

# Guidance on the common monitoring and evaluation framework for AMIF and ISF

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**Guidance on the common monitoring  
and evaluation framework of the  
Asylum, Migration and  
Integration Fund (AMIF)  
and the  
Internal Security Fund (ISF)**

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**DOCUMENT HISTORY**

<b>Version</b>	<b>Date</b>	<b>Changes made – content and page</b>
1.0	01/2017	-
2.0	05/2017	<p>Section 3: table (page 16)</p> <p>Section 4: updated to include "Focus of the interim evaluation" (page 21)</p> <p>Section 5: minor revision: point 4.c added (23) and development of the section on efficiency (from page 34)</p> <p>Annexes 6.1 Indicators AMIF and 6.2 Indicators ISF updated to include the clarifications provided by the Commission in the definitions</p> <p>Minor editing of the text throughout the document</p>
2.1	10/2023	<p>Annexes 6.1 and 6.2, containing the consolidated definitions for the indicators, transferred to the Background note on the ex-post evaluation for the 2014-2020 period</p> <p>Annex 6.5 on the structured template in SFC removed to reduce confusion.</p>

## **ABBREVIATIONS**

AA = Audit Authority

AIR = Annual Implementation Report

AMIF = Asylum, Migration and Integration Fund

FAQ = Frequently Asked Questions (replies published in SFC2014)

ISF = Internal Security Fund

MS = Member State

RA = Responsible Authority

SFC= SFC2014

TCN = Third country nationals

ToR = Terms of Reference

EQ = Evaluation Questions

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## 1. INTRODUCTION

The aim of this guidance document is to provide the Responsible Authorities in the Member States with an operational tool to help them prepare their interim evaluation of the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF). It is **a living document** which will be added to and adjusted according to the Member States' needs. It is part of the overall support provided by the Commission to Member States and their partners in implementing these Funds.

This document is not a methodological guide on evaluation tools and methods, but a hands-on document, tailored to the needs of the Responsible Authorities. Along with this guidance document, the Member States are also invited to consult the **Better Regulation Guidelines**<sup>1</sup> and the **Better Regulation "Toolbox"**<sup>2</sup> which provide a range of recommended evaluation tools and methods. Where relevant, this Guidance also includes references to some specific tools.

The purpose of the interim evaluation of AMIF and ISF is to assess the progress made in implementing the instruments and the results achieved at mid-term of the 2014-2020 programming period. The evaluation will be based on the five compulsory evaluation criteria set out in the Better Regulation Guidelines: effectiveness, efficiency, coherence, relevance and EU added value. In addition, the interim evaluation of AMIF and ISF will look at the sustainability and complementarity of actions as well as at simplification and reduction of administrative burden, in compliance with the Regulation (EU) No 514/2014 (hereafter referred to as the Horizontal Regulation).

Member States must submit their national evaluation reports by the end of December 2017. Their reports will contribute to the overall evaluation that the Commission will carry out by between the autumn 2017 and the first semester of 2018. The Member States' national evaluation reports will only cover the national programmes implemented under shared management, while Emergency assistance projects and Union Actions will be evaluated by the Commission. The Commission's interim evaluation report on the implementation of AMIF and ISF will be submitted to the European Parliament, to the Council, to the European

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<sup>1</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

<sup>2</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_tool\\_en.htm#](http://ec.europa.eu/smart-regulation/guidelines/toc_tool_en.htm#)



Economic and Social Committee, and to the Committee of the Regions by the end of June 2018.

This guidance on the Common Monitoring and Evaluation Framework (CMEF) has been developed by DG HOME with the technical support of the Joint Research Centre, and active contributions from the members of the European Evaluation and Monitoring Network for AMIF/ISF, which is composed of the national evaluation coordinators appointed by the Responsible Authorities. The guidance has been presented to the national authorities through ad hoc workshops. Further support will be provided in the framework of the Network.

Following the interim evaluation, this document will be reviewed and revised as necessary before the ex post evaluation. The review will address additional needs identified during the evaluation process and include guidance specific to the ex post evaluation.

This document includes a chapter on Frequently Asked Questions (see also annex 6.6), which gathers the Commission's replies to the queries raised by the national authorities. The FAQ chapter will be updated regularly as new questions are submitted. The questions and replies are also published in the SFC, for the benefit of all Member States.

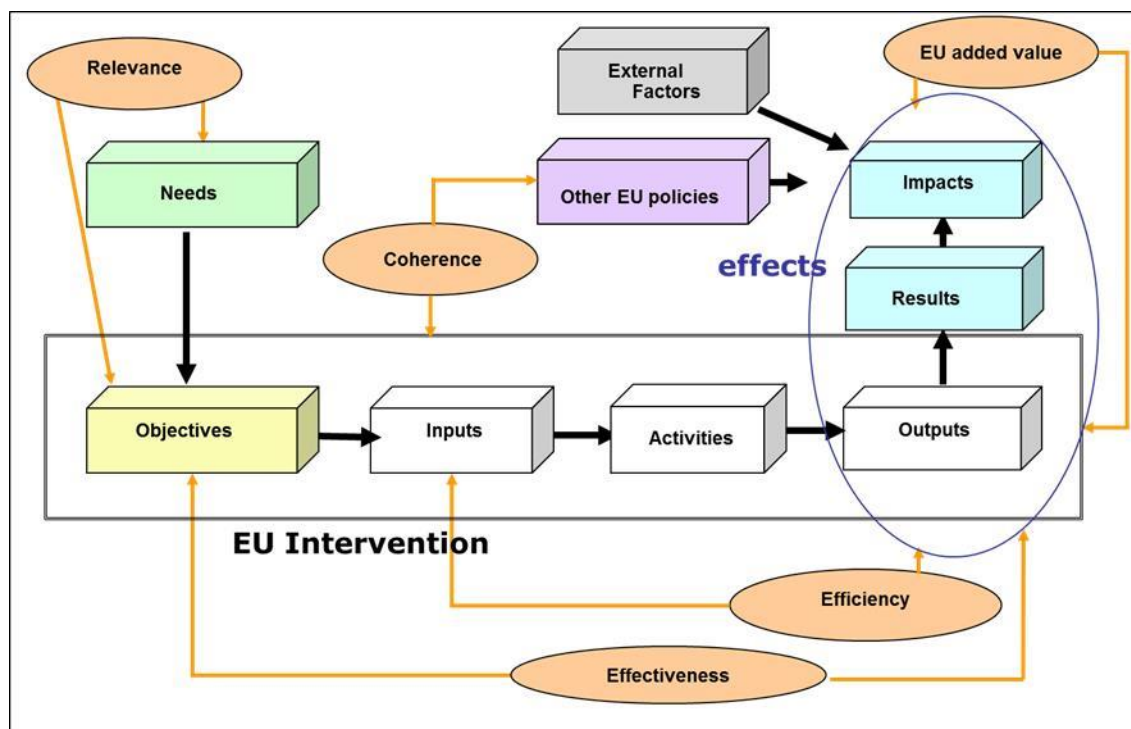
In addition, and as agreed by the European Evaluation and Monitoring Network on 15 March 2017, the clarifications on the definition of the result and impact indicators provided by the Commission in reply to questions submitted by RAs have been included in the tables of indicators provided in Annex 6.1 for AMIF and 6.2 for ISF. This will make it easier to find the clarifications on each indicator in one single place.

## 2. INTERVENTION LOGIC OF AMIF AND ISF

The intervention logic is the cornerstone for evaluating a Fund. The intervention logic is a methodological instrument which establishes the logical link between a programme's objectives and the actions planned. It shows the conceptual link between an intervention's input to its output and, subsequently, to its results and impacts. Please also refer to the "TOOL #41: DESIGNING THE EVALUATION" of the Better Regulation Toolbox<sup>3</sup>.

The intervention logic summarises how the intervention was expected to work. It also shows how different inputs/activities/outputs triggered by the EU intervention were expected to interact to deliver the promised changes over time and ultimately achieve the intervention's objectives (Figure 1).

**Figure 1. Intervention logic model and evaluation criteria.**



Based on the intervention logic demonstrating what was expected to happen, the evaluations look back at the Funds' performance and compare this critically to what has actually happened.

<sup>3</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_41\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_41_en.htm)

The intervention logic can also be very helpful in selecting the specific evaluation criteria to look at during the evaluation and, based on these, in identifying the underlying evaluation questions and relevant indicators.

The evaluation of AMIF and ISF will look at a total of eight evaluation criteria. These include the five compulsory evaluation criteria (effectiveness, efficiency, coherence, relevance and EU added value) set out in the Better Regulation Guidelines. In addition, as provided for in the Horizontal Regulation, the evaluation will also cover the sustainability and complementarity of actions as well as the simplification and reduction of administrative burden (refer also to Chapters 5.1.1 and 5.1.2).

The Commission has worked together with the Member States via the European Evaluation and Monitoring Network for AMIF/ISF to develop common evaluation questions (see Chapter 5.1.1) and result and impact indicators (refer to Chapter 3 and annexes 6.1 and 6.2). These questions and indicators will form a frame for the interim and ex post evaluations. All the Member States will use the same set of evaluation questions and indicators, so that national evaluation results can be aggregated at European level.

### 3. MONITORING AND INDICATORS

#### ***Difference between monitoring and evaluation***

Monitoring is a continuous and systematic process of data collection about an intervention. It helps identify and address any implementation problems and generates factual information for future evaluation and impact assessments. However, the data collected will reflect not only changes resulting from the EU intervention, but also those which are caused by other factors.

While monitoring looks at “what” changes have occurred since the start of a policy intervention, evaluation looks at “whether” the intervention has achieved its objectives, and whether this was done efficiently (i.e. at least cost), and at the reasons for the success or failure of an intervention.

#### ***What, When and How should evidence be collected and reported***

A good monitoring system requires a clear link between the objectives and indicators, bearing in mind the arrangements needed to collect the necessary new evidence in time to meet reporting requirements.

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The evidence must be gathered at the right time during the intervention's implementation, taking reporting requirements into account. A policy intervention may not achieve the desired outcome for many years and this should be reflected in the monitoring arrangements. If it takes too long to capture the final policy outcome, or if it will not be possible to measure the outcome, it may be necessary to monitor using intermediate or proxy outcomes.

Indicators are the main instrument for monitoring. For AMIF and ISF, the following groups of indicators were established:

- **Output indicators:** These relate to the specific deliverables of the intervention.
- **Result indicators:** These show the immediate effects of the intervention on the direct beneficiaries.
- **Impact indicators:** These relate to the intended impact of the intervention on the wider economy/society beyond the outcomes directly affected by the intervention.

The indicators used to monitor the two Funds were established in two different times.

Firstly, Annex II to Regulation (EU) No 513/2014, Annex IV to Regulation (EU) No 515/2014 and Annex IV to Regulation (EU) No 516/2014 list the common indicators that should be collected in order to be able to monitor the two Funds year by year, as well as in the interim evaluation and at the end of the programming period. These common indicators are to be reported on an annual basis in the annual implementation report.

In addition, a Delegated Regulation on the Common Monitoring and Evaluation Framework of AMIF and ISF (hereafter referred to as the Delegated Regulation on CMEF)<sup>4</sup> complements the list of common indicators, by developing a list of common results and impact indicators (details can be found in Annex 6.1 and Annex 6.2) and, which should be reported in SFC for the interim and ex post evaluations.

Guidance on the definition of the common indicators has been provided to the Responsible Authorities through a system of questions and answers, which is recorded in SFC under the FAQ section. The same approach will continue during the implementation of the Funds.

The data sources and units of measurement for all the indicators, by Fund and by specific objective, are listed in Annexes 6.1 and 6.2. These indicators should be collected on a financial year<sup>5</sup> basis for each year of the current programming period (2014-2020), plus for the baseline year, i.e. 2013.

### ***How to reconcile the financial year and the calendar year***

The reference period for some of the indicators for which data must be collected is based on a calendar year. Mixing indicators with a reference period based on a calendar year with other indicators based on a financial year could lead to discrepancies in evaluation results.

Therefore, for all indicators, the reporting period that will be used for the interim evaluation is the financial year. The data collected on a calendar year will be reported **pro rata**.

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<sup>4</sup> Delegated Regulation (EU) C(2016) 6265 on the Common Monitoring and Evaluation Framework of AMIF and ISF (CMEF) adopted by the Commission on 3/10/2016.

<sup>5</sup> Article 38 of the Horizontal Regulation defines the financial year as being "the period commencing on 16 October of year 'N-1' and ending on 15 October of year 'N'". As a result, Member States should report for the period starting from 16/10 of year N-1 to 15/10 of year N.

Example:*SO1 I2. Share of final positive decisions at the appeal stage<sup>6</sup>.*

The data for this indicator is to be found in the Eurostat Database (the variable is coded as "migr\_asydcfina") and is available annually on a calendar basis.

For the financial years 2014-2015 (16/10/2014 until 15/10/2015), DG HOME will calculate the indicator for the 28 Member States as follows:

Final decisions on applications by citizenship, age and sex - Annual data (rounded)  
[migr\_asydcfina]

CITIZEN Extra-EU-28

GEO/TIME	2008	2009	2010	2011	2012	2013	2014	2015	2016
European Union (28 countries)	86.770	93.255	97.685	128.540	132.105	134.640	<b>136.030</b>	<b>182.385</b>	35

For 2014, DG HOME will take  $136.030 * 2,5/12 = 28.340$

For 2015, DG HOME will take  $182.385 * 9,5/12 = 144.388$

Total for this indicator for the financial years 2014-2015 (16/10/2014 until 15/10/2015) is 172.728 positive decisions.

Based on these figures, DG HOME will calculate the evaluation of the share of appealed cases, compared to the number of final decisions taken in appeal.

Result and impact indicators come from different data sources: some are provided directly by DG HOME, others are provided by the Member States. Another set of indicators comes from sources such as Eurostat, the European Asylum Support Office, and Frontex.

DG HOME will introduce all the indicators for which the source is Eurostat, EASO, Frontex, or DG HOME directly into SFC in the evaluation module for each Member State. This ensures that the data for these indicators will be aggregated and that the method will be identical, without any difference of interpretation. Moreover, it

will reduce the volume of data that Member States must collect. For more information, please refer to Chapter 5.1.3.

During the implementation of the Funds, the financial years will not always be the same length. When calculating indicators pro rata, the following conditions need to be taken into account:

		Total number of months	
Baseline - 01/01/2013 until 31/12/2013	Baseline	12 months	No pro rata needed, it will be the calendar year
Financial year 1 - Start on 01/01/2014 until 15/10/2014	Reporting period	9,5 months	Pro rata, if the data are collected per calendar year, the data must be calculated pro rata for 9.5 months.
Financial year 2 - 16/10/2014 until 15/10/2015		12 months	Pro rata, 2.5 months for 2014 and 9.5 months for 2015.
Financial year 3 - 16/10/2015 until 15/10/2016	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Cover the period 01/01/2014 until 30/06/2017	Interim evaluation	42 months	For 1st semester 2017, if the data are not available, the data provided will be based on the best estimate which can be based, for example, on figures for 2016.
Financial year 4 - 16/10/2016 until 15/10/2017	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 5 - 16/10/2017 until 15/10/2018	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 6 - 16/10/2018 until 15/10/2019	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 7 - 16/10/2019 until 15/10/2020	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 8 - 16/10/2020 until 15/10/2021	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 9 - 16/10/2021 until 15/10/2022	Reporting period	12 months	Pro rata, same calculation as financial year 2.
Financial year 10 - 16/10/2022 until 30/06/2023	Reporting period	8.5 months	Pro rata, 2.5 months for 2022 and 6 months for 2023. If the data are not available for the 1st semester of 2023, the data provided will be based on the best estimate which can be based, for example, on figures for 2022.

Note, where data is unavailable for the first portion of the financial year, the calendar year was used. E.g., If an indicator is missing data for the 2015 calendar year, the value for the 2015 financial year will be "NA". While for the 2016 financial year, the 2016 calendar year will be used to ensure all years have 12 months of data (except the 2014 financial year).



## 4. PLANNING THE EVALUATION

### 4.1. Legal deadlines for the interim evaluation of AMIF and ISF

The legal basis of the AMIF and ISF states that the Commission must submit an interim evaluation report on the implementation of the AMIF and ISF to the European Parliament, to the Council, to the European Economic and Social Committee, and to the Committee of the Regions by 30 June 2018 (Art. 57<sup>7</sup> of the Horizontal Regulation).

The interim evaluation of AMIF and ISF will build mainly on the national interim evaluation reports submitted by each Member State to the Commission by 31 December 2017 using the common template in SFC (see chapter 6.5). It will also include an assessment of the mid-term review<sup>8</sup> and an evaluation of the Union Actions and the Emergency Assistance projects.

The deadline for the submission of the Commission's report is extremely tight, considering the parallel exercise to be carried out for the two Funds and the many administrative steps prior to publication of the evaluation reports. For this reason, it is crucial that member States prepare and submit their national evaluation reports on time.

### 4.2. Evaluation plan

Good evaluation planning is a critical step to ensure the availability of the national evaluation results on time. It is crucial to have sufficient internal and/or external staff able to deal with the process and communicate effectively with the beneficiaries, and to have a detailed evaluation calendar to allow for supervision and troubleshooting.

It is therefore recommended that the Responsible Authorities prepare thorough evaluation plans, which should identify at least the following:

- the resources needed to carry out the evaluation;
- the work plan with a timeline and clear deadlines to allow them to follow-up and review progress;
- the procedures to check and validate the results of the evaluation.

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<sup>7</sup> Evaluation reports by the Member States and the Commission

<sup>8</sup> Carried out in accordance with the Horizontal Regulation and the Specific Regulations.

If the evaluation is carried out by an external consultant, the work plan should allow sufficient time for contracting (including preparing the terms of reference, launching of the call for tenders, selecting the contractor and signing the contract).

