li>Procedures are in place for design, implementation and use of evaluation and provide for the involvement of Evaluation Units in decision making.</li> </ul>	<ul style="list-style-type: none"> <li>Multiannual and annual plans are not regularly updated and the degree of accomplishment is not always satisfactory.</li> <li>The multiannual evaluation plans registered an average delay of 6 months between the planned date and the completion date.</li> <li>Procedures are not regularly updated, in order to reflect the latest organizational changes.</li> </ul>	<ul style="list-style-type: none"> <li>KAI 1.2 produced recommendations related to the regular update of annual and multiannual evaluation plans.</li> <li>No evidence was found related to the impact of KAI 1.2 on structures of ESC.</li> <li>There are guidelines produced under KAI 1.2 related to the drafting of the ToRs</li> <li>KAI 1.2 produced recommendations related to the regular update of procedures</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Provide TA support for the structuring and animation of EWG subgroups focusing on specific themes and for the regular update of official evaluation related documents (their approval remains the competency of the MA).</li> </ul> <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> <li>Start: Q.4 of 2013</li> <li>End: Q.3 of 2015</li> </ul>	

<p>(5) Socio-economic data are available and reliable</p>	<ul style="list-style-type: none"> <li>• BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic data are available in a timely manner.</li> </ul>	<ul style="list-style-type: none"> <li>• Other data such as micro-data at beneficiary level are only partially available and their consistency is considered of medium level.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific action undertaken.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <p>Support a project in collaboration with the National Institute of Statistics in order to:</p> <ul style="list-style-type: none"> <li>• develop a statistical baseline for micro-data that may prove of particular use for counterfactual analyses in the future programming period;</li> <li>• perform a review of information needs in what pertains socio-economic indicators adequate to capture the intervention of Structural Instruments at local and national level (i.e. socio-economic indicators adapted to Structural Instruments investment priorities)</li> </ul> <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> <li>• Start: Q.1 of 2014</li> <li>• End: Q.4 of 2015</li> </ul>	
<p>(6) Availability and quality of evaluation expertise</p>	<ul style="list-style-type: none"> <li>• ABOVE ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Specific check-lists to</li> </ul>	<ul style="list-style-type: none"> <li>• There is room for improvement of market competitiveness. The involvement of universities in evaluation activities is not yet developed.</li> </ul>	<ul style="list-style-type: none"> <li>• Large multi-annual framework contracts have attracted a number of international players in the national evaluation market.</li> <li>• KAI 1.2 is not currently financing trainings for the</li> </ul>		<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>• 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 training educational</li> </ul>

		<p>assess the quality of evaluation are in use and, based on the eSurvey respondents, evaluation reports are of medium to high quality.</p> <ul style="list-style-type: none"> <li>Evaluators are considered independent.</li> </ul>		supply side.		<p>options. For example financing higher education options in management of European cohesion policy and public policy evaluation</p> <p>Owner: MEF</p> <p>Timeframe: in parallel with the programming process</p>
(7) Dissemination of evaluation outputs	<ul style="list-style-type: none"> <li>BELOWECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>A number of Evaluation Reports are publicly available on the website of the Evaluation Working Group (<a href="http://www.evaluate-structurale.ro">www.evaluate-structurale.ro</a>) and public debates have been organized in order to present and discuss evaluation findings.</li> </ul>	<ul style="list-style-type: none"> <li>Not all the evaluation reports are publicly available in their integrity; some of them are published only in terms of Executive Summary.</li> <li>The average number of public debate organized per OP in the last 12 months appears to be low.</li> </ul>	<ul style="list-style-type: none"> <li>Development of the EWG website (and of the Evaluation Library)</li> <li>Publication on the EWG website of the evaluation reports</li> <li>Planned organization of wider dissemination events under LOT 2 of the Framework Agreement on Structural Instruments.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Continue to structure Terms of Reference in order to embed activities related to wide dissemination of evaluation evidences in projects financed under KAI 1.2</li> <li>Publish all evaluation reports in their integrity, for which authorization has been provided by the respective Managing Authority, on the Evaluation Library</li> </ul> <p>Timeframe: ongoing</p>	
(8) Use of evaluation results	<ul style="list-style-type: none"> <li>ABOVE ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>Procedures for addressing evaluation results and their follow-up are in place.</li> <li>The use of evaluation results is considered higher at OP level than at NSRF level.</li> </ul>	<ul style="list-style-type: none"> <li>No weakness identified.</li> </ul>	<ul style="list-style-type: none"> <li>No specific action undertaken.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Regularly discuss within the EWG the follow-up on evaluation recommendations. The topic may be subject of systematic analysis on behalf of a sub-group of the EWG</li> </ul>	

					<p>Owner: MEF</p> <p>Timeframe: starting from Q4 of 2013</p>	
(9) Mental framework	<ul style="list-style-type: none"> <li>IN LINE WITH ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation is considered to some extent as an essential part for achieving success at institutional level both by management/executive staff and policy makers.</li> </ul>	<ul style="list-style-type: none"> <li>There is still space for improvement, especially among policy makers.</li> </ul>	<ul style="list-style-type: none"> <li>No specific action undertaken.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>KAI 1.2 can support the organization of an international conference aimed at exchanging experiences on "Impact of evaluation evidences on policy making process", including among speakers from EC, OECD, other MS</li> </ul> <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> <li>Start: Q.1 of 2014</li> <li>End: Q.2 of 2014</li> </ul> <ul style="list-style-type: none"> <li>Embed in projects financed under KAI 1.2 targeted communication sessions towards national policy makers holding a stake in relation to the topics subject of evaluations</li> </ul> <p>Owner: MEF</p>	

