ANNEX 3b

Indicative Monitoring and Evaluation Plan
- Joint Operational Programme Black Sea Basin 2014-2020 -

Final draft 30 June 2015

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1. Background and Objective

The Monitoring and Evaluation (M&E) plan is used to systematically plan the *collection of data to assess and demonstrate progress made in achieving expected results*. It highlights mechanisms or modalities for monitoring the achievement of outputs and contribution towards achievement of expected results. The M&E plan incorporates the programme indicators, baselines targets and their means of verification. It contains detailed definitions for the programme indicators, rationale for their selection, sources of information and verification, baselines and targets, methods and tools to collect data, where necessary calculation formulas for result indicators, and milestones to measure and report on progress in terms of output indicators. The plan also presents the frequency of data collection and insertion into the MIS. An indicative list of evaluations to be undertaken, together with their subject and rationale is also included.

Definitions for programme indicators

This programme has 2 types of indicators:

- Result indicators (RI) at priority level;
- Output indicators, which can be split into Common Output Indicators (COI), to be aggregated in order to increase accountability and facilitate reporting progress at instrument level, and Programme-Specific Output-Indicators (PSOI), which will not be aggregated

Table 1 presents the definitions for each of the 4 result RI, 6 COI and 3 PSOI.

Table 1 – Definitions of programme indicators

Type	Priority	Indicator	Definition
RI	1.1	R1.1 Strength of cross-border business opportunities in the tourism and cultural sectors	Assessment of the cross-border business opportunities by a reference group (see table 3)
RI	1.2	R1.2 Strength of cross-border links for trade and modernisation in the agricultural and connected sectors	Assessment of strength of cross-border links for trade and modernisation in the agricultural and connected sectors in BSB by a reference group (see table 3)
RI	2.1	R2.1 Level of availability of cross-border compatible environmental monitoring data and information	Assessment of availability of cross-border compatible environmental monitoring data and information by a reference group (see table 3)
RI	2.2	R2.2 Level of awareness of environmental challenges and good waste management practices related to river and marine litter	Assessment of the awareness of inhabitants, companies and relevant public service providers on environmental challenges and good waste management practices related to river and marine litter by a reference group (see table 3)

PSOI	1.1	1.1.1 Number of strategies and products developed jointly to promote tourism	Based on data taken from the project data bases. Products to be interpreted as any deliverable of the projects that can be offered to tourists directly or indirectly
PSOI	1.1	1.1.2 Number of crossborder tourism and cultural events organised using ENI support (during indicators monitoring process, tourism events and cultural events will be counted separately, as the latter might become input for COI 8)	Based on data taken from the project data bases. Events to be interpreted as any meeting involving participants (not including the lead partners and partners) from at least two different BSB countries for mainly touristic or cultural objectives.
COI	1.1	1.1.3 Number of small scale improvements to cultural and historical sites as a direct consequence of programme support (COI 7)	Number of cultural and historical sites being improved as a direct consequence of programme support. Valid for site improvements of e.g. buildings, landscapes, sites or structures of local, regional, or national significance, works of monumental sculpture or paintings, new acquisitions to collections or museums, etc. The improvements must be of a permanent nature.
COI	1.2	1.2.1 Number of enterprises participating in crossborder agricultural or agro-industrial business events (COI 3)	Based on data taken from the project data bases, number of enterprises participating in cross-border business events organised with support from the programme. The indicator aims to capture the specific cross-border dimension of promoted cross-border partnerships and networking among enterprises and to provide an output indicator for regional economic integration. (indicator made more specific to target the agricultural and agro-industry sectors)
COI	1.2	1.2.2. Number of additional ICT based tools developed supporting cross-border cooperation (COI29) increasing cross-border trade opportunities for agricultural and agro-industrial products	Based on project reports, additional ICT based tools developed supporting cross-border cooperation. May include new joint databases, information exchange portals, other joint logistics or decision-support systems, etc. Indicator made more specific to target the agricultural and agro-industry sectors.
COI	1.2	1.2.3 Number of business development organisations receiving support (COI1) to promote modernisation in the agricultural or connected sectors	Based on data taken from the programme data base, number of business development organisations receiving support in any form from the programme (indicator made more specific to target the agricultural and connected sectors).
COI	2.1	2.1.1 Number of additional ICT based tools developed supporting cross-border cooperation (COI29) improving joint environmental monitoring and public availability of environmental information	Based on project reports, additional ICT based tools developed supporting cross-border cooperation. May include new joint databases, information exchange portals, other joint logistics or decision-support systems, etc. (indicator made more specific to target environmental monitoring)
COI	2.1	2.1.2 Number of institutions using programme support for cooperation in education, R&D and innovation (COI4) to improve data sharing and cross-border information exchange systems on the environment within BSB	Based on data taken from the programme data base, number of institutions receiving support in any form from the programme and using it for cooperation in education, R&D and innovation (indicator made more specific to target environmental monitoring)
COI	2.2	2.2.1 Number of persons actively participating in environmental actions and awareness raising activities (COI17)	Based on project reports, number of citizens/students/pupils etc. actively participating in environmental actions and awareness raising activities as well as with regard to the promotion of energy efficiency.
PSOI	2.2	2.2.2 Number of organisations using programme support to develop or improve waste management tools or small scale facilities along river banks and sea shores (including ports)	Based on data taken from the programme data base, number of organisations of any kind producing waste or with a clear competence in the field of river and marine waste or impact on the issue, receiving support in any form from the programme, or NGOs not having waste management and/or reduction as one of their objectives or core activities

