Indicators, Monitoring and Evaluation in ESIF Programme and Project Management

Interactive Workshop

21-22 March 2019 | Nice, France

This two-day workshop focuses on the following topics:

- Monitoring and Evaluation (M&E) Framework in this programming period and outlook into 2021-2027
- Consequences of Mid-term evaluation of 2018 and outlook into ex post evaluation
- Indicators: how to select, use and implement them
- Practical exercise on how to define indicators for a specific project/programme and which thresholds have to be met
- Monitoring: requirements, obligations, systems
- Collection, processing and assessment of data
- Best case describing monitoring process through the life cycle of a real life project
- Assignment of evaluation to external services
- Writing Terms of Reference and procurement of evaluation services
- Implementation of evaluation plan
- Process evaluation and impact evaluation (theory based vs. counterfactual evaluation)
- Audit of performance data - new responsibility of audit authorities
- Performance Audit – perspective from the European Court of Auditors

EXPERTS

Stanislaw Bienias
President of IDEA Institute Ltd. and former Head of the National Evaluation Unit of the Polish Ministry of Regional Development, Warsaw

Kurt Bungartz
Principal Auditor, European Court of Auditors, Luxembourg

Olga Guza
Senior Expert of EU Funds Audit Department, Ministry of Finance of the Republic of Latvia, Riga

Bernd Schuh
Member of the Board of Directors, Austrian Institute for Regional Studies and Spatial Planning (ÖIR), Vienna

Lars Wirbatz
Team Leader (Financial Instruments, Financial Control), Senate of Berlin - ERDF Managing Authority, Berlin
Overview

Monitoring and evaluation is an essential part of management and implementation of European Structural and Investment Funds. The European Union legislation in the programming period 2014-2020 puts a stronger emphasis on monitoring and evaluation than ever before. Join our interactive workshop on Indicators, Monitoring and Evaluation of ESIF Programmes and Projects and get knowledge about:

- Which obligations do involved authorities have regarding monitoring and evaluation during management and implementation of Operational Programmes and ESIF projects inside OPs?
- Which indicators exist, what are their role and implications for the project cycle?
- Which monitoring systems and IT systems exist in order to collect, process and assess data?
- Which data has to be assessed for the respective evaluation?
- Which evaluation activities can be conducted internally and which have to be outsourced?
- How to write terms of reference and procurement of evaluation services?
- How to manage and steer the work of external evaluation experts?
- What is the role of process and impact evaluation?
- What are the most appropriate evaluation methodologies and for which type of operations do they apply?
- How can beneficiaries reach targets and contribute to the collection of data?
- What are the reporting responsibilities of the beneficiaries?
- What should beneficiaries be aware of regarding the control and audit activities of Managing and Audit Authority?
- How can an Audit Authority include the auditing of indicators and performance in an Audit Strategy?

Methodology

The participants will be actively involved in the workshop. The sessions will combine presentations, case studies and discussion on practical problems. You will have ample opportunities to present your own problematic issues and discuss them with the speakers and participants from other Member States.

Just send to us your cases and questions in advance! We will forward them to our speakers, who will include your issues in the programme and answer them during the training. All information concerning such problems and cases will be treated confidentially.

Who should participate?

- Representatives from public authorities in charge of management, control, monitoring and evaluation of ESIF Funds, especially from:
  - Managing Authorities
  - Audit Authorities
  - Intermediate Bodies
  - Regional and local authorities
  - Court of Auditors
- External evaluators
- Beneficiaries of EU funded projects, i.e.: Private and public companies, associations, research institutes
- Bodies working in European Territorial Cooperation
- Public and private banks and other financial intermediaries
- International, national and local associations and networks
- Consultants and lawyers specialised on ESIF Funds

Why should you participate?