The time margin needed to assess the quality of the deliverables at the end of the contract and to fill in the template in SFC must also be taken into account.

Finally, in their evaluation plan, RAs should also set out their strategy and approach for disseminating the results of the national evaluation.

#### **4.3. Selecting the evaluation experts**

Article 56(3)<sup>9</sup> of the Horizontal Regulation states that the evaluation must be carried out by experts who are functionally independent from the Responsible Authorities, the Audit Authorities and the Delegated Authorities. This implies that the Member States have the choice to entrust the evaluation to external experts (contractors), or to an internal but functionally independent body. Under the second option, these experts may be affiliated to an autonomous public institution responsible for the monitoring, evaluation and audit of public administration services. The situation should be assessed to ensure the hierarchical independence of the evaluators. This must be reported to the Commission using the ad hoc section of the evaluation report template in SFC.

Depending on the option selected by each Member State, procurement may or may not be necessary. In both cases it is recommended to set up a detailed plan and to write precise Terms of Reference (hereafter referred to as the ToR).

The Member States should start the process for selecting external evaluators as soon as possible and no later than April-May 2017. This will enable them to select the experts by June 2017. The interim evaluation study should start no later than July-August 2017.

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<sup>9</sup> "The evaluations referred to in Article 57(1) shall be carried out by experts who are functionally independent of the Responsible Authorities, the Audit Authorities and the Delegated Authorities. Those experts may be affiliated to an autonomous public institution responsible for the monitoring, evaluation and audit of the administration. The Commission shall provide guidance on how to carry out evaluations."

#### 4.4. Preparing Terms of Reference<sup>10</sup>

The terms of reference present an overview of the evaluation manager's requirements and expectations related to the evaluation study. They also provide a brief and concise description of the main scope and purpose of the evaluation, the roles and responsibilities of the actors involved, the methodology, the selection criteria, the timeline, and the amount of resources available for the evaluation (if applicable).

In the ToR it is important to clearly explain the logical connection between several elements: the rationale for the evaluation, the objectives of the Fund, the purpose of the evaluation, and the evaluation questions. The ToR should be structured to include the following key elements:

1. Background introduction and a description of the intervention providing context information and the objectives of the Fund.
2. Specific purpose and scope of the evaluation, explaining what will be evaluated and why, accompanied by the main evaluation questions.
3. Intervention logic with the expected broad methodological approach. This should be broad enough to ensure the evaluators are able to assess the quality of the proposed methodologies and suggest additional/alternative ones where appropriate.
4. Evaluation questions encouraging critical analysis. The evaluation questions selected by the Commission were worded in a way that forces the evaluator to go beyond providing a yes/no answer based on simple description, and to identify the links between the changes observed and the EU intervention(s).
5. Availability of relevant data (e.g. outcome measures, covariates) on the target population directly provided by the commissioning authority or publicly available.
6. Availability of data on the control group if Counterfactual Impact Evaluation methods are being used (CIE, see Chapter 6.3 on Methodology examples).

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<sup>10</sup> For more information on the Terms of Reference, please refer to chapter 6.7. which provides an example of the ToR.

7. Description of the professional competences and qualifications required of the evaluators (according to the scope and methodology of the evaluation) and the selection and award criteria.
8. Expected tasks and deliverables (inception, intermediate and final reports, presentations, other documents expected from the evaluators), the time schedule of the study and the available budget.

In order to provide an additional safety net and ensure the contractors' final report is of high editorial quality, it is recommended to consider including the following clause in the ToR: *"In view of its publication, the final report by the contractors must be of high editorial quality. If the contractor does not manage to produce a final report of high editorial quality within the timeframe defined by the contract, the contracting authority can decide to have the final report professionally edited at the expense of the contractor (e.g. by deducting these costs from the final payment)."*

Finally, the ToR should contain detailed information on the advised methodology for the evaluation. Different methodologies can be used depending on the available data. Various examples of methods are described in Chapter 6.3. RAs may choose to be very prescriptive and to describe in the ToR which data collection tools and analytical methods must be used. Alternatively, they may ask the evaluation experts to propose their approach and methodology, and use these as one of the criteria for selecting the experts. However, the ToR should specify that triangulation of methods is required.

The contractors should be asked to explain in their bid the advantages, the limitations and the risks involved in using the proposed tools and techniques.

To make this step smooth it is important that the RAs agree with the beneficiaries of the Funds that they must collect data and make them available. Please also refer to Chapter 5.1.1 for further details of data collection and analysis.

During the inception phase of the evaluation, the evaluators may be asked to refine the methodology proposed in the tender bid and to provide further details on the data collection tools, sources, analysis methods, data limitations and back-up solutions.

An example of the ToR can be found in Annex 6.7.

**Scope and focus of the interim evaluation**

The interim evaluation will inform the national authorities, the EU institutions, the stakeholders and the general public about

- the achievements of AMIF and ISF for the implementation period 2014-2016
- the outlook for the remaining implementation period (2016-2020).

The interim evaluation aims to assess how the programme has worked so far and whether it will achieve the policy objectives set in the legal base. As a result, the interim evaluation is not expected to produce a full picture of the programme's results and impacts, since insufficient time will have lapsed since the beginning of the programming period.

The RAs should explain how they plan to address issues and overcome obstacles identified during the interim evaluation, to ensure that their impact is minimised during the second half of the implementation period.

## 5. CARRYING OUT THE EVALUATION

### 5.1. How to fill in the interim evaluation report in SFC

The independent evaluation experts will produce an evaluation report in line with the RA's requirements as stipulated in the ToR. The report can follow any format agreed between the two parties, but it is recommended that the experts also fill in the template of the evaluation report to be submitted via SFC (for the template, please refer to Chapter 6.5 of the Annex). This will save the RA both time and resources, and will help reduce the risk of submitting an incomplete report.

Particular attention should be paid to the fact that the template of the evaluation report in SFC has a character limit for each section. This means that when reporting to the Commission, the results of the evaluation will have to be presented in a succinct manner. The interim evaluation report uploaded in SFC 2014 by the RA is meant to be a comprehensive and self contained document, so there is no obligation to add other documents in SFC. The system will allow the RAs willing to upload other documents to do so, but for the purpose of the interim evaluation the report generated in SFC2014 will be the reference.

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It is therefore recommended that the experts be aware of the space limitation and take this into account when developing the report and use the SFC template. The evaluation report must be self-contained and cannot refer to information in any attached document or contain hyperlinks.

The evaluation report is the key deliverable of the evaluation process. It should be built on critical judgements and should summarise the evaluation, presenting the replies to the evaluation questions, research undertaken, analysis, findings and conclusions/recommendations of the evaluation.

The national evaluation reports for the AMIF and ISF interim evaluation cover the period between 1 January 2014 and 30 June 2017. The template in SFC is mostly based on the evaluation questions which are common for all the Member States and that are set in the Delegated Regulation on CMEF. The impact and result indicators, which are also part of the Delegated Regulation on CMEF, should be used to support the replies to the evaluation questions.

The interim evaluation report is composed of eight sections and an annex (see the box below).

### Structure of the evaluation template in SFC

- Independent experts
- Executive Summary
- 1. Context of implementation of the Fund during the relevant period.
- 2. Challenges encountered and their impact on the Implementation of the National Programmes
- 3. Deviations in the implementation of the National Programmes (if any)
- 4. Evaluation questions:
  - a. Effectiveness. Possible methods to be used to provide answers about effectiveness:
    - i. Conclusions, based on the common impact and result indicators
    - ii. Stakeholder consultation and other data collection tools
    - iii. Counterfactual impact evaluation
  - b. Efficiency
  - c. Relevance
  - d. Coherence
  - e. Complementarity
  - f. EU added value
  - g. Sustainability
  - h. Simplification and reduction of administrative burden
- 5. Project examples
- 6. Methodology
- 7. Main conclusions and recommendations
- 8. Results of the mid-term review
- Annexes
- Result and impact indicators

In the **section on independent experts**, RAs should explain whether the evaluation was entrusted to external experts (contractors) or to an internal but functionally independent body. They should also explain how the independence requirement (as set in Art. 56(3) of the Horizontal Regulation) was ensured (see also Chapter 4.3).

The **Executive Summary** should provide a comprehensive overview of both the results both from the interim evaluation and the mid-term review.

In **Section 1**, RAs should provide a short description of the context in which the Funds have been implemented during the period covered in the interim evaluation (from January 2014 to June 2017). RAs should explain the background information

which is relevant to the implementation of the AMIF and ISF national programmes and useful to understand the country's main needs in the field of migration for AMIF and of security for ISF.

In **Sections 2 and 3**, RAs should explain the challenges they faced in implementing the Funds and whether these challenges and new needs led to deviations from the established national programmes.

**Section 4** is devoted to the evaluation questions. Questions are organised by the evaluation criteria of effectiveness, efficiency, relevance, coherence, complementarity, EU added value, sustainability and simplification and reduction of administrative burden. Where relevant, the replies to the evaluation questions need to be supported by the result and impact indicators and by the data to be reported in the Annex. The national evaluation reports should cover only the actions implemented under the national programmes (shared management). Emergency Assistance projects and Union Actions will be evaluated by the Commission.

**Section 5** focuses on examples of projects financed by the Fund. RAs should report three success stories and one case of failure. They should particularly look at the projects' effectiveness and/or efficiency in achieving the objectives, and more generally at the project's contribution to the national programme. Both qualitative and quantitative methods can be used to achieve this goal. For more information, please refer to Chapter 5.3.

**Section 6** presents the methodology used for the evaluation and how the data collection process was handled. For more information, please refer to Chapter 5.1.1.

**Section 7** sets out conclusions and recommendations. The conclusions must be streamlined and should focus on the most essential and pertinent issues. Therefore, a maximum of five conclusions can be selected in the SFC template. Each recommendation should be linked to a specific conclusion. In the specific case of an interim evaluation, the report should also include some recommendations to improve the implementation for the remaining period.

**Section 8** presents the results of the mid-term review.

The **Annex (Data)** includes a number of tables with information which is usually contained in the annual implementation report and can be used to support the



replies under the evaluation questions. For the period 01/01/2014-15/10/2016 this information will be automatically generated from the annual implementation reports. However, as the interim evaluation also covers the period 16/10/2016-30/06/2017, this additional information will have to be encoded manually by the RA, based on the best estimates available by the end of 2017.

### **5.1.1. Replies to Evaluation Questions**

#### ***Effectiveness***

Effectiveness analysis considers how successful EU action has been in achieving or progressing towards its objectives. The evaluation should form an opinion on the progress made to date and the role of the EU action in delivering the observed changes. If the objectives have not been achieved, an assessment should be made of the extent to which progress has fallen short of the target, what factors caused this shortfall, and why the target has not yet been achieved. Consideration should also be given to whether the objectives can still be achieved on time or with what delay. The analysis should also try to identify any unexpected or unintended effects.

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The evaluation sub-questions are grouped together under a more general evaluation question. For example, the overall evaluation question for AMIF "How did the Fund contribute to enhancing solidarity and responsibility-sharing between the Member States, in particular towards those most affected by migration and asylum flows, including through practical cooperation?" is further detailed by two evaluation sub-questions:

- "How did the Fund contribute to the transfer of asylum applicants (relocation as per Council Decisions (EU) 2015/1253 and 2015/1601)?" and
- "How did the Fund contribute to the transfer between Member States of beneficiaries of international protection?"

The suggested approach is to first prepare replies to the sub-questions, and then to merge them into a comprehensive reply for the overall question.

Three possible approaches can be used to reply to the evaluation questions related to effectiveness.

## **I. Approach: Common result and impact indicators set in the Delegated Regulation on CMEF**

The common output, impact and result indicators are the first tools to be used to provide an answer to the evaluation questions. Indicators provide an empirical assessment of the functioning of the interventions financed by the Funds. Each indicator can be linked to a specific evaluation question and then to an evaluation criterion. Therefore, when answering the evaluation questions, RAs should wherever possible refer to the indicators linked to that evaluation question. This will guarantee that RAs' replies are objective and comparable.

Table 1 for AMIF and Table 2 for ISF show the relationship between the specific objectives, evaluation questions and indicators.

In addition, RAs can use any other relevant information they consider useful to answer the evaluation questions, including the Data reported in the Annex to the evaluation report. They can refer to some specific projects within an action or to the whole action implemented – as described in the national programmes. However, their replies to evaluation questions should not be used to provide an exhaustive list of the activities and projects implemented. Rather, Member States are expected to provide a qualitative assessment for each question, based on a thorough in-depth analysis. Member States should base their replies to evaluation questions which are not linked to any indicator on the data collected through other sources.

The progress made can be assessed by commenting on the dynamic of these indicators over time. In order to make this before-after comparison, it is desirable to have a similar set of indicators for the pre-AMIF period, at least for a **baseline** year (e.g. the year immediately preceding the use of the Fund).

However, relying only on indicators to answer the evaluation questions is a sub-optimal strategy. This is because indicators are useful in describing the current situation and changes over time, but they do not make it possible to assess how and if these changes are really due to the Funds or to other external factors.

### **AMIF**

The following table illustrates how the evaluation questions for the AMIF (Annex I) correspond to a subset of indicators (output, result and impact).

<b>Table 1. To what extent has the Asylum, Migration and Integration Fund ("Fund") reached the objectives defined in Regulation (EU) No 516/2014?</b>		
<b>SPECIFIC OBJECTIVE</b>	<b>EVALUATION QUESTIONS</b>	<b>INDICATORS</b>
<b><u>SO1: Asylum and reception</u></b>		
How did the Fund contribute to strengthening and developing all aspects of the Common European Asylum System, including its external dimension?	What progress was made towards strengthening and developing the asylum procedures, and how did the Fund contribute to achieving this progress?	SO1 R1, SO1 R3, SO1 I1, SO1 I2
	What progress was made towards strengthening and developing the reception conditions, and how did the Fund contribute to achieving this progress?	SO1 R2, SO1 R4, SO1 I3, SO1 I4, SO1 I5
	What progress was made towards the achievement of a successful implementation of the legal framework of the qualification directive (and its subsequent modifications), and how did the Fund contribute to achieving this progress?	SO1 I6
	What progress was made towards enhancing Member State capacity to develop, monitor and evaluate their asylum policies and procedures, and how did the Fund contribute to achieving this progress?	SO1 C4, SO1 C5, SO1 R3
	What progress was made towards the establishment, development and implementation of national resettlement programmes and strategies, and other humanitarian admission programmes, and how did the Fund contribute to achieving this progress?	SO1 C6
<b><u>SO2: Legal Migration and Integration</u></b>		
How did the Fund contribute to supporting legal migration to the Member States in accordance with their economic and social needs, such as labour market needs, while safeguarding the integrity of the immigration systems of Member States, and to promoting the effective integration of third-country nationals?	What progress was made towards supporting legal migration to the Member States in accordance with their economic and social needs, such as labour market needs, and how did the Fund contribute to achieving this progress?	SO2 R1, SO2 R2, SO2 I1
	What progress was made towards promoting the effective integration of third-country nationals, and how did the Fund contribute to achieving this progress?	SO2 R2, SO2 I2, SO2 I3, SO4 I4, SO2 I5, SO2 I6, SO2 I7
	What progress was made towards supporting co-operation among the Member States, with a view to safeguarding the integrity of the immigration systems of Member States, and how did the Fund contribute to achieving this progress?	SO2 C3, SO2 C4
	What progress was made towards building capacity on integration and legal migration within the Member States, and how did the Fund contribute to achieving this progress?	SO2 C3, SO2 C5
<b><u>SO3: Return</u></b>		

How did the Fund contribute to enhancing fair and effective return strategies in the Member States which contribute to combating illegal immigration, with an emphasis on sustainability of return and effective readmission in the countries of origin and transit?	What progress was made towards supporting the measures accompanying return procedures, and how did the Fund contribute to achieving this progress?	SO3 R2, SO3 R4, SO3 R7, SO3 R8
	What progress was made towards effective implementation of return measures (voluntary and forced), and how did the Fund contribute to achieving this progress?	SO3 R3, SO3 R5, SO3 I1, SO3 I2, SO3 I3
	What progress was made towards enhancing practical co-operation between Member States and/or with authorities of third countries on return measures, and how did the Fund contribute to achieving this progress?	SO3 R6
	What progress was made towards building capacity on return, and how did the Fund contribute to achieving this progress?	SO3 R1, SO3 C4,
<b>SO4: Solidarity</b>		
How did the Fund contribute to enhancing solidarity and responsibility-sharing between the Member States, in particular towards those most affected by migration and asylum flows, including through practical cooperation?	How did the Fund contribute to the transfer of asylum applicants (relocation as per Council Decisions (EU) 2015/1253 and 2015/1601)?	SO4 R1, SO4 R2
	How did the Fund contribute to the transfer between Member States of beneficiaries of international protection?	

**ISF**

The following table illustrates how the evaluation questions for ISF (Annex II) correspond to a subset of indicators (output, result and impact).

