



# **Monitoring and evaluation in the 2014-2020 Programming Period**

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**Dublin, 20 February 2014**

# Outline

## 1. Reminder on Programming

## 2. Result orientation

- i. Basic principles
- ii. Common indicators
- iii. Programme specific indicators
- iv. Performance framework and reserve
- v. Evaluation and reporting obligations



# REMINDER ON PROGRAMMING



# Partnership Agreement

An overarching strategy at national level which:

- Covers the 5 ESI Funds
- In line with the Common Strategic Framework sets out the planned use of the Funds
  - consistent with the Europe 2020 strategy and relevant CSRs
  - taking account of territorial challenges
  - coordinated to ensure an integrated approach

Core elements:

- strategic choices = selected thematic objectives, allocations, main results
- list of programmes
- coordination between Funds and with other policies
- commitments on administrative capacity and reduction of administrative burden

**Link to Europe 2020 and consistency with European Semester is key.  
Process for developing the PA can be top-down or bottom-up depending  
on institutional framework of MS**



# Operational programme

The main role of the operational programme is to set out a coherent intervention strategy for the territory/sectors

Core elements:

- Selection of thematic objectives, investment priorities, specific objectives, allocations and justification – intervention logic
- Financing plan and list of major projects
- Integrated approach to territorial development; specific needs and demographic challenges
- Ex ante conditionalities
- Performance framework

**Short, concise programmes with a clear focus on results.  
Main platform for ex ante conditionalities.**



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## Priority axis

From the intended change to the planned actions:

- 1: Identification of development needs – what is it intended to change?
- 2: Elaboration of specific objectives linked to selection of thematic objectives and corresponding investment priorities
- 3: Definition of result and result indicators reflecting the intended change for the region, sector, the supported participants ...
- 4: Choice of actions to be supported
- 5: Definition of output indicators measuring deliverables

**The most essential part of a programme – focus of MS/EC effort**  
**Objectives and results should be defined first – before actions**  
**and the financial allocation.**

## Combined priority axis

Where appropriate, and in order to increase the impact and effectiveness, it will be possible to build priority axes which:

- Combine complementary investment priorities from several funds (ERDF, ESF and CF)
- Cover several categories of regions
- Combine complementary investment priorities from different thematic objectives - only in duly justified cases
- For ESF : combine IPs from different TOs to contribute to other priority axes or to implement social innovation and transnational cooperation

Or: all of the above!

**MS will need to explain and justify the use of this flexibility**

**Generally not a simplification - implementation and reporting can become more complex as a consequence**



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## Youth Employment Initiative

- **Resources for the YEI** consist of EUR 3 bn from the specific budgetary allocation for the YEI and at least EUR 3 bn corresponding ESF support
- Programming of YEI is fully integrated into ESF programming
- MS may choose to programme YEI as either:
  - a dedicated operational programme
  - a dedicated priority axis or
  - a part of one or more priority axes
- Specific allocation for YEI does not require national co-financing => co-financing is required only for matching ESF
- In YEI dedicated priority axes, which combine ESF funds from more than one category, the highest co-financing rate applies



# Scope and investment priorities

## Scope

defines what can and cannot be funded – is set out in Articles on scope in the ERDF and CF regulations

## Investment priorities

the more detailed and focused objectives for which the Fund should be used – they are important for setting specific objectives; set out in relation to each thematic objective.

**A clear distinction should always be maintained**

**Focus the programming process and the dialogue on what we want the programme to achieve (investment priorities), not on what we want/do not want to finance (scope).**



## A menu of 11 thematic objectives for programmes

1. Research & innovation
2. Information and communication technologies (ICT)
3. Competitiveness of SMEs
4. Shift towards a low-carbon economy
5. Climate change adaptation & risk prevention and management
6. Environmental protection & resource efficiency
7. Sustainable transport & removing bottlenecks in key network infrastructures
8. Promoting employment & supporting labour mobility
9. Social inclusion, combating poverty and any discrimination
10. Education, training and vocational training for skills & lifelong learning
11. Institutional capacity building & efficient public adm.

**ERDF:** TO 1-11

**CF:** TO 4-7 and 11

**ESF:** TO 8-11

## Rationale for thematic concentration

**2007-2013**

**Limited impact due to  
fragmentation of  
resources  
in areas which  
do not always  
underpin economic  
and social  
development**



**2014-2020**

**focus on limited  
number  
of policy areas which  
support Europe 2020  
and contribute to  
economic and social  
development and  
cohesion**



## Types of thematic concentration

1. Compliance with requirements set in the fund-specific regulations - "mechanical" exercise
2. Genuine focus of resources on delivery of thematic objectives and the contribution to Europe 2020 objectives– subject of the negotiation

**Both types of thematic concentration are important**

**A choice of a limited set of thematic objectives and investment priorities (objectives) will simplify management and reporting**



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## ESF thematic concentration

**LESS  
DEVELOPED  
REGIONS**

**At least 60% ESF  
budget  
on max 5 IPs  
(by OP)**

**TRANSITION  
REGIONS**

**At least 70% ESF  
budget  
on max 5 IPs  
(by OP)**

**MORE  
DEVELOPED  
REGIONS**

**At least 80% ESF  
budget  
on max 5 IPs  
(by OP)**

**20% total ESF budget at MS level on TO 9 –  
Social Inclusion and poverty reduction**



# **RESULT ORIENTATION**

## **Basic Principles**

## **Effectiveness an overall principle**

**Commission and Member States shall ensure the effectiveness of the ESI Funds, in particular through monitoring, reporting and evaluation (Art.4 CPR)**

## **Four building blocks for result orientation**

- 1. Result orientation of programmes**
- 2. Indicators**
- 3. Performance framework, review and reserve**
- 4. Evaluation and Reporting**

Objective is the same but technical details vary by  
Fund – due to the scope of the Funds



## What is a result?

= what each priority axis and investment priority wants to change / achieve for each category of region or target group

- E.g., accessibility of a region, increase the number of start-ups of young people below 25.

The measurable dimension of results must be captured with indicators:

- E.g. Reduction in travelling time
- Number of people in employment after leaving

