The role on context indicators in RD programming and evaluation

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Presentation Outline

1. What are context indicators?

2. When and for what purpose are they used in RD programming?

3. Programming in the EU context – the big picture

4. The programming logic and the EU context

5. Programming and the use of indicators:
    –   Step 1: How to structure the analysis of the current situation?
    –   Step 2: How to come from needs assessment to the strategy?
    –   Step 3: How to do the SWOT?
    –   Step 4: How to make the ranking in the need assessment?
    –   Step 5: Intervention logic hierarchy of objectives
    –   Step 6: How to set up the M&E system?

6. Where and why to use context indicators in RD programming and evaluation?
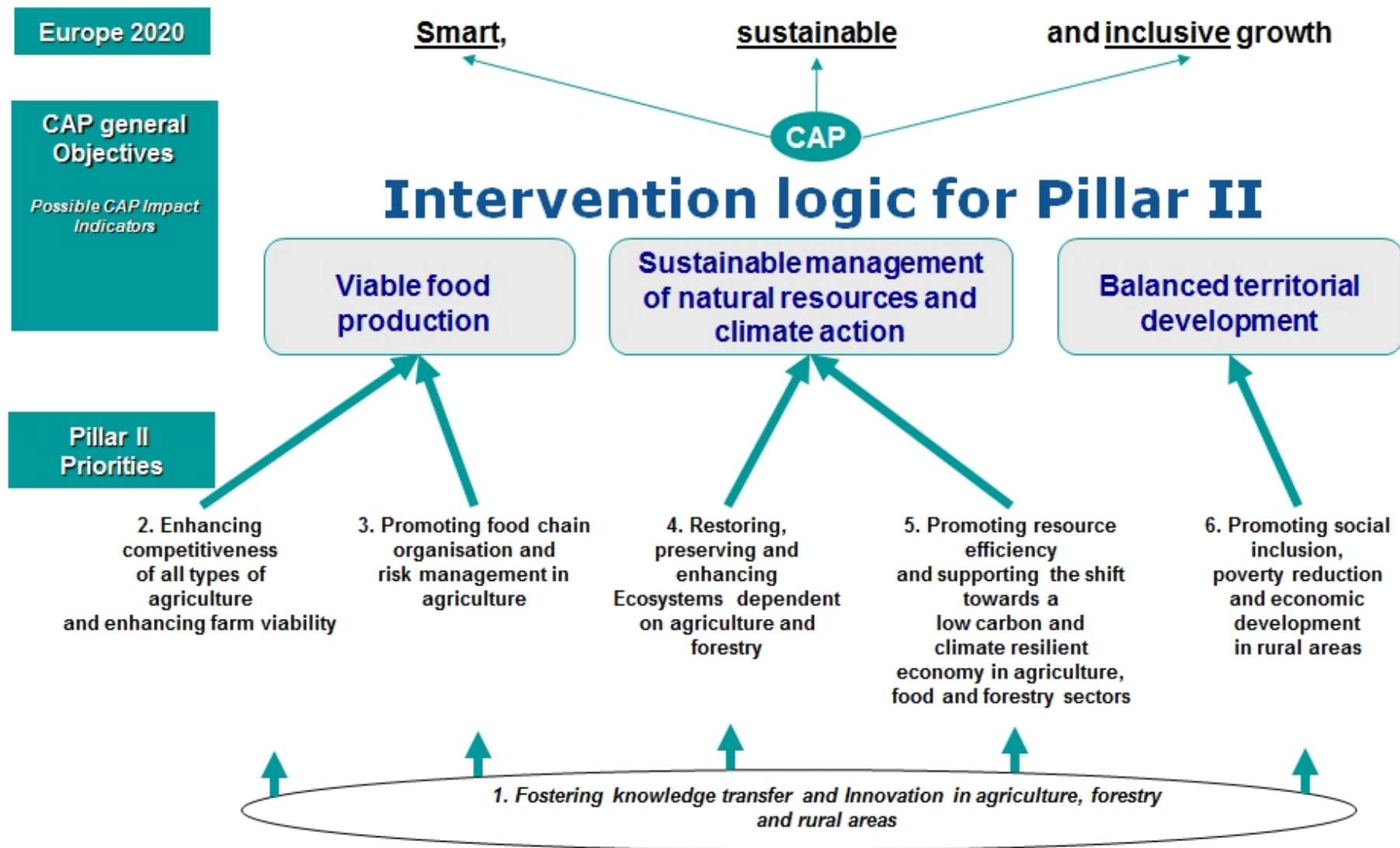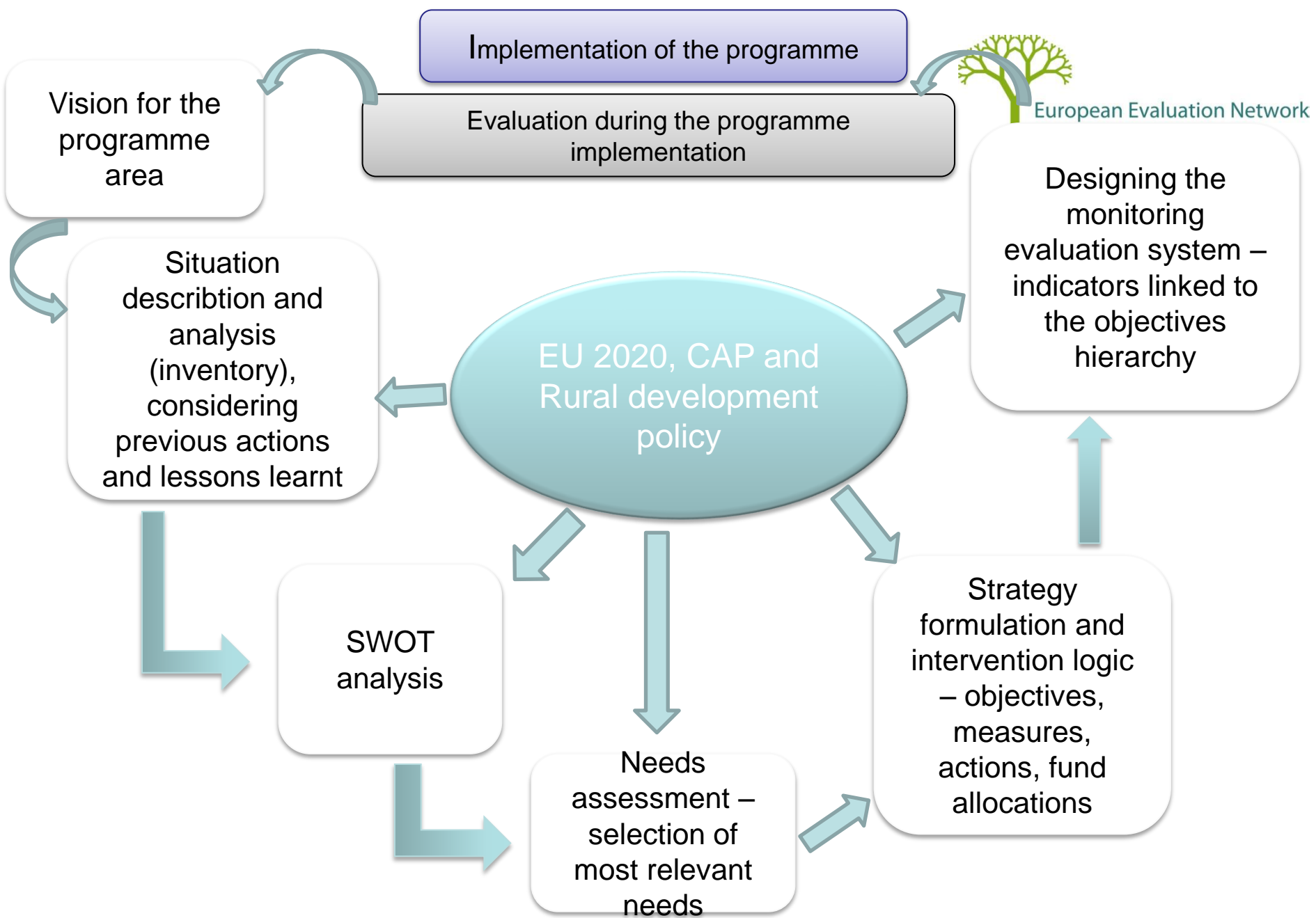
WHAT are context indicators?

