

PHARE INTERIM EVALUATION GUIDE

PART II

Annotated Report Template Country Summary

Issued by: Aid Coordination Unit

May 2005

PART II of the IE Guide has been prepared to assist the Evaluator in writing the Interim Evaluation Report and Country Summary. It provides Evaluators with an annotated template describing what the format and style of each section of these documents should look like.

Interim Evaluation No. A/CC/SSS/YYNNN

Contractor's logo

A	Interim Evaluation Report
CC	Country code
SSS	Sector code of the Sectoral Monitoring Sub-Committee as defined by the Commission Services
YY	Year
NNN	Progressive report number

Acronyms and name of activity/programme

**Interim Evaluation of the
European Union
Pre-Accession Instrument
Phare**

Country:

Sector:

Programmes covered:

Author:

Date:



This report has been prepared as a result of an independent evaluation by XYZ being contracted under the PHARE programme.

The views expressed are those of XYZ and do not necessarily reflect those of the Government Office of the Slovak Republic.

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ABSTRACT

The Abstract of the Interim Evaluation Report is max. 2 pages (1 text page + the one-page sector fiche).

- **Evaluation description**
Name of sector and its programme components/cluster of projects with a description of the key achievements
- **Main findings**
In accordance with the five evaluation criteria
- **Recommendations**
- **Sector fiche (attached for external use)**

NO RATING TO BE INCLUDED IN THE ABSTRACT

TABLE OF CONTENTS

Insert Table of Contents

PREFACE

(Standard text inside front cover)

This Interim Evaluation Report covers Phare assistance to the [*sector name*] sector in [*country name*] under [*programme/component codes and titles*].

This Interim Evaluation Report has been prepared by [*contractor name*]¹ during the period from [*month/year*] to [*month/year*] and reflects the situation at [*date*], the cut-off date for the Report. The factual basis is provided by the Monitoring Report M/CC/SSS/YYNNN prepared by [*implementation authority*] covering the period from [*month/year*] to [*date*] and issued on [*date*]. Other findings are based on analysis of the Financing Memoranda, formal Programme documentation, interviews with the main parties and published material.

The Interim Evaluation Report examines the progress of the programmes towards the objectives stated in the formal programming documents, i.e. Financing Memoranda, Project Fiches, etc. The report is intended to provide management information for the benefit of the Joint Monitoring Committee (JMC) and other involved parties. It draws conclusions and puts forward Recommendations. It provides a general assessment of programmes or components under consideration and included in the corresponding Sectoral Monitoring Report.

Where possible, the Evaluators have integrated the comments received into the report. Dissenting views are in Annex 6.

¹ [*Evaluator(s) name(s) at Country Team and Central Office levels*]

GLOSSARY OF ACRONYMS

Acronym	Description
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...	...
...	...

All acronyms, both general and specific, appearing throughout the Report should be listed in alphabetical order. It is important that every single acronym used is included in this list. In the report itself, the full term should only be used the first time followed by its acronym in brackets, unless a particular emphasis is desired.

SECTOR SHEET

(Sector abbrev).	Title	
Number	Programme/ project title	Implementing authority

Description of the objectives of the PHARE measures in this sector/cluster and its relation to the government strategy in this sector

Financial and Contractual Data of the Sector

Programme Number	Programme Title	Expiry Date for contracting	Expiry Date for disbursement	Allocation (in MEUR)	
				Phare	Co- financing
...	Component 1				
	Project 1.1				
	Project 1.n				
...	Component 2				
	Project 2.1				
	Action 2.n				
...	Component n				
	Total				

Source: Desiree dated ...

Financial Performance of the Sector

		Allocation (in Mio €)		1. Monitoring report cut off date				2 nd Monitoring report cut off date				current Monitoring report cut off date				Expected performance at next cut off date				Expiry Date ²
		Phare	Co finance	Phare		Co finance		Phare		Co finance		Phare		Co finance		Phare		Co- finance		
				%	%	%	%	%	%	%	%	%	%	%	%					
Component Number ³	Start Date ⁴	Mio €	Mio €	com	dis	com	dis	com	dis	com	dis	com	dis	com	dis	com	dis	com	dis	
Total				5	6	7	8													

Source: Desiree dated ...