					Timeframe: ongoing	
(10) Legal context of evaluation	<ul style="list-style-type: none"> <li>BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>No specific action undertaken.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Finance a TA to the Evaluation Units to reduce negative effects of political instability under LOT 2 of the Framework Agreement (See also recommendations provided under Criterion (4))</li> </ul> <p>Owner: MEF</p> <p>Timeframe:</p> <ul style="list-style-type: none"> <li>Start: Q.4 of 2013</li> <li>End: Q.3 of 2015</li> </ul>	<p>OTHER ACTIONS</p> <ul style="list-style-type: none"> <li>Address rules on eligibility of expenditure that are limiting the types of target groups eligible for capacity development actions, by addressing rules on expenditure eligibility in the programming document</li> </ul> <p>Owner: MEF</p> <p>Timeframe: in parallel with the programming process</p>

<p>(11) "Evaluative" human resources policy – targeted at ensuring adequate human resources, at all level</p>	<ul style="list-style-type: none"> <li>• IN LINE WITH ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>• There are evaluation champions (i.e. persons supporting the evaluation process) both at OP and NSRF level.</li> <li>• There are training options on the market.</li> </ul>	<ul style="list-style-type: none"> <li>• Less than half of the civil servants are trained in social sciences.</li> <li>• The degree of participation of civil servants (other than those dedicated to evaluation) has substantial room for improvement.</li> <li>• The number of training options remains limited and do not cover all developmental and training needs.</li> </ul>	<ul style="list-style-type: none"> <li>• Some of the EWG participants hold decision making position and are able to support the evaluation process (i.e. evaluation champions)</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>• Organize dissemination events involving a wider number of civil servants to spread evaluation culture.</li> </ul> <p>Owner: MEF Timeframe: ongoing</p>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>• 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 (see recommendations on criterion (6)) .</li> </ul> <p>Owner: MEF Timeframe: in parallel with the programming process</p>
<p>(12) Embedded/bottom up evaluation demand(in SIS)</p>	<ul style="list-style-type: none"> <li>• BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>• There is a demand for evaluation.</li> <li>• At NSRF level, evaluations are triggered in response to a need of knowledge, and not in response to a compliance imposed by the EU.</li> </ul>	<ul style="list-style-type: none"> <li>• The overall demand for evaluation as well as the number of evaluations triggered in response to a need of knowledge can be improved at OP level.</li> </ul>	<ul style="list-style-type: none"> <li>• KAI 1.2 financed evaluations triggered in response to a need for knowledge.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>• See recommendation under criteria 7 on communication.</li> <li>• See recommendation under criteria 4 on updated of evaluation plans</li> </ul>	

(13) Networking	<ul style="list-style-type: none"> <li>BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>There exists a national organization of evaluators.</li> <li>There is a mechanism of cooperation between Government and academia.</li> </ul>	<ul style="list-style-type: none"> <li>The contribution of the national organization of evaluators to the dissemination of good practices is low.</li> <li>The involvement of academia has been very limited up to date.</li> </ul>	<ul style="list-style-type: none"> <li>No specific action undertaken.</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Organize dissemination events involving Institutional Stakeholders, Academia and Professionals as well as the media.</li> </ul> <p>Owner: MEF</p> <p>Timeframe: ongoing</p>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>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.</li> </ul> <p>Owner: MEF</p> <p>Timeframe: in parallel with the programming process</p>
(14) Civil society and mass media	<ul style="list-style-type: none"> <li>BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>No strengths identified.</li> </ul>	<ul style="list-style-type: none"> <li>The level of participation of civil society in evaluation related activities is low as well as the number of public events organized per year.</li> </ul>	<ul style="list-style-type: none"> <li>Addressed to a very limited extent (i.e. out of the ten projects involving civil society, two were financed under KAI 1.2)</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>Organize additional dissemination and communication events within the projects financed under KAI 1.2 involving civil society and mass media (see <i>recommendation on criterion (9)</i>)</li> </ul> <p>Owner: MEF</p> <p>Timeframe: ongoing</p>	
(15) Governance	<ul style="list-style-type: none"> <li>BELOW ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>Political stability, regulatory quality, rule of law and control of corruption are above the world average as measured by the World Bank Governance index.</li> </ul>	<ul style="list-style-type: none"> <li>Government effectiveness is below the world average as measured by the World Bank Governance Index.</li> </ul>	<ul style="list-style-type: none"> <li>Not addressed within the framework of KAI 1.2</li> </ul>	<p>KAI 1.2 ACTIONS</p> <ul style="list-style-type: none"> <li>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 V COM (2012) 496</li> </ul>	



					final) <sup>5</sup> Owner: MEF Timeframe: <ul style="list-style-type: none"> <li>Start: Q.4 of 2013</li> <li>End: Q.2 of 2015</li> </ul>	
(16)Impacts in long-run and outside SIS	<ul style="list-style-type: none"> <li>ABOVE ECI AVERAGE</li> </ul>	<ul style="list-style-type: none"> <li>The perceived sensitivity to evaluation on behalf of institutions involved in the Structural Instruments System is good. An important development is represented by the first contracting of evaluation assignments through Joint Technical Secretariats under ETC Programmes.</li> </ul>	<ul style="list-style-type: none"> <li>Institutions involved in Structural Instruments have internalized evaluation only in part.</li> </ul>	<ul style="list-style-type: none"> <li>Addressed to a very limited extent.</li> </ul>	KAI 1.2 ACTIONS <ul style="list-style-type: none"> <li>Organize within KAI 1.2 projects wider dissemination events to further spread knowledge of evaluation. (see <i>recommendation on criterion (9)</i>)</li> </ul> Owner: MEF Timeframe: ongoing	

<sup>5</sup> For more details on RIA see Annex 5.