1. Context indicators reflect the state of the economic, social and environmental situation in a given territory at a given time

2. Context indicators provide information on relevant aspects of the general contextual trends that are likely to have an influence on the performance of the programme

3. The context indicators therefore serve two purposes:
   - Contributing to identification of strengths and weaknesses within the region
   - Helping to interpret impacts achieved within the programme in light of the general economic, social, structural or environmental trends.

WHEN are context indicators used and for what purpose?

1. During programming preparing the programme baseline for the analysis of the current situation and SWOT
2. During the ranking of problems and needs
3. During the process of identification and selection of the relevant strategy
4. During the ex ante evaluation of the analysis of the current situation, SWOT and intervention logic and of the evaluation of the expected results and impacts
5. During implementation as part of monitoring progress
6. During midterm, ex post and on-going evaluations of the evaluation of the achieved results and impacts

Programming in the big picture!

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CAP general Objectives

Possible CAP Impact Indicators

Pillar II Priorities

Smart,   sustainable   and inclusive growth

CAP

Intervention logic for Pillar II

Viable food production

Sustainable management of natural resources and climate action

Balanced territorial development

2. Enhancing competitiveness of all types of agriculture and enhancing farm viability

3. Promoting food chain organisation and risk management in agriculture

4. Restoring, preserving and enhancing Ecosystems dependent on agriculture and forestry

5. Promoting resource efficiency and supporting the shift towards a low carbon and climate resilient economy in agriculture, food and forestry sectors

6. Promoting social inclusion, poverty reduction and economic development in rural areas

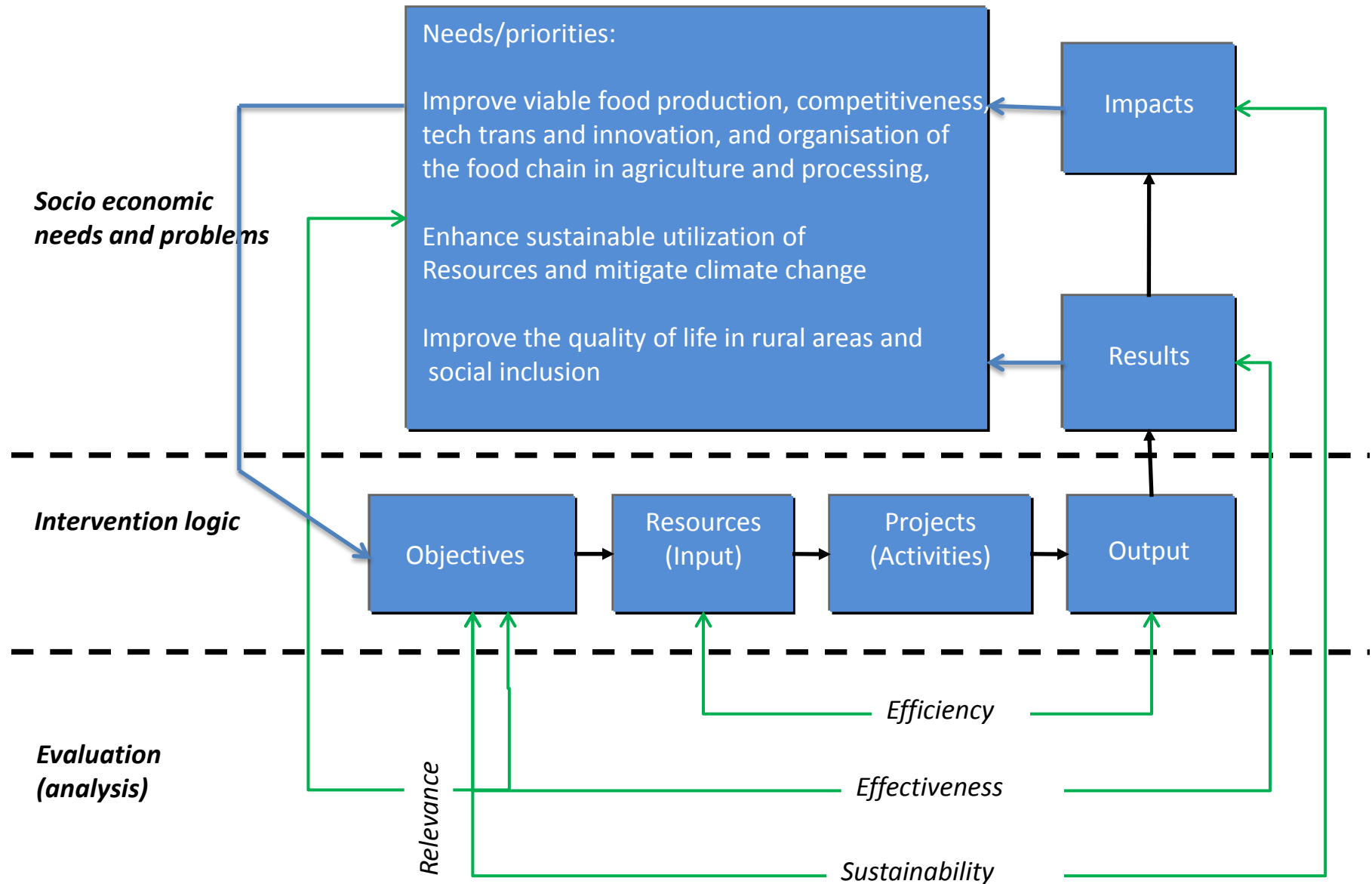*1. Fostering knowledge transfer and Innovation in agriculture, forestry and rural areas*