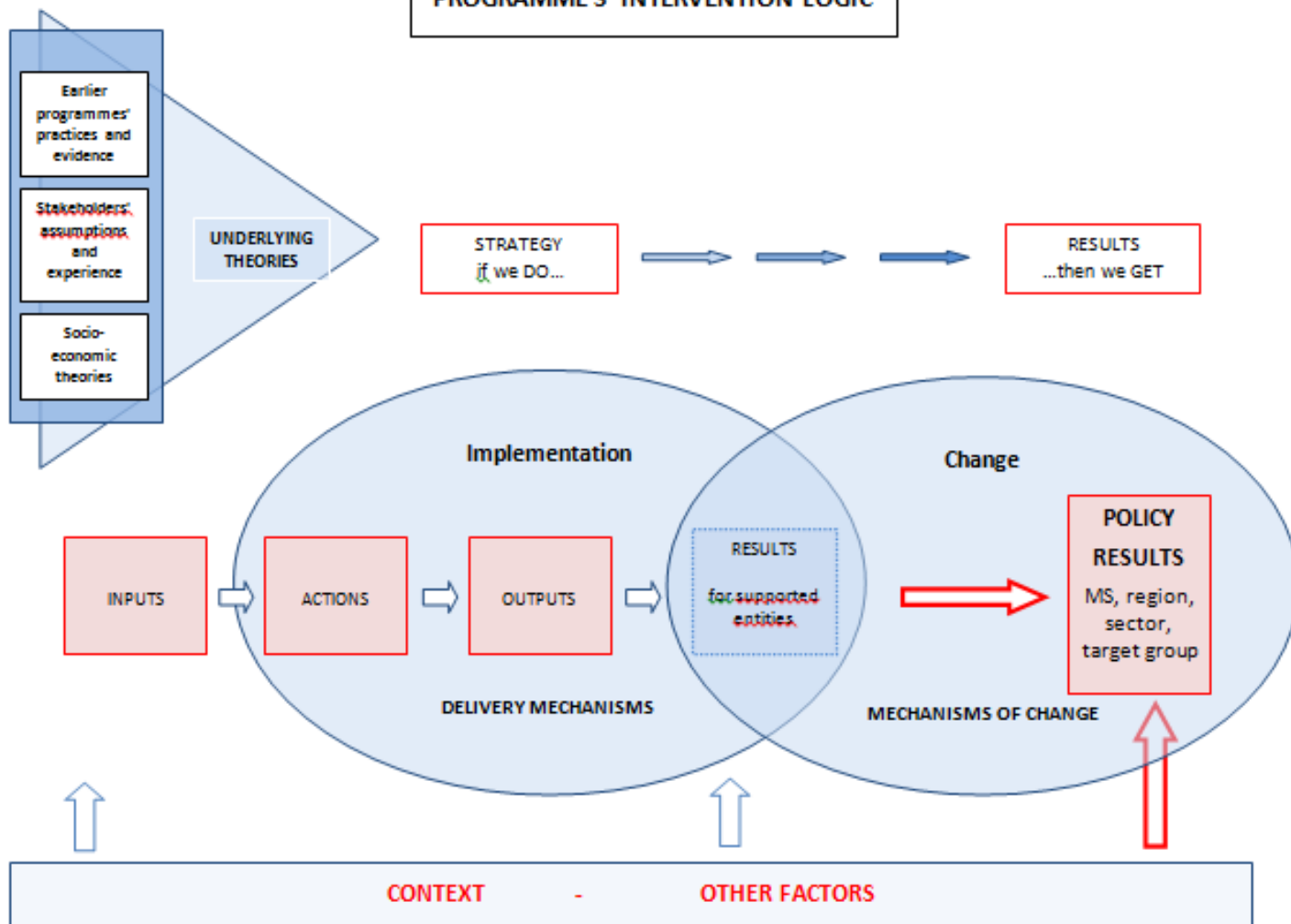
## New Focus on Results

- What do you want to change?
- What indicator can capture this change?
- What is the baseline (for ERDF: the situation before the programme; for ESF: previous experience)?
- How will the outputs of the programme contribute to change?
  - ERDF/CF: Results relate to change in the region/sector
    - not just for supported entities
  - ESF: Results relate to participants or supported entities
    - immediate & longer term



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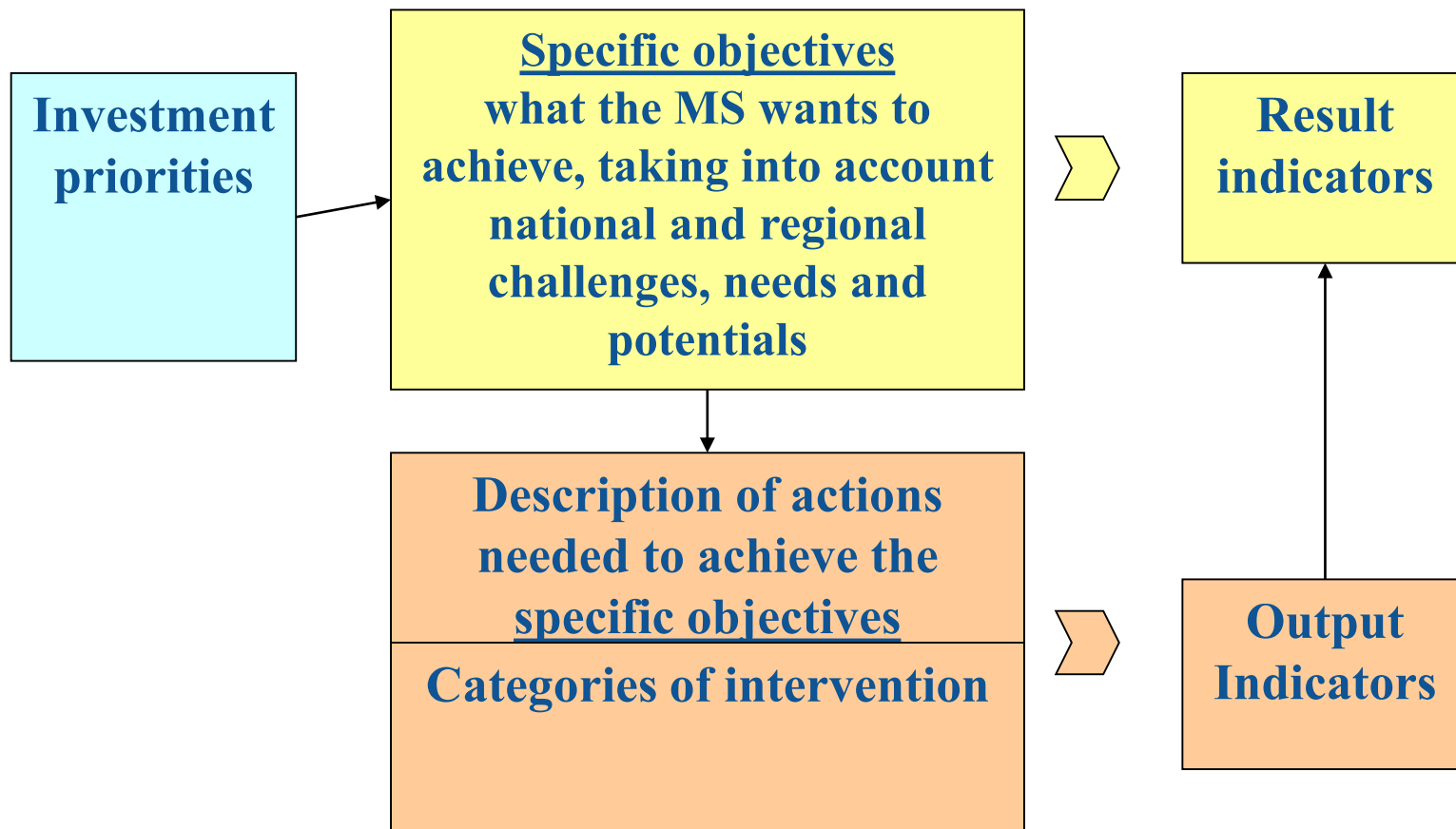
## PROGRAMME'S INTERVENTION LOGIC