# Annexes

## Annex 1 – Documents analyzed

### Documents received from the Managing Authorities and NSRF:

#### Regional Operational Programme

Ministry of Regional Development and Public Administration – Regulation on Organization and Functioning of MRDPA, dated June 2013

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

Ministry of Regional Development and Public Administration – Organizational chart

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

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

Ministry of Regional Development and Public Administration – Framework Implementation Document for ROP, dated February 2012

Ministry of Regional Development and Public Administration – Multiannual Evaluation Plan, dated October 2012

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

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

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

Ministry of Regional Development and Public Administration – Annual Implementation Reports (2007-2011)

Ministry of Regional Development and Public Administration – Follow up tables

Ministry of Regional Development and Public Administration – Public Procurement Plan for 2013

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

#### Sectoral Operational Programme Increase of Economic Competitiveness

Ministry of Economy – Regulation on Organization and Functioning of ME, not dated

Ministry of Economy – Evaluation Procedure, dated May 2008

Ministry of Economy – Organizational chart, dated July 2013

Ministry of Economy – Job descriptions of staff performing evaluation activities

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

Ministry of Economy – Multiannual Evaluation Plan, dated May 2008

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

Ministry of Economy – Evaluation check-lists

#### Sectoral Operational Programme Human Resources Development

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

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

Ministry of Labour, Family, Social Protection and Elderly – Organizational chart

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

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

Ministry of Labour, Family, Social Protection and Elderly – Framework Implementation Document for SOP IEC, not dated

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

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

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

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

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

#### Sectorial Operational Programme Environment

Ministry of Environment and Climate Change – Regulation on Organization and Functioning of MECC, dated March 2013

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

Ministry of Environment and Climate Change – Organizational chart, dated April 2013

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

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

Ministry of Environment and Climate Change – Framework Implementation Document for SOP Environment, dated December 2012

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

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

Ministry of Environment and Climate Change – Follow up tables

Ministry of Environment and Climate Change – Public Procurement Plans for 2012 and 2013

#### Sectorial Operational Programme Transport

Ministry of Transport – Regulation on Organization and Functioning of MT, not dated

Ministry of Transport – Evaluation Procedure, first edition, dated April 2013

Ministry of Transport – Organizational chart

Ministry of Transport – Job descriptions of staff performing evaluation activities

Ministry of Transport – CVs of staff performing evaluation activities

Ministry of Transport – Framework Implementation Document for SOP Transport, dated August 2012

Ministry of Transport – Multiannual Evaluation Plan, dated October 2008

Ministry of Transport – Annual evaluation plan for 2012, dated November 2011

Ministry of Transport – Annual Implementation Reports (2008-2012)

Ministry of Transport – Public Procurement Plan for 2013

#### Operational Programme Development of Administrative Capacity

Ministry of Regional Development and Public Administration – Regulation on Organization and Functioning of MRDPA, dated June 2013

Ministry of Regional Development and Public Administration – Evaluation Procedure, fourth edition, not dated

Ministry of Regional Development and Public Administration – Organizational chart

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

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

Ministry of Regional Development and Public Administration – Framework Implementation Document for OP DAC, dated June 2012

Ministry of Regional Development and Public Administration – Multiannual Evaluation Plan, dated June 2012

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

Ministry of Regional Development and Public Administration – Follow up tables

Ministry of Regional Development and Public Administration – Public Procurement Plan for 2013

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

#### Operational Programme Technical Assistance / NSRF

Ministry of European Funds – Regulation on Organization and Functioning of MEF, dated 2013

Ministry of European Funds – Evaluation Procedure, first edition, dated February 2008

Ministry of European Funds – Organizational chart

Ministry of European Funds – Job descriptions of staff performing evaluation activities

Ministry of European Funds – CVs of staff performing evaluation activities

Ministry of European Funds – Framework Implementation Document for OP TA, dated April 2013

Ministry of European Funds – Multiannual Evaluation Plan for 2007-2013, dated May 2008

Ministry of European Funds – Multiannual Evaluation Plan for 2013-2015, dated November 2012

Ministry of European Funds – Annual Implementation Reports (2007-2012)

Ministry of European Funds – Follow up tables

Ministry of European Funds – Evaluation check-lists

### National Programme for Rural Development

Ministry of Agriculture and Rural Development – Regulation on Organization and Functioning of MARD, not dated

Ministry of Agriculture and Rural Development – Organizational chart

Ministry of Agriculture and Rural Development – Job descriptions of staff performing evaluation activities

Ministry of Agriculture and Rural Development – CVs of staff performing evaluation activities

Ministry of Agriculture and Rural Development – Public Procurement Plan for 2013

Ministry of Agriculture and Rural Development – Evaluation check-lists

### Cross Territorial Cooperation

Ministry of Regional Development and Public Administration – Regulation on Organization and Functioning of MRDPA, dated June 2013

Ministry of Regional Development and Public Administration – Evaluation Procedure for CTC Romania-Bulgaria, first edition, dated June 2013

Ministry of Regional Development and Public Administration – Evaluation Procedure for CTC Romania-Serbia, first edition, dated April 2010