² last day for disbursement³ Identical with numbers in sector description tables⁴ date of first commitment⁵ = total of committed PHARE funds for this sector divided by total allocated PHARE funds in %⁶ = total of disbursed PHARE funds for this sector divided by total allocated PHARE funds in %⁷ = total of committed funds from co-financing sources for this sector divided by total allocated funds from co-financing sources in %⁸ = total of disbursed funds from co-financing sources for this sector divided by total allocated funds from co-financing sources in %

EXECUTIVE SUMMARY

(free-standing document for internal use by stakeholders)

[country name] - [sector name]

Monitoring Report: M/CC/SSS/YYNNN issued on [date]

Interim Evaluation Report: A/CC/SSS/YYNNN

This Executive Summary covers Phare assistance under the following programmes/components [*programme/component codes and titles*]:

- **Scope and Objectives**
- **Evaluation Results**
(with a summary table for the evaluation criteria)
- **Conclusions and Recommendations**
(with a summary table for the evaluation criteria)
- **"Early warning" box with very urgent recommendations (if and when necessary)**
- **Monitoring sector follow-up table (for JMCs/SMSCs, if and when necessary)**
- **Sector Fiche (attached)**

The Internal Executive Summary must be a crisp, short (not more than 5 pages excluding the Sector Fiche) and to-the-point synthesis. It should:

- focus mainly on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons learned and specific recommendations;
- in relation to the recommendations, highlight, in an "early warning" section, any extremely urgent recommendations that need attention at short notice (the inclusion of such a section is at the evaluator's discretion);
- where appropriate, refer to any monitoring sector follow-up table accompanying the Report;
- refer, as required, to the need for an additional In-Depth Report (see Attachment II to IEguide part 3);
- be accompanied by a Sector Fiche, attached as an appendix, that contains a description of the components under review and can include tables, graphs, etc. in a fact-sheet format covering all the component's data (aims, duration, allocated budget, etc.);
- be translated into the official language or languages of the Candidate Country.

MAIN REPORT

1. SECTORAL BACKGROUND AND SCOPE OF EVALUATION

Sectoral Background

Link to FMs, AP; sectoral objectives

Scope of Evaluation

Link the components with the sectoral objectives and describe then each in the following structure

component 1 acronym and title of Component 1

C1.1 Performance of Activities

C1.2 Corrective Actions already undertaken for each component

C1.3 Anticipated actions for the next interim evaluation

C1.4 Fact-sheet (tabular form)

component 2

C2.1 Performance of Activities

C2.2 Corrective Actions already undertaken for each component

C2.3 Anticipated actions for the next interim evaluation

C2.4 Fact-sheet (tabular form)

component 3

etc

The purpose of this chapter is to summarise the effects achieved for each component and to evaluate each corrective management action undertaken or to be undertaken. The evaluation should be based on the factual information provided in the Sectoral Monitoring Report, as verified by the evaluators.

The chapter should contain:

- Brief summary of the aims, activities and outputs for each component;
- Brief description of the effects of these activities and outputs;
- Corrective actions already undertaken for each component;
- Anticipated actions for each component for the next interim evaluation reporting period.

Chapter 1 on Sectoral Background and Evaluation Scope should not exceed 2 text pages. Should any additional sectoral background exceed these two pages, then it is required to have it appear in the Annexes (see Annex 7 to the IE Report).

Example

Component 1 (and successive components):

- Activities and Outputs (text): brief summary of the activities and outputs related to the assistance provided under the component at the cut-off date of the interim evaluation. The presentation should focus on the stage of implementation reached, any significant delays encountered, deviations from the Decentralised Implementation System (DIS) and scheduled duration of activities. Any information not included in the Sectoral Monitoring Report on implementation of these activities should be introduced in these paragraphs;
- Effects (text): effects achieved by the activities of the component at the cut-off date of the interim evaluation. Where there are several clusters of activities within a component, a paragraph or bullet point should cover each cluster of activities. This information will be based only upon factual elements supported by the content of “Activities and Outputs” above;
- Corrective actions already undertaken for each component (only to be covered when Monitoring Reports actually provide enough material for meaningful corrective actions (text);
- Anticipated actions for this component for the next interim evaluation reporting period (plus dates) (text);
- Fact-sheet in tabular form.

Remark

- The fact-sheet of Chapter 1 may be as long and detailed as the evaluator thinks necessary. However, if it exceeds two pages, it will appear in the Report’s Annex 7 (see pp.7-8), to be created to this effect.

2. EVALUATION RESULTS

2.1. Relevance

Whether the design of the project was originally, and still is, sound as regards targeting the real needs and problems of the chosen beneficiaries;

2.2. Efficiency

Whether the same results could have been achieved at lower costs; or whether there might have been different, more appropriate ways of achieving the same results;

2.3. Effectiveness

Whether the objectives have been achieved and the planned benefits were in fact delivered, whether the beneficiaries' behavioural patterns changed, whether neglect of cross-cutting issues affected the achievement of the project's purpose;

2.4. Impact

The wider outcomes for a larger group of persons or for society as a whole; the successes and failures in achieving the wider objectives, and the main causes of this;

2.5. Sustainability

Whether the flow of benefits to the beneficiaries, and to society generally, is likely to continue or not, and why

2.6. Specific issues

Covering anything that has not been covered by the five evaluation criteria but needs to be addressed in the Interim Evaluation Report.