RDP and the big picture: Make sure that.....

1. The **analysis of the current situation** reflects national characteristics AND the EU vision and priorities, which will influence the selection and composition of the context indicators!

2. **The SWOT** takes into consideration national characteristics AND the EU vision and priorities as well;

3. **The selection of the most relevant and urgent needs** takes as point of departure national characteristics AND also is linked to the EU policies;

4. And finally the **intervention logic** reflects the EU vision and priorities

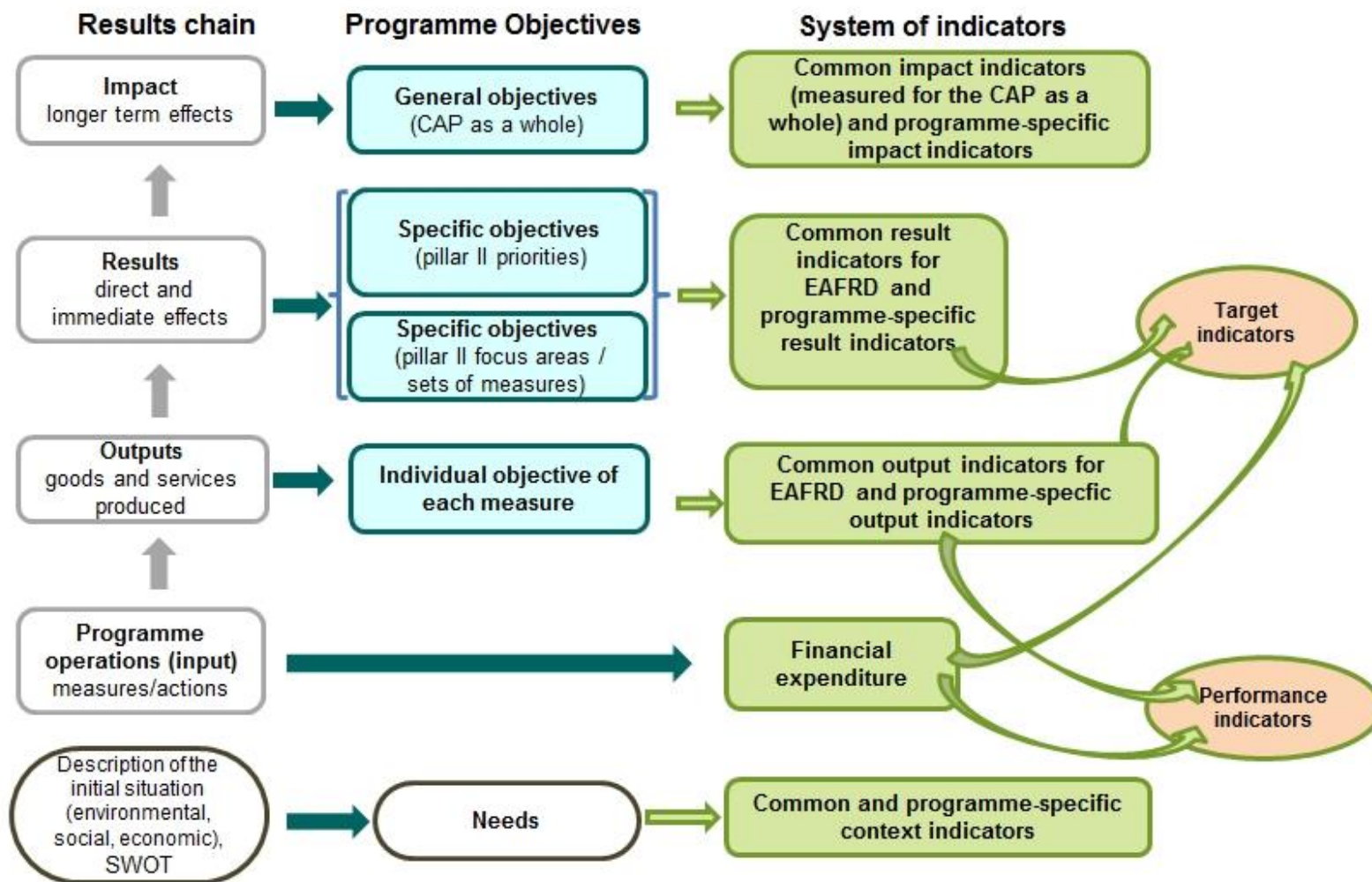5. The **intervention logic** is reflected by the monitoring and evaluation framework

