



UNIUNEA EUROPEANĂ



Fondul Social European
POSDRU 2007-2013



Instrumente Structurale
2007-2013



MINISTERUL
EDUCAȚIEI ȘI
CERCETĂRII
ȘTIINȚIFICE

OIPOSDRU



ACADEMIA ROMÂNĂ

Investește în oameni!

FONDUL SOCIAL EUROPEAN

Programul Operațional Sectorial pentru Dezvoltarea Resurselor Umane 2007 – 2013

Axa prioritară nr.1 „Educația și formarea profesională în sprijinul creșterii economice și dezvoltării societății bazate pe cunoaștere”

Domeniul major de intervenție 1.5 “Programe doctorale și post-doctorale în sprijinul cercetării”

Titlul proiectului: “**Cultura română și modele culturale europene: cercetare, sincronizare, durabilitate**”

Beneficiar: **Academia Română**

Numărul de identificare al contractului: POSDRU/159/1.5/S/136077

Measuring indicators. Monitoring versus Evaluation of EU funded interventions

Research tutor:

Academician Florin Gheorghe FILIP

PhD candidate:

**Georgeta Angelica
VLĂDESCU**

This research was realised within the project „Romanian culture and European cultural models: research, synchronisation, sustainability“, co-financed by the European Union and Government of Romania from the European Social Fund through the Human Resources Development Sectorial Operational Programme 2007-2013, Contract no. POSDRU/159/1.5/S/136077

Bucharest, 2015

TABLE OF CONTENTS

INTRODUCTION	3
JUSTIFICATION AND PREMISES FOR THE RESEARCH.....	3
THE OBJECTIVE OF THE RESEARCH.....	4
SIGNIFICANCE OF THE RESEARCH.....	4
METHODOLOGY.....	4
CHAPTER 1	
AN OVERVIEW ON THE STAGES OF COHESION POLICY	6
1.1. THE PROCESS OF COHESION POLICY	6
1.2. MONITORING VERSUS EVALUATION.....	7
1.3. THE USE INDICATORS.....	9
CHAPTER 2	
THEORETICAL ASPECTS OF MONITORING AND EVALUATION IN THE EU FUNDED INTERVENTION	12
2.1. INTERVENTION LOGIC: THE FRAMEWORK FOR ORGANISING MONITORING AND EVALUATION	12
2.2. TYPES OF INDICATORS AND QUALITY CRITERIA	15
CHAPTER 3	
IDENTIFICATION AND SELECTION OF INDICATORS	20
3.1. IDENTIFICATION AND SELECTION OF INDICATORS IN PRACTICE	20
3.2. LITERATURE REVIEW	21
3.3. THE OPPORTUNITY TO DEVELOP A MECHANISM FOR IDENTIFICATION THE INDICATORS	24
CHAPTER 4	
IDENTIFICATION OF INDICATORS – A CONCEPTUAL APPROACH	26
4.1. THE CONCEPTUAL APPROACH OF INDICATORS SELECTION	26
4.2. THE CONCEPTUAL APPROACH – IMPLEMENTATION STAGES	28
4.3.1. <i>Development of causal chain</i>	28
4.3.2. <i>Identification and selection of indicators</i>	30
4.3.3. <i>Testing the conceptual approach: a pilot exercise</i>	31
CONCLUSIONS AND FURTHER DEVELOPMENTS	36
CONCLUSIONS	36
FURTHER DEVELOPMENTS	37
LIST OF BIBLIOGRAPHICAL REFERENCES	39

Abstract

The EU funded interventions ensure the translation of cohesion policy - that counts for the highest share of the Union European budget – into various specific domains in the national context. Over the time the cohesion policy was criticised for its lack of effectiveness, a topic that provided a solid argument to put into discussion the future of this policy.

One of the answers presented by the European Commission to such challenge was to design and develop a complex system for monitoring and evaluation that has to motivate the orientation towards results, not only to absorption European funds.

In this respect, the methodological guidelines for the preparation of the new 2014-2020 financial exercise reformed the currently practice, characterised as „input driven”, introducing an approach directed to results, which promoted and enforced the role of result indicators as an important tool for the management of EU funded interventions.

Furthermore, during the 2007-2013 programming period, a serious challenge in the process of preparation of EU funded interventions, and later in monitoring and evaluation, was posed by the availability of necessary data and the use of relevant indicators.

In this context, the proposed subject for the research deals with the previous phase to the provision of necessary data, by answering in a structured manner to the question “what should be observed/ what should be measured in order to determine if and objective was achieved and to what extent was achieved?” Given the fact that in Romania lacks a systematic mechanism for orientation in the selection of indicators and that there is a need to explore those possibilities that allow the utilisation of appropriate indicators in monitoring and evaluation of EU funded interventions.

Acknowledging the importance in using the indicators for the EU funded interventions, the present research could be considered a tentative answer to the requirements derived from the reform of the cohesion policy of the European Union that intends to give orientation which could later conduct to measures for improvements in the availability and quality of the information needed at various levels.

Considering the theme for the present research, the work is divided in five chapters.

The first chapter describes the process of the cohesion policy, where originate the EU funded interventions and continue with the clarification of the two concepts, monitoring and evaluation, as well as the introduction of indicators and their role.

The second chapter examines the need for monitoring and evaluation in the context of EU funded interventions and presents the new logic of intervention proposed for the 2014-2020

programming period as an improved mechanism to capture the effects of EU funded interventions.

The third chapter brings arguments for the development of a new conceptual approach as a basis for the selection of indicators, taking into account the fact that the answer to the question „what should we measure?” it depends on expectations and understanding from the stakeholders as regard the scope of information provided by indicators.

In the fourth chapter is presented the contribution of this research, the design of a conceptual approach as a general view, and that has the property to be further replicated to specific domains, by adapting known models for the identification of indicators and applying a systematic thinking.

As a starting point in designing the conceptual approach it was applied the classical structure of sequences of causality that were introduced by the model DSR (Driving force, State, Response) presented in the third chapter, and to which was added a new sequence that relates to “results”. The conceptual approach that was proposed bring the relationship “cause and effect” between indicators.

Once the conceptual approach and the identification of indicators were described, further feasibility test of the proposed model is illustrated for two specific domains: „Education” and „Health”, in the context of the 2014-2020 programming period which aims the financing of intervention from 11 thematic objectives set at European level with the view to contribute European Union Strategy (Europe 2020) for smart, sustainable and inclusive growth.

Conclusions and further developments

The increasing demand for evidences in the implementation of the development policies of European Union (evidence-based policies) emphasised the need for new and more complex information, that could support in a timely manner the planning, monitoring and evaluation of EU funded interventions in the Member States and, in the same time, to facilitate the comparative analysis at European, national and regional level.

The indicators represent an important tool that could assure the information required or the „evidences” for development of policies in various domains.

The difference between using a conceptual framework and the subjective selection of indicators consist in the determination of sequences of causality that these should represent, the relationships between elements contained by these sequences that justify the selection of indicators.

The identification and selection of indicators calls for efforts national coordinated, and the specific domains for which are requested indicators has to be translated into future actions as individual researches.