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

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

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

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

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

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

Ministry of Regional Development and Public Administration – Follow up tables

Ministry of Regional Development and Public Administration – Public Procurement Plan for 2013

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

### Other documents:

KPMG – Analysis Report of the Indicator System

World Bank – Worldwide Governance Indicators for 1996 – 2012, made available at [www.worldbank.org](http://www.worldbank.org)

Evaluation Reports, made available at [www.evaluate-structurale.ro](http://www.evaluate-structurale.ro)

Evaluation Working Group documents, made available at [www.evaluate-structurale.ro](http://www.evaluate-structurale.ro)

Documents produced under the project “Support for the evaluation capacity development of the Evaluation Central unit personnel through attending training, conferences and seminars in the field of evaluation”, made available at [www.evaluate-structurale.ro](http://www.evaluate-structurale.ro)

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

### Regional Operational Programme

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Operational Programme Technical Assistance Interim Evaluation	Semester I 2009	Completed in September 2010	x		
Evaluation of the Absorption Capacity of the Operational Programme Technical Assistance	January – June 2012	Completed in June 2013	x		
A Formative Evaluation of Structural Instruments in Romania	Semester II 2010	Completed in July 2010	x		
Synthesis of OP Interim Evaluations	Semester II 2010	Completed in March 2011	x		
Prognosis of absorption and evaluating options for funds reallocation within the NSRF 2007-2013	Semester II 2011				
Second Ad Hoc Evaluation: Review of investment in transport and environment infrastructure	Semester I 2012	Completed in February 2011	x		
Analysis of the current Evaluation System	Semester II 2012	Completed in August 2011	x		
Evaluation of the way in which provisions regarding equal opportunities have been mainstreamed in the Romanian Framework of Structural Instruments	Semester II 2012 - Semester I 2013	Completed in March 2013	x		
Examining the pre-financing rate applied to projects financed from Structural Instruments	Semester II 2012 - Semester I 2013				

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Sectoral Operational Programme Increase of Economic Competitiveness

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



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Sectoral Operational Programme Human Resources Development

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation of the Operational Programme Human Resource Development	2006	Completed in January 2007	x		
First Interim Evaluation of SOP HRD	Semester II 2009	Completed in June 2011	x		
Evaluation of PA 2 (KAI 2.3), PA 3, PA 4, PA 5 and PA 6	Semester II 2011				
Interim Evaluation of SOP HRD	Semester II 2012				
Ex-ante Evaluation of SOP HRD for the next programming period	Semester II 2013				

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Sectoral Operational Programme Environment

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation. Operational Programme Environment	2006	Completed in January 2007	x		
Aspects regarding implementation and institutional capacity	Semester II 2009				
Thematic Evaluation - Communication Plan (PA 6 Technical Assistance)	Semester II 2009				
Interim Evaluation of Operational Programme Environment	Semester I 2011	Completed in March 2013		x	
Ex-ante Evaluation for the programming period 2014-2020	Semester I 2013				

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Sectoral Operational Programme Transport

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

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Operational Programme Development of Administrative Capacity

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

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Operational Programme Technical Assistance

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante Evaluation of Operational Programme Technical Assistance	2006	Completed in January 2007	x		
Operational Programme Technical Assistance Interim Evaluation	Semester I 2009	Completed in September 2010	x		
Evaluation of the Absorption Capacity of the Operational Programme Technical Assistance	January - June 2012	Completed in June 2013	x		
Detailed Evaluation of PA 1 "Support for the implementation of structural instruments and coordination of programs"	Semester I 2010				
Detailed Evaluation of PA 2 "Further development and support of functioning of the Single Information Management System"	Semester I 2010				
Detailed Evaluation of PA 3 "Dissemination of information and promotion of structural instruments"	Semester II 2010				
Interim Evaluation of OP TA	Semester I 2012				

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Cross Territorial Cooperation

Report title	Due date according to the Multiannual Evaluation Plan	Status according to Evaluation Library	Availability on the Evaluation Library		
			Full report published	Executive Summary published	Not published
Ex-ante evaluation for RO-BG	Date not mentioned				
Ex-ante evaluation for RO-SE	Date not mentioned				
First interim report of RO-BG	Date not mentioned	Completed in 2011		x	
Second interim report of RO BG	Semester I 2013				
First internal report of RO-SE	Date not mentioned				
Second internal report of RO-SE	Date not mentioned				

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National Strategic Reference Framework

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

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



## Annex 3 – Master questionnaire distributed to the members of the research panel through the eSurvey tool

### EXAMINATION OF EVALUATION CULTURE

Ministry of European Funds and Ernst & Young are developing the project "Examining the evaluation culture" in Romania - cofunded by the European Regional Development Fund through the OP Technical Assistance 2007-2013.  
In order to assess and monitor the evaluation culture within the Romania Structural Instruments management system, both in quantitative and qualitative terms, we are submitting this online survey to the stakeholders (both the supply side and the demand side) involved in the Romanian Structural Instrument Evaluation System.  
The results of the survey will be elaborated both at NSRF and at Programme level.