- Update your knowledge on Monitoring and Evaluation Framework in 2014-2020
- Learn about consequences of the Performance Framework Verification
- Exchange experience on selection, use and implementation of indicators
- Learn about monitoring requirements and obligations
- Receive expert advice on monitoring IT systems
- Discuss how to assign evaluation to external services
- Practice on writing Terms of Reference and procurement of evaluation services
- Update your knowledge on implementation of evaluation plan
- Learn about process evaluation and impact evaluation
- Practice on theory based and counterfactual evaluation
- Receive knowledge on the new responsibility of audit authority - audit of performance data
- Discuss Performance Audit together with the speaker form the European Court of Auditors
- Have a platform to exchange ideas and challenges within your organisation and receive practical advice on your individual questions
Programme Day 1

08:45  Registration & Welcome Coffee

09:00  Welcome note by Lexxion and Chair, Introduction Round

**Chair: Bernd Schuh,** Member of the Board of Directors, Austrian Institute for Regional Studies and Spatial Planning (ÖIR), Vienna

**Session I: Monitoring and Evaluation (M&E)**
**Framework in the Programming Period 2014-2020 and outlook into 2021-2027**

09:30  Monitoring and Evaluation (M&E) Framework

- Legal framework of M&E system in 2014-2020 and outlook into 2021-2027
- Role and significance of M&E for Operational Programmes
- Stakeholders involved and share of obligations
- Relevant terminology: input, activities, outputs, results, impact
- Consequences of Mid-term evaluation of 2018 and outlook into ex post evaluation

**Lars Wirbatz,** Team Leader (Financial Instruments, Financial Control), Senate of Berlin - ERDF Managing Authority, Berlin

10:15  Coffee Break

**Session II: Indicators**

10:45  Indicators - A Tool to Strengthen the Result Orientation

- The role and selection of indicators
- Which indicators exist and how to use them?
- Selection and implementation of result indicators
- Use of indicators for different levels of implementation: OPs to priority axes/single projects
- Measurement and verification of indicators

**Bernd Schuh,** Member of the Board of Directors, Austrian Institute for Regional Studies and Spatial Planning (ÖIR), Vienna

13:45  Practical Group Exercise

Practical group exercise on how to select and define indicators for a specific project/programme and which thresholds have to be met. Participants will work in groups. Each group will get a project or a programme axis and will define indicators for future evaluations.

**Bernd Schuh,** Member of the Board of Directors, Austrian Institute for Regional Studies and Spatial Planning (ÖIR), Vienna

14:30  Monitoring in Practice (incl. 30 minutes coffee break)

- Monitoring requirements and obligations
- Monitoring systems and IT systems
- Collection, processing and assessment of data (which data)
- Data collection tools
- Monitoring through life cycle of the project
- Measurement and verification of indicators

**Lars Wirbatz,** Team Leader (Financial Instruments, Financial Control), Senate of Berlin - ERDF Managing Authority, Berlin

16:30  Best Practice

Practical example on monitoring process through the life cycle of a specific project. Speaker will introduce a real-life project/programme axis and discuss with participants monitoring process through the whole life cycle of the project/programme axis: difficulties, challenges, obstacles.

**Lars Wirbatz,** Team Leader (Financial Instruments, Financial Control), Senate of Berlin - ERDF Managing Authority, Berlin

12:45  Lunch Break

17:00  End of Day 1
Session IV: Evaluation

08:00  Evaluation in Practice - Step-by-Step Perspective

- Which activities can be conducted inhouse and which external
- Contracting out and cooperation with independent external evaluators: What needs to be considered?
- Drafting Terms of Reference
- Use of evaluation results
- ESIF real-life ToR examples

How to Implement Evaluation Plan?

- The role of Evaluation Plan
- Which evaluation method apply for which type of operation?
- How to cope with difficulties?
- Examination of amendment of evaluation plan

Stanisław Bienias, President of IDEA Institute Ltd. and former Head of the National Evaluation Unit of the Polish Ministry of Regional Development, Warsaw

09:30  Coffee Break

10:00  Methodological Approaches in Evaluation of ESI Funds in 2014-2020 Programming Perspective

Theory based impact evaluation

- What is “theory” in theory based impact evaluation
- Foundations of causal inference in theory based impact evaluation
- Good practice examples

Counterfactual impact evaluation (CIE) – What is it?