<b>Table 2. How did the Internal Security Fund ("Fund") contribute to the achievement of the general objective defined in the Regulation 515/2014? (VISA AND BORDERS)</b>		
<b>SPECIFIC OBJECTIVE</b>	<b>EVALUATION QUESTIONS</b>	<b>INDICATORS</b>
<b>SO1- VISA</b>		
How did the Fund contribute to the achievement of the following specific objectives: · Support a common visa policy to facilitate legitimate travel; · Provide a high quality of service to visa applicants; · Ensure equal treatment of third-country nationals and · Tackle illegal migration?	What progress was made towards promoting the development and implementation of the common visa policy to facilitate legitimate travel, and how did the Fund contribute to achieving this progress?	
	What progress was made towards ensuring better consular coverage and harmonised practices on visa issuance between Member States, and how did the Fund contribute to achieving this progress?	SO1 R2, SO1 I1, SO1 I2
	What progress was made towards ensuring the application of the Union's acquis on visas and how did the Fund contribute to achieving this progress?	SO1 R3

	What progress was made towards Member States' contribution to strengthening the cooperation between Member States operating in third countries as regards the flows of third-country national into the territory of Member States, including prevention and tackling of illegal immigration, as well as the cooperation with third countries, and how did the Fund contribute to achieving this progress?	SO1 C3, SO1 R1, SO1 R6, SO1 R5
	What progress was made towards supporting the common visa policy by setting up and running IT systems, their communication infrastructure and equipment, and how did the Fund contribute to achieving this progress?	SO1 R4
	How did the operating support provided for in Article 10 of the Regulation (EU) No 515/2014 contribute to the achievement of the specific objective on common visa policy?	
<b>S02 - BORDERS</b>		
<ul style="list-style-type: none"> <li>Supporting integrated border management, including promoting further harmonisation of border management-related measures in accordance with common Union standards and through the sharing of information between Member States and between Member States and the European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union?</li> <li>Ensuring, on one hand, a uniform and high level of control and protection of the external borders, including by the tackling of illegal immigration and, on the other hand, the smooth crossing of the external borders in conformity with the Schengen acquis, while guaranteeing access to international protection for those needing it, in accordance with the obligations contracted by the Member States in the field of human rights, including the principle of non-refoulement?</li> </ul>	What progress was made towards promoting the development, implementation and enforcement of policies with a view to ensure the absence of any controls on persons when crossing the internal borders, and how did the Fund contribute to achieving this progress?	
	What progress was made towards carrying out checks on persons and monitoring efficiently the crossing of external borders, and how did the Fund contribute to achieving this progress?	SO2 C2, SO2 R2, SO2 I3, SO2 I5
	What progress was made towards establishing gradually an integrated management system for external borders, based on solidarity and responsibility, and how did the Fund contribute to achieving this progress?	SO2 R5
	What progress was made towards ensuring the application of the Union's acquis on border management, and how did the Fund contribute to achieving this progress?	SO2 R1, SO2 R3, SO2 R4
	What progress was made towards contributing to reinforcing situational awareness at the external borders and the reaction capabilities of Member States, and how did the Fund contribute to achieving this progress?	
	What progress was made towards setting up and running IT systems, their communication infrastructure and equipment that support border checks and border surveillance at the external borders, and how did the Fund contribute to achieving this progress?	SO2 I1, SO2 I2, SO2 I4
	How did the operating support provided for in Article 10 of the Regulation n° 515/2014 contribute to the achievement of the specific objective on border management?	

**Table 3. How did the Internal Security Fund ("Fund") contribute to the achievement of the general objective defined in the Regulation 513/2014? (CRIME AND RISK & CRISIS)**

SPECIFIC OBJECTIVE	EVALUATION QUESTIONS	INDICATORS
<b>S05 CRIME</b>		
How did the Fund contribute to the following specific objectives: <ul style="list-style-type: none"> <li>• Prevention of cross-border, serious and organised crime, including terrorism;</li> <li>• Reinforcement of the coordination and cooperation between law enforcement authorities and other national authorities of Member States, including with Europol or other relevant Union bodies, and with relevant third Countries and international organisations?</li> </ul>	What progress was made towards the achievement of the expected results of strengthening Member States' capacity to combat cross-border, serious and organised crime, including terrorism and to reinforce their mutual cooperation in this field?	S05 R1 S05 I1 S05 I2 S05 I3 S05 C3 S05 R3
	What progress was made towards the achievement of the expected result of developing administrative and operational coordination and cooperation among Member States' public authorities, Europol or other relevant Union bodies and, where appropriate, with third Countries and international organisations?	S05 R1 S05 I5 S05 I6 S05 C4 S05 I7
	What progress was made towards the achievement of the expected result of developing training schemes, such as those regarding technical and professional skills and knowledge of obligations on human rights and fundamental freedoms, in implementation of EU training policies, including through specific Union law enforcement exchange programmes?	S05 R2
	What progress was made towards the achievement of the expected result of putting in place measures, safeguard mechanisms and best practices for the identification and support of witnesses and victims of crime, including victims of terrorism?	S05 I4 S05 C3
<b>S06 RISK AND CRISIS</b>		
How did the Fund contribute to improve the capacity of Member States to manage effectively security-related risks and crises, and protecting people and critical infrastructure against terrorist attacks and other security-related incidents?	What progress was made towards reinforcing Member States' administrative and operational capacity to protect critical infrastructure in all sectors of economic activity, including through public-private partnerships and improved coordination, cooperation, exchange and dissemination of know-how and experience within the Union and with relevant third countries, and how did the Fund contribute to the achievement of this progress?	S06 R1 S06 R2 S06 I1

	What progress was made towards establishing secure links and effective coordination between existing sector-specific early warning and crisis cooperation actors at Union and national level, and how did the Fund contribute to the achievement of this progress?	S06 R1 S06 R2 S06 I1
	What progress was made towards improving the administrative and operational capacity of the Member States and the Union to develop comprehensive threat and risk assessments, and how did the Fund contribute to the achievement of this progress?	S06 R2 S06 C2

## II. Approach: Conducting surveys targeted to the beneficiaries

The second approach to evaluate the effectiveness of the Funds is to rely on “qualitative” methodologies. These methodologies will complement the conclusions drawn when assessing the progress made in implementing the Fund and will provide additional sources of data to support the replies to the evaluation questions. It is necessary to diversify data sources in an evaluation based on evidence. These qualitative methodologies may include: beneficiary surveys; case studies; an expert panel; focus groups; theory based impact evaluation.<sup>11</sup> Please also refer to the Better Regulation Toolbox, TOOL #50: Stakeholder Consultation Tools<sup>12</sup> and to Tool #2: Evidence Based Better Regulation<sup>13</sup>.

**The national evaluations of AMIF and ISF must be supported at least by approaches I and II.**

## III. Approach: Counterfactual impact evaluation using data on final recipients and non-recipients

The third approach that can be used to assess the effectiveness of the Fund is the Counterfactual Impact Evaluation (CIE).

<sup>11</sup> For a comprehensive review and description of these methods please refer to “EVALSED sourcebook. The resource for the evaluation of Socio-Economic Development: Sourcebook - Method and techniques.” (2013).

<sup>12</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_50\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_50_en.htm)

<sup>13</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_2\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_2_en.htm)

As this approach is more demanding in terms of data, it is fundamental that the RAs cooperate closely with the beneficiaries of the Fund to gather all the information on the final recipients<sup>14</sup> of projects/actions financed by the Fund (e.g. for AMIF a group of final recipients of a project could be asylum applicants, refugees or TCNs, who participated in a given training course). It is also extremely important to collect data on a group of non-participants<sup>15</sup> to the projects (e.g. asylum applicants, refugees or TCNs who did not follow the training). These data usually come in the form of a register or administrative data (e.g. social security data, tax records, where the nationality of the individuals is reported). Using unsuccessful applicants to a project financed by the Fund as a comparison group offers the opportunity to gather information on the project's performance after it has ended.

Not having a non-recipient control group to compare against the final recipient group makes it harder to quantify the impact of a project on a specific objective (integration of TCNs). Generally, the group of non-recipients (known as "control group") is used as a 'benchmark' for the group of beneficiaries, since it shows what would have happened to the beneficiaries had the project not been implemented. Control groups are the core component of any evaluation study, making it very important to collect data on non-recipients.

The individuals (both recipients and non-recipients) may also have received support from other projects in the past that fall outside the period of interest in the evaluation. A well-built counterfactual analysis can help to solve these contamination effects.

### **Example**

One of the SFC evaluation questions is "What progress was made towards promoting the effective integration of third country nationals, and how did the [AMIF] Fund contribute to this progress?".

The first part of the question concerns past progress in achieving a specific goal, namely effectively integrating third country nationals. This EQ is linked to various results and impact indicators collected in SFC, such as the gap between third

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<sup>14</sup> Final recipients or treated group: those who did receive support from a specific project financed by the Fund.

<sup>15</sup> Non-recipients, comparison group or control group: those who did not receive support from a specific project financed by the Fund.



country nationals and host country nationals in the employment rate (indicator SO2 I2), the unemployment rate (indicator SO2 I3) and the activity rate (SO2 I4). These indicators are described in Chapter 6.1. of the Annex.

However, the evidence based on these common and impact indicators is not sufficient to answer the second part of the question, which concerns the contribution of the Fund to the progress observed. This is a question on the **impact** of the Fund, and can be addressed using **counterfactual impact evaluation methods**.

The goal of the impact evaluation is to isolate the **causal effect** of the Fund on the three indicators above from potential confounding factors. For instance, although the money was spent properly, the host country v. third country national employment gap worsened over time, because of the business cycle or the Great Recession. Indeed, the first workers who are fired in an economic crisis are those who enjoy less employment protection, typically the “outsiders”, which often include low skilled third country nationals. Then, in order to assess the causal effect of the Fund, it is important to have an idea of what would have happened to the three indicators in the absence of the Fund. In other words, it is important to find and define a proper **counterfactual**.

### **5.1.2. Efficiency, relevance, coherence, complementarity, EU added value, sustainability, and simplification and reduction of administrative burden**

In the following part of section 4, RAs should provide information on the efficiency, relevance, coherence, complementarity, EU added value, sustainability of the Fund and also about simplification and reduction of administrative burden. Please also refer to the Better Regulation Toolbox, TOOL #42: Identifying the Evaluation criteria and questions<sup>16</sup> and TOOL #43: What Key Impacts Must be considered?<sup>17</sup>. These tools provide further guidance on these evaluation criteria.

## **Efficiency**

Efficiency considers the relationship between the resources used by an intervention and the changes generated by the intervention, which may be

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<sup>16</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_42\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_42_en.htm)

<sup>17</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_43\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_43_en.htm)

positive or negative. Efficiency is measured by how economical inputs or costs are transformed into results or benefits. Efficiency analysis is a key input into policy making since it helps both policy makers and stakeholders to draw conclusions on whether the costs of the EU intervention are proportionate to the benefits.

Good evaluations should, wherever possible, make strong efforts to go beyond a qualitative description of the different costs and benefits of the EU intervention and seek to quantify them. In order to identify the relevant cost categories of the costs, the full efforts to support and perform an intervention can be broken into different categories. They include such as: staff, purchases made, time and/or money spent, fixed costs, and, running costs, etc. These costs can be linked/associated to different aspects of an intervention and judged against the benefits achieved.

The analysis of efficiency can be carried out at various levels. While it is easier to measure efficiency at project level, it is also important to make an effort and measure it also at Fund level, also to be able to identify the administrative costs as a share of the budget.

Examples of sub-questions at project level:

- What was the total cost for the training per participant per hour (unit cost for an hour of training for one person)?
- To what extent are the costs justified given the outputs that have been achieved?
- What type of operation was most efficient for each target group and why?
- What percentage of staff attending the training course felt that the results justified the time spent?

### A closer look at benchmarking unit costs

Benchmarking unit costs is a technique to analyse efficiency and helps identify potential ways to improve the use of funding instruments. It compares cost per output, e.g. the cost of an accommodation place, across several projects. Benchmarking could also be used to compare the cost of the same output provided by different implementing bodies.

Similar analysis can be conducted using other partial efficiency indicators, for example the administrative costs per beneficiary.

Benchmarking unit costs provides only a partial indication of efficiency, since it does not cover all outputs of an intervention and does not include any information on how outputs translate into outcomes (and impacts). As a result, it cannot provide information on the entire intervention without further assumptions or analyses.

Very similar to unit costs, other quantitative indicators can be defined that, while not measuring overall efficiency, nevertheless measure one important contribution to the overall efficiency of an intervention.

For example, some methods for efficiency analysis are based on the calculation and the benchmarking of partial efficiency indicators such as:

- Costs per beneficiary of a service;
- Administrative costs per beneficiary;
- Time until the provided service was effective.

A qualitative assessment should be carried out in addition to the quantitative assessment. To this end, the evaluation should also identify how the main implementing partners' perceive efficiency. This can be done through a simple but targeted consultation (on line, by email, by phone), or a specific section in the evaluation questionnaire.

It is important to use stakeholders' perception to confirm or challenge the initial conclusions based on quantitative methods.

Please also refer to TOOL #51: TYPOLOGY OF COSTS AND BENEFITS<sup>18</sup> and to TOOL #52: METHODS TO ASSESS COSTS AND BENEFITS<sup>19</sup>.

## **Relevance**

Relevance looks how the objectives of the intervention will help address needs and problems in society.

The evaluation must look at the objectives of the EU intervention being evaluated and see how well they (still) match the (current) needs and problems. The answer to this question should identify whether there is any mismatch between the objectives of the intervention and the (current) needs or problems.

Moreover, the wrong "problem drivers" may have been identified during the impact assessment; incorrect assumptions may have been made about the cause and effect relationships; circumstances may have changed and the needs/problems may now not be the same as the ones looked at when the intervention was designed.

This is key information that will help policy makers decide whether to continue, change or stop an intervention.

## **Coherence**

The evaluation of coherence involves looking at a how well different actions work together: i) internally and ii) with other EU interventions within the same policy field or in areas which may have to work together. In the broadest sense, external coherence can look at compliance with international agreements/declarations.

## **Complementarity**

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<sup>18</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_51\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_51_en.htm)

<sup>19</sup> [http://ec.europa.eu/smart-regulation/guidelines/tool\\_52\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_52_en.htm)

The evaluation should look at the extent to which EU policies and interventions support and usefully supplement other policies (in particular those pursued by the Member States).

### **EU added value**

The evaluation should consider arguments about the value resulting from EU interventions that is additional to the value that would have resulted from interventions initiated at regional or national levels by both public authorities and the private sector. In many ways, the evaluation of EU added value brings together the findings of the other criteria, presenting the arguments on causality and drawing conclusions, based on the evidence to hand, about the performance of the EU intervention. For spending programmes, EU added value may result from different factors such as co-ordination gains, improved legal certainty, greater effectiveness or complementarity. The analysis of EU added value is often limited to the qualitative information, given the difficulties in identifying a counterfactual.

### **Sustainability**

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The evaluation should look at whether the effects are likely to last after the intervention ends. It is often hoped that the changes caused by an intervention are permanent. It can be important to test this expectation for interventions which have a finite duration, such as particular programmes. For the purpose of the evaluation of AMIF and ISF programmes, and given an extensive variety of projects, RAs may select a limited number of types of projects (e.g. language courses, purchase of equipment, renovation of a reception centre) and make sustainability checks after the end of the intervention only for a sample of projects within the selected categories.

### **Simplification and reduction of administrative burden**

AMIF and ISF were set up differently to the SOLID Fund structure. Switching from an annual to a multi-annual structure of national programmes; allowing eligibility rules to be set at a national level; proposing a number of simplified cost options — all these changes were aimed at reducing the administrative burden for the

Member States and the beneficiaries, and at simplifying the procedures. The interim and ex post evaluations must assess whether the new set-up has produced the intended effect. They must provide a qualitative assessment under the evaluation question on whether the Fund management procedures were simplified and the administrative burden on its beneficiaries was reduced.

### 5.1.3. How to insert the indicators

The SFC contains tables into which RAs can insert the results and impact indicators contained in the Delegated Regulation on CMEF<sup>20</sup>. Only some of the indicators are to be inserted by RAs. Indicators which come from other data sources (EASO, Eurostat, Frontex, the European Commission, etc.), will be pre-filled in SFC by the Commission (before October 2016), and RAs will already be able to see the numbers in SFC. RAs can correct the pre-filled indicators if they have more up-to-date data. In that case, they should justify the reason for the correction and the source of the new data. For the indicators which are to be inserted by them, RAs should refer to Chapters 6.1. and 6.2. of the Annex to this guidance document for information on units of measurement, reference periods and relevant definitions.

Some indicators are expressed as ratios, i.e. they have to be built from two indicators. In this specific case, Member States need to report the original numbers (numerator and denominator) and the ratio of the two will be calculated by SFC.

#### **Example**

The result indicator S01 R2 for ISF-Borders and Visa is built as the ratio of the number of Schengen Evaluation recommendations in the area of visas addressed with the support of the Fund (S01 R2 a), over the total number of Schengen Evaluation recommendations issued (S01 R2 b). This indicator therefore has three values: the value of the denominator (S01 R2 b), the value of the numerator (S01 R2 a) and the value of the ratio (S01 R2), which should be automatically generated by SFC.

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<sup>20</sup> For the template, please refer to chapters 6.5.2. and 6.5.4 of the Annex.

Other indicators have multiple values, meaning one indicator may have more than one value. For example, indicator ISF-Borders and Visas S02 I1 (number of irregular border crossings detected at the EU external borders) distinguishes between a) *between* the border crossing points; and b) *at* the border crossing points. This indicator is thus composed of two distinct variables: S02 I1a and S02 I1b.

If a RA wishes to send other relevant data (e.g. data disaggregated at regional level, or quarterly data), it will be possible to upload supplementary files in SFC.

## **5.2. Assessment of the evaluation report**

The assessment of the evaluation report (and any other requested documents) is needed to ensure that the final deliverables respond to the information needs. The quality of the final deliverables should be assessed against the requirements in the ToR. When assessing the report, the RA should check the reliability of data, and the analysis provided by the evaluators: the replies to the evaluation questions must be systematically supported by the data analysed in the report. The findings must follow a logical flow from the data, the analysis of information and the interpretation. Evaluations are based on the best available evidence (factual, opinion based, etc.), which should be drawn from a diverse and appropriate range of methods and sources (triangulation principle – TOOL #2: Evidence based Better Regulation). Not all sources of evidence are equally robust and consideration must be given to when and how the evidence was collected and whether there is any bias or uncertainty in it.

