



EUROPEAN COMMISSION

Budget

Own Resources, evaluation and financial programming

Evaluation

OVERVIEW OF EVALUATION GUIDES IN THE COMMISSION

Budget Directorate General

Evaluation unit

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Table of contents:

I. Introduction

II. Annotated list of the evaluation guides

Annex A: Analytic overview table of the evaluation guides

I. Introduction:

This document aims to provide an overview of the existing evaluation guides in the Commission. It updates the list of evaluation guides, which is annexed to the Communication on Evaluation standards and good practices.

The document also aims to provide general guidance for services when they develop their own quality requirements on evaluation, as called for in the evaluation standard A-6(e).

The document covers all evaluation variants (ex ante/impact assessment, interim and ex post evaluations) and focuses on the scope, coverage, general set-up, design and conduct as well as on the methodological approach of the guide.

A brief overview of the evaluation guides is provided in Annex A, addressing the scope, coverage and methodological approach of different evaluation guides.

II. Annotated list of the evaluation guides:

- **Administration DG**

Guide for the evaluation of activities of the Directorate-General for Personnel and Administration

This guide was prepared in April 2002 and, although focused on evaluation within DG ADMIN, deals with general evaluation issues. It explains in particular:

- the different concepts, types and applications of evaluation,
- the difference between evaluation and audit (including performance audit), monitoring, and Total Quality Management
- evaluation in the context of SPP and ABM
- the stages of evaluation and evaluation tools and techniques
- the organisation and management of evaluations
- the supervision of carrying out an evaluation
- how to get from reporting to using evaluations.

In addition, this guide contains an up-to-date glossary, a bibliography and links to other sources of information on evaluation.

Contact: The guide can be consulted on line via DG ADMIN's Intranet (<http://www.admin.cec.eu.int/abm/evaluation.htm>) and by contacting DG ADMIN's Evaluation Function.

- **Agriculture DG**

Common Market Organisations in Agriculture, Current Evaluation Practice Guide

This guide, published in 2001, applies mainly to the evaluation of Common Market Organisations (CMOs). The scope is limited to the evaluations of a retrospective nature. Pure ex ante evaluations are not covered.

It builds upon the Agriculture DG's evaluation practice with CMOs over the period 1998–2000 and describes current good practice within the Evaluation Unit. The main purpose of the document is daily guidance for the members of the evaluation unit and other participants in the evaluation process. The structure of the guide reflects the main phases of the process of an external evaluation commissioned by DG Agriculture.

Evaluation of rural development programmes 2000-2006 supported from the European Agricultural Guidance and Guarantee Fund

This guide, published in 1999, contains general information about evaluation in the context of rural development. It explains the context and meaning of the articles in

Regulation (EC) 1750/99¹ regarding evaluation, explains key evaluation concepts and provides practical information regarding evaluation in the context of rural development. It also provides detailed guidance on ex ante evaluations and on the suggested format for the national level evaluation reports pursuant to Regulation (EC) 1750/99.

Common Evaluation Questions with Criteria and Indicators for the evaluation of rural development programmes 2000-2006 supported from the European Agricultural Guidance and Guarantee Fund

This guide, published in 2000, contains the common evaluation questions with associated criteria and indicators for the rural development programmes 2000–2006 (in particular for mid-term and ex-post evaluation). The common elements were drawn up in accordance with the procedures laid down in Regulation 1750/99. In addition, the document explains the obligation of the Member States and regions regarding the use of these common elements and provides clarifications and examples for the independent evaluators.

Guidelines for the mid term evaluation of rural development programmes 2000-2006 supported from the European Agricultural Guidance and Guarantee Fund, Directorate General for Agriculture, 2002

This guide, published in 2002, provides information on how to conduct mid-term rural development evaluations and how to use the Common Evaluation Questions in this specific context.

Guidelines for the Evaluation of LEADER+ Programmes

These guidelines, which were published by the end of 2001, provide information on general evaluation concepts and methodology, plus practical guidance for carrying out the evaluations under Regulation 1260/1999 at programme level. The document includes common evaluation questions, with success criteria, for all programmes. This approach is intentionally quite similar to the one proposed for rural development programmes under Regulation 1750/1999, but adapted to the specific features of the Community Initiative for rural development Leader+. Recommendations for the ex ante evaluation were provided separately in a previously released document.

Guidelines for the evaluation of Rural Development Programmes funded by SAPARD

This document, published in 2001, aims to provide the candidate countries with methodological and practical support for the implementation of their evaluations at programme level. As in the case of rural development programmes in the Member States, these guidelines include common evaluation questions, with success criteria and indicators. This common approach follows the requirements for evaluation under Commission Regulation 2759/1999. Account has also been taken of the different objectives and scope of SAPARD as compared to rural development programmes in the Member States, and of the particular situation in the candidate countries, which

¹ Commission Regulation (European Commission) No 1750/99 of 23.07.1999 laying down the detailed rules for the application of Council Regulation No 1257/99 on support of rural development from the European Agricultural Guidance and Guarantee Fund (EAGGF): OJ L 214, 13.08.1999, p.31.

require a specific approach. Recommendations for the ex ante evaluation were provided separately in a previously released document.