Make sure that you follow the programming logic

1. MA and stakeholders wish the **change (vision)** based on the actual situation in which the area is at the given moment of time.
2. The analysis of the current situation in the area in which the programme will be implemented using area related context indicators
3. Sorting out of the analysis of the current situation through the analysis of S-W-O-T (using again context indicators),
4. Identifying most relevant needs and problems justified from the analysis of the current situation and SWOT to be addressed with interventions
5. Intervention logic linked to needs justified by description of the situation and SWOT and composed of what politically is decided to be achieved (objectives and expected effects), how we do it (measures and actions) and for what price (allocation of funds)
6. Setting up monitoring and evaluation framework with indicators, including the context indicators to be used in assessing of impacts (their baseline and target values, if possible and also evaluation questions)

Intervention logic and M&E: The backbone of the programme

Socio economic needs and problems

Needs/priorities:

Improve viable food production, competitiveness, tech trans and innovation, and organisation of the food chain in agriculture and processing,

Enhance sustainable utilization of Resources and mitigate climate change

Improve the quality of life in rural areas and social inclusion

Impacts

Results

Intervention logic

Objectives → Resources (Input) → Projects (Activities) → Output

Evaluation (analysis)

Relevance

Efficiency

Effectiveness

Sustainability

Programming, intervention logic and the use of indicators

Step 1: How to structure the analysis of the current situation and the sub-steps to take? (1)

1. Use *general context indicators* to describe and analyse the general background information

2. Use *economic and environmental context indicators* to an overall economic and environmental context analysis

3. Use *context indicators related to and illustrating* RD priorities

4. Supplement with *national context indicators*, where needed and relevant

5. Follow a value chain approach for the main sectors (priority 2 and 3)

6. Use a resource based and thematic approach for environment, nature and climate change (priority 4 and 5)

7. Use a value chain approach for main economic activities and a thematic approach for services, infra structure and quality of life (priority 6) + LEADER

8. Use an innovation system approach as a horizontal and cross cutting intervention for priority 1 and use related indicators

Step 1: How to structure the analysis of the current situation and the sub-steps to take? (2)

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- Focus on *RD priorities*, one by one, and define your objectives for each priority.

