



# **ESF support to administration capacity building: how to design successful interventions and how to assess their impacts?**

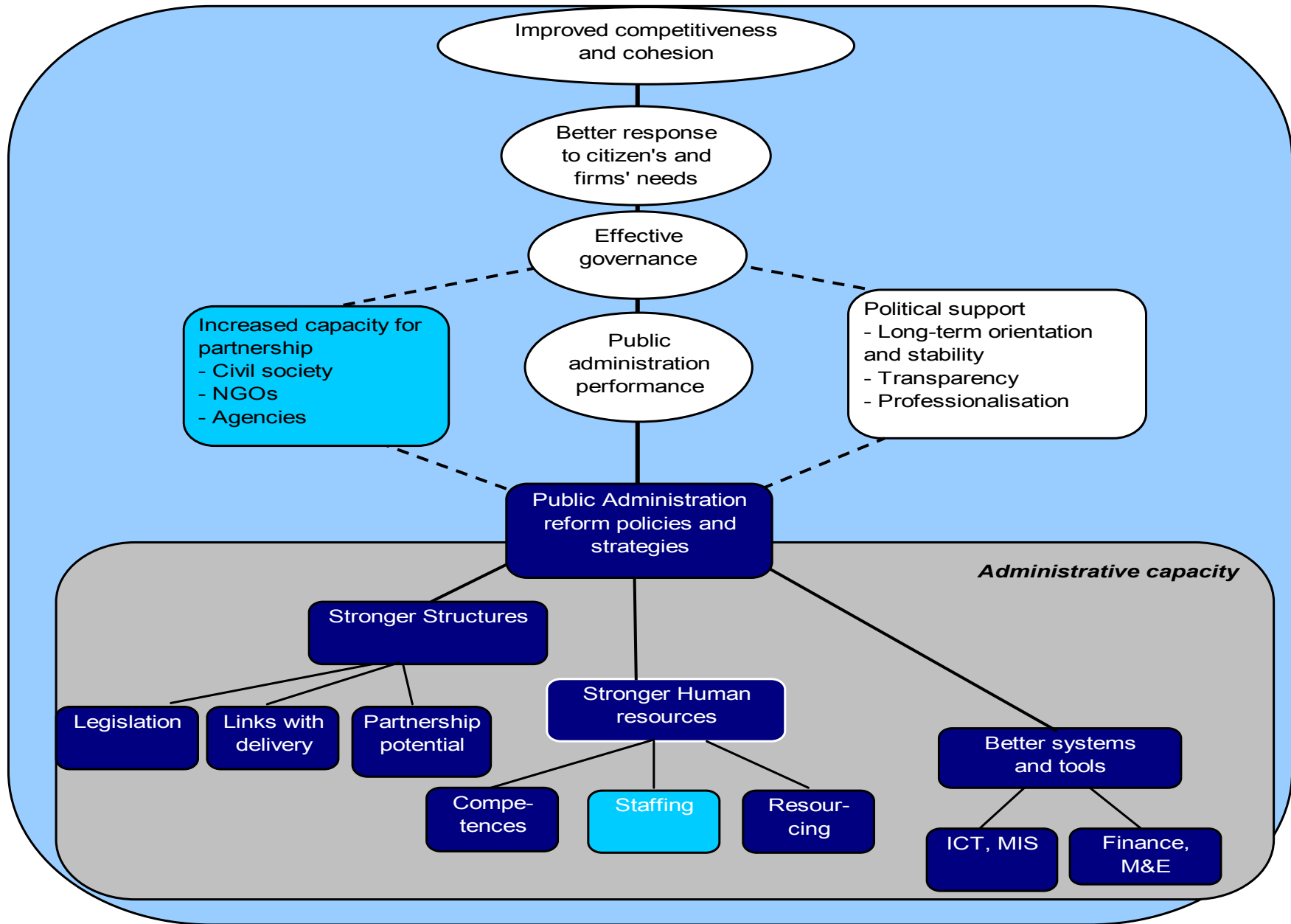
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**What's new and what works in the EU Cohesion Policy 2007-2013:  
Discoveries and lessons for 2014-2020**