Contact: Unit G4: Evaluation of Measures applicable to Agriculture, Directorate G: Economic Analysis and Evaluation

http://europa.eu.int/comm/agriculture/eval/index_en.htm

- **Budget DG**

Evaluating EU activities: A practical guide for the Commission services

This guide, published in 2003, provides an overview of the Commission's rules and good practices concerning evaluation of its activities. Its aim is to help the practitioners of evaluation in the Commission, who need to plan, co-ordinate, carry-out or utilise evaluations. It should also assist those with a responsibility for organising the evaluation structure within the services.

The guide responds to a number of recent developments in the regulatory and administrative context, which have taken place since the guide "Evaluating EU expenditure programmes, ex post and intermediate evaluation" was issued in 1997.

This involves in particular the Communication on evaluation², the Communication on Activity Based Management (ABM)³, changes to the Financial Regulation⁴ and the Communication on Standards and Good Practices on evaluation⁵.

This document responds to these developments by presenting practical solutions and good practice to help services in meeting the needs and requirements arising from the new context on evaluation. For this purpose, the structure of the document follows that of the Communication on Standards and Good Practices on evaluation, which entered into force on the 1st of July 2003.

The two first chapters of the document provide information on the nature of and the obligation to do evaluations in the Commission as well as on how to organise the evaluation function. Together with the last chapter on using evaluation findings, they can be of particular interest to those responsible for planning, organising and co-ordinating evaluations. Chapters 3-5, which address the evaluation process (design, conduct and reporting) should be interesting for all those who have to carry-out and utilise evaluations (such as desk officers in the operational units).

Evaluating EU expenditure programmes: A guide: ex post and intermediate evaluation

This manual covers the basic concepts, preparation, management of and main approaches to evaluation of expenditure programmes. It is aimed at programme managers within the Commission and all other persons who require a general introduction to the theory and practice of evaluation.

² SEC (2000) 1051

³ SEC (2001) 1197/6&7

⁴ Financial Regulation (SEC (2002) 1605 and its Implementation rules (SEC (2002) 2342)

⁵ SEC (2002) 5267

Ex-ante evaluation: a practical guide for preparing proposals for expenditure programmes

This guide provides specific advice on ex ante evaluation of expenditure programmes. However, some of the approaches or ideas presented in it may also be applicable to policies, projects or other types of activities.

The document provides practical advice for Commission services starting preparations for a new or renewal of an expiring expenditure programme. It is not a standard, but meant to help solve the problems that services face when doing or commissioning ex ante evaluations.

Contact: Evaluation Unit, DG BUDGET/B05,

http://europa.eu.int/comm/budget/evaluation/index_en.htm

- **Education and Culture DG**

Le projet d'évaluation. Concepts de base pour la préparation, la réalisation et l'utilisation des résultats des évaluations

The main purpose of the guide is to provide methodological support to the DG's departments, setting forth a concise explanation of the Commission's guidelines on programming and evaluation work.

The aims of this document are to:

- explain the concepts to be used by staff when programming, implementing, monitoring and evaluating activities;
- encourage sound co-operation between departments so as to take advantage of experience gained, facilitate joint analyses and contribute to the strategic planning and management of activities in the Directorate-General.
- promote the “new management culture” the Commission wishes to introduce and use it in training;

The guide gives detailed information on all phases of an evaluation process. It starts with the design of an evaluation project and explains the regulatory requirements of different evaluation variants and how they fit into the Annual Policy Cycle. Information is also provided on the work of a steering group. The guide then moves on to the evaluation questions and writing good terms of reference, and it finishes with a section on the use of evaluation results.

Contact: Unit for Inter-institutional Relations: Coordination, Evaluation

- **Employment and Social Affairs DG**

Guidelines for systems of monitoring and evaluation of ESF assistance in the period 2000-2006

This guide comprises advice on how to implement the rules on monitoring and evaluating ESF assistance during the period 2000-2006, monitoring and evaluation indicators by ESF policy field, information collection methods and standard terms of reference for evaluators.

ESF Ex-ante Evaluation Guidelines

The aim of this document is to give practical advice and to clarify the specific requirements resulting from the ESF Regulation for the programming period 2000-2006 as issues to be addressed under Objective 1 and 3 plans and the policy frame of reference, broken down by policy field. It also describes the links between the ESF measures and the European Employment Strategy and the National Action Plans for Employment.

Working / discussion papers

Note on the evaluation of the contribution of the Structural Funds to the European Employment Strategy

This working paper is the result of co-operation between the Commission departments and serves as a working tool for the management authorities dealing with the Objectives 1, 2 and 3 for the launching of the mid-term evaluation exercise.

The document explains the role of the mid-term evaluation in the Community's structural assistance. It also addresses the organisation of the tasks of different actors, and recommends that some planning at national level is undertaken to ensure coherence between regional evaluations where a national programming document does not exist.

As far as specific evaluation issues are concerned the document emphasises that at least following three aspects are taken into account.

- The identification of the links and the analysis of their relevance;
- The analysis of influence and concentration;
- The analysis of the added value from the effects.

The document also lists possible evaluation questions related to above evaluation issues.

