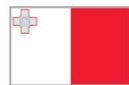


# MONITORING AND EVALUATION STRATEGY

European Regional and Development Fund  
2014-2020

Monitoring Committee  
20 November 2015



European Union  
European Structural and Investment Funds



# Regulatory Requirements

## Main Legal Requirements

- Article 54(9) of Regulation (EU) 1303/2013 obliges both the European Commission and its Member States to ensure the effectiveness of monitoring, reporting and evaluation during the preparation and implementation of the ESIF
- Articles 47-49 indicates the role and functions of the Monitoring Committee
- Articles 50 and 53 indicates the reporting requirements of both the European Commission and the Managing Authority
- Articles 54-57 outline the provisions relating to evaluation and briefly describe the various forms of evaluations that need to be carried out by the Managing Authority

## Past Experience: 2007-2013 Programming Period

- Following the 2007-2003 programming period, a number of challenges are foreseen during the 2014-2020 programming period, being:
  - The requirement to evaluate regularly and systematically the impact of ESIF
  - The need to apply rigorous evaluation approaches (counterfactual impact evaluation, theory-of-change evaluation, etc.)
  - Provisions on the involvement of stakeholders into the whole ESIF process, including monitoring and evaluation
  - Participatory evaluation as a possibility for the involvement of stakeholders into the evaluation process
  - The need to collect, monitor and administrator the necessary data requirements for evaluations in a timely and coherent manner

## Monitoring

- During the 2014-2020 programming period, the Managing Authority has embarked on setting up a results-based monitoring and evaluation system as a tool to track progress and demonstrate the impact of a programme
- Elements of the results-based monitoring and evaluation system include:
  - Baseline data to describe the problem or situation before the intervention
  - Data collection on results and whether they contribute towards the achievement of the outcomes stated in the Grant Agreement
  - Systemic reporting with more qualitative and quantitative information on the progress toward outcomes
  - Capture information on success or failure of strategy/programmes in achieving desired outcomes

## Monitoring of Results

- Channels to monitor the results include:
  - Structural Funds Database 2014-2020
  - Project Progress Reports
  - Ministerial/Intermediate Bodies Project Steering Committee
  - High Level Monitoring Meetings
  - Cabinet
  
- Moreover, as part of its management procedure, the Managing Authority will ensure that during the management and administrative verifications, these steps are taken:
  - Initial checking and analysis at application stage in order to assess the projects; contribution to the specific objectives and results of the relevant priorities
  - Ensure, on the basis of the data reported by the beneficiaries at project level, that it is aggregated or micro data related to indicators and target values at investment priority, priority or programme level is timely, complete and reliable
  - Check key requirements concerning data collection, storage and quality

## Monitoring

- The Managing Authority will determine the correct mix of monitoring tools and approaches for each project, ensuring that the monitoring aspect contains an appropriate balance between:
  - *Data and analysis*: Obtaining and analysing documentation from projects that provide information on progress, e.g. through the progress reports, annual implementation reports, etc.
  - *Validation*: Checking or verifying whether or not the progress is accurate, e.g. through field visits, spot checks, assessments, etc.
  - *Participation*: Obtaining feedback from beneficiaries on progress and proposed actions, e.g. through Evaluation Steering Groups, meetings with stakeholders, etc.

## Monitoring

- Each EU-funded intervention would normally has its own arrangements to plan, implement and monitor the contributions it is making to the results
- In this regard, the MA will engage in the following steps in order to organise programme-level monitoring:
  - Obtain monitoring information for each funded project through respective bi-annual/quarterly progress report
  - Analyse the contribution of the outputs and results to the achievements of the objectives and outcomes of the Operational Programmes
  - Participate in dialogue with relevant stakeholders at sector and national level
  - Triangulate monitoring information to obtain a more objective assessment. Identify issues and changes as an outcome of the monitoring mechanism that are necessary to further discussion and appropriate action

# Evaluation

- The evaluation functions include:
  - A combination of top-down and bottom-up evaluation methods
  - Incorporating key evaluation issues and horizontal themes into the proposed research activities
  - An enhancement of the current monitoring system
  - *Ad hoc* evaluations triggered by under-performance against the Operational Programme or Performance Framework targets



## Principles, Norms and Standards for Evaluation

- Evaluations during the 2014-2020 programming period will be:
  - Independent
  - Intentional
  - Transparent
  - Impartial
  - High quality
  - Timely
  - Evidence-based

## Evaluation Objectives and Criteria

- Evaluation objectives are based on careful consideration of: the types of decisions evaluation users will make, the issues they will need to consider in making those decisions, and what the evaluation will need to achieve in order to contribute to these decisions
- The evaluation criteria defines the standards against which the initiatives will be assessed
- The evaluation criteria which will be used during this programming period are: relevance, effectiveness, efficiency and impact.

# Evaluations to be carried out during the 2014-2020 programming period

## Annual Plan: Year 2016

- **Counterfactual Feasibility and Pilot Study**
  - The study will include an in-depth analysis of the feasibility in carrying out a counterfactual evaluation, the limitation in data availability and recommendations on how data can be gathered and stores, cost-effectiveness, etc.
  
- **Pilot Assessment of the ERDF/CF Indicators**
  - The study will seek to strengthen and refine its methods on how to obtain the necessary data from each output and result indicator, how to prepare the data collection instruments to record the information appropriately, what procedures to use to collect data, how often to access the data sources, the methodology used for each indicator, etc.