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## Intervention Logic for Each Priority Axis





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## Indicators

- **OP indicators at Investment Priority level**
- **PF indicators at Priority Axis level**
- ➔ ***should be planned at same time and easy to link***

## Targets and baselines

- Cumulative target values for 2023
- Absolute numbers for output indicators (baseline: 0)
- Absolute numbers or shares/rates for result indicators (baseline value based on previous experience)
- ➔ Consult background papers for ESF target setting



# **RESULT ORIENTATION**

## **Common indicators**

## Common Indicators

- Included in annexes to the fund specific Regulations (indicator title and measurement unit)
- Definitions in Guidance Documents, developed in consultation with the Member States over last 3 years
- Special attention to measurement units and reporting conventions





## Common ESF Indicators

- **Obligatory reporting on all common indicators for each investment priority**
- **32 common indicators for**
  - Results - Immediate and longer-term (9)
  - Output (23)
- **Additional 12 common YEI indicators**
- **Participants (micro) data stored in MS monitoring system**



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## Common ESF Output Indicators:

- **For participants (people) they cover:**
  - gender, employment status, age, educational attainment, workless households,
  - vulnerability
  
- **For entities they cover mainly number of projects**



## Common ESF Result Indicators

- **Immediate result data collected for each ESF participant**
  - Results are: participants in job searching, in education/training, gaining a qualification, in employment
- **Longer-term results data based on representative sample**
  - Results are: in employment/improved labour market situation six months after leaving
  - To be provided in the AIR 2019 and FIR
- **YEI: immediate and longer-term results data on NEETS**



# List of common ESF and YEI indicators

## *Structure of Annex I and II*

### *Annex I - common ESF indicators*

- **(1) Common output indicators on participants**
- **(2) Common output indicators on entities**
- **(3) Common immediate result indicators**
- **(4) Common longer-term result indicators**

### *Annex II - Youth Employment Initiative indicators*

- **(1) Immediate result indicators**
- **(2) Longer-term result indicators**

# Output indicators on people

## Employment status

- 1. unemployed, including long-term unemployed\***
- 2. long-term unemployed\***
- 3. inactive\***
- 4. inactive, not in education or training\***
- 5. employed, including self-employed\***

# Output indicators on people

## Age

- 1. below 25 years\***
- 2. above 54 years\***
- 3. participants above 54 years who are unemployed, including long-term unemployed, or inactive not in education or training \***

## Education

- 1. with primary (ISCED 1) or lower secondary education (ISCED 2)\***
- 2. with upper secondary (ISCED 3) or post-secondary education (ISCED 4)\***
- 3. with tertiary education (ISCED 5 to 8)\***

# Output indicators on people

## Disadvantaged participants

- 1. participants who live in jobless households\***
- 2. participants who live in jobless households with dependent children\***
- 3. participants who live in a single adult household with dependent children\***
- 4. migrants, people with a foreign background, minorities (including marginalised communities such as the Roma)\*\***
- 5. disabled\*\***
- 6. other disadvantaged\*\***

# Output indicators on people

## Disadvantaged participants

- 7. homeless or affected by housing exclusion\***
- 8. from rural areas\***

**The data on participants under the above two indicators are to be provided in the AIR as specified in Article 44(3) of Regulation (EU) No [...] CPR (i.e. in 2017). They are to be collected based on a representative sample of participants within each investment priority.**

**Data for participants about rural areas are to be collected at LAU 2 (local administrative unit, former NUTS 5).**



## Output indicators on entities

- 1. number of projects fully or partially implemented by social partners or non-governmental organisations**
- 2. number of projects dedicated to sustainable participation and progress of women in employment;**
- 3. number of projects targeting public administrations or public services at national, regional or local level**
- 4. number of supported micro, small and medium-sized enterprises (including cooperative enterprises, enterprises of the social economy)**

## Immediate result indicators

- 1. inactive participants engaged in job searching upon leaving\***
- 2. participants in education/training upon leaving\***
- 3. participants gaining a qualification upon leaving\***
- 4. participants in employment, including self-employment, upon leaving\***
- 5. disadvantaged participants engaged in job searching, education/ training, gaining a qualification, or in employment, including self-employment, upon leaving\*\***

## Longer-term result indicators

- 1. participants in employment, including self-employment, 6 months after leaving\***
- 2. participants with an improved labour market situation 6 months after leaving\***
- 3. participants above 54 years in employment, including self-employment, 6 months after leaving\***
- 4. disadvantaged participants in employment, including self-employment, 6 months after leaving\*\***

**These data are to be provided in the annual implementation reports as specified in Article 44(4) of Regulation (EU) No [CPR] (i.e. 2019 & 2023). They are to be collected based on a representative sample of participants within each investment priority.**

# Annex II

## YEI indicators

- 1. Reported annually, including the longer-term result indicators**
- 2. Reported in addition to the common indicators above**
- 3. First report on YEI implementation due in April 2015, i.e. one year earlier than for the rest of the ESF**

## YEI immediate result indicators (I)

- 1. unemployed participants who complete the YEI supported intervention\***
- 2. unemployed participants who receive an offer of employment, continued education, apprenticeship or traineeship upon leaving\***
- 3. unemployed participants who are in education/training, gaining a qualification, or in employment, including self-employment, upon leaving\***

## YEI immediate result indicators (II)

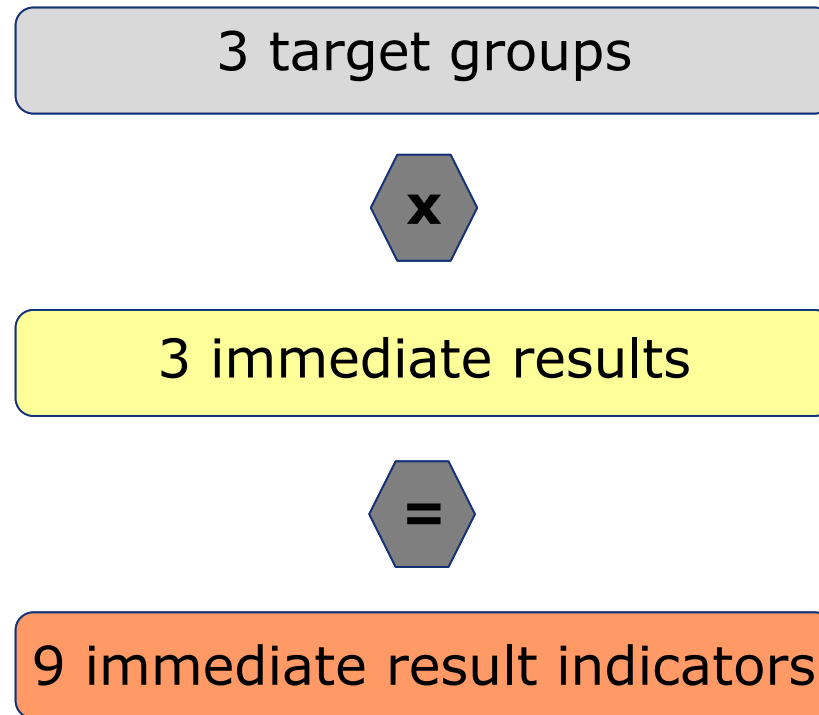
- 4. long-term unemployed participants who complete the YEI supported intervention\***
- 5. long-term unemployed participants who receive an offer of employment, continued education, apprenticeship or traineeship upon leaving\***
- 6. long-term unemployed participants who are in education/training, gaining a qualification, or in employment, including self-employment, upon leaving\***