Evaluation of mainstreaming equal opportunities for women and men in measures co-financed by the ESF

This document does not replace any of the guidelines pertaining to evaluation of the 2000-2006 period, or any other existing document. The aim here is to give some food for thought for joint discussion of how best to assess mainstreaming of equal

opportunities for women and men in programmes financed by the European Social Fund.

A further purpose of the document is to capitalise on methods and experience gained in respect of the 1994-1999 period and incorporate the new aspects arising during the 2000-2006 programming and in measures so far.

The issues discussed in the document are intended for evaluators whose responsibilities include assessing the degree to which equal opportunities have been mainstreamed into the programmes financed by the European Social Fund, and for the people following and using their assessments.

Evaluation of the quality of the monitoring systems of the European Social Fund

This document has been drawn up in the spirit to supplement the contents of the Guidelines for the mechanisms of monitoring and of evaluation of the interventions of the European Social Fund - period 2000-2006.

It addresses itself to the evaluators to serve as an orientation for the evaluation, as from 2002, of the monitoring systems. This exercise will concern their adequacy in relation to the types of interventions and the feasibility of the mid-term evaluation. The document should also prove to be useful for the management authorities of the ESF with the aim of supporting their efforts aiming at the improvement of the monitoring systems.

The first part of the document proposes general questions for the evaluation of the quality of the monitoring systems of the ESF. It is based on the comments and the analysis contained in the evaluation reports of the previous period as well as on the answers provided by the Member States. The second part develops specific questions about the "minimum common" and the link with the contribution of the ESF to the European strategy of employment.

Guidelines for systems of monitoring and evaluation for the human resources initiative EQUAL in the period 2000-2006 in the period 2000-2006

The purpose of this document is to outline the main elements of a monitoring and evaluation framework for the new Human Resources Initiative, EQUAL.

The guidelines focus mainly on the mid-term evaluation and its update and aim to assist the national authorities in elaborating an evaluation programme, determining the scope of the evaluation and selecting qualitative and quantitative information to be collected and analysed.

The document looks at the overall evaluation criteria, a typology of effects and specific evaluation questions for EQUAL at different levels of the programme. It also gives recommendations for minimum monitoring information to be presented in the Annual report of the Management Authority and Monitoring Committee and for the mid-term evaluation.

Short guide to the evaluation of Community programmes in the area of employment and social affairs policy

This guide focuses mainly on interim evaluation. It is intended to help programme managers to draw up an evaluation plan, determine the scope of the exercise, and

define the methods to be used and the qualitative and quantitative information to be gathered.

The document provides examples of the main questions to be asked at the project and programme levels. This allows the types of evaluations required to be determined, together with the main methods to be used in interpreting the information. The guide also outlines the information system required and briefly describes the organisation of the evaluation system.

The annexes provide a glossary of the main terms used, along with examples of monitoring indicators and sample terms of reference.

Contact: Evaluation Unit of the Employment DG,

- **Enlargement DG**

Phare Interim Evaluation Guide

This guide, issued in 2002 and updated in 2003, provides the user with essential information and support for running the Phare Interim Evaluation Scheme. It consists of two parts, one describing the Interim Evaluation (IE) approach, procedures, methodology and reporting process, and the other containing the annotated templates for IE reports and country summaries.

More particularly, the Phare IE Guide lists the main steps of the IE cycle and sets out the distribution of responsibilities among the stakeholders. It establishes the evaluation methodology based on five evaluation criteria and describes a strengthened dissemination system including early warnings, debriefing meetings, a follow-up procedure on recommendations, in-depth and country summary reports, and upgraded websites. It also covers the quality assurance aspects of the evaluation system/reporting. Finally it provides for a substantial revision of the format/presentation of the evaluation reports.

In the context of accession and the decentralisation of interim evaluation to the new Member States, each of them did or will adjust the IE Guide to its own particular requirements and adopt it.

Practical guide to the conduct and management of interim evaluation

This practical guide, published in early 2004, draws upon the experience of the external contractors in charge of Phare interim evaluation over the period from 1996 to 2003. It deals with all aspects of performing and managing interim evaluations of the pre-accession and Transition Facility programmes. More specifically it provides the readers with concrete advice on conducting interim evaluations from the kick-off meeting to the debriefing session, as well as on managing interim evaluations from the establishment of the IE function, through the tender process, to the dissemination of the results.

Contact: Evaluation Unit, ELARG/E3

- **Enterprise DG**

Guidelines for evaluation in DG Enterprise

This guide, published in 2003, focuses on explaining how to perform an evaluation, as well as dealing with the concept and purpose of evaluation. It is designed to be modular to address the varying needs of users. It deals with the planning, the management and the use of evaluation in a practical "how to do it" manner, and also provides technical guidance and describes the organisation of evaluation in DG Enterprise.

Organisationally this guide is split into three complementary sections, which can be used together or separately, depending on experience and need:

- Part I is the core "how to do it" part: it covers the programming and organisation of evaluation in DG Enterprise, the preparation and management of an evaluation project, and the exploitation of the results.
- Part II explains general concepts and principles of evaluation, the key issues, the intervention logic, objectives and indicators, and the various types of evaluation.
- Part III describes the role of evaluation in the Commission, its organisation and related responsibilities, and the role of evaluation in the SPP cycle.

The guide also includes a set of annexes that deal with resources, models, definitions and references.