More details of the five evaluation criteria and their linkage to the key logframe elements are described in the IE Guide.

3. CONCLUSIONS AND RECOMMENDATIONS

3.1. Conclusions and Recommendations

These should be the subject of a separate final chapter. Wherever possible, for each conclusion, there should be a corresponding recommendation.

The key points of the **conclusions** will vary in nature, but will often cover aspects of the key evaluation criteria.

Recommendations should be carefully targeted to the appropriate audiences at all levels. To ensure that recommendations put forward are achievable and compatible with the framework and environment within which the project or programme is being implemented, they should be checked by the stakeholders involved in programme management and implementation before the report is finalised. This dialogue is not intended to compromise the independence of the advice given, but rather aims to ensure its practical application.

The ultimate value of an evaluation depends on the quality and credibility of the recommendations offered. Recommendations should therefore be as realistic and pragmatic as possible.

Recommendations should be presented in tabular format reflecting the following parameters: sectoral issue, recommendation/action, output, reference number of each recommendation's justification, name/title of addressee and deadline for implementation.

Recommendations from the previous evaluation reports that are still valid should be added separately.

3.2. Performance rating

The performance rating should be issued in two steps:

First give a numerical rating for each component of the sector and for the overall sector for each of the five evaluation criteria on a scale from -2 to +2 (for more, see IE Guide, Part I).

On the basis of his own judgement, the Evaluator will issue an overall rating of the sector and its components.

ANNEXES

Annexes 1, 2, 3 and their specified contents are mandatory. Additional information or expansion on issues mentioned in the Report should be covered in separate annexes (4, 5, 6 + 7).

ANNEX 1
INDICATORS OF ACHIEVEMENT
of
Sector Objectives
and
EVALUATION CRITERIA

Indicators of Achievement of Programme Objectives

This Annex contains details on the indicators of achievement relevant to the immediate objectives selected for each priority addressed by the programmes. Remarks should refer to the validity of the indicator and its quantifiability and applicability.

Indicators and their relation to the evaluation criteria: the linkage between the indicators of achievement and the evaluation criteria must be established.

ANNEX 2
LIST OF INTERVIEWS

INSTITUTION (incl. location, national or regional)	INTERVIEWEE (name & function)	DATE (DD/MM/YY)
<i>[name in bold]</i>
<i>Telephone interviews should be indicated with * and e-mail/fax correspondence with **</i>		
<i>Where an interview should have taken place but did not provide a justification like refused/unavailable</i>		

ANNEX 3
LIST OF Documents Referred to in the INTERIM EVALUATION

Name of Originator	Date	Title of Document
...

Documents requested but not made available (with reasons):

...

ANNEX 4
NATIONAL PROGRAMME FOR THE ADOPTION OF THE *ACQUIS Communautaire* (NPPA)

(only if necessary)

[title]
...

The main points related to the sector in the NPAA should be condensed in this table that includes:

- “*Acquis Communautaire*”, legal act
- priority action code
- activity/measure
- implementation: responsible body, date, cost estimate

ANNEX 5
Recommendations FROM previous ASSESSMENT / Interim Evaluation AND follow-up

Assessment / Interim Evaluation Report No.[*code*] on [*sector name*] issued [*date*]

Programmes/Components evaluated: [*programme/component codes*]

Recommendation	Applied	Responsibility for Follow-up	Deadline	Remarks
[<i>para.and full text</i>]	[<i>Yes/No</i>]	[<i>name</i>]	[<i>date</i>]	...
...

The Follow-up Table approved by all parties involved in the previous Interim Evaluation should include the full text of each recommendation with the description of the remedial action taken (who, when, how). Remarks should contain comments on any differences noted between actions agreed in the previous Interim Evaluation and actions actually taken during the period under consideration.

ANNEX 6 DISSENTING VIEWS

Comments from [*name of commenting party*]

[*para number*] : [*full comment*]

Any views expressed by one of the Stakeholders that do not coincide or is completely irreconcilable with those of the evaluators and are not substantiated or justified, will not be absorbed into the report but will be appended. Reference to this annex should be made in the Preface.

Should only be mentioned those dissenting views which deviate from the substance of the reports findings or positions. This Annex should therefore be reduced to the essential, i.e., to those dissenting opinions that could likely have a strongly negative impact or influence on future implementation, on project follow-up and/or the next evaluation results.

Ideally, each Report should normally contain max. 4 to 5 Dissenting Views, if any at all, the actual goal being to have no single dissenting view. This means that Dissenting Views on editorials, style or irrelevant facts should not be included.