## Evaluations to be carried out during the 2014-2020 programming period

### A number of assessments will be held as follows in relation to:

- The key processes within the ESI Funds in Malta (Year 2017)
- Effectiveness in achieving the outputs, results and impacts and the assessment of their compliance with the defined objectives in the Operational Programme (Year 2018)
- The communication activities held in line with the ESIF Communication Strategy 2014-2020 (Year 2019)
- **Impact Evaluations (Year 2020)**
  - The impact evaluation will consist of an evaluation of the effects, intended or unintended, caused by the Operational Programme
  - The impact evaluation will not only measure whether the objectives have been achieved or the intended effects on the target groups, but will also take into consideration secondary impacts on students, households, etc.

## Evaluations Steering Group 2014-2020

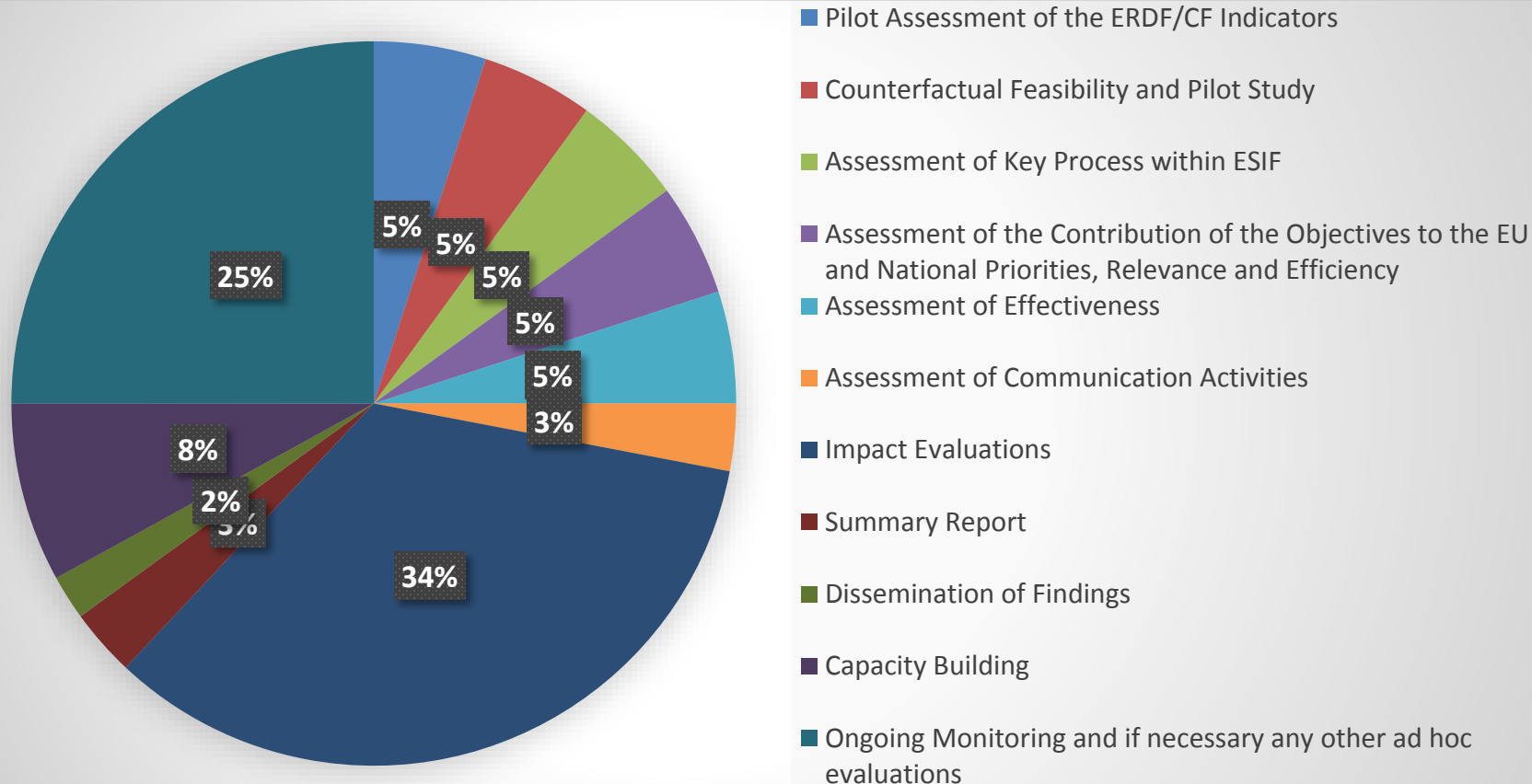
- The remit of the group is as follows:
  - Advise on the specific monitoring and evaluation activities to be undertaken during the course of the programme, including quality assuring external evaluations undertaken
  - Provide input to on-going monitoring and evaluation activities where appropriate, drawing on the expert knowledge on the members of the Group
  - Assist in identifying and agreeing how some of the gaps in the reporting data can be best addressed
  - Advise and assist in the dissemination of the key results from the monitoring and evaluation activities in order to inform stakeholders of the performance of the programme
- The Steering Group will be made up of representatives from the line ministries (both from a project implementation and policy aspect), National Commission for the Promotion of Equality (NCPE), National Commission for Persons with a Disability (NCPD), Economics Policy Division within the Ministry for Finance, Malta Council for Economic and Social Development, and other entities as deemed necessary.

## Capacity Building

- Capacity Development is built on three dimensions:
  - Demand side dimension which refers to the commissioning side of the evaluation process
  - Supply side dimensions which refers to the availability and quality of both external evaluation expertise and socio-economic data resources
  - Dissemination and utilisation of evaluation outputs

## Financial Resources

- Total €2,153,790 (EU share: €1,723,032; MT share: €430,758)

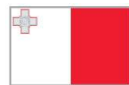








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