## **5.3. Best practice of counterfactual impact evaluation: pilot studies in collaboration with JRC**

Project examples (such as the ones to be reported under section 5 of the evaluation report template) can be analysed using CIE methods. Currently, JRC and DG HOME are collaborating together to identify two or three MSs that will volunteer to test this new evaluation approach. These examples are named pilot studies as they illustrate what should/could be ideally done in the future to properly evaluate projects/actions financed by a Fund.

The aim of the pilot studies is to build on the interim evaluation by further developing one or more aspects of migration and internal security in the Member

States. This will make it possible to better assess the EU challenges on this matter in the near future. The results of the pilot studies will be used for the Commission's interim evaluation to be submitted to the European Parliament and the Council on June 2018, and not for the national interim evaluation that the RAs will submit by the end of December 2017.

More information on the **CIE** methods which could be used in pilot studies is provided in the Chapter 6.3 of the Annex.

Chapter 6.4 of the Annex provides detailed examples of possible pilot projects that make use of CIE methods to evaluate the impact of a selected project/action on pre-defined objectives (such as integration and asylum for AMIF).



## **6. ANNEXES**

### **6.1. Indicators by specific objective – AMIF**

Refer to the background Note on the Ex-post evaluation for the consolidated definition.

## **6.2. Indicators by specific objectives – ISF**

Refer to the background Note on the Ex-post evaluation for the consolidated definition.

### 6.3. Methodology examples

Impact evaluation aims at finding evidence on whether a specific EU policy induced the intended changes in the target group's outcome (such as, for instance, immigrants' or refugees' integration and welfare or citizens' security), had no impact, or even had unintended positive or negative consequences (e.g., spillovers on the non-targeted group). In other words, impact evaluation concerns constructing data-based evidence on the question: *What would have happened to the target group affected by a policy in case the policy had not been implemented?* This is called the **counterfactual** question.

Impact evaluations that expressly aim to answer the counterfactual questions are called **Counterfactual Impact Evaluations (CIE)**. This is the standard in policy evaluation.

The features of target groups that are relevant for the policy impact evaluation are either called **outcome variables**, or **result indicators**. Result indicators concern both the intended and unintended effects of the policy. A reasonable number of result indicators does not exceed a handful. Examples of result indicators are: for the ISF fund, the number of persons using fraudulent travel documents detected at consulates supported by the Fund or the number of protected or assisted crime victims; for the AMIF fund, the number of places adapted for unaccompanied minors (UAM) as compared to the total number of places adapted for unaccompanied minors, or the gap between third country nationals and host country nationals.

The contribution of the programme to these results must be assessed by ex-post impact evaluations. The evaluation plan should specify how deeply the programme's contribution to the observed results (its **impact**) will be evaluated. The impact can be thought of as the share of the (potential) improvement in the result indicator only attributable to the Fund. When making an evaluation all potential external factors which might have also affected the result indicators must be taken into account. A good evaluation should aim at isolating the "net effect" of the policy (i.e. the effect over and above the external factors), which allows in turn the identification of the EU added value.

Result indicators are linked but distinct from **output indicators**, which generally refer to the "means" through which a given objective is accomplished. For the ISF

fund, examples of output indicators are the number and the value of the equipment acquired to improve border security (as in the case of iris recognition software installation).

Impact evaluation requires the expert use of **data** collected at the level of the unit that the policy targets, for example individuals or regions/municipalities. This type of data usually exists in the form of administrative data collected by Member States (MS) for the government administration, like tax records, social security records, etc.

Confidentiality of the data should be protected. Because these records are used for administrative purposes, they are usually subject to continuous updates and scrutiny, which results in good quality of data. In any case, the collection and access to data should be planned as early as possible.

Different policy characteristics and features of the available data lend themselves to the application of different **CIE methods**. Guidance from experts on CIE methods is probably needed to determine which data should be analysed by which method. The Commission Competence Centre on Microeconomic Evaluation (CC-ME) provides guidance on data provisions and on CIE methods.<sup>21</sup> In what follows, a brief description of various CIE methods is provided. There is no method which is generally superior to others. The appropriate evaluation method must be chosen based on the type of data available and the features of the programmes to be evaluated. Nevertheless, the key strategy is always to identify the causal effect of an intervention with a regression controlling for any possible confounding factors (external factors that may confound the effect under analysis). For instance, with the Instrumental Variables approach, the confounding factor remains unobserved, and we solved the identification problem by finding an instrument correlated with the regressor of interest but not with the confounder. These are the basic strategies to deal with confounding factors, and they form the core of the toolkit of the empirical evaluator. But there are variations on these themes and strategies, which place some particular structure on the confounder or the variable of interest. These strategies are for instance fixed effects, and its cousin differences-in-

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<sup>21</sup> Commission Competence Centre on Microeconomic Evaluation (CC-ME), all the details are available at this url <https://ec.europa.eu/jrc/en/microeconomic-evaluation>, email: [cc-me@jrc.ec.europa.eu](mailto:cc-me@jrc.ec.europa.eu).

differences. In particular, in what follows a brief description is provided of CIE methods that can be used for policy evaluation.

### **6.3.1. Naïve before and after comparison (B-A)**

A very naïve way of answering the evaluation questions could be to identify the related result indicators and compute the difference between the values of the indicators before and after the policy implementation. For the AMIF fund, imagine that the native-migrant employment gap fell by 1 percentage point in the period in which the AMIF fund was adopted, one may conclude that the Fund was effective in achieving the specific objective of migrants' economic integration. Why is this a naïve conclusion? Because the intervention logic makes it clear that other external factors may have contributed to producing this specific outcome, e.g., other funds such as the ESF fund allocated by countries to increasing integration. In the case of ISF, suppose it is possible to compare two countries (A and B). Imagine that, at some point in time, A receives the Fund while B does not. Afterwards, the evaluator may observe a reduction in the number of illegal border-crossings that is attributable to the Fund. As before, this is a naïve conclusion, in the sense that many other factors (not controlled in the comparison) may drive the result.

This is the methodology that can be used for the interim evaluation of AMIF and ISF as yearly data on the indicators and for each country is available.

### **6.3.2. Multivariate regression analysis**

A more sophisticated way of evaluating the Fund could then be the use of multivariate regression analysis. As the name suggests, **multivariate regression analysis** allows the evaluator to take into account several **explanatory variables** which may contribute to a specific result (**outcome variable**). Multivariate regression analysis enables one to determine the specific contribution of each variable *over and above* other variables, i.e. "keeping under control" the other characteristics. In the example taken above, this would consist of including in a regression explaining the native-immigrant employment gap, not only the amount of AMIF funds received and spent by a country, but also other EU or national funds spent for migrants' integration, together with other external factors. One such factor could be the changing composition of the migrants' stocks in terms of education. Increasing waves of relatively well educated refugees (e.g., from Syria) with respect to the past, for instance, might increase migrants' employability for

factors which are totally unrelated to the AMIF fund. All these “control variables” must be included in the regression. The choice of control variables should be theory-driven. For this reason, it is very important to always have clearly in mind the intervention logic of the Fund and have already identified all potential external factors in order to collect data on them.

The B-A analysis can be implemented using the multivariate regression framework every time a comparison is made between a period before a programme was in place and the period after the programme was implemented, controlling for the external factors.

In many cases, simple regression analysis estimated with ordinary least squares (OLS) will not be enough to establish a cause-effect link between a programme and an outcome. This can be easily understood through an example. Imagine that funds are allocated in higher proportion to promote integration of the least integrated migrant groups, e.g. those who are less employable because they do not speak the host-country language well. Let us say that regression analysis shows a *negative* association between migrants’ employment outcomes and the amount of funds received, should we conclude that the fund did have a negative effect on immigrants’ employment probability? Not at all. This negative association only reflects how the funds were allocated in the first place. Those who received fewer funds are not a good comparison group (counterfactual) for those who received more funds, as individuals in this group were more employable ex-ante, and they may keep this advantage also ex-post. In this case the allocation of funds analysis is unlikely to establish a causal link. There are other CIE methods that are better suited to evaluate causality.

### **6.3.3.Fixed Effects**

Another way to control for possible confounding factors relates to the fixed effect method (individual or region/province). Suppose you are interested in whether some particular area, in which, for example, a refugee camp or an Identification and Expulsion Centre (CIA) has been located reports a higher number of irregular immigrants. However, we are concerned that places with this kind of structure may be different from the ones without. It is also possible that all the controls that the evaluator includes in the regression are not enough to capture all the differences between locations (following the multivariate regression approach). Many of these factors will not be observable to the econometrician (namely, standard omitted

variable bias problem) and therefore the error term and presence of a CIA will be correlated and OLS will be biased. A fixed effect model would address this problem because it takes into consideration all the confounders which are time-invariant (such as characteristics that do not vary with the time, e.g. inherited ability) so that it is likely to recover an unbiased estimate of the parameter of interest. In practice, there are two ways of estimating these fixed effects models: (1) Demeaning (sometimes called "within estimator") the observations and/or (2) First differencing. The former implies that the econometrician needs to calculate "area" averages of the dependent variable and all explanatory variables and then to subtract these averages from the variables included in the regressions so that all the time-invariant variability is wiped out. An alternative way of estimating the fixed effects model is first differencing, which would also remove time-invariant unobserved heterogeneity. With two periods (e.g. data for two years) the two methods are algebraically the same, otherwise they are not. Both should work, but with first differencing you introduce serial correlation of the error terms, therefore demeaning is usually the best option.

#### **6.3.4. Instrumental Variables (IV)**

In many cases, the problem with multivariate regressions is that the main explanatory variable of interest (the treatment) is a **choice variable** for the individual. In all these cases, a possible concern is that unobservable variables affecting the treatment may also affect the outcome of interest. Let us assume that we wish to use micro-data<sup>22</sup> to evaluate the outcomes produced by a language course on asylum seekers, the outcome being language skills. In the regression analysis, our treatment of interest is an indicator for the individual having participated in the course. An unobservable variable might be the high (or low) motivation of an individual to learn the host country language, perhaps because he/she perceives his/her migration as permanent (or temporary) in that specific country. This unobserved motivation will affect both participation in the course and the outcome, because, for instance, highly motivated individuals will be involved in more interactions with natives, and acquire language skills by this additional channel. In this case, OLS will lead to a biased assessment of the effect of the

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<sup>22</sup> Micro-data are data collected at the lowest level of aggregation (individual, family, firm, etc.) and they can be obtained from different sources: census data, administrative data (e.g. social security records, tax records, matched employer-employee data etc.), and sources of big data (e.g. social networks

course. Instrumental Variables (IV) consists in finding a source of variation in course participation which is not under the control of the individual. We define this variation as **exogenous variation**. This kind of variation can be provided by a variable affecting course participation but uncorrelated with motivation (the unobservable variable), and which only affects the outcome through the treatment. This variable is called an **instrument**. An example of instrument could be the supply of courses in the refugee centre in which the asylum seeker is hosted. Since allocation of refugees to hosting centres is generally unrelated to their language skills, and more importantly refugees cannot generally choose the centre where they will be hosted, language course supply could be considered as “good as random” with respect to refugees’ unobservable characteristics affecting language skills, meeting the requirement of a “good instrument”.

### 6.3.5. Difference in Differences (DiD)

A step towards establishing causality is represented by the CIE method called Difference in Differences (DiD). The application of this method requires that we can identify a *treated group* (i.e. treated by the policy) and an *untreated or control group* (i.e. those not affected by the policy). The latter is considered as the counterfactual of what would have happened to the former in the absence of the policy. Treated and control groups are usually identified using institutional features of a policy. Imagine that a Fund sets a priority in the target group, saying that refugees from country A should benefit from the Fund. This implies that we can identify refugees from countries different from A, who were not the beneficiaries of the Fund. There will be many of such countries. A good idea is to choose a country as similar as possible to A (e.g. geographically close, with a similar GDP per capita, population, etc.). The DiD consists in taking the difference in the outcomes (i.e. employment rate) between the two countries after the policy implementation (say period  $t+1$ ), the difference before the policy implementation (say period  $t$ ), and finally the difference between the two differences (**difference-in-differences**). By defining the outcome with  $Y$ , we have

$$DiD = (Y_{t+1}^A - Y_{t+1}^B) - (Y_t^A - Y_t^B) = (Y_{t+1}^A - Y_t^A) - (Y_{t+1}^B - Y_t^B).$$

The DiD method can also be implemented in regression form, including potential external factors in the regression. The advantage of this CIE method crucially hinges on the assumption that group B is a good counterfactual of what would have happened to group A in the absence of the policy. This can be checked, for



instance, by verifying that the two countries were behaving similarly (e.g., with respect to immigrants' employment) before the implementation of the programme (sometimes called the "parallel trends" assumption). Specifically, in the absence of the treatment, both treated and control groups would have experienced over time the same trend in the outcome variable. Therefore, any deviation from the trend observed in the treated group can be interpreted as the effect of the treatment. Note that, the unobserved heterogeneity is time invariant and is cancelled out by comparing the before and after situations.

### **6.3.6. Regression discontinuity design (RDD)**

Also for the application of the regression discontinuity design (RDD) method we need to be able to identify a treated (by the policy) and a control group. In this case the policy eligibility has to be defined according to a quantitative variable for which a threshold was set. This could be, for instance, income or age. Let us assume that a specific Fund to increase migrants' employability is only allocated to individuals in the age range 18-24. We might use a DID considering as treated the 18-24 age group and the 25-29 as the control group. However, the latter may not represent a good comparison group for the former, as employers may prefer younger individuals who just left education and can be more easily trained. The RDD then consists in only focusing our attention on two age groups which are close to the eligibility threshold, for instance, considering as treated individuals aged 24 and as untreated those aged 25. Now, these individuals are very close in terms of age (only one year of difference) and we do not expect employers to substantially discriminate against individuals aged 25 when they have to decide whether to employ a 24-year old or a 25-year old individual. Also this RDD method can be implemented in regression form. The main issue with this powerful CIE method in terms of *internal validity*<sup>23</sup> is that it can only estimate causal effects around the threshold, in this case around the 24 year-old age group, while it would be difficult to generalize its results to other age groups (*external validity*). To put it in other words, estimates are likely to be "local". Similar arguments apply for the ISF.

### **6.3.7. Propensity score matching (PSM)**

In some cases there are no institutional rules which define the treated group according to qualitative (e.g. nativity) or quantitative (e.g. age) variables. An

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<sup>23</sup> *Internal validity* refers to the ability of a CIE method to estimate **causal effects**.

example could be the case of participation in a voluntary course financed by the AMIF fund. In this case DiD and RDD methods are not applicable. A problem with such programmes is that individuals are self-selected into a training course. Individuals who are ex-ante more likely to participate in the course may also be those who are ex-post more likely to find employment (e.g. highly motivated individuals). Under the assumption that self-selection occurs only according to observable characteristics (e.g. age, gender, educational level, etc.) and they are available in the data, the evaluator can use propensity score matching (PSM). PSM consists in matching to each treated individual T (who voluntarily participated in the course) a control individual C with very similar (or even the same) characteristics but who did not participate in the training course. Then the average treatment effect (ATE) of the course (or programme) can be computed by taking the mean of the difference in outcomes between each pair of individuals:

$$ATE = (Y_t^T - Y_t^C).$$

The advantage of this CIE method depends on the credibility of the “selection on the observables assumption” (also said Conditional Independence Assumption). In order to use PSM one must have a very rich database, providing information on many variables which may potentially affect participation in the programme.

#### **6.4. Pilot projects in collaboration with JRC**

Each pilot study will be accompanied by a report, which may be used as example for the other Member States in order to perform similar analysis in the future (ideally in view of the ex post evaluation). In particular, Member States would need to provide access to micro-level data. Micro-data are data collected at the lowest level of aggregation (individual, family, firm, etc.) and they can be obtained from different sources: census data, administrative data (e.g. social security records, tax records, matched employer-employee data etc.), and sources of big data (e.g. social networks). Since the AMIF and ISF deal with issues related to migration, integration and security, the type of micro-data needed to design the evaluation plan usually come from registers held by Responsible Authorities such as the Ministry of Interior, Police departments, etc. Furthermore, these registers can be matched with information on the allocation of the funds within the country (by region, province, etc.). These pilot studies would, for instance, allow for a comparison of labour market outcomes of immigrants who attended a programme financed by AMIF with individuals who have similar observable characteristics

(nationality, age, gender, etc.) but who did not participate in the programme. On the granularity of the aggregation, the aim of the pilot projects is to analyse the impact of the funds at the level of the beneficiaries (being the individual, family or regions in countries with a more decentralized system). The Commission and the Member States will closely cooperate in the design of the impact evaluation plan, data collection and preparation, following the required protocols.

#### **6.4.1. Micro-data and methodology for AMIF evaluation**

The use of micro-data is becoming the standard for programme evaluation. In this paragraph, we outline a simple example on the use of micro-data to evaluate the effectiveness of projects financed under AMIF.

One may wish to assess whether AMIF succeeded in increasing immigrants' socio-economic integration by focusing on some language courses. This evaluation poses several challenges. First, data on each single individual taking the course must be available (treated). Information on a comparable sample of individuals not taking such course (and in general not taking any course) is also needed. The data must also provide basic information on individual characteristics (e.g. gender, age, country of origin, ethnicity, level of education, etc.). These characteristics are useful to select control individuals who match the treated sample's characteristics. What can be a good outcome variable? In some countries there may be an official standardized language test which must be taken and passed to renew the residence permit. A first way of realizing a pilot evaluation may be to use PSM and compute ATE on the final score obtained in the standardized test.

In other countries, however, there might not be any standardized test and the pass/fail grade may reflect different standards of language assessment. Moreover, only migrants attending the course may have their skills assessed. In this case, were administrative data on labour market or criminal records available, one could focus on the differences between treated and untreated individuals in the probability of being employed or having no criminal record.