- Annex I is a template Terms of reference for the conduct of an evaluation. It allows users to make a jump-start in the drafting of technical specifications and Terms of reference.
- Annex II is an extended glossary of terms providing additional information on specific evaluation-related terms and concepts.
- Annex III is a reference and resource section, including checklists

Contact: DG Enterprise's intranet is accessible to all DGs, so the guide is available on-line at the following address:
http://www.entr.cec.eu.int/units_directorates/r/5/evaluation.htm

It is also available from the Evaluation Function of DG Enterprise (part of Unit R5: Strategic Planning and management).

- **Environment DG**

Evaluation: how to do it – Guide for desk officers

This guide, which was published in 2004, is intended to be a practical guide to assist desk officers when faced with evaluation activities within DG Environment. The guide does not cover monitoring, reporting or auditing processes.

The guide focuses on explaining how to perform an evaluation, as well as dealing with the concept and purpose of evaluation. It deals with the planning, the management and the use of evaluation in a practical manner. It also provides guidance on where to get further information and assistance on evaluation.

Contact: DG Environment's intranet is accessible to all DGs, so the guide is available on-line at the following address:

http://intranet.env.cec.eu.int/1/eval_guide_env/evalguide.htm

- **External Relations, Development and Trade DGs and the EuropeAid Co-operation Office (AIDCO)**

A Guide to the Evaluation Procedures and Structures currently operational in the Commission's External Co-operation Programmes.

The scope of the guide covers both expenditure programmes and projects. Its target users are Commission services and delegations in the Third Countries.

The guide provides detailed information on the different steps of evaluation process starting with the mandate for an evaluation project and ending up with the validation of the results of an evaluation report.

As far as the methodological approach is concerned, the guide emphasises the importance of the structuring phase, and gives a through presentation of the intervention logic analysis.

Contact: This guide is available on line at the following address:

<http://europa.eu.int/comm/europeaid/evaluation/methods/index.htm>

It is also available from the Evaluation Unit of the EuropeAid Co-operation Office.

- **Health and Consumer Protection DG**

Evaluation Handbook

The need for a specific DG Sanco guide (published in 2002) emerged from the requirements of the White Paper on Reform. The purposes of the guide are the following:

- To support the understanding of the need for evaluation,

- To clarify the requirements for evaluation in the Commission,
- To outline procedures for managing evaluations, and
- To provide the necessary tools for those procedures.

The guide consists of a number of documents of different origin, status and level to support the above purposes. The focus of the guide is on how to manage the evaluation process in DG Sanco, and special attention is given to the responsibilities of different units for carrying out each step in the process. In this way the guide serves as a good example of how to organise the evaluation work in a DG where resources for internal evaluation work are limited.

Contact: Evaluation and Audit unit (01) of DG Sanco.

- **Justice and Home Affairs DG**

Preparatory Study of Policies and Legislation – Development of an Analytical Framework

This evaluative and analytic framework (published in 2003) has been specifically prepared with regard to the establishment of a European area of 'freedom, security and justice'. It is also expected to be of relevance to the broader challenge of the evaluation and policy and laws in the Commission which is now of general interest.

The general rationale for this study is that there is relatively little experience evaluating policies and laws. Most evaluation experience in the Commission, as elsewhere, pertains to programmes and projects. The more immediate impetus for this study is the need to prepare for a promised full evaluation of Tampere Conclusions in 2004.

Work undertaken as part of this study included:

- a review of policy papers relating specifically to Tampere Conclusions and their implementation (e.g. Scoreboard on progress, action plans on drugs and organised crime, etc.).
- a review of related documentation including the Annual Management Plan of DG JAI and papers deriving from the discussions in preparation for the European Convention.
- a mapping and review of a number of literatures (generic evaluation, policy analysis and European integration) to help specify the elements to be included in the evaluation framework.
- a mapping and review of source material related to possible measurement and indicators as part of future policy evaluations.
- interviews with Commission Officials across five sectors of DG JHA to reflect different aspects of post Tampere policy as well as with four interviews with four Member State representatives (Germany, Spain, Portugal and the UK) to better understand their evaluation priorities and perspectives.

Contact: Strategic Policy and Planning unit (A1) of DG JHA.

- **Regional Policy DG**

The Guide on evaluation of socio-economic development

This Guide (published in 2003) is intended for those involved in the evaluation of socio-economic development in Europe. **It is a successor to the MEANS collection.**

The Guide covers following parts:

1. The contribution of evaluation to socio economic development. This part includes the benefits of evaluation; history and purpose; methods and roots; rationales underpinning interventions.
2. Designing and implementing evaluation for socio economic development. This part includes the main processes for designing and implementing evaluations; the objects of evaluation; arrangements for implementing and managing evaluations including communication and quality assurance.
3. Developing capacity for socio economic evaluations. This part contains the necessary and preferred institutional and managerial arrangements; capacity and institutional learning to ensure effective and influential evaluation.
4. Choosing methods, techniques and indicators and using evidence in evaluation. This part includes available methods and techniques and their strengths and weaknesses for different purposes and in different contexts; types of data and indicators; approaches to the synthesis of evaluation findings; methods for working effectively with stakeholders.