**Vilnius, 3-4 March 2011**

# How is Administration Capacity Building (ACB) defined in the context of ESF?

- Administrative capacity refers to a set of characteristics of public organisation related to the performance and the success of public policies
- Capacity building may be differentiated between measures aiming to develop:
  - ✓ institutional, organisational and individual capacity (*Office for Public Management, UK, 2003*)
  - ✓ policy, people and systems (*World Bank*)
  - ✓ structures, human resources and system & tool (*study by Ecorys*)
- Evaluation should investigate the impact at each of these levels



'= Some ESF intervention possible

= Strong ESF intervention possible

'= Limited or no ESF intervention

# Evaluation of ACB

## - main challenges (1)

- Difficulty in detecting causal and clear links between:
  - activities and desired effects of intervention, such as efficiency, transparency
  - general and specific objectives and results
  - general objectives of the priority or programme and levels of projects
  
- Difficulty in identifying key determinants of impact on 'performance' of public administration:
  - complex and multifaceted nature of factors considered as 'modernisation agents'
  - assessment of the transition of individual to organisational change
  - difficulty in specifying evaluation criteria

# Evaluation of ACB

## - main challenges (2)

- Specificity of local institutional context and needs
  - national institutional context
  - political support and administrative continuity

### **BUT:**

- Evaluation question should not be based on the adherence to a particular model of administrative organisation but on the ability of an institution to manage specific problems
- A driver of change is crucial whether it be external (the EU), internal (a domestic economic crisis) or individual (a reforming politician)
- It is relevant for evaluation to direct attention towards the specificities of institutions

# Evaluation of ACB

## - main challenges (3)

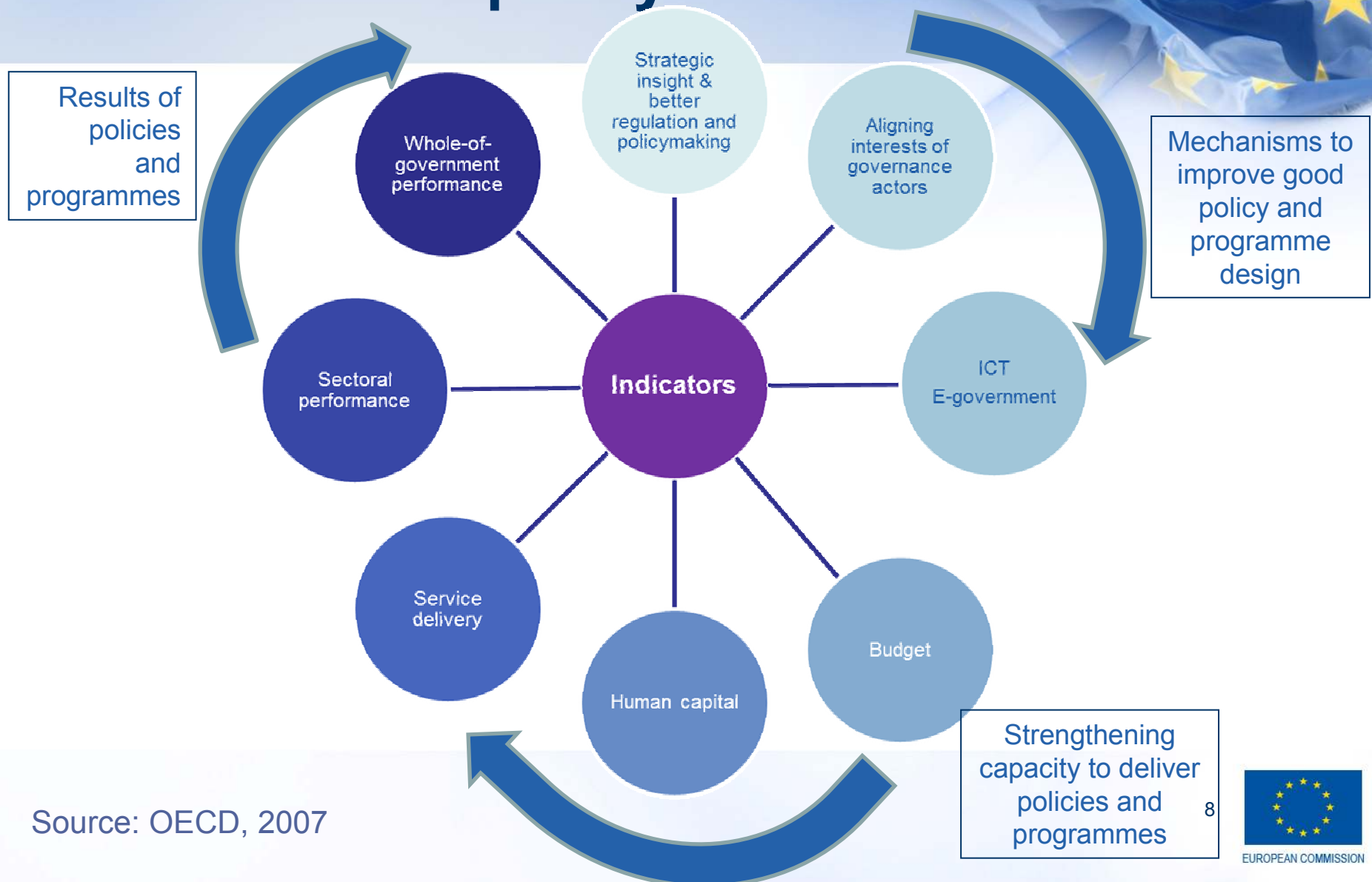
- Need for indirect measurement and proxy:
  - support to individuals translated to organisational change: practice of the participants instead of quality of management or delivery
- Availability and robustness of data
- Strategy in building a set of ACB indicators:
  - starting with a broad-brush approach
  - starting with specific, in-depth studies
- Indicators
  - Simple vs composite indicators
  - Qualitative vs quantitative indicators