PSM is based on the assumption of selection on observable variables only. This assumption may be too strong in some cases. One may look for presumably exogenous sources of variation in language course supply, which are uncorrelated with individual unobservable characteristics affecting motivation and, later on, language skills or employability. If there is some geographical variation in course

supply to be exploited, for instance, and under the assumption that this variation is not related with individuals' motivation or local labour market characteristics (i.e. it satisfies the requirement of *exogeneity*), it is possible to apply an IV strategy. The underlying logic is the following. Asylum seekers are not generally able to choose the centre where they are hosted, so there is no self-sorting into specific centres. Some centres may have a large language course supply, while in other centres supply may be much lower. Thus from the perspective of the individual refugee, local course supply is exogenous, i.e it is not a choice variable, but it will affect his/her chances to take the course. These differences in supply provide the exogenous variation in taking the language course (the endogenous choice variable) which is used in the IV estimation to quantify its causal effect on socio-economic integration.

#### **6.4.2. Micro-data and methodology for ISF evaluation**

With ISF it is more difficult to identify the proper unit of analysis needed to collect the micro-data. In addition, many of the indicators are available exclusively at the national levels, and it is meaningless and/or impossible to collect data at a lower level (for example indicator S01 I1 – number of visa applicants having to apply for a Schengen visa outside of their country of residence- is a data set which is collected at national level and cannot be collected in a different way). Nevertheless, the following two examples explain how a more disaggregated data collection combined with information on how the funds are distributed can be useful in the evaluation process of ISF.

##### **(1) Individual data (e.g. police station)**

Suppose that ISF provides some resources to police stations that have to be invested in a particular device (for example, iris recognition device) to control and limit, to some extent, the number of illegal border-crossings. Suppose that there is a rule that defines a treated (by the policy) and a control group. For example, it is possible that money is allocated considering distance from the borders, so that some police stations may receive the money because they are closer to the borders (for example within 10 km) and others do not receive the money as they are located further away from the borders (more than 10 km). In this case, the policy eligibility defines a quantitative variable for a threshold (in or outside 10 km). The RDD then consists in focusing attention only on two groups of police stations which are close to the eligibility threshold, for instance, considering as treated the police

station within 10 km from the border and as untreated those located at 12 km. Now, these police stations are very close in terms of observables (only 2 km of difference) and we do not expect enormous differences between those around the threshold. The main issue with this powerful CIE method in terms of *internal validity*<sup>24</sup> is that it can only estimate causal effects around the threshold, in this case around the 10 km, while it would be difficult to generalize its results to other distance groups. To put it in other words, estimates are likely to be “local”.

The following equation provides a simple way to make this estimation procedure operational:

$$y_{it} = \alpha_0 + \alpha_1 T_i + f(r_i) + \epsilon_i \quad (1)$$

Where:

$y_i$  = the outcome measure for observation unit (the number of illegal border-crossings detected by each police station  $i$ );

$\alpha_0$  = the average value of the outcome for those in the treatment group after controlling for the rating variable;

$T_i = 1$  if observation, a police station,  $i$  is assigned to the treatment group and 0 otherwise;

$r_i$  = the rating variable for observation  $i$ , centred at the cut-off point (around 10 km);

$\epsilon_i$  = a random error term for observation  $i$ , which is assumed to be independently and identically distributed.

The coefficient  $\alpha_1$ , for treatment assignment represents the marginal impact of the program at the cut-off point.

To summarize, we can properly evaluate an action (buying a device for iris recognition) aiming at reaching the specific objective 2 (borders) of ISF if we have access to micro-data at the level of police stations, if we know which units were treated (which police stations received the money to buy the device), and if assignment of the unit (i.e. police stations) into the treatment or control group is based on a clear and objective rule (i.e. police stations within 10 km from the

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<sup>24</sup> *Internal validity* refers to the ability of a CIE method to estimate **causal effects**.

borders receive the money, police stations located further away do not receive the money).

## (2) Municipality level data

Idea: use a DID setting.

Suppose the ISF provides funding to municipalities where there is an Identification and Expulsion Centre (IEC). The funding is available since 2014, while before that year no municipalities received ISF funding.

Municipalities without an IEC are always untreated, i.e. they never receive funding, while places with IEC are treated by ISF funding after 2014, i.e. receive the money only after 2014 (first year of implementation).

The estimated equation is

$$y_{it} = \alpha_0 + \alpha_1 IEC_i + \alpha_2 POST_t + \alpha_3 IEC_i \times POST_t + \alpha_4 X_{it} + \epsilon_i \quad (1)$$

$y_{it}$  is the outcome to be investigated (e.g. crime rate or the number of illegal immigrants registered);  $IEC_i$  is a dummy variable which equals 1 if the observation refers to places with an IEC and equals 0 otherwise (intercept shifter);  $POST$  is a post-2013 dummy; the coefficient on  $IEC \times POST_t$  ( $\alpha_3$ ) is our effect of interest; and  $X_{it}$  is a vector of controls varying at the country, regional or municipality level (e.g. % of migrants, average GDP, etc.). For this setting to be valid, it is necessary that ISF is not producing any spillover effect on the control group for the outcomes of interest. In addition, it is also necessary that before the fund was allocated, the trend in the outcomes (i.e. crime rate) between the treated and control municipalities was parallel.

The main idea is that, in the absence of the ISF, outcome (e.g. crime rate) would have been  $\alpha_0 + \alpha_1 IEC_i + \alpha_2 POST_t + \alpha_4 X_{it}$ .

Equation (1) can also be changed to account for the intensity of treatment (amount of funds spent or number of projects financed),  $F_{it}$  i.e. the amount of funds or projects of region  $i$  at time  $t$ , that is

$$y_{it} = \alpha_0 + \alpha_1 CIA_i + \alpha_2 POST_t + \alpha_3 CIA_i \times POST_t \times F_{it} + \alpha_4 X_{it} + \epsilon_i \quad (2)$$

Exploiting  $F_{it}$  increases cross-country or cross-regional variation, but may introduce an issue of endogeneity of fund allocation across countries or regions.

To summarize, we could evaluate the effectiveness of the fund in decreasing crime rate if we are able to have information on units which are treated and units which

are not treated (e.g. municipalities receiving or not the money) and if we are able to have information on a time series of data going back to years previous to the intervention (before 2014).

## 6.5. Evaluation report template in SFC

No longer applicable. See Background note for the ex-post evaluation for the 2014-2020 period.

## 6.6. Frequently Asked Questions

### 6.6.1.AMIF FAQ

Asylum, Migration and Integration Fund	
Regulation (EU) No 514/2014 of the European Parliament and of the Council of 16 April 2014 laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management	
Questions/Observations from MS	Clarification by the Commission
EVALUATION OF NATIONAL PROGRAMMES BY MEMBER STATES	
Article 56.3: "The evaluations referred to in Article 57(1) shall be carried out by experts who are functionally independent of the Responsible Authorities, the Audit Authorities, and the Delegated Authorities. Those experts may be affiliated to an autonomous public institution responsible for the monitoring, evaluation and audit of the administration. The Commission shall provide guidance on how to carry out evaluations".	
Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"><li>• According to Art 56(3) the experts that shall carry out the evaluations may be affiliated to a public institution and should be functionally independent of the RA and AA.</li></ul> <p><i>Can the experts be affiliated to internal audit units (i.e, Interne Revision in Germany) which are independent from the other departments and report directly to the top management? Would this provision be in line with the conditions of Art 56(3)?</i></p>	<ul style="list-style-type: none"><li>• The legal basis does not exclude this possibility, provided that independence and autonomy are ensured. However, the Responsible Authority should check if the body they want to entrust the evaluation to has experience in evaluation or at least in performance audit (i.e. not limited to financial and compliance audit).</li></ul>
Regulation (EU) NO 516/2014 of the European Parliament and of the Council of 16 April 2014 establishing the ASYLUM,	



**MIGRATION and INTEGRATION FUND, amending Council Decision 2008/381/ EC and repealing Decisions No 573/2007/EC and No 575/2007/ EC of the European Parliament and of the Council and Council Decision 2007/435/EC**

**Annex IV List of common indicators for the measurement of the specific objectives**

**Specific objective – Asylum and Reception**

Indicator (a)(i): Number of target group persons provided with assistance through projects in the field of reception and asylum systems supported under the Fund. For the purposes of annual implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down in sub-categories such as:

- number of target group persons benefiting from information and assistance throughout the asylum procedures,
- number of target group persons benefiting from legal assistance and representation,
- number of vulnerable persons and unaccompanied minors benefiting from specific assistance.

<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li>• <i>What does exactly the term "specific assistance" mean? Should we count only those, who were provided with specific assistance (i.e. assistance which is not provided to any other group of persons), or all vulnerable persons, who were provided with assistance of any kind?</i></li> </ul>	<ul style="list-style-type: none"> <li>• This subcategory should include the number of vulnerable persons and unaccompanied minors that received specific assistance, not any type of assistance. Based on Recital 33 of Regulation 516/2014, "specific assistance" should be understood as a special attention paid to, or a dedicated response provided for the specific situation of vulnerable persons, in particular women, unaccompanied minors and other minors at risk. The definition of vulnerable asylum applicants as per the Reception Conditions Directive 2013/33 (Art. 2(k) and Art. 21) should be taken into account on this issue.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Especially the subcategory indicator "number of vulnerable persons and unaccompanied minors"</i></li> </ul>	<ul style="list-style-type: none"> <li>• This subcategory should include the number of vulnerable persons and unaccompanied minors that</li> </ul>

*benefiting from specific assistance". What was really meant to be counted under this subcategory – the general number of vulnerable persons/ unaccompanied minors in the projects of SO 1 OR, or the number of vulnerable persons/ unaccompanied minors who received only specific assistance?*

*For example, a disabled person (i.e. vulnerable) received legal advice which is a general one (the same legal advice as many asylum seekers receive). In which subcategory of indicator No 1 should this person be counted?*

*- in the subcategory No 1.3 "number of vulnerable persons and unaccompanied minors benefiting from specific assistance" (because this is a vulnerable person);*

*- in the subcategory No 1.1 "number of target group persons benefiting from information and assistance throughout the asylum procedures" (because the word "assistance" should be understood in a very broad way and covers also legal advices);*

*- in the subcategory No. 1.2 "number of target group persons benefiting from legal assistance and representation" (because the person received legal advice);*

*- or in all above-mentioned subcategories of indicator No 1?*

*The other example would be pregnant women (i.e. vulnerable) who received psychological consultations throughout the asylum procedures. In which*

received specific assistance, not any type of assistance. Based on Recital 33 of Regulation 516/2014, "specific assistance" should be understood as a special attention paid to, or a dedicated response provided for the specific situation of vulnerable persons, in particular women, unaccompanied minors and other minors at risk. The definition of vulnerable asylum applicants as per the Reception Conditions Directive 2013/33 (Art. 2(k) and Art. 21) should be taken into account on this issue.

In the first example given, the person with a disability receiving 'general' legal advice will be counted under subcategory No 1.2 "number of target group persons benefiting from legal assistance and representation". It should not be counted in 1.1 because the assistance should refer to any assistance excluding specific assistance covered in subcategory indicators 1.2 (legal assistance and representation) and 1.3 (vulnerable persons and UAM).

In the second example given, the vulnerable person will be counted under subcategory No 1.1 if she benefits from psychological assistance (or other kind of assistance) which is not specifically targeted to vulnerable persons. If the psychological assistance is only offered to vulnerable persons, then she will be counted under subcategory No 1.3.

The common indicator is broader than the subcategory indicators and therefore it includes all types of assistance provided under the Fund in the field of reception and asylum.

<p><i>subcategory of indicator No 1 should this person be counted?</i></p> <ul style="list-style-type: none"> <li><i>- in the subcategory No 1.1 "number of target group persons benefiting from information and assistance throughout the asylum procedures" (because the word "assistance" should be understood in a very broad way and covers also psychological consultations);</i></li> <li><i>-in the subcategory No 1.3 "number of vulnerable persons and unaccompanied minors benefiting from specific assistance" (because this is a vulnerable person);</i></li> <li><i>-or in both above-mentioned subcategories of indicator No 1?</i></li> </ul>	<p>The value of the common indicator should, in principle, be higher than any one of the subcategory indicators.</p> <p>For example, persons who received legal counselling should be included in the relevant subcategory referring to legal assistance and representation. However, if the same person has received both legal assistance and representation and information and assistance, it should be counted under both sub-categories. Obviously, in the common indicator (a(i)) this person should be counted only once.</p>
<ul style="list-style-type: none"> <li><i>• Concerning the subcategory indicator "number of target group persons benefiting from information and assistance throughout the asylum procedures", we want to make a comment about the implementation of this indicator.</i></li> </ul> <p><i>Since the projects are implemented under the Fund for the development of sources of information, such as periodicals, posters, documents, web sites etc., in order to facilitate the diffusion of the information, the project assessment is done according to the number of potential readers, publications, or the website traffic statistics.</i></p>	<ul style="list-style-type: none"> <li><i>• This is correct. If the cost of providing the exact values for certain indicators is excessive, estimates can be provided instead. If estimates are provided, it should be clearly indicated as well as the methodology/the basis used for estimation (e.g. evaluation studies and reports, historical averages, publications etc.).</i></li> </ul>
<ul style="list-style-type: none"> <li><i>• We would like to have clarification on how to count participation from the target group, for instance an asylum seeker can benefit from actions and different projects covering housing, legal aid, developing of IT-systems/case management systems and etc.</i></li> </ul>	<ul style="list-style-type: none"> <li><i>• A person should be counted only once under the common indicator. It can, however, be counted in several sub-categories.</i></li> </ul> <p>For example, persons who received legal counselling should be included in the relevant subcategory</p>

<p><i>As we see it, it is difficult to always be sure that one person will only be counted once.</i></p>	<p>referring to legal assistance and representation. However, if the same person has received both legal assistance and representation and information and assistance, it should be counted under both sub-categories. Obviously, in the common indicator (a(i)) this person should be counted only once.</p>
<ul style="list-style-type: none"> <li><i>• We propose the breakdown of the category "vulnerable persons" in order to include the following persons: "minors, people with disabilities, the elderly, pregnant women, single parents with minor children and persons who have undergone torture, rapes or other serious forms of psychological, physical or sexual abuse/harassment (former article 5 Decision 2007/575 / EC), victims of human trafficking, persons with serious illnesses" (as identified by art. 4 of the Decree of the Ministry of Interior "Guidelines for the implementation of programs of voluntary and assisted return", 27 October 2011);</i></li> </ul> <p><i>-number of target group persons benefiting from information and assistance throughout the asylum procedures,</i></p> <p><i>- number of target group persons benefiting from legal assistance and representation,</i></p> <p><i>- number of vulnerable persons and unaccompanied minors benefiting from specific assistance.</i></p>	<ul style="list-style-type: none"> <li><i>• The common indicators for the measurement of the specific objectives have been defined by the co-legislators in Annex IV of Regulation (EU) 516/2014. These indicators can't be modified.</i></li> </ul> <p>The definition of "vulnerable person" is provided in Article 2 (i) of Regulation (EU) 516/2014: "vulnerable person means any third-country national who complies with the definition under Union law relevant to the policy area of action supported under the Fund "</p>
<ul style="list-style-type: none"> <li><i>• For the "number of target group persons benefiting from information and assistance throughout the asylum procedures": according to the formulation of the subcategory,</i></li> </ul>	<ul style="list-style-type: none"> <li><i>• Please also count the persons who received only information services. So it should rather be read as</i></li> </ul>

<p><i>does it mean that the person should be counted only if he/she receives both measures – information and assistance? Or could we also count the person which received only information services?</i></p>	<p>"persons benefiting from information and / or assistance".</p>
<p>• <i>For the "Number of target group persons benefiting from information and assistance throughout the asylum procedures": Is it correct that the total number of persons assisted should be given here, including particularly vulnerable persons, unaccompanied minors and persons who have benefited from legal assistance?</i></p>	<p>• Yes this is correct, if the information and assistance were not specifically addressed. This subcategory indicator refers to any information or assistance excluding the specific assistance covered in subcategory indicators 1.2 (legal assistance and representation) and 1.3 (vulnerable persons and UAM). A person receiving legal assistance will be counted under subcategory 1.2. A vulnerable person benefitting from specific assistance will be counted under subcategory 1.3.</p> <p>For example, a vulnerable person receiving "general" psychological assistance (i.e. offered to all asylum seekers) will be counted under subcategory 1. If this vulnerable person benefits from specific psychological assistance through a project addressing the specific needs of the vulnerable persons, then it should be recorded under subcategory 1.3.</p>
<p>• <i>For the "Number of target group persons benefiting from legal assistance and representation": Does the legal assistance have to be provided by (fully qualified lawyers)?</i></p>	<p>• No, the Regulation does not specify that legal assistance has to be provided only by fully qualified lawyers. For further information, you may refer to Article 21 ('Conditions for the provision of legal and procedural information free of charge and free legal assistance and representation') of Directive 2013/32.</p>
<p>• <i>For the "Number of vulnerable persons and unaccompanied minors benefiting from specific</i></p>	<p>• Based on Recital 33 of Regulation 516/2014, 'specific assistance' should be understood as a special</p>