Whilst the Guide has a specific focus on evaluation within European Structural Funds, it is not confined to the evaluation of these interventions. Socio economic development is, after all, strongly featured in many national and regional programmes that are not funded by the EU.

The Guide is only available via the internet at <http://www.evaled.info>

MEANS: Evaluating socio-economic programmes: Volumes 1-6.

The original MEANS collection was published by a group of independent experts in 1999. It has six volumes and they all focus on the principal elements of socio-economic programme evaluation. Following are the six different volumes of the MEANS:

1. Evaluation design and management

This document provides elements required for steering an evaluation from start to finish. It addresses the division of tasks in the evaluation process, specifies scope

and objectives of an evaluation, provides guidance to assess the quality of evaluation reports and also gives recommendations how evaluation results should be used.

2. Selection and use of indicators for monitoring and evaluation

The document is a practical guide to the use of indicators. It aims to show that useful indicators can be defined, selected and quantified while maintaining a pragmatic approach.

3. Principal evaluation techniques and tools

This document provides a list of the main techniques which can be used, explaining their advantages and drawbacks and defining the criteria for making a choice between them.

4. Technical solutions for evaluation within a partnership framework

This volume describes and provides detailed instructions for the use of some new technical solutions in the context of partnership framework, which takes place in the Structural Funds assistance.

5. Transversal evaluation of impacts on the environment, employment and other intervention priorities

This document provides guidance for an analysis of those impacts which are not always part of the explicit objectives of the activities evaluated. Among the questions addressed are the impacts in terms of equal opportunities between men and women and the competitiveness of SMEs.

6. Glossary of 300 concepts and technical terms

This last volume draws together all the concepts and terms used in the previous volumes of the guide.

The MEANS collection is out of print and has been replaced by the aforementioned Guide on socio-economic development.

Evaluation and document series: Guide to cost-benefit analysis of major projects

This guide offers Commission officials, external consultants and any other interested parties, an agenda for checking the appraisal of major projects funded by the Structural Funds, including the FIG (Financial Instrument for Fisheries Guidance) and the Cohesion Fund. The document is specifically designed for Commission officials who are not specialists in cost-benefit analysis. At the same time, the text gives some indications to external experts who may need to understand the Commission's specific needs for information on the costs and benefits of proposed projects.

The Guide is available at:

http://europa.eu.int/comm/regional_policy/sources/docgener/guides/guide_en.htm

Working Papers

The Ex Ante Evaluation of Structural Funds Interventions

This working document provides guidance on the contents and organisation of the ex ante evaluation in the context of assistance under the Structural Funds in 2000–2006. It defines the key components of ex ante evaluation and also describes the interactive process involving the evaluator and those responsible for drawing up programmes.

Indicators for Monitoring and Evaluation: An Indicative Methodology

An appropriate set of indicators is crucial to effective monitoring and evaluation systems. This document clarifies the terminology used, provides a flexible frame of reference and proposes a list of indicators for the main areas of assistance under the Structural Funds.

The Mid Term Evaluation of Structural Interventions

This working paper provides guidance on the content and organisation of the mid term evaluation of structural operations to be completed by the end of 2003. It outlines the timetable for the evaluation, gives guidance on how it should be planned and managed, and presents the key components to be covered in the mid-term evaluation.

Mid-Term evaluation of Community initiatives INTERREG III and URBAN

Community Initiative programmes are required to fulfil the obligations for evaluation as set out in the Structural Funds regulations. The two documents provide supplementary guidance on the programming and evaluation requirements for Community Initiatives INTERREG III and URBAN.

The Update of the Mid Term Evaluation of Structural Fund Interventions

This working paper provides guidance on the update of the mid term evaluation which must be completed by the end of 2005. It specifies a minimum core content and provides some guidance on the process to be adopted.

Contact: Evaluation Unit of the Regio DG.

http://europa.eu.int/comm/regional_policy/sources/docoffic/working/sf2000_en.htm

- **Secretariat General DG**

Impact Assessment in the Commission: Internal guidelines, a Handbook for Impact Assessment in the Commission, and Technical Annexes.

These guidelines consist of above three parts. Firstly, an operational guide is expected to clarify the role and identify the deliverables expected from the policy units concerned and to define the procedures and timetables. This contains the basic elements for policy units on how to prepare and conduct an impacts assessment. Secondly, a detailed handbook goes through the required elements of impact assessment thoroughly and offers a wide range of technical instruments and methods

available for actually conducting the impact assessment. Finally, the Technical annexes provide some additional information, and are mainly addressed to specialists.

The guidelines have been written for Commission staff and experts in charge of designing policy proposals. The guidelines are intended to help Commission staff to work through the impacts of policy proposals and to put these into a comprehensive and consistent framework.

The guidelines define a series of principles to follow when performing an impact assessment. Some of these are prescriptive, in particular as far as transparency, internal co-ordination, consultation and reporting are concerned.

Contact: Strategic Planning and Programming unit of the SG.

- **Translation Service DG**

Evaluation and DGT: a guide

This guide (published on-line in 2003) was drafted for the purpose of strengthening the evaluation culture in DG Translation and make it more visible. Thus, the manual focuses heavily on explaining what evaluation is and is not (evaluation vs. monitoring and audit), what is the need and rationale for evaluation (both overall and from the DGT perspective) and which processes can be evaluated in DGT.