- Start with priority 2: Competitiveness and viable farms

- Continue with priority 3, 4 + 5 and 6 and

- Close with priority 1 as horizontal objective

Step 2: How do we come to the strategy?

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- The vision helps us frame, what to achieve, where we see the sectors and the rural areas in a given period of time

- The SWOT gives us a number of strategies to select among and to choose from!

Step 3: SWOT (1)

- Definition: What is the SWOT?
  - ✓ A tool to structure the analysis of the complexity in the relevant area in order to
  - ✓ Identify a number of possible strategies and
  - ✓ Select a feasible strategy for the interventions in the area

- How to structure the SWOT?
  - ✓ One aggregated SWOT for all overall objectives?
  - ✓ One for each of the 3 overall objectives?
  - ✓ One for each of the 6 priorities?
  - ✓ One for each of the main economic sectors?
  - ✓ **Present ONE overall SWOT in the programme, but base it, if relevant on SWOTS on lower levels**

Step 3: SWOT (2)

- How to select the topics to be included in the SWOT?
  - ✓ Use the overall objectives of the RD policy
  - ✓ Use the vision as a guiding post
  - ✓ Use stakeholder involvement, for example in workshops contributing to ownership, realism, participation and commitment

- The outcome and utility of the SWOT is to a large extent depending on the input (data input, consistency in the use of data, commitment in the use of human resources in doing the SWOT exercise.

Step 4: How to make the ranking of disparities and problems in our need assessment?

Use economic ranking criteria
- ✓ Past and present weight in the economy of the sector/sub-sector/product
- ✓ Future (estimated) weight in the economy of the sector/sub-sector/product
- ✓ Estimate the investment needs for the sector/sub-sector (public and private) to surpass the competitiveness threshold

Add on top also political criteria, if relevant (Yes, it is!)
- ✓ Balanced territorial development
- ✓ Social inclusion
- ✓ Subsistence and semi-subsistence farmers
- ✓ Environmental and nature considerations
- ✓ Other concerns

Step 5: Intervention logic

1. Select the strategy, which you find will fulfil the vision the best

2. Decide on the overall intervention logic and the hierarchy of objectives

3. Select the focus areas, actions, measures and other interventions expected to contribute to the objectives in the most efficient way

4. Allocate the funds

5. Set-up and make operational the implementing structure, including controls

Step 6: Set up the M&E system

- Context indicators shall reflect the characteristics of the rural areas, which we wish to improve!

- As a consequence, the main impact indicators are often included in the list of context indicators

- Programme specific indicators may also be used as impact and result indicators

- Operational indicators are linked to/identical with output indicators

- Organize the on-going data collection to monitor the progress of programme implementation and fulfilment of objectives

Ex ante evaluation and indicators

- Are the baselines for the context indicators prepared, values, complete and correct?

- Are the defined objectives appropriately described and measured with indicators?

- Are the quantified targets and the expected output, results and impacts well prepared and justified?

- Are the defined quantified targets realistic for each level of objectives: Operational, specific and overall objectives?

- Are the resources allocated for each measure and priority appropriate?

- Is data collection in place for monitoring ad evaluation of changes made in context indicator values?

Summary overview: Where to use the context indicators and why?

	Situation analysis / SWOT	Assess needs	Develop RDP Strategy	Design M&E System	On-going evaluation (ex ante)	Implement RDP	On-going evaluation (impacts)
What is done?	Analysis of the RDP territory	Selection of most relevant needs	Check of visions, set-up of intervention logic	Link indicators to the hierarchy of objectives	Assess the SWOT, Need Assessment intervention logic, M&E	Implement measures and actions, monitor progress	Assess the results and impacts against
Role of context indicators	Informing and documenting	Justifying priorities	Justifying strategy selection	Documenting and justifying	Validating	Monitoring progress	Measuring impacts, comparing
Use of context indicators	Quantify indicator values Use as baseline for analysis	Use as justification for ranking of needs	Use as justification for strategy selection and resource allocation	Assess data sources for context indicators	Assess correct use of context indicators in analysis of current situation and in SWOT	Update indicator values	Update indicator values, Net out impacts against baseline values of context indicators

Thank you for your attention!

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