- Random Control Trial as a “golden standard” for analysis of intervention effects
- Quasi experimental methods as a substitute of Random Control Trial
- Data requirements – precondition for counterfactual impact evaluation
- Good practice examples

11:30  Workshop

Writing Terms of Reference and Procurement of Evaluation Services in ESIF

- Use your new knowledge of methods and write your own Terms of Reference for ESIF evaluation
- Tips and tricks in procurement of evaluation services

Stanisław Bienias, President of IDEA Institute Ltd. and former Head of the National Evaluation Unit of the Polish Ministry of Regional Development, Warsaw

12:00  Lunch Break
Session V: Auditor’s Perspective to Monitoring and Evaluation

13:30  
Audit of Performance Data – New Responsibility of Audit Authorities

- System audits on performance data reliability
- Audits of operations with regard to indicators
- Verification of management declaration
- Audit opinion: formation and considering fulfilment of indicators
- Results of the first audits of performance data

Olga Guza, Senior Expert of EU Funds Audit Department, Ministry of Finance of the Republic of Latvia, Riga

14:15  
Performance Audit - Perspective from the European Court of Auditors (incl. coffee break)

Performance Audit

- Different types of audit: Financial, compliance and performance audits
- Performance audit concepts
- Performance audit approaches and methodologies; similarities and differences versus evaluation
- Typical findings from Performance audits in ESIF

Performance auditing in practice – a ‘real life’ performance audit

- Results from an audit in the energy policy sector

Kurt Bungartz, Principal Auditor, European Court of Auditors, Luxembourg

16:00  
End of the Workshop and Distribution of Certificates
Indicators, Monitoring and Evaluation in ESIF Programme and Project Management
21-22 March 2019 | Nice, France

Experts

Stanislaw Bienias
President of IDEA Institute Ltd. and former Head of the National Evaluation Unit of the Polish Ministry of Regional Development, Warsaw

Between 2004-2013 Stanislaw Bienias was a Head of the National Evaluation Unit in Polish Ministry of Regional Development. He was responsible for organizing the process of evaluation of Cohesion Policy and negotiation of regulations for 2014-2020 (evaluation, monitoring & indicators). Stanislaw was responsible for coordination of more than 50 evaluation units located on OP and intermediate body level. He took part in preparation of more than 100 evaluation researches. In the field of evaluation Stanislaw successfully cooperated with OECD, World Bank and UNDP. He was organizer and speaker on dozens of national and international conferences. Stanislaw was representing Poland on the DG Regio Evaluation Network and was one of the Polish experts in ESF Evaluation Partnership Meetings. He gives lectures concerning evaluation, monitoring and indicators in Warsaw School of Economics, Warsaw University and European Academy in Berlin. He is an author of numerous publications in the field of evaluation and public policies. Since 2013 Stanislaw has decided to continue his mission within non-for-profit organization Foundation IDEA for Development and he is a President of IDEA Institute Ltd. He has been a team leader or key expert in dozens of evaluation studies conducted in numerous EU and non-EU countries.

Kurt Bungartz
Principal Auditor, European Court of Auditors, Luxembourg

Kurt Bungartz (DE) He joined the European Court of Auditors in 1999 where he devoted the first ten years to conducting performance, compliance and financial audits of EU external action and development cooperation programmes – with a special focus on Central and Eastern Europe and the countries of the former Soviet Union, as well as Northern Africa and the Near East. Since 2009, he has been leading various performance audit tasks in the field of EU energy policy and expenditure programmes (mainly co-financed by the Cohesion policy and Structural Funds instruments, TransEuropean Networks, IFI financed programmes, and research programmes (Research Framework programmes and Horizon 2020). Prior to his time as a senior Auditor at the Court, Mr Bungartz commenced his EU career at the European Commission in 1995 and had, previously, worked for the German Ministry of Finance. Mr Bungartz has comprehensive knowledge of and experience with EU policies, procedures and institutions, notably in the area of the budget as well as in the policy areas of external action/development cooperation; cohesion and regional and structural and investment funds (including implementation in the Member States); energy and climate; transport, environment, research as well as customs and fiscal policies.