## YEI immediate result indicators (III)

- 7. inactive participants not in education or training who complete the YEI supported intervention\***
- 8. inactive participants not in education or training who receive an offer of employment, continued education, apprenticeship or traineeship upon leaving\***
- 9. inactive participants not in education or training who are in education/training, gaining a qualification, or in employment upon leaving\***



# YEI immediate result indicators



## **YEI longer-term result indicators**

- 1. participants in continued education, training programmes leading to a qualification, an apprenticeship or a traineeship 6 months after leaving\***
- 2. participants in employment, including self-employment, 6 months after leaving\***
- 3. participants in self-employment 6 months after leaving\***

**The data for longer-term result indicators are to be collected based on a representative sample of participants within each investment priority.**

# Targets for common result indicators

## **Investment priority:**

*"Equality between men and women and reconciliation..."*

## **Specific objective:**

*Increase participation of **low skilled inactive or unemployed** people **with care responsibilities** in the labour market*

## **Common result indicator**

- Participants gaining a qualification upon leaving*
- Participants in employment upon leaving*

## **Target**

*50% of the **low skilled** participants (ISCED 1 and 2) gaining a qualification upon leaving*

*50% of the **unemployed** in employment, including self-employment, upon leaving*

*40% of the **inactive** in employment, including self-employment, upon leaving*



# **RESULT ORIENTATION**

## **Programme specific indicators**

# Three approaches to set programme-specific indicators

- 1) Combining different common ESF indicators*
- 2) Combining common ESF indicators with  
programme specific characteristics/ features*
- 3) Setting new indicators focusing solely on  
programme specific characteristics/ features*

# Programme-specific longer-term result indicators

*Possibility to monitor longer-term results over a longer time span than 6 months after leaving*

*If the same population/sample as for longer-term result indicators is covered – information on **sustainability of results***



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# Enhanced monitoring of results

*With access to database with micro-data on employment status, enhanced monitoring could be envisaged:*

- **Employment / unemployment spell of participants can be monitored in a prolonged period of time after leaving project**

# 1) By combining different one-dimensional common ESF indicators

Advantage: Data have to be collected anyway. Less administrative burden linked to data collection

NB: Some common ESF indicators are based on such combination

- Participants above 54 years who are unemployed, including long-term unemployed, or inactive not in education or training\*
- Disadvantaged participants engaged in job searching, education/training, gaining a qualification, or in employment, including self-employment, upon leaving\*\*
- Participants above 54 years in employment, including self-employment, 6 months after leaving\*
- Disadvantaged participants in employment, including self-employment, 6 months after leaving\*\*

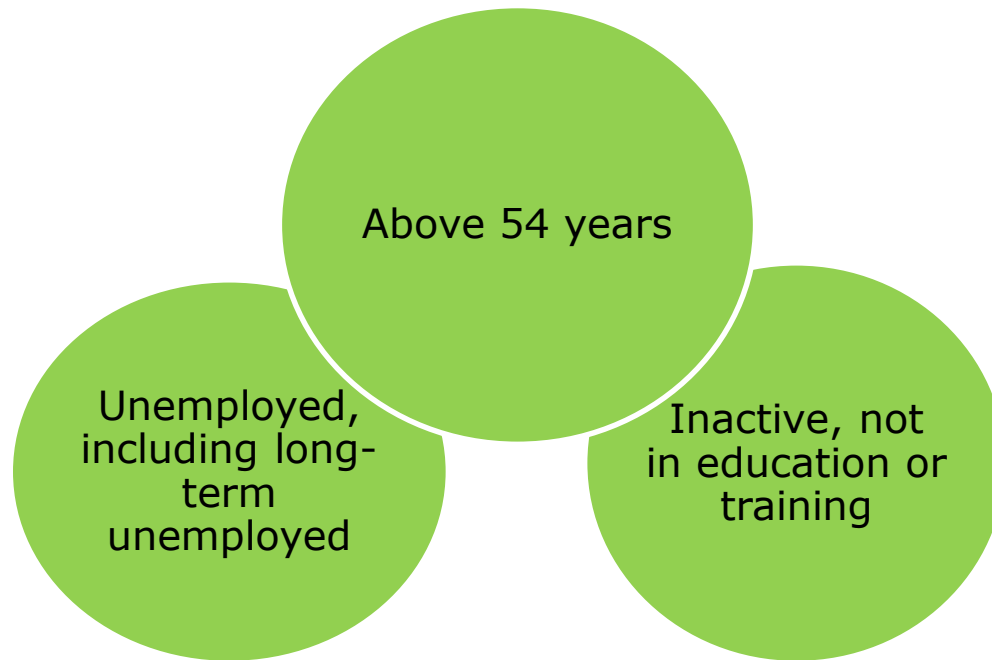




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## **Common output indicator:**

Participants above 54 years who are unemployed, including long-term unemployed, or inactive not in education or training\*