The measurement of result and output indicators is described in section 3 (see below).

2. Baselines, targets and their means of verification

Table 2 presents the units of measurement, baseline, target and (for output indicators) for the programme indicators, as well as the sources and means of verification.

Table 2 – Baseline and target values of indicators

Type	Indicator	Unit of measurement	Baseline	Target	Sources and means of verification
RI	R1.1	(a) 1-5 Likert-scale (b) number of links	2,50	2,70	Survey to reference groups, to be collected by Excel forms / simple web-based survey forms (such as Surveymonkey)[i]
RI	R1.2	(a) 1-5 Likert-scale (b) number of links	2,88	3,13	Survey to reference groups, to be collected by Excel forms / simple web-based survey forms (such as Surveymonkey)
RI	R2.1	(a) 1-5 Likert-scale (b) proportion (%)	2,66	2,91	Survey to reference groups, to be collected by Excel forms / simple web-based survey forms (such as Surveymonkey)
RI	R2.2	(a) 1-5 Likert-scale (b) proportion (%)	2,50	2,70	Survey to reference groups, to be collected by Excel forms / simple web-based survey forms (such as Surveymonkey)
PSOI	1.1.1	Number of strategies/products	0	38	Project reports
PSOI	1.1.2	Number of events	0	100	Project reports
COI	1.1.3	Number of sites	0	5	Project reports
COI	1.2.1	Number of enterprises	0	600	Project reports
COI	1.2.2	Number of ICT tools	0	4	Project reports
COI	1.2.3	Number of organisations	0	15	MIS
COI	2.1.1	Number of ICT tools	0	13	Project reports
COI	2.1.2	Number of institutions	0	10	MIS
COI	2.2.1	Number of persons	0	3 600	Project reports
PSOI	2.2.2	Number of organisations	0	40	MIS

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[i] In any case, in order to avoid biases, the means of communication (e-mail, telephone, web-based) used to collect the data from the reference groups should be the same across the sample and across the moments of measurement.

3. Measurement methods, frequency and responsibility

Result indicators have been measured before the programme is submitted to the EC[ii] (to set the baselines), then will be measured once during programme implementation (when most projects from the 1st call are completed) and after programme completion (by 2023, in order to draft the final report to the EC). Result indicators have been formulated at the level of priorities and their measurement is based on specific surveys among the relevant reference groups in each of the participating Black Sea countries. The reference groups are asked for their assessment of the situation in relation to the corresponding priority by means of a score on a 5-point Likert-scale indicating to what extent they agree to up to 3 statements / by means of an estimation of a relevant quantity.

Table 3 presents the survey items used for the measurement of each of the result indicators:

Table 3 – Survey items, calculation methods and reference groups to be used for result indicators

Result Indicator	Survey items[iii]	Scale	Calculation method	Reference groups
R1.1	The cooperation among organisations from different BSB countries in the development of joint tourism products	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong	First, the arithmetic average of 3-5 items will be calculated per respondent, after which the median value of all respondents will be taken as the indicator value.[iv]	Regional/Tourism Development Agencies, Association of Tour Operators, Cultural associations
	The cooperation among organisations from different BSB countries in the development of joint cultural events	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong		
	The extent to which historical heritage in the BSB region is being made accessible to tourists	1 not at all, 2 not very, 3 average, 4 quite so, 5 very much		
	The cooperation among organisations from different BSB countries in the development targeted tourism packages for specific markets	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong		
R1.2	The strength of contacts among agricultural or agro-industrial businesses from different BSB countries	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong	First, the arithmetic average of 3-5 items will be calculated per respondent, after which the median value of all	Chambers of Commerce, Unions of Agricultural Producers, Regional/Rural Development Agencies
	The strength of cross-border trade opportunities for agricultural and agro-industrial products within the BSB area	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong		
	The extent to which the BSB countries have introduced standards for agricultural products and food safety	1 not at all, 2 not very, 3 average, 4 quite so, 5 very much		