Olga Guza
Senior Expert of EU Funds Audit Department, Ministry of Finance of the Republic of Latvia, Riga

Olga is Senior Expert in the Audit Authority for ESF, ERDF, CF and other financial mechanisms. She has been working in the area of auditing EU Funds since 2003. She started as an internal auditor for auditing the EU pre-accession instruments and continued performing and managing system audits of the EU Funds. Her current responsibilities are related to the quality control for the Audit Authority’s work. She also is responsible for the management of EU Funds’ Technical Assistance project for the Audit Authority, including budget planning, management of the implementation of the Technical Assistance project, budget monitoring and participation in procurement procedures necessary for the implementation of the Technical Assistance project. In 2014 she also participated as an expert in a Twinning project with Croatia “Strengthening the competence of public internal auditors in the Republic of Croatia in auditing Cohesion and Structural Funds in line with the best EU practice”.

Bernd Schuh
Member of the Board of Directors, Austrian Institute for Regional Studies and Spatial Planning (ÖIR), Vienna

CV will be publish here soon.

Lars Wirbatz
Team Leader (Financial Instruments, Financial Control), Senate of Berlin - ERDF Managing Authority, Berlin

Lars Wirbatz currently works as Deputy Head of the ERDF Managing Authority in Berlin. He has an extensive track record in the management of ESIF operational programmes. He graduated in Economics and European Studies in Italy and Germany. Having worked at the European Commission in the Directorate General for Regional and Urban Policy as Programme Manager he managed ESIF interventions covering several programming periods including the negotiation and adoption of programmes for the 2014-2020 period. In this capacity he developed and approved evaluation and monitoring frameworks. Mr Wirbatz also further shaped his profile as an expert, author and speaker while working for PwC on mandates including the European institutions and national authorities. In his current position he is responsible for the management and control in the Managing Authority including the monitoring of several instruments, i.e. financial instruments.
Upcoming events

Interactive Forum on Management and Control of ESI Funds, including Anti-Fraud Game of Jo Kremers
4 - 5 April 2019 | Rome

Most of ESI Funds experts are well aware of the applicable rules and requirements. The real challenge today is the practical implementation of running programmes and projects. Our Interactive Forum, combining theoretical knowledge and practical experience, will enable you to participate in numerous practical workshops, case studies and discussion rounds and exchange your experience on the most challenging management and financial control issues.

Summer Course on Irregularities and Fraud in ESI Funds and Public Procurement
5-7 June 2019, Lake Como, Italy

During this Summer Course you will learn about differences between errors, irregularities and fraud, about common types of irregularities, about irregularities resulted from State aid, about simplified cost options and irregularities, and how to proceed with irregularities and financial corrections. The second day will be devoted to anti-fraud cycle and detecting and combating of fraud in management of ESI Funds. Irregularities and Fraud, resulted from Public Procurement will be the topic of the third day. Finally we will discuss remedial actions to be undertaken in order to prevent irregularities and fraud in any form.

Registration

Venue

Hotel will be announced here soon.

Participation fee

☐ YES, I would like to participate for the reduced fee for public authorities EUR 1.240,00 (excl. VAT).

☐ YES, I would like to participate for the regular fee of EUR 1.640,00 (excl. VAT).

French VAT of 20% will be added where applicable.

The participation fees include the workshop material, drinks and snacks during the breaks and lunch.

Newsletter subscription

☐ Please send me information about Structural and Investment Funds issues for free. I may unsubscribe from this service any time.

Cancellations

Cancellations should be made in writing per post or fax. Please note that the full fee will be charged for cancellations received after 6 March 2019. Nomination of a substitute remains possible. A cancellation arising by reason of too small a number of participants is effected no later than two weeks prior to the seminar. In this case the participation fee will be refunded. A requirement for reimbursement of travel and accommodation expenses as well as loss of working hours is not possible, unless such costs result from wantonly negligent or deliberate behaviour on the part of the organiser. For more detailed information, scope and conduct of contract as well as cancellation policy, please check the Terms & Conditions on our website.