<p><i>assistance": How is specific assistance defined?</i></p>	<p>attention paid to, or a dedicated response provided for the specific situation of vulnerable persons, in particular women, unaccompanied minors and other minors at risk.</p>
<p>Indicator (a) (ii): Capacity (i.e number of places) of new reception accommodation infrastructure set up in line with the common requirements for reception conditions as set out in the Union acquis and of existing reception accommodation infrastructure improved in accordance with the same requirements as a result of the projects supported under the Fund and percentage in the total reception accommodation capacity.</p>	
<p><b>Questions/Observations from MS</b></p>	<p><b>Clarification by the Commission</b></p>
<ul style="list-style-type: none"> <li><i>If a Country does not operate asylum reception centres nor have permanent accommodation (i.e. if the service is contracted out and places are made available based on the demand), it will be impossible to calculate this indicator. To this end, a MS could instead provide the number of asylum seekers in receipt of accommodation support, against the total number of asylum claims.</i></li> </ul>	<ul style="list-style-type: none"> <li>The response to this indicator shall report on the number of places created or improved under projects supported by AMIF. If a MS does not fund projects aiming at creating new places or improving accommodation capacity, the result reported will read "zero" new/improved places. Therefore the percentage in the total reception accommodation capacity will also be "zero percent".</li> </ul> <p>In the narrative section of the report, it is possible to explain how the services are organised and delivered, and MS should provide data on the capacity to respond to the demand ("number of asylum seekers in receipt of accommodation support, against the total number of asylum claims").</p>
<ul style="list-style-type: none"> <li><i>The percentage in the total reception accommodation capacity. There are different authorities responsible for accommodation for asylum seekers (Swedish Migration Agency) and unaccompanied minors (Municipalities), in this case</i></li> </ul>	<ul style="list-style-type: none"> <li>The total reception accommodation capacity refers to the accommodation of asylum seekers, including unaccompanied minors.</li> </ul>

<p><i>we probably aggregate a total requirement for both target groups (UAM and other asylum seekers – adults, families etc.).</i></p>	
<p>• <i>Questions to be clarified/discussed:</i></p> <p>1) <i>Detailed definition of improvement standards/ statistical concepts;</i></p> <p>2) <i>Definition of the methods of estimation;</i></p> <p>3) <i>Confirm that the total reception capacity refers to the baseline year of the AMIF National Program presentation or to a specific conventional date (e.g. 31.12.2014)</i></p>	<p>• In this indicator, the improvement to the accommodation infrastructure should be understood as improving reception infrastructure in line with the Directive 2013/33/EU laying down standards for the reception of applicants for international protection (recast). There is no detailed standard defined at EU level. Member States have to provide reception conditions in line with the Directive, especially its Article 17 (General rules on material reception conditions and health care). Under this indicator, the total reception capacity refers to the situation at the time of reporting (actual situation), not the baseline.</p>
<p>• <i>We have a question related to the part of this indicator, i.e. capacity of existing reception accommodation infrastructure improved. We do understand that we should count the number of improved places in the room for target group persons – we should simply count the places in the room. But there is some uncertainty how we should count the number of places if the common premises of the building of target group persons were improved, i.e. the common kitchen or corridors of the building for the target group persons. For example, the building for the target group persons has 88 places – part of the rooms, e.g. 15 rooms (each of 4 places) and the common kitchen, bathrooms and corridors are improved. How should we count the indicator – 60 places</i></p>	<p>• Please only count the number of improved places in the room. In your example, it would mean 60 places.</p>

<p><i>(15x4) or 88 places (because all the residents of the building will use the common improved kitchen, etc.).</i></p>	
<ul style="list-style-type: none"> <li>• <i>Would the AMIF Indicator on reception accommodation cover temporary accommodation used for asylum seekers for a short period (2 days-2 months) before they are transferred to other accommodation (this temporary accommodation is privately owned)?</i></li> </ul>	<ul style="list-style-type: none"> <li>• The response to this indicator shall report on the number of places created or improved under projects supported by AMIF. If a MS does not fund projects aiming at creating new places or improving accommodation capacity, the result reported will read "zero" new/improved places. Therefore the percentage in the total reception accommodation capacity will also be "zero percent".</li> </ul>
<p>Indicator (a) (iii): Number of persons trained in asylum-related topics with the assistance of the Fund, and that number as a percentage of the total number of staff trained in those topics.</p>	
<p><b>Questions/Observations from MS</b></p>	<p><b>Clarification by the Commission</b></p>
<ul style="list-style-type: none"> <li>• <i>The number of trained people can be provided, but it could be difficult to provide the percentage due to fluctuations in the staff.</i></li> </ul>	<ul style="list-style-type: none"> <li>• For each reporting period, MSs will calculate the total number of staff trained in asylum-related topics and earmark those having benefitted from training funded through AMIF. The percentage will be then calculated financial year by financial year, independently from the mobility of the staff.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Persons trained may be from various authorities and organisations working with asylum topics – Swedish Migration Agency, Swedish Red Cross, staff within county administrative boards and municipalities and others.</i></li> </ul> <p><i>Indicator C3.2 ("total number of staff trained in those topics"): we do see a problem with aggregating results since we believe trained staff will be from different organisations. Percentage of total</i></p>	<ul style="list-style-type: none"> <li>• Percentage= number of persons trained in asylum related topics with the assistance of AMIF / Total number of persons trained in asylum related topics (under AMIF and with other sources) *100.</li> </ul> <p>You will need to obtain data on total number of staff trained in asylum related topics from all asylum-related institutions, not only staff from institutions which will</p>



<p><i>number of staff trained will hence have a risk of becoming misleading, although we will ask each separate organisation to report total number staff trained and percentage of total staff trained</i></p>	<p>participate in AMIF projects. If the cost of providing the exact values for certain indicators is excessive, estimates can be provided instead. If estimates are provided, it should be clearly indicated as well as the methodology/the basis used for estimation (e.g. evaluation studies and reports, historical average, publications, etc.).</p>
<ul style="list-style-type: none"> <li>• <i>What if some persons take part in various trainings? Do we count one person only once, or the number of trainings he/she attended?</i></li> </ul>	<ul style="list-style-type: none"> <li>• This indicator refers to the number of persons trained, no matter the number of trainings it attended. A person should therefore only be counted once, even if he/she has attended several trainings.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Definition of the indicator and the related targets. Please consider that, if the indicator refers to civil servants employed in the National migration authorities, such data is also collected by EASO, which has a specific mandate in asylum training.</i></li> </ul> <p><i>On the other hand, if the indicator includes also non-institutional actors, the "number as a percentage of the total number of staff trained in those topics" is rather complex to be quantified. Indeed, it would require the preliminary recording of all training activities performed by all case workers and, then, the calculation of the total of persons trained under the Fund."</i></p>	<ul style="list-style-type: none"> <li>• Percentage= number of persons trained in asylum related topics with the assistance of AMIF / Total number of persons trained in asylum related topics (under AMIF and with other sources) *100.</li> </ul> <p>You will need to obtain data on total number of staff trained in asylum related topics from all asylum related institutions, not only staff from institutions which will participate in AMIF projects. If the cost of providing the exact values for certain indicators is excessive, estimates can be provided instead. If estimates are provided, it should be clearly indicated as well as the methodology/the basis used for estimation (e.g. evaluation studies and reports, historical averages, publications etc.).</p>
<p>Indicator (a) (iv): Number of country-of-origin information products and fact-finding missions conducted with the assistance of the Fund.</p>	

Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"> <li><i>What are we counting (number of products established or number of copies of these, e.g. brochures)? This indicator is too generic. Please clarify in order to better define its scope and meaning</i></li> </ul>	<ul style="list-style-type: none"> <li>This indicator refers to the result of Country-of-Origin Information (COI) research which has been carried out with the assistance of the Fund. It can be presented in different forms (a report, a case file, a query report, an information package, a website, etc.). The indicator does not measure the number of copies of these products. The indicator also refers to the number of fact-finding missions supported by the Fund.</li> </ul>
<ul style="list-style-type: none"> <li><i>What is to be understood by information products? Does it only include printed matter, e.g. flyers, brochures, manuals, etc. or are websites that provide information on the countries of origin also included? How is the number of products defined? How are the products to be counted? Should individual copies, e.g. flyers, be counted or is the number based on the measure?</i></li> </ul>	<ul style="list-style-type: none"> <li>COI information is used by the Member States authorities to analyse the socio-political situation in countries of origin of applicants for international protection in the assessment of an application for international protection. Therefore, it will most probably not take the form of a flyer.</li> </ul>
Indicator (a) (v): Number of projects supported under the Fund to develop, monitor and evaluate asylum policies in Member States.	
Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"> <li><i>The AMIF National Program includes the implementation of six "structural" projects (SIPO update, information activities, monitoring of reception conditions, strengthening of resettlement office, etc.). Please set out the meaning and added value of the required indicator, considering that high "quantities" of projects don't imply/ensure high "qualities".</i></li> </ul>	<ul style="list-style-type: none"> <li>The common indicators for the measurement of the specific objectives have been defined by the co-legislators in Annex IV of Regulation (EU) 516/2014. This is indeed a quantitative indicator.</li> </ul>

## Specific Objective - Legal Migration and Integration

Indicator (b) (i): Number of target group persons who participated in pre-departure measures supported under the Fund.

Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"> <li><i>Please specify target groups. We propose: the number of TCN involved in pre-departure training programs and the number of TCN beneficiaries of pre-departure information services.</i></li> </ul>	<ul style="list-style-type: none"> <li>The target group for pre-departure measures is defined in Article 8 and in Recital 21 of Regulation (EU) 516/2014.</li> </ul>
<ul style="list-style-type: none"> <li><i>In practical terms, what measures fall into the category of pre-departure? For example, does this also include visiting websites that provide information on the Member State. Or does this indicator cover only the provision of advice and information locally? Would it be possible to give examples of pre-departure measures in order to clarify the scope of this indicator?</i></li> </ul>	<p>Article 8 of Regulation (EU) 516/2014 lists actions which could be supported by the Fund in the context of pre-departure measures.</p> <p>Examples of pre-departure measures are information provision through one-to-one counselling sessions/specifically developed material; skills development, job matching, recognition of qualifications.</p> <p>Concerning your example about visiting a website that provides information on the Member State, we would tend to say that a pure website visit cannot be considered a pre-departure measure. Furthermore, the indicator refers to the number of persons who participated in pre-departure measures. This refers to taking part in an activity or an event. A visit to a website should not, in principle, be assimilated to the participation to a pre-departure measure.</p>
<p>Indicator (b) (ii): Number of target group persons assisted by the Fund through integration measures in the framework of national, local and regional strategies. For the purposes of annual implementation reports,</p>	

as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down in sub-categories such as:

- number of target group persons assisted through measures focusing on education and training, including language training and preparatory actions to facilitate access to the labour market,

-number of target group persons supported through the provision of advice and assistance in the area of housing,

-number of target group persons assisted through the provision of health and psychological care,

- number of target group persons assisted through measures related to democratic participation.

<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>What if some persons take part in various assistance activities? Do we count one person only once, or the number of activities he/she participated in?</i></li> </ul>	<ul style="list-style-type: none"> <li>The common indicator is broader than the subcategory indicators and therefore it includes all types of assistance provided by the Fund through integration measures in the framework of national, local and regional strategies.</li> </ul> <p>The value of the common indicator should, in principle, be higher than any one of the subcategory indicators.</p> <p>Persons taking part in various assistance activities falling under various subcategory indicators will be counted under each relevant sub-category. In the common indicator, these persons will only be counted once.</p>
<ul style="list-style-type: none"> <li><i>During the Kick-off meeting the question concerning the double counting has been raised by the MS and by the Commission.</i></li> </ul> <p><i>The common indicators, which include also the activities</i></p>	<ul style="list-style-type: none"> <li>This is correct. In the implementation reports you should submit data on subcategories of target groups and same target group may be counted in several sub-categories.</li> </ul>

<p><i>indicators, should outline the development of the implemented projects. Consequently each action should be evaluated separately.</i></p> <p><i>For example, a third country national can benefit from social and psychological assistance (Action B3) as well as assistance related to his competences (Action B4).</i></p> <p><i>In the framework of the common indicators strategy, this same person is counted 2 times in order to evaluate the implementation of each action. In the framework of the evaluation impact, our objective is different because we want to understand the impact of the measures on the beneficiaries. In this case, we refer to the number of people: the measures implemented under the Fund have facilitated the access to the labour market to a certain number of persons.</i></p>	<p>However, your example also illustrates that, if a person can be counted in several sub-categories, it should only be counted once for the overall indicator.</p> <p>The common indicator is broader than the subcategory indicators and therefore it includes all types of assistance provided by the Fund through integration measures in the framework of national, local and regional strategies. The value of the common indicator should, in principle, be higher than any one of the subcategory indicators.</p>
<ul style="list-style-type: none"> <li><i>Please provide a detailed definition of the target categories to be measured. In particular, please provide a disaggregation by type of service. In this regard, we should establish a codification of services that could be (potentially) provided under the Fund. This list is not considered as exhaustive, but its function is to facilitate the classification and comparability between the services provided by different stakeholders in different territorial contexts.</i></li> </ul>	<ul style="list-style-type: none"> <li>The target group for integration measures is defined in Article 9 and in Recital 21 of Regulation (EU) 516/2014.</li> </ul> <p>The sub-categories refer to the actions defined in Article 9 the Regulation.</p> <p>For the subcategory referring to 'democratic participation': according to the European Agenda for the Integration of Third-Country Nationals (COM(2011)455), "Measures to enhance democratic participation could include training and mentors, granting migrants access to voting rights in local elections, creating local, regional and national consultative bodies,</p>

	encouraging entrepreneurship, creativity and innovation."
<ul style="list-style-type: none"> <li>• For the "number of target group persons assisted through measures focusing on education and training, including language training and preparatory actions to facilitate access to the labour market": Should migration advice (basic advice to enable adult migrants to cope on their own in everyday life) be considered as a 'preparatory action' in the context of this indicator? What measures are to be regarded as 'preparatory actions' under this indicator? Can other examples be given of 'preparatory actions'? What should be considered as education and training measures? Can other examples be given here?</li> </ul>	<ul style="list-style-type: none"> <li>• If, in your example, the "migration advice" has been designed with the objective to facilitate access to the labour market, then it could indeed be considered as a preparatory action in the context of this indicator.</li> </ul> <p>Preparatory actions should be any action designed with the objective to facilitate access to the labour market. It can take many different forms, depending on the context in the different Member States. It could be CV drafting, diploma translation and/or equivalence, coaching for job interviews, etc.</p> <p>Education and training measures will support persons in gaining/learning knowledge of or skills in something. It can be the language of the Member State, the socio-economic or cultural environment, etc.</p>
<ul style="list-style-type: none"> <li>• For the "number of target group persons supported through the provision of advice and assistance in the area of housing": What exactly should be understood by 'housing'? Does it also include private accommodation and finding accommodation on the housing market?</li> </ul>	<ul style="list-style-type: none"> <li>• This subcategory refers to the provision of advice and assistance (any kind) to the accessing accommodation. Article 9 of Regulation (EU) 516/2014 does not exclude private accommodation or finding/searching on the housing market.</li> </ul>
Indicator (b) (iii): Number of local, regional and national policy frameworks/measures/tools in place for the integration of third-country nationals and involving civil society and migrant communities, as well as	

all other relevant stakeholders, as a result of the measures supported under the Fund.

<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>Better definition of frameworks/measures/tools (with examples if possible).</i></li> </ul>	<ul style="list-style-type: none"> <li>This indicator refers to the Article 10 of Regulation (EU) 516/2014. The "frameworks/measures/tools" refer to the instruments, under any form, enabling the practical cooperation as referred to in Article 10.</li> </ul> <p>Examples would be consultative fora, protocols or Memorandum of understanding between actors, manuals/guidelines, etc.</p>

#### **Specific Objective : Return**

Indicator (c) (i): Number of persons trained on return-related topics with the assistance of the Fund

<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>What if some persons take part in various trainings? Do we count one person only once, or the number of trainings he/she attended?</i></li> </ul>	<ul style="list-style-type: none"> <li>This indicator refers to the number of persons trained, no matter the number of trainings it attended. A person should therefore only be counted once, even if it has attended several trainings.</li> </ul>

Indicator (c) (ii): Number of returnees who received pre or post return reintegration assistance co-financed by the Fund

<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>What if returnees receive more than one form of assistance? Do we count one returnee only once, or the number of cases assistance has been provided?</i></li> </ul>	<ul style="list-style-type: none"> <li>This indicator refers to the number of returnees, no matter the type(s) or amount of assistance received. A returnee should therefore only be counted once, even if it has received more than one form of assistance.</li> </ul>



<ul style="list-style-type: none"> <li>• <i>What measures come under reintegration? Does it cover only measures carried out in the country of origin or also measures in the Member State?</i></li> </ul>	<ul style="list-style-type: none"> <li>• This indicator measures reintegration assistance provided pre (ex-ante) and post (ex-post) return. The pre return reintegration assistance can take place in the Member State. All and any assistance can be included but the assistance must be measureable or traceable in case of monitoring or auditing. In-kind assistance should be included.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Persons having benefited from non-financial measures, concerning administrative and logistic support, should be counted under this indicator?</i></li> </ul>	<ul style="list-style-type: none"> <li>• Yes. All and any assistance can be included but the assistance must be measureable or traceable in case of monitoring or auditing. There is no reason why in-kind assistance should be excluded.</li> </ul>
Indicator (c) (iii): Number of returnees whose return was co-financed by the Fund, persons who returned voluntarily and persons who were removed	
Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"> <li>• <i>To what extent must the return be co-financed? Is it correct that the indicator actually covers only the direct costs of return, for example flight and travel costs?</i></li> </ul>	<ul style="list-style-type: none"> <li>• This indicator refers to all return operations (voluntary, assisted voluntary, forced) which were co-financed by the Fund, regardless the percentage of co-financing. The indicator indeed refers to direct costs: costs which are identifiable and necessary for the implementation of the return. Small administrative consumables, supplies and general services should not be considered as direct costs.</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Regarding persons who returned voluntarily, in case of information campaigns in the communities that encourage people to leave voluntarily, it is very difficult to evidence the link between a campaign and a person that left. Is this indicator somewhere defined in</i></li> </ul>	<ul style="list-style-type: none"> <li>• The indicator aims at measuring the number of returns co-financed. Therefore, if a direct link between the campaign and the return (being part of a package for example) cannot be established, it should not be counted. The information campaign should be part of the</li> </ul>