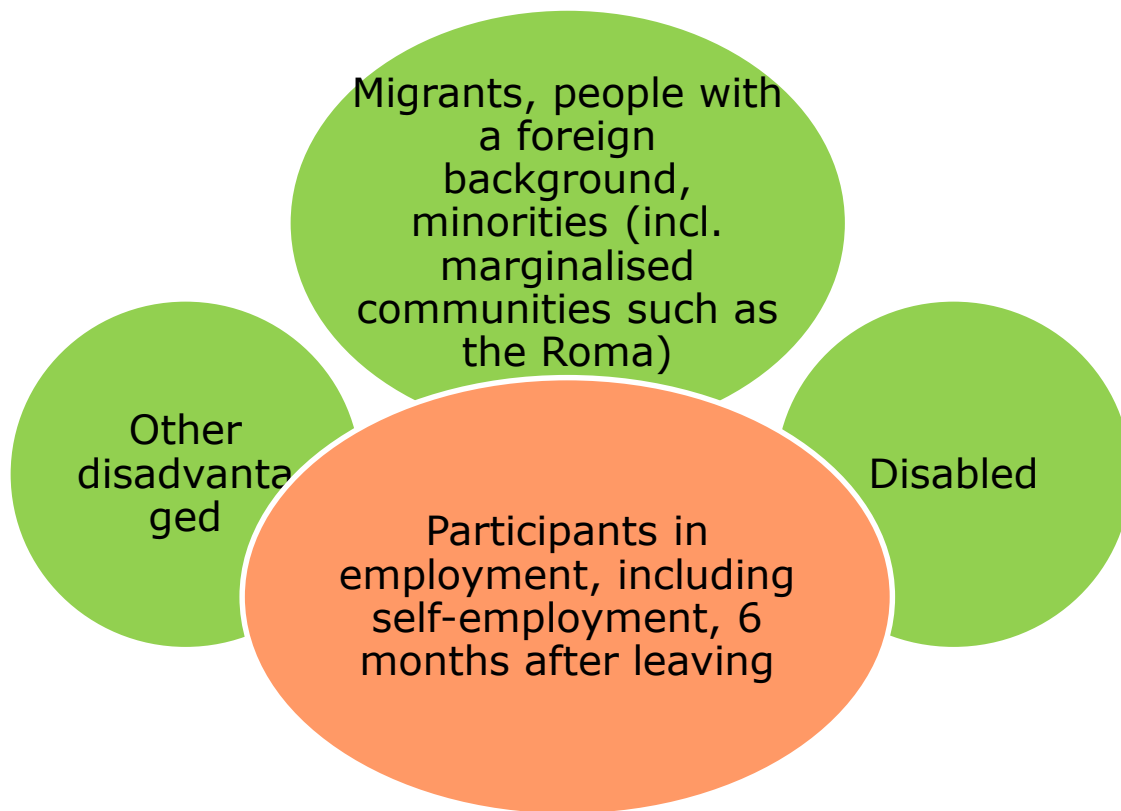




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## **Common longer-term result indicator:**

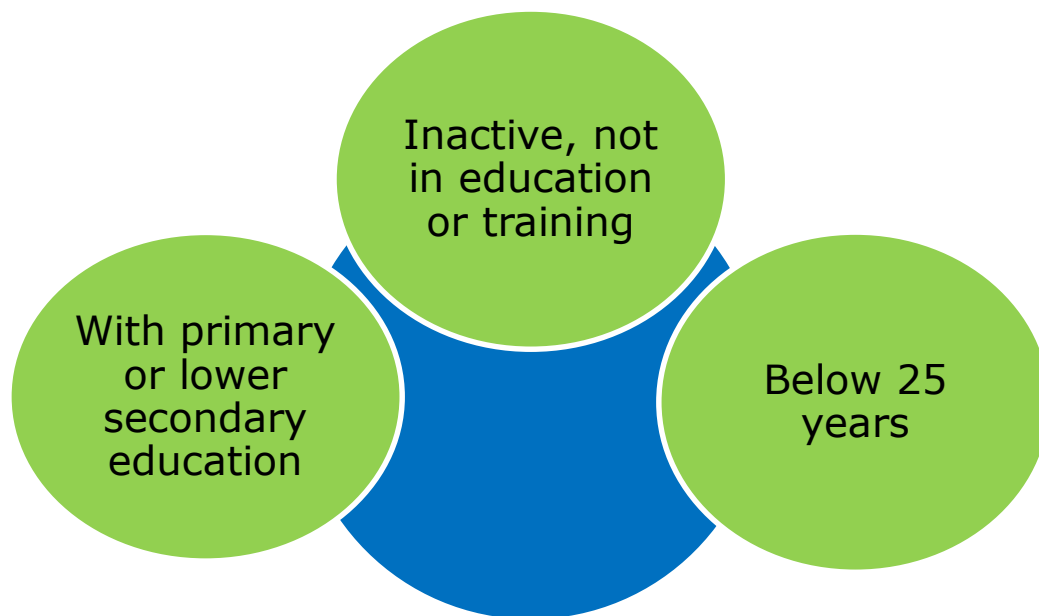
Disadvantaged participants in employment, including self-employment, 6 months after leaving\*\*





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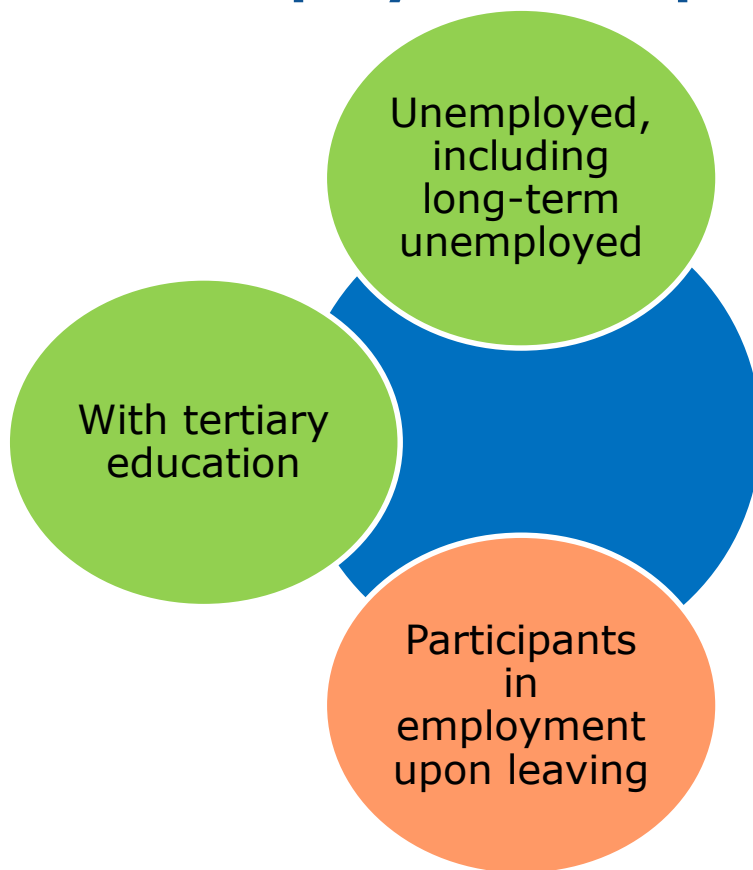
## **Programme Output Indicator: Young low skilled inactive participants**





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# Programme Immediate Result indicator: high skilled unemployed in employment upon leaving





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## **Programme Immediate Result indicator: low skilled older workers gaining a qualification upon leaving**



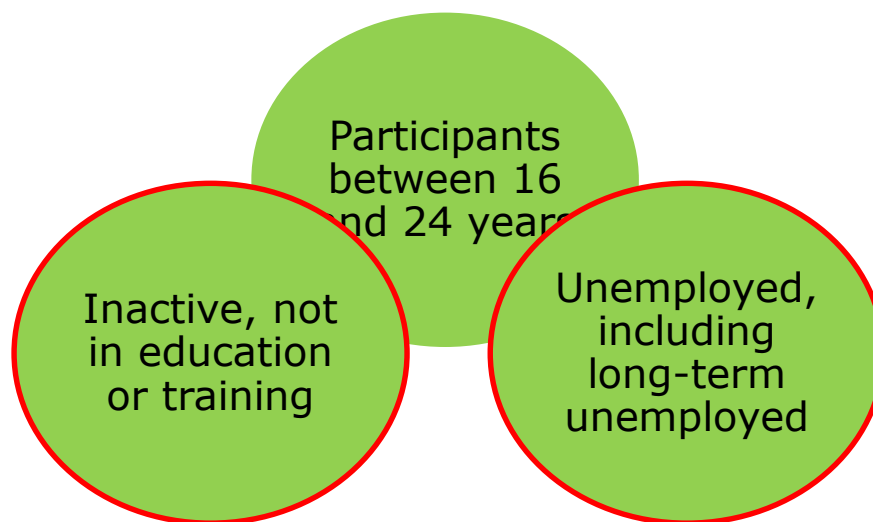
## 2) By combining common ESF indicators with programme specific characteristics/ features