The guide offers user-friendly examples of activities and processes, which might be evaluated in this DG and it also addresses evaluation questions, which are relevant to this particular DG. Hence, it offers a process oriented approach for evaluation.

Contact: Evaluation officer, S. Meintanopoulos.

ANNEX A: ANALYTIC OVERVIEW TABLE OF THE EVALUATION GUIDES:

Name of the guide	Scope: -Expenditure programme, -Purely regulatory proposal / policy, - Project.	Coverage:	General set-up of evaluation activities	Designing and conducting evaluations ⁶	Methodological approach ⁷ : -structuring, -data collection, -data analysis, -judging
Guide for the evaluation of activities of the Directorate-General for Personnel and Administration (DG ADMIN)	DG ADMIN activities, but can also be used expenditure programmes	Commission	Information provided on the evaluation sector being part of the ABM unit of DG ADMIN.	The difference between internal and external evaluation explained. Also, information is provided on steering groups, terms of reference, evaluation questions and validation of evaluation reports.	Main focus on data collection and analysis.
Common Market Organisations in Agriculture, Current Evaluation Practice Guide (DG AGRI)	Expenditure programmes	Commission	The guide describes the roles and tasks of various actors (DG, Head of evaluation unit, evaluation manager etc) in the evaluation process.	The focus of the guide is on managing evaluations. Hence, it addresses all the elements (mandate, evaluation questions and issues, terms of reference, steering groups, internal/external evaluations and validation of evaluation reports) related to designing and conducting evaluations.	Main focus on structuring and data collection phases.
Guidelines for the evaluation of LEADER+ programmes (DG AGRI)	Expenditure programmes	Member States	The guide describes the evaluation process and related tasks in the Member States.	All the elements (mandate, evaluation questions and issues, terms of reference, steering groups, internal/external evaluations and validation of evaluation reports) related to designing and conducting evaluations are covered.	All the components (structuring, data collection and analysis as well as judgement phases) of the methodological process are addressed.
Guidelines for the evaluation of rural development programmes supported by SAPARD (DG AGRI)	Expenditure programmes	Accession countries	The guide explains what are the tasks of authorities of Accession Countries and Commission in the evaluation process.	All the elements (mandate, evaluation questions and issues, terms of reference, steering groups, internal/external evaluations and validation of evaluation reports) related to designing and conducting evaluations are covered.	Detailed information provided on the structuring, data collection and analysis as well as judgement phases.
Guidelines for the evaluation of rural development programmes 2000 - 2006. (DG AGRI).	Expenditure programmes	Member States	The division of tasks between Commission and Member States is briefly explained.	Mandate for an evaluation is explained via regulatory requirements. Also, key evaluation issues and questions are addressed.	Main focus on structuring, data collection and data analysis phases.
Guidelines for the mid-term evaluation of rural development programmes 2000-2006 supported from	Expenditure programmes	Member States	The division of tasks between Commission and Member States is addressed.	Main focus is on the key evaluation questions and issues, which the mid-terms evaluation should address (for example, continued	Provides detailed information on the structuring and data collection phases.

⁶ Designing and conducting evaluations includes the following elements: i) mandate for an evaluation project, ii) evaluation questions and issues, iii) terms of reference, iv) steering groups, v) external vs. internal evaluations, vi) validation of evaluation reports.

⁷ **Structuring phase** covers intervention logic analysis and needs assessment (incl. SWOT analysis). **Data collection** covers surveys, interviews, focus groups and case studies. **Data analysis** includes statistical methods, counterfactual analysis, econometric models and expert panels. **Judging phase** includes cost-benefit and cost effectiveness analysis as well as scoring/multi-criteria analysis.