To facilitate reading, Dissenting Views will be presented in tabular format, including a column with the Evaluator's response.

ANNEX 7
ANNEX TO CHAPTER 1
(Sectoral Background and Evaluation Scope)

(ONLY IF NECESSARY)

The reason for this Annex is that Chapter 1 contains all necessary information in a compact form so that this annex is not necessary.

Interim Evaluation Report Template

Country Summary

Country Summary

Contractor's logo

Interim Evaluation of the
European Union Phare
Programme

Country:

Sectors addressed:
(include list of sectors)

Programmes covered:
2002
2003

Author:
Reporting period
..// To .././.....

This Report has been prepared through funding provided by the Commission of the European Union. The views expressed herein are those of the XYZ and do not necessarily any official view of the Office of Government of the SR.



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PHARE SUMMARY SHEET

[country name]

This Interim Evaluation *Country* Summary covers Phare assistance under the following programmes/ [programme codes and titles] :

Programmes	Start Date	Expiry Date	Allocation*		Committed %		Disbursed %	
			PHARE	Co-fin	PHARE	Co-fin	PHARE	Co-fin
[code and title]						
						
Total								

In MEUR, source: ... dated ...

*Interests accrued included / excluded

The components of these annual programmes were set out in the financial memoranda of [N-3], [N-2] {possibly [N-1] if already contracts were concluded [N= current year]}. They were assembled in [n] monitoring sectors as indicated in the sectoral overview.

INTERIM EVALUATION COUNTRY SUMMARY FOR [COUNTRY]

This summary should by way of a synthesis provide the reader in a consolidated way with the important findings of the evaluation exercise on the overall PHARE programmes (for the currently active years) in the country.

It will be presented as follows:

- a tightly-drafted, to-the-point document and free-standing summary. It should be short, no more than five pages;
- focus mainly on the key purpose or issues of the evaluation, outline the main analytical points, and clearly indicate the main conclusions, lessons learned and specific recommendations. Thus the Country Summary must neither be a descriptive document, nor a summary “per se” of the IER, but rather a synthesis;
- in connection with this, an “early warning” framework box may be added to reflect on the main issues to raise and/or very urgent recommendations to observe within short notice; this addition will be at the evaluator’s discretion (flexibility);
- when appropriate, a JMC decision follow-up table should be included in the Annex
- The following rating has been given to the different sectors of the Phare National Programme

	S1	S2	...	Sn
Relevance				
Efficiency				
Effectiveness				
Impact				
Sustainability				
Taking into account the contextual constraints on the evaluation, the overall performance of the sectors is rated as				
Verbal overall rating				

[Remark to the author: S1 to Sn are the monitoring sectors and here the results of the IE about these sectors should be copied)

SECTORAL OVERVIEW

MONITORING SECTOR 1: [Title] [Name of SMSC monitoring the sector]

[Usually a monitoring sector is covered by one SMSC; however it could be that one SMSC covers for practical reasons several monitoring sectors, therefore the SMSC should be indicated]

Insert (where existing) texts from the sector IER executive summary “Objectives”; “Conclusions”, “Recommendations”; however, edit it so that it is shortened to max 1 page)

MONITORING SECTOR 2: [Title] [Name of SMSC monitoring the sector]

Insert (where existing) texts from the executive summary “Objectives”; “Conclusions”, “Recommendations”; however, edit it so that it is shortened to max 1 page)

Continue to sector N

ANNEXES

FINANCIAL AND CONTRACTUAL OVERVIEW

This Interim Evaluation summary covers Phare assistance of a total of [€ Million {use figure of total in first table of executive summary}] to the sectors in [country name] under the National Programmes in the years

MONITORING SECTOR 1: [sector title] [Name of SMSC monitoring the sector]

Financial and Contractual Data of the components in the sector:

Components s	Implementing authority	Start Date	Expiry Date	Allocation ⁹ € Million		Committed %		Disbursed %	
				Phare	Co-fin	Phare	Co-fin	Phare	Co-fin
[code and title]							
...							
Total									

In MEUR, source: ... dated ...

MONITORING SECTOR 2: [sector title] [Name of SMSC monitoring the sector]

Financial and Contractual Data of the components in the sector:

Components s	Implementing authority	Start Date	Expiry Date	Allocation ¹⁰ € Million		Committed %		Disbursed %	
				Phare	Co-fin	Phare	Co-fin	Phare	Co-fin
[code and title]							
...							
Total									

In MEUR, source: ... dated ...

, source: ... dated ...

Until monitoring sector n of the country

⁹ Interests accrued included / excluded

¹⁰ Interests accrued included / excluded

LIST OF Documents used

Name of Originator	Date	Title of Document
...