**Advantage:** indicators can take into account specific aspects of the programme.



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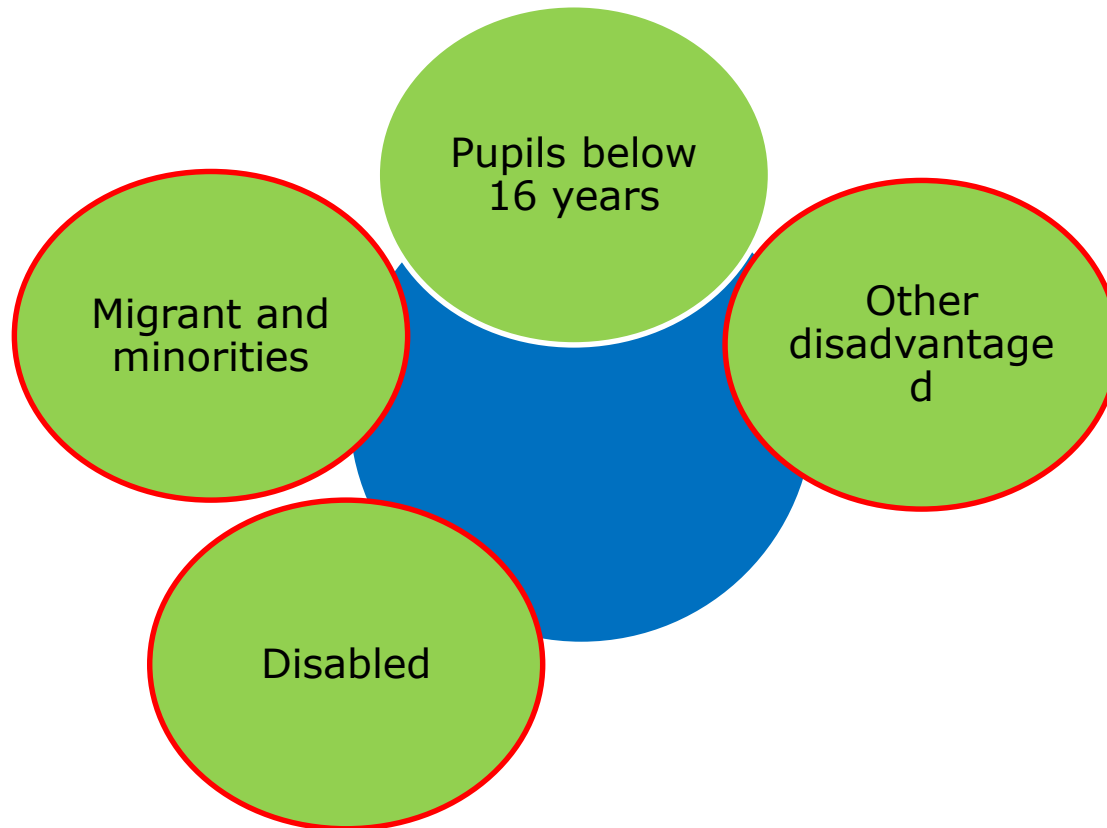
# Output indicator: NEETS





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## Output indicator: Disadvantaged pupils