the European Agricultural Guidance and Guarantee Fund (DG AGRI)				appropriateness of the programme combining relevance and consistency). The mandate for evaluation project is explained through the regulatory requirements.	
Common evaluation questions with criteria and indicators (DG AGRI)	Expenditure programmes	Member States	Common questions and related indicators are set by the Commission.	Key evaluation questions explained. Also, the mandate for evaluation project is addressed.	Structuring phase (intervention logic analysis) thoroughly presented.
Evaluating EU activities: A practical guide for the Commission services (DG BUDG)	Covers all types of activities	Commission, Agencies	Gives guidance on possible ways to set-up an evaluation function in different DGs.	Guidance given on internal/external evaluations, evaluation questions, steering groups, mandate for evaluation project, terms of reference and validating the evaluation report.	Gives guidance on a wide package of methodological tools and techniques related to different phases of methodology.
Evaluating EU expenditure programmes: A guide: ex post and intermediate evaluation (DG BUDG)	Expenditure programmes	Commission	Not addressed.	Guidance given on internal/external evaluations, steering groups, evaluation questions, mandate for evaluation project, terms of reference and validating the evaluation report.	Main focus on data collection and data analysis techniques.
Ex-ante evaluation: a practical guide for preparing proposals for expenditure programmes (DG BUDG)	Main focus on expenditure programmes, but can also be applied for regulatory proposals and projects	Commission	Not addressed.	External/internal evaluation, evaluation issues and mandate for an ex ante evaluation addressed.	Since the guide deals with ex ante evaluation, main focus is on the methods related to the structuring phase.
Le projet d'évaluation. Concepts de base pour la préparation, la réalisation et l'utilisation des résultats des évaluations (DG EAC)	Expenditure programmes	Commission	The role and tasks of the evaluation function with DG EAC is briefly explained.	Mandate for an evaluation project, evaluation questions, steering groups, internal/external evaluations as well as validation of evaluation report are all addressed.	Not addressed.
ESF Ex-ante Evaluation Guidelines (DG EMPL)	Expenditure programmes	Commission, Member States	Not addressed	Since the guide is meant to give practical guidance on carrying out ex ante evaluations for the current programming period, its focus is on how to check the internal and external coherence of national proposals.	The guide addresses mainly the structuring phase by emphasising the intervention logic analysis.
Guidelines for systems of monitoring and evaluation of ESF assistance in the period 2000-2006 (DG EMPL)	Expenditure programmes	Member States (including national, regional and local authorities).	Division of tasks between the Commission and national authorities is briefly explained.	The guide has a focus on indicators. It also addresses the composition of steering groups, internal/external evaluations as well as validation of evaluation reports.	Structuring phase (intervention logic) is the main methodological approach explained.
Note on the evaluation of the contribution of the Structural Funds to the European Employment Strategy (DG EMPL)	Expenditure programmes	Managing authorities dealing with the operational programmes.	Organisation of tasks in the evaluation process is explained	Evaluation questions and issues are addressed.	Methodological approach is explained through evaluation issues (relevance, influence and added value).
Evaluation of mainstreaming equal opportunities for women and men in measures co-	Expenditure programmes and projects	Managing authorities dealing with the operational	Not addressed.	Key evaluation issues are explained.	Main emphasis is on indicators for quantification of objectives. Also, context related

financed by the ESF (DG EMPL)		programmes.			indicators are addressed.
Evaluation of the quality of the monitoring systems of the European Social Fund (DG EMPL)	Expenditure programmes	Managing authorities dealing with the operational programmes.	Organisation of the monitoring exercise is explained.	The guide focuses thoroughly on different components (such as codification, computer systems and interfaces) of a monitoring exercise.	Minimum common indicators (resource and output indicators) for monitoring are addressed.
Guidelines for systems of monitoring and evaluation for the human resources: EQUAL in the period 2000-2006 in the period 2000-2006 (DG EMPL)	Expenditure programmes	Member States authorities.	Organisation of the mid-term evaluation and the tasks of Commission, Member States and regional authorities is.	The guide provides information on dissemination strategies, key evaluation questions and steering groups.	Evaluation approach is explained through key principles of EQUAL and how they affect the assessment of the effectiveness.
Short guide to the evaluation of Community programmes in the area of employment & social policy (DG EMPL)	Expenditure programmes	Commission	The division of tasks between the evaluation and operational units in the evaluation process is explained.	Mandate for an evaluation, evaluation questions, steering groups and dissemination of evaluation results are addressed.	Evaluation approach explained through a set of key evaluation issues and questions.
Phare Interim evaluation guide (DG ELARG)	Expenditure programmes	Candidate countries	Distribution of tasks between Commission and authorities of the Candidate countries explained.	Mandate for evaluations, evaluation questions, steering groups and validation of evaluation reports are all addressed.	Methodological approach is done through key evaluation criteria/questions. Methodological tools and techniques as such are not presented.
Practical guide to the conduct and management of interim evaluation (DG ELARG)	Expenditure programmes	Commission and candidate countries	Tasks of different actors in the evaluation process are explained.	Mandate for evaluation, evaluation questions, terms of reference, external/internal evaluations and validation of evaluation reports are all addressed.	Main focus is on the data collection phase (surveys and interviews).
Guidelines for evaluation in DG Enterprise (DG ENTR)	Expenditure programmes	Commission	Information given on the evaluation sector as part of the strategic planning and management unit of DG ENTR.	Information provided on internal/external evaluations, evaluation questions, mandate for evaluation project, terms of reference and validating the evaluation report.	While emphasising the structuring and data collection techniques, the guide also addresses techniques related to data analysis and judging phases.
Evaluation: how to do it – Guide for desk officers (DG ENV)	Policies, expenditure programmes and projects	Commission	The responsibilities of various actors (operational units, evaluation function and financial unit) in an evaluation process are explained.	Information provided on internal/external evaluations, evaluation questions, mandate for evaluation project, terms of reference and validating the evaluation report.	Not addressed.
A Guide to the evaluation and procedures currently operational in the Commission's external co-operation programmes (DG AIDCO)	Expenditure programmes and projects	Commission and delegations	Evaluation unit as a set-up for the evaluation function addressed.	Information provided on the whole evaluation process starting from the terms of reference and ending up with the validation of an evaluation report.	Main focus is on the structuring phase with a detailed presentation of the intervention logic analysis.
Evaluation Handbook (DG SANCO)	Mainly expenditure programmes	Commission	Information given on the evaluation function as part of the audit & evaluation unit. Also, the use of internal networks is	Internal/external evaluations, terms of reference, steering groups and validation evaluation reports thoroughly	Covers all the different phases.