### PERSONAL DATA

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

### DEMAND SIDE (including both individual and institutional level)

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

Coordination between Evaluation Function of different Programs	2	a. Please specify how many Evaluation Working Group (EWG) meetings you have attended (in the last 12 months).	Please mark with "X"
		0-1	
		2-3	
		4-5	
		6-7	
		>8	
	2	b. Please specify how often the approaches shared by the EWG are adopted at OP level.	Please mark with "X"
		Never	
		Rarely	
		Often	
	Always		

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Linkage among evaluation function and other functions	3.1	<b>a. Are there any procedures linking evaluation to Programming Units? (OP Level)</b>	Please mark with "X"
		No	
		Yes, there are informal procedures	
		Yes, but they are in a preliminary version, unapproved	
		Yes, there are formal procedures	
	3.1	<b>b. If "Yes" please rate the effectiveness of the existing procedures (OP Level).</b>	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	3.1	<b>c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (OP Level)</b>	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	
		0%	
	3.2	<b>a. Are there any procedures linking evaluation to Programming Unit? (NSFR level)</b>	Please mark with "X"
		No	
		Yes, there are informal procedures	
		Yes, but they are in a preliminary version, unapproved	
		Yes, there are formal procedures	
	3.2	<b>b. If "Yes" please rate the effectiveness of the existing procedures (NSFR level).</b>	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	3.2	<b>c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the Programming Unit? (NSFR level)</b>	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		up to 30%	
		0%	
	4.1	<b>a. Are there any formal procedures regulating the interaction between monitoring and evaluation units? (OP level)</b>	Please mark with "X"
		No	
		They are in draft status but not yet approved	
		Yes	
4.1	<b>b. Which is the frequency of meetings (both formal and informal) concerning evaluation activities between monitoring and evaluation units (in the last 12 months)? (OP level)</b>	Please mark with "X"	
	No meetings		
	Yearly meetings		
	Quarterly meetings		
	Monthly meetings		
	More than one meeting per month		
4.1	<b>c. How many of the evaluations carried out have been initiated in order to investigate issues raised by the monitoring unit? (OP level)</b>	Please mark with "X"	
	76-100%		
	51-75%		
	31-50%		
	Up to 30%		
	0%		
4.1	<b>d. Do Monitoring Units provide useful monitoring data that support evaluation? (OP level)</b>	Please mark with "X"	
	Never		
	Rarely		
	Often		
	Always		
4.1	<b>e. Do you see any areas of improvement in which concerns cooperation between Evaluation and Monitoring? (OP level)</b>	Please mark with "X"	
	No		
	Partially		
	Yes		
4.1	<b>f. If YES/partially please indicate which are main gaps and/or areas of improvement concerning data provided by the Monitoring Unit. (OP level)</b>		
4.2	<b>a. What is the frequency of meetings (both formal and informal) concerning evaluation activities between Monitoring and Evaluation units (in the last 12 months)? (NSRF Level)</b>	Please mark with "X"	
	No meetings		
	Yearly meetings		
	Quarterly meetings		

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The financial and human resources allocated to Evaluation under the NSRF			
Allocation of Human Resources to evaluation activities	5.1	What is the percentage of Evaluation Unit staff that left in the last 12 months? (at OP level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	
		0%	
	5.2	What is the percentage of Evaluation Unit staff that left in the last 12 months? (at NSRF level)	Please mark with "X"
		76-100%	
		51-75%	
		31-50%	
		Up to 30%	
		0%	
	6	a. Is knowledge of evaluation taken into account in the hiring process of the Evaluation Unit staff? (e.g. criteria concerning professional experience, assessment of the level of knowledge in the field of evaluation)	Please mark with "X"
		No	
	Yes		
6	b. If Yes, in your opinion do these criteria lead to the hiring of the most adequate staff?	Please mark with "X"	
	Never		
	Sometimes		
	Always		
7	Does the staff of the Evaluation Unit benefit from professional development actions?	Please mark with "X"	
	No		
	Yes, the staff benefit of sporadic trainings organized for all staff (e.g. classroom trainings)		
	Yes, the staff benefit of systematic trainings sessions organized for all staff (e.g. classroom trainings planned annually)		
	Yes, the staff benefit of individual customized plan for professional development of each staff including different actions (e.g. on the job training, coaching, internships)		
Quality of monitoring system			
Quality of Indicator systems	8.1	a. Please rate the quality of the indicator system (at Programme level) in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Coverage <i>(the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</i>	
		2. Balance <i>(the degree to which the indicator system includes a well-distributed mix of indicators - context, input, output, result, impact - and the requirement for information to different categories/levels of stakeholders)</i>	
		3. Manageability <i>(the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</i>	
	8.1	b. How long does it take on average, at OP level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?	Please mark with "X"
		Long, over 2 months	
		Medium, 1 month	
		Short, 15 days	
		Extremely short, 1 week	
	8.2	a. Please rate the quality of the indicator system (at NSRF level) in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		1. Coverage <i>(the degree to which the indicator system provides quantified information on the socio-economic and environmental situation and can express identified needs in quantitative terms. The system provides information that may have an impact on - or may be impacted by - the OPs.)</i>	
		2. Manageability <i>(the extent to which indicator system allows ease of collecting, measuring, processing, monitoring and communicating the indicators)</i>	
	8.2	b. How long does it take on average, at NSRF level, to obtain information from the monitoring system related to indicators, referred to a specific cut-off date?	
		Long, over 2 months	
	Medium, 1 month		
	Short, 15 days		
	Extremely short, 1 week		

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

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

Effectiveness of the Evaluation Plan	10.1	How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at OP level?	Please mark with "X"
		< 2	
		2-3	
		4-5	
		> 5	
	10.2	How many evaluations (not included in the evaluation plans) have been carried out in the current programming period 2007 - 2013 in order to meet specific needs at NSRF level?	Please mark with "X"
		< 2	
		2-3	
		4-5	
		> 5	
	11.1	Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at OP Level.	
	11.2	Please list the three main reasons for delay between the evaluations and the date on which they were scheduled (according to the Annual Plan) at NSRF Level.	
12.1	What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at OP level?		
12.2	What kind of elements are taken into account in the revision process of the Annual/Multi Annual Evaluation Plans at NSRF level?		