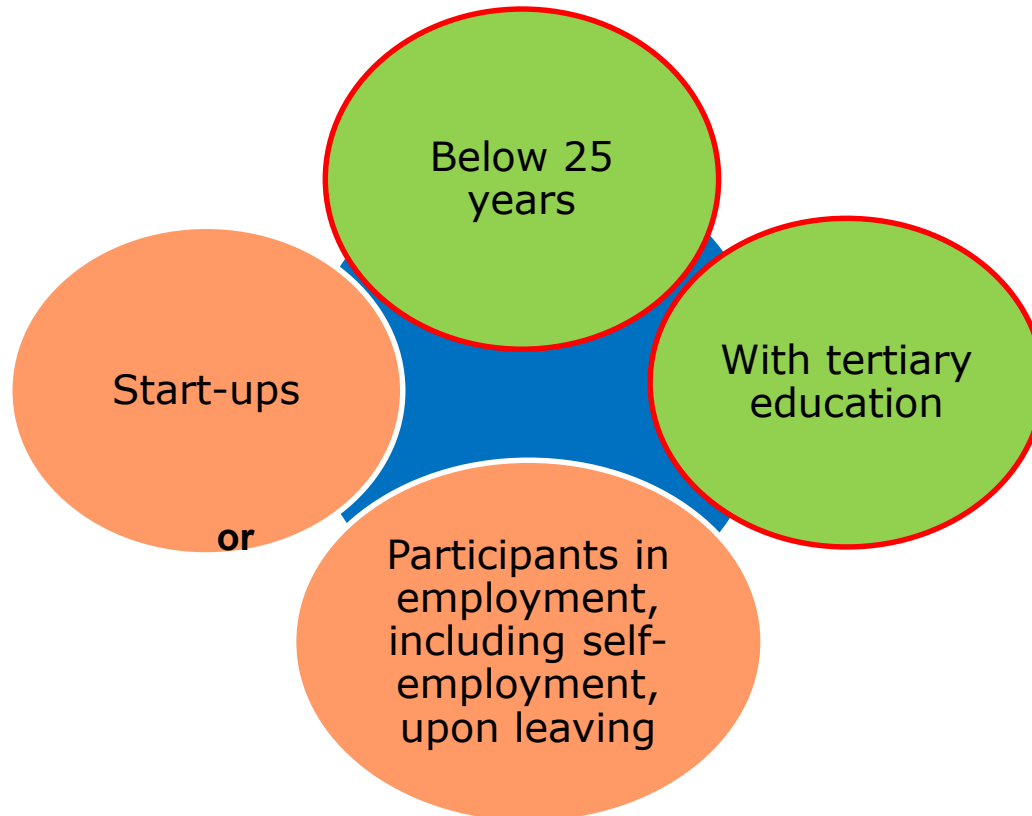






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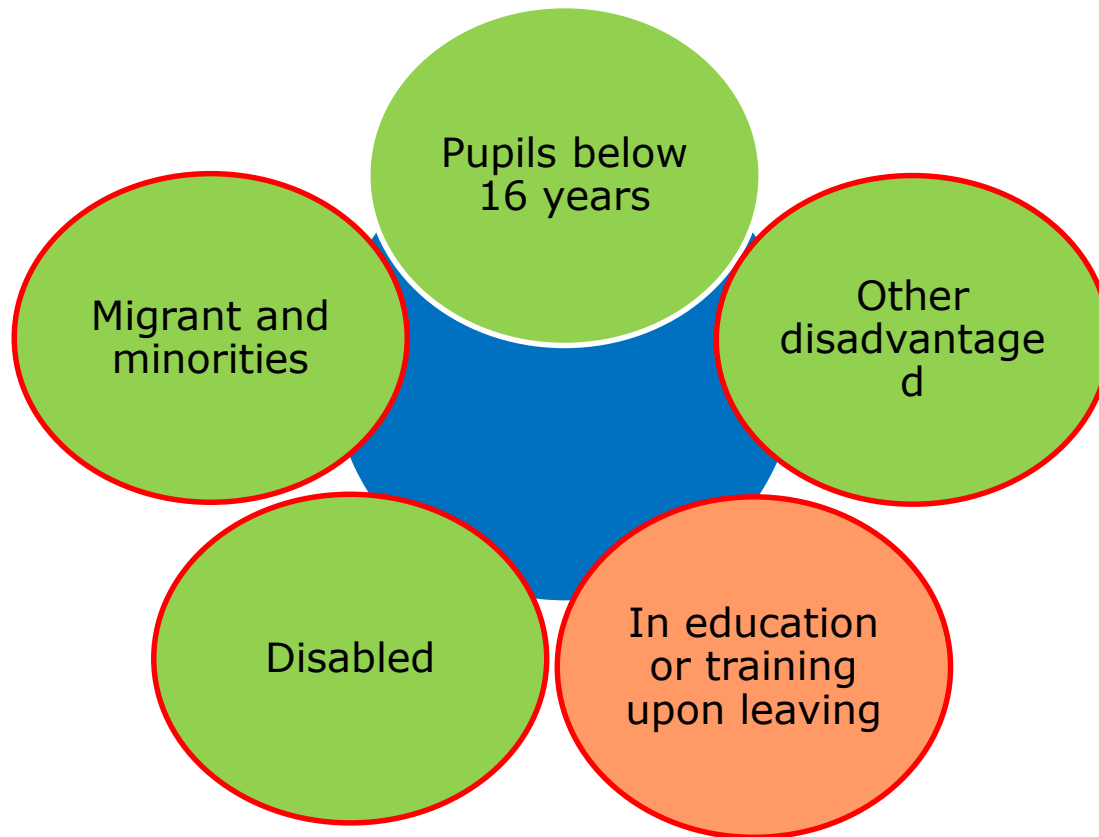
# **Output indicator: Young high-skilled participants establishing a start-up upon leaving**





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# Result Indicator: Disadvantaged pupils in education or training upon leaving





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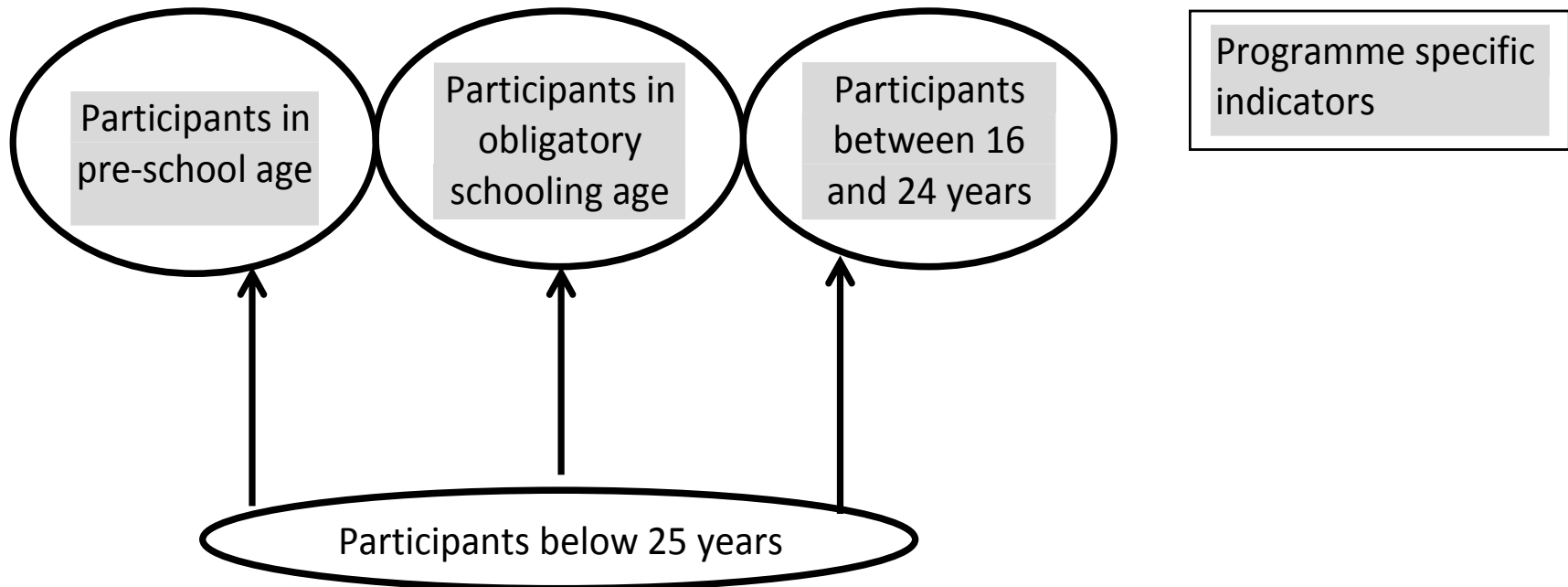
# Result indicator: NEETs in education or training upon leaving





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**3) By setting new indicators focusing solely on programme specific characteristics/ features**



This example shows possible subdivision of a common indicator into programme-specific indicators.



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# Example

## ***Investment priority:***

*"Equality between men and women and reconciliation between work and private life"*

## ***Specific objective:***

*Increase participation of low skilled inactive or unemployed people with care responsibilities in the labour market*



## Target groups

- **Inactive not in education or training /unemployed/ LTU with care responsibilities with ISCED below 3**