			addressed.	addressed.	
Preparatory Study of Policies and Legislation – Development of an Analytical Framework (DG JHA)	Regulatory proposals	Commission	Not addressed.	The mandate for evaluation and evaluation questions/issues thoroughly explained.	Focuses on the structuring phase.
The Guide on evaluation of socio-economic development (DG REGIO)	Expenditure programmes	Commission and Member States	Gives guidance on possible ways to organise the evaluation function.	Guidance given on internal/external evaluations, steering groups, evaluation questions, mandate for evaluation project, terms of reference and validating the evaluation report.	Methods related to structuring, data collection and analysis as well as judging phases are all covered.
MEANS: Evaluating socio-economic programmes (DG REGIO)	Expenditure programmes	Commission and Member States	Gives guidance on possible ways to organise the evaluation function.	Guidance given on internal/external evaluations, steering groups, evaluation questions, mandate for evaluation project, terms of reference and validating the evaluation report.	Covers methods related to structuring, data collection and analysis as well as judging phases.
Guide to cost-benefit analysis of major projects (DG REGIO)	Big projects	Commission and Member States	Not addressed	Not addressed.	Detailed presentation given on financial, economic and multi-criteria analysis of big projects of various policy fields.
The new programming period 2000-2006: methodological working papers: the ex ante evaluation of the Structural Funds interventions (DG REGIO)	Expenditure programmes	Member States (including national, regional and local authorities).	Division of tasks between the Commission and national authorities explained.	Mandate for evaluation project, evaluation questions, internal/external evaluations and validation of evaluation report are all addressed.	Structuring phase (SWOT and intervention logic analyses) thoroughly explained.
The new programming period 2000-2006: methodological working papers: indicators for monitoring and evaluation (DG REGIO)	Expenditure programmes	Member States (including national, regional and local authorities).	Division of tasks between the Commission and national authorities explained.	Main focus on design and use of indicators as well as on key evaluation issues. Mandate for evaluation project is also addressed.	Structuring phase and data collection phase addressed.
The new programming period 2000-2006: methodological working papers: the mid-term evaluation of Structural Funds interventions (DG REGIO)	Expenditure programmes	Member States (including national, regional and local authorities).	Division of tasks between the Commission and national authorities explained.	The guide focuses on the process related to the mid-term evaluation. Accordingly, it addresses mandate and timing of mid-term evaluations, key evaluation questions, structure and validation of evaluation report, and external/internal evaluation.	Because of its orientation towards evaluation process, the guide does not address methodological techniques (MEANS collection is for this purpose).
The new programming period 2000-2006: methodological working papers: the mid-term evaluation of Structural Funds interventions- INTERREG III (DG REGIO)	Expenditure programme – Community Initiative INTERREG III	Member States (including national, regional and local authorities).	Division of tasks between the Commission and national authorities explained.	The guide focuses on the process related to the mid-term evaluation of Community Initiative INTERREG III. Accordingly, it addresses mandate and timing of mid-term evaluations, key evaluation questions, structure and validation of evaluation report, and external/internal evaluation.	Because of its orientation towards evaluation process, the guide does not address methodological techniques (MEANS collection is for this purpose).

<p>The new programming period 2000-2006: methodological working papers: the mid-term evaluation of Structural Funds interventions- URBAN (DG REGIO)</p>	<p>Expenditure programme – Community Initiative URBAN</p>	<p>Member States (including national, regional and local authorities).</p>	<p>Division of tasks between the Commission and national authorities explained.</p>	<p>The guide focuses on the process related to the mid-term evaluation of the Community Initiative URBAN. Accordingly, it addresses mandate and timing of mid-term evaluations, key evaluation questions, structure and validation of evaluation report, and external/internal evaluation.</p>	<p>Because of its orientation towards evaluation process, the guide does not address methodological techniques (MEANS collection is for this purpose).</p>
<p>The Update of the Mid Term Evaluation of Structural Fund Interventions (DG REGIO).</p>	<p>Expenditure programmes</p>	<p>Member States (including national, regional and local authorities).</p>	<p>Division of tasks between the Commission and national authorities explained.</p>	<p>The guide focuses on the process related to the mid-term evaluation. It specifies the minimum core content on the update of mid-term evaluation, which must be completed by 2005.</p>	<p>Because of its orientation towards evaluation process, the guide does not address methodological techniques (MEANS collection is for this purpose).</p>
<p>Impact Assessment in the Commission: Internal guidelines, a Handbook for Impact Assessment in the Commission, and Technical Annexes (SG).</p>	<p>All major legislative and non-legislative policy-defining proposals which appear in the Commission's work programme</p>	<p>Commission</p>	<p>Gives guidance on "who should do what" in the Impact Assessment process.</p>	<p>Mandate for Impact Assessment, key questions, possible use of steering groups and outside assistance are addressed.</p>	<p>Wide variety of techniques for assessing a public intervention is presented ("how to do an Impact Assessment").</p>
<p>Evaluation and SDT: a guide (DG DGT)</p>	<p>Activities of DG DGT</p>	<p>Commission</p>	<p>Information given on the evaluation function as part of the resources unit of DG DGT. Also, the possibilities for setting-up internal networks addressed.</p>	<p>Information provided on the internal/external evaluations, the use of steering groups, key evaluation questions and writing the terms of reference.</p>	<p>Not addressed.</p>