<i>detail and what kind of evidence is needed for this indicator?</i>	return package; a stand-alone campaign should not count as a "return".
Indicator (c) (iv): Number of monitored removal operations co-financed by the Fund	
<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>What is included under this indicator? What can be considered as "monitored removal operations"?</i></li> </ul>	<ul style="list-style-type: none"> <li>Number of monitored removal operations that were co-financed by the Fund. The legal reference is art 8(6) of the Return Directive, which is quite generic and says that the MSs shall provide for an effective forced return monitoring system, and section 8 of the Return Handbook - Annex to Commission Recommendation C (2015) 6250. In practice, each monitored removal operation (i.e. return flight successfully arriving in country of return) should be counted once, irrespective of the number of persons leaving the MS in the context of that operation.</li> </ul>
Indicator (c) (v): Number of projects supported under the Fund to develop, monitor and evaluate return policies in Member States.	
<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>
<ul style="list-style-type: none"> <li><i>Please set out the meaning and added value of the required indicator, considering that high "quantities" of projects don't imply/ensure high "qualities"</i></li> </ul>	<ul style="list-style-type: none"> <li>This is indeed a quantitative indicator. The references in the legal basis for the projects to be considered for this indicator are Art 11 2nd paragraph point (e) and Art 13 point (c), (d) and (e) of Reg. 516/2014. This indicator concerns support to return policies in general, thus including for example capacity building on monitoring (training, set-up of the monitoring body etc.)</li> </ul>
<ul style="list-style-type: none"> <li><i>Is there a legal concept/definition of the monitoring of return that</i></li> </ul>	<ul style="list-style-type: none"> <li>MSs are supposed to introduce and improve independent and</li> </ul>

<p><i>should be used by MSs to report on return projects?</i></p>	<p>effective systems for monitoring enforced returns (see Art 11 2nd paragraph point (e) of Reg. 516/2014 and art 8(6) of the Return Directive). However, monitoring of return can include all the phases of the return operations from the place of detention or residence until handover to the authorities of third countries. This does not mean that each operation needs to be monitored in all its phases, but we cannot consider as "effective" a monitoring system that never monitors the inflight phase.</p>
<p><b>Annex I to the Commission Delegated Regulation (EU) 2017/207 on the common monitoring and evaluation framework provided for in Regulation (EU) No 514/2014 of the European Parliament and the Council (laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management</b></p>	
<p><b><u>Sustainability</u> (Are the positive effects of the projects supported by the Fund likely to last when the support from FUND will be over?)</b></p> <p><b>(7) What were the main measures adopted by the Member State to ensure the sustainability of the results of the projects implemented with the Fund support (both at programming and implementation stage)? Were mechanisms put in place to ensure a sustainability check at programming and implementation stage? To what extent are the outcomes/benefits of the actions sustained by the Fund expected to continue thereafter?</b></p>	
<p><b>Questions/Observations from MS</b></p>	<p><b>Clarification by the Commission</b></p>
<p>• <i>How the RA could provide answers on the sustainability of a number of AMIF activities which concern for example training. In those cases it would be ideal to be provided with guidance on what is being expected from the RA in those instances. With respect to ISF it was noted that under</i></p>	<p>• Sustainability becomes particularly relevant when the activities supported by AMIF or ISF are likely to be needed on the medium/long term, so well beyond the implementation period of the funds, or when there is a need to ensure continuity of the delivery of a specific service, which was</p>

<p><i>Sustainability a new question on the continuity of operation support has been added. We are of the opinion that operational support could not be seen as a mainstream project for which questions of sustainability can be addressed. Operational support is a stand-alone activity providing in itself sustainability for a particular period of time.</i></p>	<p>initially tested /developed through a project supported by AMIF or ISF.</p> <p>To support the sustainability of the activities implemented with AMIF and ISF, the RA should include "sustainability" amongst the selection criteria of projects when calls for proposals are issued. By doing so, the RA would encourage the beneficiaries to plan since the beginning how the services initiated through AMIF and ISF will be still delivered and maintained after the termination of the project, in order to address needs that will continue to exist after the end of AMIF or ISF.</p> <p>With reference to the specific sub-question on the "measures adopted to ensure the continuity of the activities carried out thanks to the operating support", the aim is to identify the decisions adopted by the national authorities to ensure that the equipment and systems acquired and activated with support of ISF will continue to function after the end of the fund.</p>
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**Annex III to the Commission Delegated Regulation (EU) 2017/207 on the common monitoring and evaluation framework provided for in Regulation (EU) No 514/ 2014 of the European Parliament and the Council [laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management]**

**Indicators by specific objectives**

To enhance fair and effective return strategies in the Member States supporting the fight against illegal immigration with an emphasis on sustainability of return and effective readmission in the countries of origin and transit:

- i) numbers of removals supported by the Fund, as compared to the total number of returns following an order to leave;
- (ii) number of persons returned in the framework of the joint return operations supported by the Fund as compared to the total number of returns supported by the Fund;
- (iii) number of returnees who have received pre or post return reintegration assistance co-financed by the Fund, as compared to the total number of voluntary returns supported by the Fund;
- (iv) number of places in detention centres created/renovated with support from the Fund, as compared to the total number of places in detention centres;
- (v) number of returns following an order to leave compared to the number of third-country nationals ordered to leave;
- (vi) return decisions issued to rejected asylum applicants;
- (vii) effective returns of rejected asylum applicants

Questions/Observations from MS	Clarification by the Commission
<ul style="list-style-type: none"> <li><i>It is unclear what needs to be captured by indicator (c) (v) "number of returns following an order to leave (TCNs only? TCNs and EU? Therefore all orders to leave?) compared to the number of third country nationals ordered to leave"</i></li> </ul>	<ul style="list-style-type: none"> <li>This indicator measures the evolution of the number of return decisions which are effectively followed by a return. It is based on two sets of data : <ul style="list-style-type: none"> <li>- TCN returned following an order to leave (migr_eirtn)</li> <li>-TCN ordered to leave (migr_eiord). Each person is only counted once, irrespective of the number of notices issued to the same person.</li> </ul> </li> </ul>

#### 6.6.2.ISF FAQ

### Internal Security Fund- Borders & Visa

**Regulation (EU) No 515/2014 of the European Parliament and of the Council of 16 April 2014 establishing establishing, as part of the**

**Internal Security Fund, the instrument for financial support for external borders and visa and repealing Decision No 574/2007/EC**

**Borders**

Questions/Observations from MS	Clarification by the Commission
<p>Annex IV List of common indicators for the measurement of the specific objectives</p> <p>Specific Objective b) – Support of border management including through sharing information between Member States and between Member States and the Frontex Agency, to ensure, on one hand, a high level of protection of the external borders, including by the tackling of illegal immigration and, on the other hand, the smooth crossing of the external borders in conformity with the Schengen acquis.</p>	
<p>i) Number of staff trained and number of training courses in aspects related to border management with the help of the Instrument</p>	
<p>• <i>What if some persons take part in various trainings? Do we count one person only once, or the number of trainings he/she attended?</i></p>	<p>• The same person acquires different knowledge. We count only participants per training.</p>
<p>ii) Number of border control (checks and surveillance) infrastructure and means developed or upgraded with the help of the Instrument. For the purposes of annual implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down in sub-categories such as:</p> <p>-Infrastructure;</p> <p>-fleet (air, land, sea borders);</p> <p>-equipment;</p> <p>-others.</p>	
Questions/Observations from MS	Clarification by the Commission
<p>• <i>We have come across two different interpretations. One of our final beneficiaries understands this indicator as border crossings where infrastructure will be replaced/upgraded and they</i></p>	<p>• Indeed, both interpretations are correct (counting infrastructure and counting means) as, for the purpose of annual implementation reports, this indicator is broken down in sub-</p>

<p><i>summed it up to 97 infrastructures (97 BC upgraded). On the other hand, in another project, we have received a number of 4976 means (including replacement of vehicles, drug detectors, surveillance goggles etc.).</i></p> <p><i>We would like to know if these two interpretations are both correct or should we count either infrastructure or means.</i></p>	<p>categories to measure, among others, infrastructure and means.</p> <p>The most important is to ensure consistency throughout the years. The methodology/interpretation used to set your targets during the programming phase should be the same used to report data.</p>
<ul style="list-style-type: none"> <li><i>As regards ISF-Borders Indicator number 2 "Number of border control (checks and surveillance) infrastructure and means developed or upgraded with the help of the Instrument" What exactly does the infrastructure mean? If we purchase an IT system for document analysis, we consider it an infrastructure, as it consists of many elements, is that correct?</i></li> </ul>	<ul style="list-style-type: none"> <li>Infrastructures are non-moveable objects, such as buildings. Equipment are moveable objects. In the case of IT system, large-scale IT infrastructures are considered as infrastructure, small IT equipment are considered as equipment</li> </ul>
<ul style="list-style-type: none"> <li><i>As regards indicators in general, but on a concrete example. For what period should we collect the indicators? If we take indicator ISF-B number 3 – number of border crossings of external border - should we count that till the end of eligibility period? I.e. 31. 12. 2022? Because the project ends at the moment when the ABC gate is purchased, so during the project period no one will use the ABC gate (and in the national programme it is indicated, that the source of the data is project).</i></li> </ul>	<ul style="list-style-type: none"> <li>It should be counted until the end of the eligibility period (period covered: 1 Jan 2014 to 31.12.2022).</li> </ul>
<ul style="list-style-type: none"> <li><i>We understand that we have to report number of equipment financed for border control; however we received guidance from COM to</i></li> </ul>	<ul style="list-style-type: none"> <li>All equipment should be counted.</li> </ul>

report high value investments only. What is the minimum value of the equipment that has to be included in the relevant indicator?	
• Number of infrastructure (i.e. NCC) or number of upgrades?	• Number of infrastructure, no upgrades.
<p>• Please specify whether same infrastructure/mean has to be repeatedly counted when upgraded more than once with the help of the Instrument. Whether this is not the case, the indicator could be complex to be measured.</p> <p>In order to improve relevance we suggest to measure the number of border control (checks and surveillance) infrastructure and means developed or upgraded with the help of the Instrument out of the total number of border control (checks and surveillance) infrastructure and means.</p>	<p>• The upgrades do not need to be counted.</p> <p>We cannot change the common indicators, as they were defined by Annex IV of the ISF-borders Regulation.</p> <p>However, MS may provide additional information on the context, including the information on the total number of border control infrastructure and means.</p>
<b>VISA</b>	
Specific Objective a) Support of a common visa policy to facilitate legitimate travel, ensure equal treatment of third-country nationals and tackle illegal immigration	
ii) Number of staff trained and number of training courses in aspects related to the common visa policy with the help of the Instrument	
<b>Questions/Observations from MS</b>	<b>Clarification by the Commission</b>

• *Indicator no. 2 reads: Number of staff trained and number of training courses in aspects related to the common visa policy with the help of the Instrument; while in the current text of ISF NP there is additional annotation: hours completed. Did EC resign from this and we should treat training course as an entire unit? If number of hours completed is maintained - how we should count single topic course that is presented to wider target group several times?*

• *About 1) Number of staff trained..., in order to improve relevance we suggest to include also:*

- *Number of staff trained in aspects related to the common visa policy with the help of the Instrument out of the total number of staff of consulates;*

- *Number of staff trained in aspects related to the common visa policy with the help of the Instrument out of the total number of staff trained (with any instrument).*

• *Moreover, about 1) Number of staff trained..., please specify whether same person has to be repeatedly counted when participating in more than one training course or the indicator has to be interpreted as the number of "participations" to training courses*

• It should be the amount of hours. If the same course has been provided multiple times, also these hours should be counted.

• We cannot change the common indicators, as they were defined by Annex IV of the ISF-borders Regulation. However, MS may provide additional information on the context, including the information on the total number of staff trained.

• It is indeed hours completed.



<ul style="list-style-type: none"> <li>• <i>About 2) Number of training courses in aspects related to the common visa policy with the help of the Instrument, this indicator doesn't seem relevant per se, we suggest to include the number of training hours provided. "</i></li> <li>• <i>What if some persons take part in various trainings? Do we count one person only once, or the number of trainings e/she attended?</i></li> </ul>	<ul style="list-style-type: none"> <li>• It is indeed hours completed.</li> <li>• Not to add additional administrative burden to MS, we propose to count the number of participants in each training (regardless of the question if we are double counting)</li> </ul>
<p><b>Annex II (EQs for ISF) to the Commission Delegated Regulation (EU) 2017/207 on the common monitoring and evaluation framework provided for in Regulation (EU) No 514/2014 of the European Parliament and the Council (laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management</b></p>	
<p><u>Efficiency</u> <i>(Were the results of the Fund achieved at reasonable cost?)</i></p> <p>(3) To what extent were the expected results of the Fund achieved at reasonable cost in terms of deployed financial and human resources? What measures were put in place to prevent, detect, report and follow up on cases of fraud and other irregularities, and how did they perform?</p>	
<p><b>Questions/Observations from MS</b></p>	<p><b>Clarifications by the Commission</b></p>

<ul style="list-style-type: none"> <li>• <i>In Annex II (EQs for ISF) the question differs slightly from the same question in Annex I (EQs for AMIF): "To what extent were the expected results of the Fund achieved at reasonable cost in terms of deployed financial and human resources?"</i></li> <li>• <i>An EQ has been added on fraud which asks for information on the measures put in place to prevent, detect, report and follow up on cases of fraud and other irregularities - and their performance.</i></li> </ul>	<ul style="list-style-type: none"> <li>• The correct formulation of the question is the one in Annex I (EQs for AMIF) where the term 'expected' before 'results' does not appear.</li> <li>• The evaluation reports submitted by MSs are the cornerstone of the interim evaluation of the AMIF and ISF, and each evaluation report is to be seen as a self-contained document, in which evaluators draw conclusions from the observation and analysis of facts and figures. An analysis of the measures put in place to prevent, detect and report on fraud is needed to allow the evaluators to address the efficiency criterion. This is a separate exercise from the one carried out by the Audit Authority to ensure the legality and regularity of the expenditure.</li> </ul>
<p><u>Complementarity</u> (Were the objectives set in the national programme and the corresponding implemented actions complementary to those set in the framework of other policies - in particular those pursued by the Member State?)</p> <p>(6) Was an assessment of other interventions with complementary objectives carried out and taken into account during the programming stage? Were coordination mechanisms between the Fund and other interventions with similar objectives established for the implementing period to ensure their complementarity for the implementing period? Were mechanisms aimed to prevent overlapping of financial instruments put in place?</p>	
<p><b>Questions/Observations from MS</b></p>	<p><b>Clarifications by the Commission</b></p>
<ul style="list-style-type: none"> <li>• <i>Was an assessment of other interventions with complementary objectives carried out and taken into account during the programming stage? Were coordination mechanisms between the Fund and other interventions with similar</i></li> </ul>	<p>The text differs slightly between Annex I and Annex II, due to a repetition of text in Annex II that was not identified before the adoption of the delegated regulation. Please disregard the repetition of</p>

<p><i>objectives established for the implementing period to ensure their complementarity for the implementation period? Were mechanisms aimed to prevent overlapping of financial instruments put in place?</i></p>	<p>"implementing period" in Annex II. Please consider the following text :</p> <p>Was an assessment of other interventions with complementary objectives carried out and taken into account during the programming stage? Were coordination mechanisms between the Fund and other interventions with similar objectives established to ensure their complementarity for the implementation period? Were mechanisms aimed to prevent overlapping of financial instruments put in place?</p>
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#### INTERNAL SECURITY FUND – POLICE

**Regulation (EU) No 513/2014 of the European Parliament and of the Council of 16 April 2014 establishing, as part of the internal security fund, the instrument for financial support for police cooperation, preventing and combating crime, and crisis management and repealing Council Decision 2007/125/JHA**

Questions/observations from MS	Common approach proposed by the Commission
Annex II List of common indicators for the measurement of the specific objectives	
Specific objective a) – Preventing and combating cross-border, serious and organised crime including terrorism, and reinforcing coordination and cooperation between law enforcement authorities of Member States and with relevant third countries.	
<b>i) Number of joint investigation teams (JITs) and European Multidisciplinary Platform against Criminal Threats (EMPACT) operational projects supported by the Instrument, including the participating Member States and authorities. For the purposes of annual</b>	

**implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down in sub-categories such as:**

- leader (Member State),**
- partners (Member States),**
- participating authorities,**
- participating EU Agency (Eurojust, Europol), if applicable.**

- How do we count the breakdown categories? Do we report the number of leaders/ partners/ participating authorities/ participating EU agency under every JIT or EMPACT project?

- As multiple EU countries are involved in these activities, do the numbers will duplicate (e.g. number of partners will be counted by all MS involved in a JIT)?

- Furthermore, are partners (Member States) equal to the participating Member States in a JIT or EMPACT as stated in the indicator?

- As the main principle, data should be reported only by the leaders of JITs and EMPACT projects therefore double counting should be avoided.

- Data on participating authorities include authorities from both leading and participating countries.

- The partners are the participating countries but the participating authorities should be indicated on the top of that.