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

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Involvement of Evaluation Units in decision-making process	14.1	Does a formalised process exist for the involvement of evaluation units in the decision making process at OP Level (e.g. participation to the Monitoring Committees as voting members; consulted by the Managing Authority on main decisions at Programme level)?	Please mark with "X"
		No	
		There are consultations, but not in a formalised process	
		Yes	
	14.2	a. Does a formalised process exist for the involvement of the "central" Evaluation Unit in the decision making process at NSRF Level (e.g. consulted by the Ministry of European Funds on main decisions concerning all Operational Programmes)?	Please mark with "X"
		No	
	There are consultations, but not in a formalised process		
	Yes		
Quality of Terms of Reference	15	Please rate the quality of the Evaluation Terms of References in terms of:	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		Clarity	
		Standardisation (i.e. conform to a common standard/guidelines)	
Existence of learning processes	16.1	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered (at OP level)?	Please mark with "X"
		No, procedures have not been updated	
		Yes, procedures have been updated but with no significant improvements	
		Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.	
		I don't know	
	16.2	Are the internal procedures related to Evaluation Unit (design/implementation/use) regularly updated, as a result of the experience gathered (at NSRF level)?	Please mark with "X"
		No, procedures have not been updated	
		Yes, procedures have been updated but with no significant improvements	
	Yes, procedures are regularly updated in consideration of the experience gained leading to substantial improvements.		
	I don't know		
<b>SUPPLY SIDE</b>			
Socio-economic data are available and reliable			
Quality of Socio-economic data	17	a. Are there other sources for key socio-economic indicator data at national and regional (NUTS II) level, besides the official statistics that you take into account? (e.g. reports prepared by Chambers of Commerce, employer associations)	Please mark with "X"
		No	
		Yes	
	17	b. If yes, please rate their consistency with the official data.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
Availability of Other data	18	a. Are micro-data at beneficiary level available in a timely manner (e.g. economic-financial data for private enterprises, employment status / disadvantage of individual persons)?	Please mark with "X"
		No	
		Yes, but partially	
		Yes	
	18	b. If so please list the type of micro-data on beneficiaries that is available.	
Availability and quality of Evaluation expertise			
Degree of Evaluation Market competitiveness	19	a. Is the evaluation market competitive?	Please mark with "X"
		Yes, the evaluation services are most of the times assigned to a relevant number of different players (more than 10)	
		Partially, the evaluation services are often assigned to a limited number of players ( 5-10)	
		No, the evaluation services are most of the times assigned to a restricted number of players (less than 5)	
		I don't know.	
Availability of thematic and methodological expertise	20	a. Does the supply side of evaluation have the required thematic and methodological expertise needed?	Please mark with "X"
		No	
		To a partial but unsatisfying extent	
		To a partial but satisfying extent	
		Yes	
	20	b. Please list the main types expertise lacked (up to 3).	

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

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

**Dissemination of Evaluation outputs**

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

**Use of Evaluation results**

Impact of evaluations on programming/implementation processes	24.1	What is the overall degree of implementation of evaluation recommendations, at OP level, for the current programming period 2007 - 2013? 0% Up to 30% 31 - 50% 51 - 75% 76 - 100%	Please mark with "X"
	24.2	What is the overall degree of implementation of evaluation recommendations, at the level of NSRF, for the current programming period 2007 - 2013? 0% Up to 30% 31 - 50% 51 - 75% 76 - 100%	Please mark with "X"

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

**Enabling context  
Mental framework (values)**

Values	25	Please rate to what extent policy makers consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	26	Please rate to what extent the management/executive staff consider evaluation as an essential part in the definition of policies and in ensuring their successful implementation.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

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"Evaluative" human resources policy - targeted at ensuring adequate human resources, at all levels, for conducting Evaluations			
Human resources policy	27	a. Please indicate the percentage of civil servants working in the organizational structure that includes the office for which you are working directly (other than those working in the Evaluation Unit) which are trained in social sciences (e.g. economics, sociology, political science).	Please mark with "X"
		< 25%	
		25 - 50%	
		51 - 75 %	
		> 75%	
	28	a. Please rate the level of participation in evaluation activities of civil servants working in the organizational structure that includes the office for which you are working directly.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	28	b. Please rate the level of participation of civil servants working in the organizational structure that includes the office for which you are working directly in public discussions related to evaluation issues (e.g. presentations of evaluation results, events organized by evaluation societies).	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	29.1	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at OP level)	Please mark with "X"
		No	
		Yes	
	29.2	Is there a person in the organizational structure that includes the office for which you are working directly, holding a decision making position, who supports the evaluation process? (at NSRF level)	Please mark with "X"
	No		
	Yes		
30	a. Are there valid Evaluation training/education options for civil servants in the Romanian market?	Please mark with "X"	
	No		
	Yes, there are options but they are not valid		
	Yes, there are valid options but they don't cover all developmental needs		
	Yes		
30	b. Are there any specific training needs not addressed in the market?	Please mark with "X"	
	No		
	Yes		
	I don't know		
30	c. If yes, please list.		
Embedded/bottom up evaluation demand (in SIS)			
Embedded demand for evaluation (in SIS)	31.1	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at OP level) ?	Please mark with "X"
		0%	
		Up to 30%	
		31-50%	
		51 -75%	
		76 - 100%	
	31.2	How many of the evaluations carried out by your institution were triggered in response to the need for knowledge - and not because it was an obligation (at NSRF level) ?	Please mark with "X"
		0%	
		Up to 30%	
		31-50%	
	51 -75%		
	76 - 100%		
Networking			
Existence of a National organization of professional evaluators	32	a. To what extent the relevant players of the supply side are represented in the National Organization of Evaluators (i.e. all relevant players in the supply side of the evaluation market are represented)?	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	32	b. Please rate the level of contribution of the organisation to the creation of a network of evaluation experts.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
	32	c. Please rate the level of contribution of the organisation to the dissemination and exchange of best practices.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)