# ACB indicators in the ESF

- Structures
  - strategic planning & regulatory impact assessment (N°,%, quality, effectiveness)
  - NGOs/social partners as partners in ACB projects (N°, recognition)
  - introduction of quality management system (N°,%)
- Human Resources
  - assessment of training needs (N° institutions)
  - provision of training (N° - institutions&trainees, %, effectiveness)
  - activity management system & evaluation of civil servants (% , turnover)
- Systems&tools
  - Monitoring and evaluation of policies & programmes (N°,%, efficiency)
  - Availability of e-governance, public services on line (availability, sophistication (OECD))

Source: Ecorys study, 2011

# OECD Governance Capacity Indicators



Source: OECD, 2007

# Steps in designing successful ACB interventions?

- Every public programme is a set of assumptions about what is the baseline situation:
  - what is needed to solve the problem?
  - how could it be done?
  - what we will get out of it?
- Identification of factors of administrative/institutional modernisation - clear ideas about the desired effects
- Explain relations between modernisation challenges faced by the administration and ESF funded activities provided

**BUT** Capacity building needs complex programmes, and there are possibilities for short-term ineffective results

# Role of diagnosis in designing ACB interventions

- ❖ Logic for the capacity building intervention should be developed ex-ante on the basis of **diagnosis**

## Diagnosis:

- Should be based on empirical research – baseline data collection
  - What was the political context of the intervention
  - Values and culture to be taken into account
  - Were the existing capacity adequately assessed prior to the implementation?
- ✓ Good diagnosis requires empirical studies (preferably longitudinal)

# Tools for diagnosis & ex-ante evaluation of ACB

## 1. Structures:

➤ Performance Management & Strategic Planning

➤ Policy co-ordination

### CAF rating scale

0-no evidence or only anecdotal evidence of an approach;

1-an approach is planned;

2-an approach is planned and implemented:

3-an approach is planned and implemented and reviewed;

4-an approach is planned and implemented and reviewed on the basis of benchmarking data and adjusted accordingly;

5- an approach is planned and implemented and reviewed on the basis of benchmarking data and adjusted accordingly and fully integrated into the organization.