[ii] Survey carried out in May-June 2015. Provisional baseline and target values inserted in the table based on survey preliminary results, may be adjusted if necessary)

[iii] The respondents are requested: „Please assess the following issues, selecting from the scale on the right the answer, which most accurately describes your opinion". They are asked to give their opinion based on their current knowledge and experience, even if this concerns only a small number of BSB countries. If the respondents know the situation in various countries, an average opinion should be given.

[iv] In practice, this means that the MA (or external consultant) compiles a set of data based on the answers by all responding members of the reference group, with each respondent on a separate row and each answer to a survey item in a separate column (which leads to a matrix-structure). As a next step, the MA calculates the average of 3 survey items for each respondent (leading to a fourth column of average scores of the individual respondents). After that, the MA ranks the average scores of all respondents in such a way that the lowest (average) score is on top and the highest on the bottom. Finally, the indicator score is taken to be the value exactly in the middle of the ranking (or the average of the two values in the middle in case of an even number of scores).

	The use of ICT in the agricultural or connected sectors in the BSB area	1 very little, 2 little, 3 average, 4 considerable, 5 abundant	respondents will be taken as the indicator value	
R2.1	The extent to which BSB countries perform joint environmental monitoring	1 not at all, 2 not very, 3 average, 4 quite so, 5 very much	First, the arithmetic average of 3-5 items will be calculated per respondent, after which the median value of all respondents will be taken as the indicator value	Institutions active in environmental monitoring: regional governmental bodies, research institutions, NGOs, marine authorities
	The level of data sharing and cross-border systems enabling the exchange of information on the environment within BSB	1 very low, 2 low, 3 average, 4 high, 5 very high		
	The extent to which the methodologies and procedures for marine environment assessment are harmonised in the BSB area	1 not at all, 2 not very, 3 average, 4 quite so, 5 very much		
R2.2	The physical situation in relation to litter in coastal areas/rivers / ports – please assess for at least one type of area	1 very bad, 2 bad, 3 average, 4 quite good, 5 very good	First, the arithmetic average of 3-5 items will be calculated per respondent, after which the median value of all respondents will be taken as the indicator value	Regional governmental bodies, NGOs, educational institutions, marine authorities, port authorities
	The level of public awareness regarding river and marine litter problems, the value of biodiversity and environmental protection	1 very low, 2 low, 3 average, 4 high, 5 very high		
	The strength of partnerships between NGOs and civil society, the private sector, local/regional authorities and waste services to combat river and marine litter	1 very weak, 2 weak, 3 average, 4 strong, 5 very strong		
	The extent to which BSB countries follow good environmental management practices and technologies related to waste management on riverbanks and seashores	1 not at all, 2 not very, 3 average, 4 quite so, 5 very much		

The reference groups to be included in the survey consist of the applicants and beneficiaries of the relevant measures of the 2007-2013 BSB programme, supplemented by other relevant organisations suggested by the national authorities, in cooperation with the relevant line ministries (the ministries responsible for Economy, Agriculture, and Environment). In order to exclude the influence of outlier opinions, also taking account of the likely response rates to the survey, the number of organisations/experts on the reference list for each indicator should be at least 10 per country. In order to ensure maximum comparability across the different moments of measurement (baseline, interim, end-of-programme), the list of reference group members should be kept as stable as possible during the programme period.

Output indicators will be measured annually and included in the annual reporting to the EC. Their measurement at programme will be based on an aggregation of the relevant data from project reports.

The responsibility for the measurement of the result indicators lies with the MA (which may seek external assistance). The basic data for the output indicators will be collected by the project lead partners and partners, while their aggregation will be the responsibility of the MA.

4. Indicative list of evaluations to be undertaken

One programme-specific evaluation will be commissioned by the MA (likely in 2020), building on the EU-level mid-term evaluation and serving as a basis for future programming or possibly as a basis for reallocation of funds and/or revision of indicators of the current programme.