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Reducing academia-government gap	33	a. Do cooperation mechanisms between academia and government, which lead to a better policy formulation, exist? Yes No I don't know	Please mark with "X"	
	33	b. If yes, how would you rate it?	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)	
	<b>Civil society and mass media</b>			
	Civil society participation	34	a. Please rate the level of participation of civil society in evaluation-related activities.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
34		b. Please indicate which part of civil society (that is not actively involved in evaluation-related activities) should participate.		
Mass media participation	35	a. How many public events related to evaluation and dissemination (involving mass media) have been carried out (per year) by your institution? 0-2 3-5 6-8 9-10 more than 10 I don't know		
	<b>Impact beyond SIS management system</b>			
	<b>Impacts in long-run and outside SIS</b>			
	Effects beyond SIS	36	Based on your personal experience (e.g. availability to interviews, provisions of comment on draft reports) what is the level of sensitivity to evaluation of: - Intermediate Bodies - Audit Authority - Certifying and Paying Authority - Beneficiaries	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
		37	a. Please rate the extent to which evaluation is impacting the policy making process in the long run.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)
37		b. Please indicate the policy fields in which, in your opinion, the contribution of the evaluation is the most significant (indicate 3 fields).		
37		c. Please provide some examples.		
38		a. Please rate the extent to which evaluation is impacting the administrative and operating process in the long run.	Rank from 1 to 5 (5 being the highest value, 1 being the lowest one)	
38		b. Please provide some examples.		



## Annex 4 – Response rate of the eSurvey tool

Main research panel	No of surveys sent per main research panel	Respondents per main research panel	Rate of response per main research panel
Demand side of the evaluation at national strategy level	8	5	62,50%
Demand side of the evaluation at single programme level - user of evaluation results (MA)	29	9	31,03%
Demand side of the evaluation at single programme level - involved in the evaluation process	17	9	52,94%
Supply side of the evaluation – stakeholders involved in the evaluation process at national and/or single programme level	8	2	25,00%
Demand side of the evaluation – stakeholders involved in the evaluation process at national and/or single programme level	9	4	44,44%
Demand side of the evaluation at single programme level - user of evaluation results (IB)	86	25	29,07%
Demand side of the evaluation at single programme level - user of evaluation results (PM)	10	5	50,00%
Demand side of the evaluation – stakeholders involved in the evaluation process at national and/or single programme level (NIS)	1	1	100,00%
<b>Total</b>	<b>168</b>	<b>60</b>	<b>35,71%</b>

## Annex 5 – International benchmarking questionnaire



### INTERNATIONAL BENCHMARKING QUESTIONNAIRE - OPERATIONAL PROGRAMMES

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

Contact person for the questionnaire		
First name	Second name	Role in the institution
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Questions	
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"/>
How many evaluation reports have been planned under your Operational Programme for the current Programming period 2007-2013?	<input type="text"/>
How many evaluation reports have been carried out until the current date?	<input type="text"/>
How many of the evaluations carried out were not planned initially?	<input type="text"/>
Are the key socio-economic data regarding GDP, employment, unemployment, R&D investment, at national and regional (NUTS II), timely available?	<input type="text"/>
Is there a significant demand for all types of evaluations (i.e. ex ante/in itinere/ex post)?	<input type="text"/>
Is there any professional organization of Evaluators in your country?	<input type="text"/>
How many public meetings does the national organization of professional Evaluators carry out per year?	<input type="text"/>

Additional comments and remarks
<input type="text"/>

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

List of participants to the focus group with ADER

No.	Name	Institution
1.	Coravu Alexandra	SNSPA
2.	Balanel Ecaterina	SNSPA
3.	David Anda-Elena	SNSPA
4.	Gramescu Alin Gabriel	SNSPA
5.	Ghimis Ana-Maria	UBB Cluj
6.	Gheorghe Bumezi	UNBR
7.	Daniel Duta	AEP
8.	Gabriel Zaharia	SC Open Profesional Consult SRL
9.	Miroslev Tascu	University of Bucharest
10.	Florian Bogdan	SNSPA
11.	Cismigiu Alexandra	SNSPA
12.	Carausan Mihaela	SNSPA
13.	Ana-Maria Udrea	UBB Cluj
14.	Simona Nanescu	NTSN CONECT
15.	Laura Trofin	QURES SRL
16.	Aioanei Mihaela	SNSPA

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No.	Name	Institution
17	Borcan Ioana Georgiana	SNSPA
18	Adrian Miroiu	SNSPA
19	Oana Andreea Ion	SNSPA
20	Chiffe Monica	ADER
21	Robert Sabotici	SNSPA