### The Metcalfe scale

9 Overall strategy

8 Establishing priorities

7 Setting parameters for action

6 Arbitration of policy differences

5 Search for agreement on policies

4 Avoiding divergences among organizations

3 Consultation with other organizations (feedback)

2 Communication to other organizations (information exchange)

1 Independent organizational decision-making

# Tools for diagnosis & ex-ante evaluation of ACB

## 2. People:

- Human resources legislation
- HR horizontal management
- Evaluation and incentives

### **SIGMA ratings**

- 1-standard achieved;
- 2-standard substantially achieved;
- 3-standard only partially achieved;
- 4-standard not yet achieved but progress being made;
- 5-standard not yet achieved;
- 6-standard not likely to be achieved in the medium term;
- 7-standard unlikely to be achieved under present arrangements.

# Tools for diagnosis & ex-ante evaluation of ACB

## 3. System and tools

### ➤ E-government

#### E-government capability ratings

Stage 1-informational – one way communication of information

Stage 2-interactivity – two-way communication (e-mail, bulletin board etc)

Stage 3-transactional– internal and external transactions from request to fulfilment

Stage 4-transformational– e-democracy, e-voting, interoperability, seamless integration of government agencies and citizens

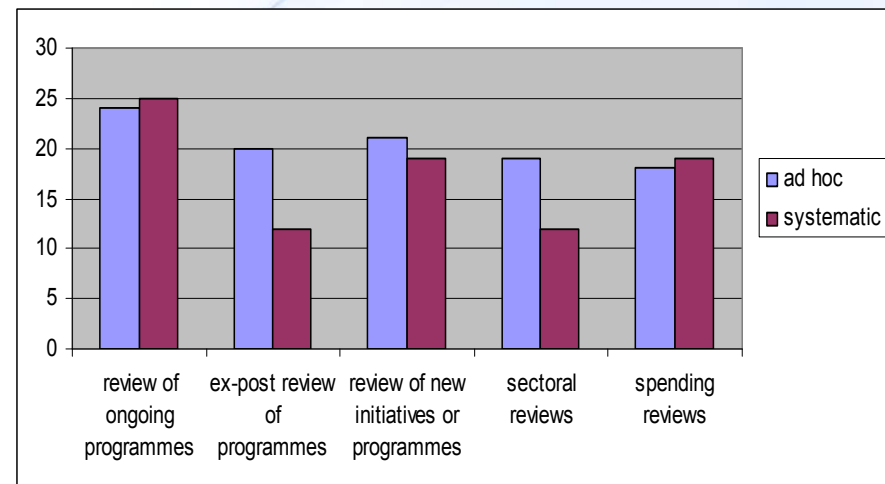
#### E-government infrastructure

- Capacity
- Access across levels of government
- Interconnectivity & interoperability
- Security

# Focus on developing evaluation capacity as a part of ACB

## Indicators on role of evaluation

- **Type of evaluations conducted:**
  - Responsibility for programme **evaluations:** as a part of budget process or outside IT
- Use of evaluation
  - In budget formulation process: at ministerial / departmental levels
- Follow up on evaluations:
  - Through monitoring or follow up process: to examine if the actions / activities recommended by an evaluation are carried out



Source: OECD, 2007

# Evaluation criteria

- ❖ What is the impact of ESF ACB interventions?
  - The **relevance** of the intervention: did the intervention deal with factors that were negatively affecting the quality of public administration?
  - The **efficiency** of the implementation: was the intervention carried out in a cost-effective way and did it produce the expected outputs?
  - The **effectiveness** of the implementation: did the intervention lead to improvement of the performance of the participants, their organizations and of other individuals and organizations?
  - The **sustainability** of the intervention: Did the improvements continue to exist after the completion of the intervention?
  - Other issues:
    - Service and product quality
    - The institutionalisation of innovations introduced, costs and diffusion

# Suitable evaluation methods

- Desk-research – study of available literature, reports and documents (legal, studies, recent reforms)
- Process evaluation through case studies
- Structured interviews (at different administrative levels)
- Focus groups with experts
- Policy Delphi
- Self assessment techniques – CAF
- Benchmarking exercise
- SWOT
- Customer satisfaction surveys – Mystery shopper
- Use of counterfactuals



**Thank you for your attention !**



I AM A VICTIM OF  
MY OWN ADMINISTRATION

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