## Type of activity

- Support for child care/care for dependent persons
- Training

## Expected type of results

- Self-/Employment
- Qualification



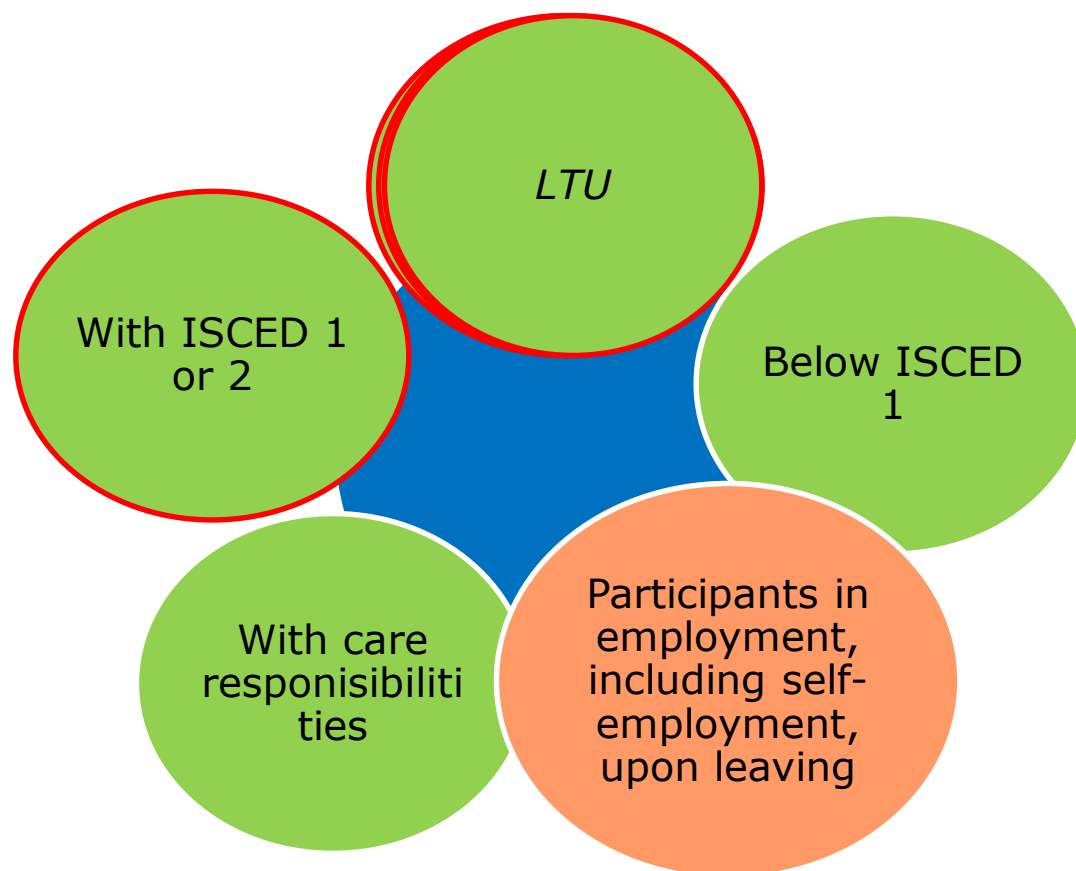
<b>Common output I <u>with target</u></b>	<b>Programme-specific output indicators</b>	<b>CI results <u>with targets</u></b>	<b>Programme-specific result indicators</b>
<ul style="list-style-type: none"><li>• With ISCED 1 or 2</li></ul>	<ul style="list-style-type: none"><li>• Inactive not in education or training with care responsibilities with ISCED below 3</li><li>• Unemployed with care responsibilities with ISCED below 3</li><li>• LTU with care responsibilities with ISCED below 3</li></ul>	<ul style="list-style-type: none"><li>• Participants gaining a qualification upon leaving</li><li>• Participants in employment, including self-employment, upon leaving</li><li>• Participants in employment, including self-employment, 6 months after leaving</li></ul>	<ul style="list-style-type: none"><li>• Low skilled (below ISCED 3) inactive or unemployed participants in employment who received support in their care responsibilities</li></ul>





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# Unemployed in education or training with care responsibilities with ISCED below 3





# **RESULT ORIENTATION**

## **Performance Framework and Performance Reserve**

## Performance Framework

- **For each priority axis except Technical Assistance**
- **Breakdown by Fund and by Region** (multiple PF for priority axes comprising more than one Fund and/or more than one category of region)
- **YEI to be assessed separately** if part of priority axis
- **Indicators covering more than 50% financial allocation**
- **Linked to Performance Reserve**
  - Incentive to implement as planned
  - Anticipate problems

# Performance Framework Building Blocks

## Priority level broken down by cat. of region & fund

### Milestones (intermediate targets)

- *To achieve by end 2018*
- *Formally reviewed in 2019*

### Targets

- *To achieve by end 2023*
- *Formally reviewed at closure*

**Indicators: Financial (1), Output (1+), Result (immediate), Key implementation steps**

## Existing programme indicators

Financial  
indicators  
(incl. certified  
expenditure)

Output indicators

Output  
indicators with  
a target

Immediate result  
indicators

Immediate result  
indicators  
with a target

### Performance framework

- Certified expenditure -> set a milestone and a target
- Subset of output (and immediate result) indicators with a target -> set a milestone (target already set)
- When no or low outputs expected -> need to establish key implementation steps and set a milestone

# Performance Framework

- **Partnership Agreement** should present info on methodology & mechanisms for consistency of performance frameworks across programmes and ESI Funds
- **Operational Programme:** PF for each PA
  - Table with indicators, measurement unit, milestones and target values, source of data and explanation on relevance
  - Summary on rational of selection, methodologies and criteria
  - Full info can be requested
- **Ex ante evaluation** should examine if quantified target values and milestones are meaningful and realistic

## Programming the Performance Reserve

- 6% of resources (excluding ETC, YEI – which do not have access to the reserve, but do have performance frameworks)
- Pre-Allocated to priorities in programmes (excluding Technical Assistance & SME) – between 5% & 7%
- Definitively allocated to priorities which achieve their milestones



## Performance review

- In 2019, performance of programme priorities assessed by EC against milestones set for end 2018.
- Values reported in 2018 Annual Implementation Reports submitted by 30 June 2019.
- Commission decision by 31 August 2019 on priorities which have achieved milestones, broken down by cat. of region & fund.
- All indicators of a priority to reach 85% of milestones to gain access to its reserve.



# Allocation of the Reserve

- Priorities which achieve their milestones: reserve is allocated definitively.
- Priorities which do not achieve their milestones: MS proposes the attribution of their pre-allocated reserve among priorities which did achieve their milestones (respecting thematic concentration and Fund and category of region allocations).
- Consequent amendment of OPs, including targets.

## Suspensions or corrections

**EC may suspend all or part of an interim payment of a priority if:**

- serious failure to achieve the milestones (two or more indicators below 65%) due to clearly identified implementation weakness.
- EC has communicated previously this clearly identified implementation weaknesses and the MS has failed to take the necessary corrective action.

**At the end of programming period, the EC may apply financial corrections if, in addition:**

- no significant socioeconomic, environmental developments or implementation delays beyond control of the MS prevented the achievement of targets.



# **RESULT ORIENTATION**

## **Evaluation and reporting requirements**



# Evaluation

- *Ex Ante:*

- Focused more strongly on intervention logic & indicators
- Assessment of performance framework

- *Ongoing:*

- Evaluation Plan – to MC no later than one year after programme: timing, evaluations, data, methods, communication/use, budget
- **Impact evaluations** covering each priority at least once (for YEI by end 2015 and 2018)
- MS produce report summarising evaluation evidence and main outputs and results of the programme in December 2022

- *Ex Post:* Commission by end 2025

## Member States' monitoring and reporting tasks

Implementation reports (Art.50 CPR)	Progress report (Art.52 CPR)	Transmission of financial data  (Art.112 CPR)	Evaluation plan (Art.114 CPR)
<p>From 2016 to 2023</p> <p>For ERDF, ESF and CF (Art.111CPR): to be submitted on 31/05. In 2017 and 2019 to be submitted by 30/06</p>	<p>31/08/2017 31/08/2019</p>	<p>31/01 31/07 31/10</p>	<p>To be submitted to the MC no later than 1year after the adoption of the OP</p>

**Thank you for your attention!**