## Annex 7 – Validation Focus Group on preliminary measurement results

List of participants to the focus group of 26 September 2013

No.	Name	Institution
1.	Claudia Măgdălina	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
2.	Aneta Stoica	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
3.	Mariana Acatrinei	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
4.	Diana Iacob	General Direction Analysis, Programming and Evaluation (Ministry of European Funds)
5.	Anca Simion	Managing Authority CTC (Ministry of Regional Development and Public Administration)
6.	Simona Vasile	Managing Authority CTC (Ministry of Regional Development and Public Administration)
7.	Răzvan Ionescu	Managing Authority OP CAD (Ministry of Regional Development and Public Administration)
8.	Ovidiu Vlădoiu	Managing Authority OP CAD (Ministry of Regional Development and Public Administration)
9.	Alexandru Nan	CU ROP (Ministry of European Funds)
10.	Mariana Nanu	CU ROP (Ministry of European Funds)
11.	Elisabeta Salamon	CU SOP HRD (Ministry of European Funds)
12.	Bogdan Bercea	CU SOP HRD (Ministry of European Funds)
13.	Alina Iacob	Managing Authority SOP Environment (Ministry of Environment and Climate Changes)
14.	Miruna Soptaru	Managing Authority SOP Environment (Ministry of Environment and Climate Changes)
15.	Valentin Simion	Managing Authority SOP Environment (Ministry of Environment and Climate Changes)
16.	Andreea Bera	Managing Authority SOP HRD (Ministry of Work, Social Protection and Elderly)

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No.	Name	Institution
17	Mioara Mot	Managing Authority NPRD (Ministry of Agriculture and Rural Development)
18	Nicolae Dimulescu	Managing Authority POP (Ministry of Agriculture and Rural Development)
19	Madalina Istrate	Managing Authority ROP (Ministry of Regional Development and Public Administration)
20	Raluca Varzaru	Managing Authority ROP (Ministry of Regional Development and Public Administration)
21	Laurentiu Tescan	Managing Authority ROP (Ministry of Regional Development and Public Administration)
22	Pompilia Idu	Managing Authority ROP (Ministry of Regional Development and Public Administration)
23	Cristian Mărișteanu	CU SOP T (Ministry of European Funds)
24	Daniela Breazu	Managing Authority SOP Transport
25	Valentina Paraschiv	CU SOP IEC (Ministry of European Funds)
26	Alina Șerb	CU OP CAD (Ministry of European Funds)
27	Anca Muresan	Managing Authority SOP IEC (Ministry of Economy)
28	Georgeta Susanu	Managing Authority SOP IEC (Ministry of Economy)
29	Ana Culic	CU SOP Environment (Ministry of European Funds)
30	Livia Chiriță	General Direction System Coordination and Technical Assistance (Ministry of European Funds)
31	Cristina Pătrășcoiu	General Direction System Coordination and Technical Assistance (Ministry of European Funds)
32	Anca Butnaru	Managing Authority SOP HRD (Ministry of Work, Social Protection and Elderly)

## Annex 8 – Dissemination event

List of participants to the dissemination event of 08 October 2013

No.	Name	Institution
1.	Mihaela Șoiculescu	MFE - Coordination Unit for SOP Environment
2.	Adina Sisca	MFE - Coordination Unit for SOP Environment
3.	Anca Simion	MDRAP - DAMPCTE
4.	Simona Vasile	MDRAP - DAMPCTE
5.	Marilena Alecu	ADR - SW Oltenia
6.	Claudia Vasilca	MA OP DAC
7.	Steluța Bulăceanu	MA OP DAC
8.	Răzvan Ionescu	MA OP DAC
9.	Șerban Iosifescu	ARACIP
10.	Liliana Olivia Lucaciu	LIDEEA
11.	Iuliana Leca	LIDEEA
12.	Mădălina Istrate	MDRAP / MA ROP - Planning Department
13.	Ioana Suceveanu	IBE - Programming Compartment
14.	Daniela Ciofu	CNDIPT - IB SOP HRD
15.	Rodica Alexandru	MSI - IB PSI
16.	Alina Șerb	MFE - Central Unit OP DAC
17.	Dana Gaftianu	MADR - UPP
18.	Anca Butnaru	MA SOP HRD
19.	Alexandru Popescu	MADR - MA PNDR
20.	Nicoleta Mihailescu	MMSC - IB SOP Environment
21.	Mircea Sandu	National Institute of Statistics - UPP

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No.	Name	Institution
22	Elisabeta Salamon	Central Unit SOP HRD
23	Bogdan Bercea	Central Unit SOP HRD
24	Ionescu Marian	CRPDRP Alba Iulia
25	Sorin Grigorescu	ADR NW
26	Ioana Andoreanu	IB SOP HRD - NW
27	Sabina Golcea	ADR W
28	Mariana Nanu	MFE - Central Unit ROP
29	Ileana Gabriela Nitu	MEN - General Direction IB for Research
30	Simona Toader	ADR SE
31	Georgiana Preda	MADR - MA PNDR
32	Meianu Danut	IB ANOFM
33	Angelica Vlădescu	MFE - Central Evaluation Unit
34	Loredana Suditu	MFE - Central Evaluation Unit
35	Dumitru Cristiana	IB SOP HRD - SW
36	Catrina Sinescu	ECORYS
37	Iulia Floricescu	IB SOP HRD - S



## Annex 9 – Factsheet on Regulatory Impact Assessment (RIA)

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

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

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

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

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

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

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

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

- ▶ a regulatory agenda
- ▶ stakeholder consultation

Table 6 – Regulatory Impact Assessment analytical steps

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

There are two reasons why an agenda is important.

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

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

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

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

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

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

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

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

Figure 25: Regulatory policy cycle and better regulation instruments