**ii) Number of law enforcement officials trained on cross-border-related topics with the help of the Instrument, and the duration of their training (person days). For the purposes of annual implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down in sub-categories such as:**

**- by type of crime (referred to in Article 83 TFEU): terrorism, trafficking in human beings and sexual exploitation of women and children; illicit drug trafficking; illicit arms trafficking; money laundering; corruption; counterfeiting of means of payment; computer crime; organised crime;**  
**or**

**- by horizontal area of law enforcement: information exchange; operational cooperation**

<ul style="list-style-type: none"> <li>• Is it EU MS decision to choose one of the options (by type of crime or by horizontal area of crime)?</li> <li>• Is this decision binding for entire reporting 2014-2020?</li> </ul>	<ul style="list-style-type: none"> <li>• Member States can choose their structure of data reporting by types of crime or horizontal area of crime, without double counting of outputs.</li> <li>• In principle, the structure should be kept for the entire eligibility period. If the focus areas of trainings change substantially during it, the structure of their reporting will be impacted</li> </ul>
<ul style="list-style-type: none"> <li>• Is the list of types of crime closed or EM MS will have a possibility to refer in reporting to other types of crime, not mentioned in Article 83?</li> </ul>	<ul style="list-style-type: none"> <li>• The outputs can relate to any cross-border, serious and organised crimes, beyond those indicated in Article 83 TFEU.</li> </ul>
<ul style="list-style-type: none"> <li>• How should we treat particular training during which presentations on different types of crime are delivered? Should we duplicate information on such event (e.g. simultaneously refer to illicit drug trafficking / arms trafficking) ?</li> </ul>	<ul style="list-style-type: none"> <li>• Reported outputs should relate to the main/focus areas without double counting the interventions. If the project deals with multiple types of crime, the primary type of crime/the most important (financial value, operational importance) should be selected. If two or more crime types are the main focus, please categorise under one of these.</li> </ul>
<ul style="list-style-type: none"> <li>• What kind of a measurement unit are person days? Can we count hours to have the same approach across the funds? For example, if 20 police officers have been trained in a certain topic and training lasted for 5 days, can we report 20 persons and 40 hours of training?</li> <li>• What if some persons take part in various trainings? Do we count one</li> </ul>	<ul style="list-style-type: none"> <li>• The unit of measurement established by the basic acts is "persons/days". For instance - 20 officers x 5 days = 100 person days</li> <li>• Double counting in the same operations should be avoided. The main topics/policy area should be identified if the training related to many issues</li> </ul>

person only once, or the number of trainings he/she attended?	
<ul style="list-style-type: none"> <li>• We suggest using the same indicators to measure training activities under different headings.</li> </ul>	<ul style="list-style-type: none"> <li>• The indicators are independent of headings, so they are used across different headings</li> </ul>
<b>iii) Number and financial value of projects in the area of crime prevention. For the purposes of annual implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down by type of crime (referred to in Article 83 TFEU): terrorism, trafficking in human beings and sexual exploitation of women and children; illicit drug trafficking; illicit arms trafficking; money laundering; corruption; counterfeiting of means of payment; computer crime; organised crime</b>	
<ul style="list-style-type: none"> <li>• The structure of reporting, prioritisation of main areas and reporting period</li> </ul>	<ul style="list-style-type: none"> <li>• Please see above</li> </ul>
<ul style="list-style-type: none"> <li>• Please instruct how to report in case the planned prevention program has multiple aims as for the type of crimes: <ul style="list-style-type: none"> <li>- e.g. on-line drug trafficking (cybercrime + drug offences);</li> <li>- anti-smuggling (same route and method is used to conceal narcotics and weapons).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• If the project deals with multiple types of crime, the primary type of crime/the most important (financial value, operational importance) should be selected. If two or more crime types are the main focus, please categorise under one of these.</li> </ul> <p>Cybercrime/computer crime only includes cyber offences (i.e. attacks against information systems). It does not include other activities such as drug trafficking where elements such as the sale, payment, or organisation/logistics take place online.</p>

**iv) Number of projects supported by the Instrument, aiming to improve law enforcement information exchange which are related to Europol data systems, repositories or communication tools.**

**For the purposes of annual implementation reports, as referred to in Article 54 of Regulation (EU) No 514/2014, this indicator shall be further broken down by type of crime (referred to in Article 83 TFEU): data loaders, extending access to SIENA, projects aiming to improving input to analysis work files etc.**

- Expression “broken down by type of crime” followed by “data loaders, SIENA etc.” seems to be incorrect.

It is not always practical that a newly-set PC conveys data as regards one specific type of crime only. This is correct in seldom cases when the workstation is deployed to specific unit (e.g. THB unit) but untrue when it is engaged at an information exchange body of the LE authority (e.g. Centre for International Police Cooperation) as they are responsible for data sharing of all type of crimes.

- In order to improve relevance of this indicator, we suggest monitoring as well the financial amount of the projects.

- Member States are invited to preferably classify the actions by the Europol tools and services, with a pragmatic approach.

- Amount can be added if MS wish but amount only informs about the share of the fund used for this project. Impact or result indicators are more relevant than amount.

Specific objective (b) Enhancing the capacity of Member States and the Union for managing effectively security-related risks and crises, and preparing for and protecting people and critical infrastructure against terrorist attacks and other security-related incidents.

**i) Number and tools put in place and/or further upgraded with the help of the Instrument to facilitate the protection of critical infrastructure by Member States in all sectors of the economy**

- |   |  |
|---|--|
| <ul style="list-style-type: none"><li>• Some examples of tools would be highly appreciated.</li></ul> | <ul style="list-style-type: none"><li>• Tool is meant as any working aid developed that contributes to or assists authorities/operators in performing their mission such as manual, guidance, IT applications etc.</li></ul> |
|---|--|

**ii) Number of projects relating to the assessment and management of risks in the field of internal security supported by the Instrument.**

- |   |  |
|---|--|
| <ul style="list-style-type: none"><li>• In order to improve relevance of the indicator, we suggest monitoring as well the financial amount of the projects.</li></ul> | <ul style="list-style-type: none"><li>• Amount can be added if MS wish but amount only informs about the share of the fund used for this project. Impact or result indicators are more relevant than amount.</li></ul> |
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**6.7. Example of Terms of Reference**

**Terms of reference of the ex-post evaluation ERF 2011-2013**

<p><b>Terms of reference</b></p> <p><b>Ex-post evaluation of the</b></p> <p><b>European Refugee Fund 2011 to 2013</b></p> <p><b>&amp;</b></p>
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**Ex-post evaluation of the**  
**European Refugee Fund Community Actions 2008-2010**

**Request for services no. 1**  
**with a view to the assignment of the contract**

## **Summary**

This request for services is for a contract to provide assistance to the Commission (DG Migration and Home Affairs) in view of the ex-post evaluation reports for the European Refugee Fund (ERF) which it has to submit to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions.

### **PART I**

The evaluation will examine the implementation of actions co-financed by the European Refugee Fund under the 2011-2013 annual programmes (shared management mode) and the Community Actions under the Annual Work Programmes 2011-2013 (direct or joint management mode).

### **PART II**

The evaluation will also examine the implementation of the European Refugee Fund Community Actions under the Annual Work Programmes 2008-2010 (direct or joint management mode).

Both parts will assess these actions' relevance, effectiveness, efficiency, sustainability, coherence and complementarity, and EU added value.

## **Purpose, objective and justification for evaluation**

### **1.1. Legal basis for the evaluation**

The legal basis for the evaluation of the ERF 2011-2013 actions is Articles 49 and 50 of Decision No 2007/573/EC<sup>25</sup> of the European Parliament and of the Council of 23 May 2007 establishing the European Refugee Fund for the period 2008 to 2013 as part of the General programme 'Solidarity and Management of Migration Flows' and repealing Council Decision 2004/904/EC.

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<sup>25</sup> OJ L 144, 6.6.2007, p. 1.

According to Article 49(2) of Decision No 2007/573/EC, the ERF *"shall be evaluated by the Commission in partnership with the Member States to assess the relevance, effectiveness and impact of actions in the light of the general objective referred to in Article 2 in the context of the preparation for the reports set out in Article 50(3)"*.

Article 49(3) of the Decision stipulates that *"The Commission shall also consider the complementarity between the actions implemented under the Fund and those pursued under other relevant Community policies, instruments and initiatives."*

According to Article 50(3) of the same Decision, *"The Commission shall submit to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions by 31 December 2012 for the period 2008 to 2010 and by 31 December 2015 for the period 2011 to 2013 respectively, an ex-post evaluation report"*.

Article 31(5) and (6) of the Regulation (EU) No 516/2014<sup>26</sup> of the European Parliament and of the Council of 16 April 2014 establishing the Asylum, Migration and Integration Fund, amending Council Decision 2008/381/EC and repealing Decisions No 573/2007/EC and No 575/2007/EC of the European Parliament and of the Council and Council Decision 2007/435/EC confirms this obligation and stipulate that *"By 30 June 2015, Member States shall submit to the Commission evaluation reports on the results and impact of actions co-financed under Decisions No 573/2007/EC, No 575/2007/EC and 2007/435/EC concerning the period 2011-2013"* and *"By 31 December 2015, the Commission shall submit to the European Parliament, to the Council, to the European Economic and Social Committee and to the Committee of the Regions ex-post evaluation reports under Decisions No 573/2007/EC, No 575/2007/EC and 2007/435/EC concerning the period 2011-2013"* respectively.

## **1.2. Objectives of the evaluation**

This evaluation has the following objectives:

- (i) to examine the implementation of actions co-financed by the ERF during 2011-2013 (annual programmes as well as Community Actions) and,
  - (ii) to examine the implementation of actions co-financed by the ERF under the 2008-2010 Community Actions, and, for all,
- assess their relevance<sup>27</sup>, effectiveness<sup>28</sup>, efficiency<sup>29</sup>, sustainability<sup>30</sup>, coherence and complementarity<sup>31</sup>, and EU added value<sup>32</sup>.

## **1.3. Ownership and use of the evaluation**

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<sup>26</sup> OJ L 150/168, 20.05.2014

<sup>27</sup> Relevance: The extent to which intervention's objectives are pertinent to needs, problems and issues to be addressed.

<sup>28</sup> Effectiveness: The extent to which objectives set are achieved.

<sup>29</sup> Efficiency: The extent to which the desired effects are achieved at reasonable cost.

<sup>30</sup> Sustainability: The extent to which positive effects are likely to last after an intervention has terminated.

<sup>31</sup> Coherence and complementarity: The extent to which the intervention does not contradict other interventions with similar objectives, but on the contrary, they complement each other.

<sup>32</sup> EU added value: The extent to which EU funded interventions bring additional value compared to what could have been achieved with Member State resources.

The European Commission's Directorate-General for Migration and Home Affairs is the commissioning body of this evaluation, which will be used by the Directorate-General itself and by other Commission's departments.

Rights concerning the evaluation report and its reproduction and publication will remain the property of the European Commission. No documents based, in whole or in part, upon the work undertaken in the context of this contract may be published without the prior written approval of the European Commission.

The Commission will ensure that the evaluation results are disseminated. As part of the dissemination and on the basis of the evaluation report, the Commission will draft a report on the implementation of the ERF in 2011-2013 and submit it to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions. The evaluation results will be also communicated to the relevant authorities of the Member States and to the general public.

The publication of the deliverables will be accompanied by a judgment on the quality, carried out by the DG Migration and Home Affairs on the basis of criteria specified in section 12.

## **2. DESCRIPTION OF THE FUND**

### **2.1. Legal basis of the ERF**

The ERF was established for the period 2008 to 2013 by Decision No 2007/573/EC.

Strategic guidelines for the implementation of the ERF were adopted by Commission Decision No 2007/815/EC<sup>33</sup>.

Rules for the implementation of the ERF were adopted by Commission Decision 2008/22/EC<sup>34</sup>.

### **2.2. Objectives and priorities of the ERF**

Article 2 of Decision No 2007/573/EC defines the general objectives of the ERF as follows:

- To support and encourage the efforts made by the Member States in receiving, and in bearing the consequences of receiving, refugees and displaced persons, taking account of Community legislation on those matters, by co-financing the actions provided for in this Decision.

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<sup>33</sup> Commission Decision 2007/815/EC of 29 November 2007 implementing Decision No 2007/573/EC of the European Parliament and of the Council as regards the adoption of strategic guidelines for 2008 to 2013 (OJ L 326, 12.12.2007, p. 29).

<sup>34</sup> Commission Decision 2008/22/EC of 19 December 2007 laying down rules for the implementation of Decision No 2007/573/EC of the European Parliament and of the Council establishing the European Refugee Fund for the period 2008 to 2013 as part of the General programme 'Solidarity and Management of Migration Flows' as regards Member States' management and control systems, the rules for administrative and financial management and the eligibility of expenditure on projects co-financed by the Fund (OJ L 7, 10.1.2008, p.1), amended by Commission Decision 2009/533/EC of 9 July 2009 (OJ L 179, 10.7.2009, p.62) and by Commission Decision 2010/163/EU of 8 March 2010 (OJ L 69, 19.3.2010, p.16).

In addition, Decision No 2007/815/EC defined the following three priorities for the ERF:

- Implementation of the principles and measures set out in the Community acquis in the field of asylum, including those related to integration objectives;
- Development of reference tools and evaluation methodologies to assess and improve the quality of procedures for the examination of claims for international protection and to underpin administrative structures in an effort to respond to the challenges brought forward by enhanced practical cooperation with other Member States;
- Actions helping to enhance responsibility sharing between Member States and third countries (optional).

### **2.3. Implementation modalities**

The ERF has been implemented via actions under annual programmes of the Member States (shared management mode) and Community actions (direct and joint management mode).

#### ERF annual programmes of the Member States

The ERF annual programmes (referred to in Article 20 of Decision No 2007/573/EC) were drafted on the basis of the ERF 2008-2013 multi-annual programmes<sup>35</sup> of 27 participating Member States<sup>36</sup> and implemented by the authorities of these under the shared management mode.

In accordance with Article 3 of Decision No 2007/573/EC, the actions under the ERF annual programmes should have supported, among others, reception conditions and asylum procedures; integration of target group persons; enhancement of Member States' capacity to develop, monitor and evaluate their asylum policies; resettlement and transfer activities.

The ERF allocations for the annual programmes of the Member States were determined on the basis of a methodology defined in Article 13 of Decision No 573/2007/EC.

Article 5 of Decision No 2007/573/EC, lays down the actions eligible under the ERF Emergency measures:

- Assistance to Member States for the implementation of emergency measures aimed at addressing situations of particular pressure. Such situations are characterised by the sudden arrival at particular points on the borders of a large number of third country nationals who may be in need of international protection, which place exceptionally heavy and urgent demands on the reception facilities, the asylum system or infrastructure of the Member State(s) concerned and may give rise to risks to human life, well-being or access to protection provided under Community legislation.

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<sup>35</sup> Only one programme (2013) in the case of Croatia.

<sup>36</sup> Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

### ERF Community actions

The ERF Community actions were implemented under the direct or joint management mode, either via projects supported by grants awarded by the Commission or via contracts for services concluded following the calls for tenders published by the Commission.

Article 4 of Decision No 2007/573/EC lays down the Community actions eligible under the European Refugee Fund, which, among others, include:

- Further Community cooperation in implementing Community law and good practices, including interpretation and translation services supporting such cooperation;
- Support the setting-up of transnational cooperation networks and pilot projects based on transnational partnerships between bodies located in two or more Member States;
- Support transnational awareness-raising campaigns;
- Support studies, dissemination and exchange of information on best practices and all other aspects of asylum policies; support pilot projects;
- Support development and application by Member States of common statistical tools, methods and indicators for measuring policy developments in the field of asylum;
- Offer to networks linking non-governmental organisations which assist refugees and asylum seekers and which are present in at least 10 Member States;
- Provide Member States with support services in the event of duly substantiated emergency situations requiring urgent action.

## **3. SCOPE**

### **3.1. Actions and period of time to be covered**

The evaluation will have two distinct parts: PART I and PART II.

#### **PART I**

The following actions will be covered:

- Actions supported under the 2011, 2012 and 2013 annual programmes of 27 participating Member States.
- The ERF Community Actions supported under the 2011, 2012 and 2013 annual work programmes (8 under the 2011 AWP, 5 under the 2012 AWP and 1 under the 2013 AWP).

#### **PART II**

A separate analysis will be carried out for the ERF Community Actions supported under the 2008, 2009 and 2010 annual work programmes. This work, the analysis and the conclusions shall be reported under a separate section of the final evaluation report and shall not be taken into account for conclusions for the PART I.

The following actions will be covered:

- The ERF Community Actions supported under the 2008, 2009 and 2010 annual work programmes, i.e. projects selected through calls of proposal (10 under the 2008 AWP, 19 under the 2009 AWP and 11 under the 2010 AWP).

The period covered by the evaluation will be:

- 1 January 2011 – 30 June 2015 for the national programmes of the Member States;
- 1 December 2008 – 31 March 2016 for the Community Actions.

For analytical reasons, data from the year 2010 will be used as the baseline for analysis under PART I.

### **3.2. Other instruments to be considered**

The evaluation will also have to consider (in particular in the context of the evaluation of the complementarity and coherence):

- National policies of the Member States in the field of asylum and refugees;
- Actions supported under the national 2008-2010 ERF programmes of the Member States;
- Actions supported by any other EU financial instrument with a possible impact on the asylum seekers and refugees (with particular attention to actions supported by the European Social Fund).

### **3.3. Geographical coverage**

The evaluation will cover all EU Member States except Denmark (27 Member States).

## **4. CONTEXT OF THE EVALUATION**

In accordance with Article 49(2), the Member States shall submit to the Commission evaluation reports on actions supported under their ERF 2011-2013 annual programmes. As the eligibility period for the ERF 2013 annual programmes expired on 30 June 2015, it was agreed that the Commission will accept evaluation reports submitted by Member States until 30 November 2015.

PART I covering the period 2011-2013 (Annual Programmes and Community Actions) will be used as basis for the preparation of the ex-post evaluation report for the period 2011 to 2013.

PART II covering implementation of the 2008-2010 Community Actions will contribute to the preparation of the ex-post evaluation report for the period 2008 to 2010. The Community Actions under the Annual Work Programmes 2008-2010

are included due to the fact that those were not covered during the ex-post evaluation for 2008-2010<sup>37</sup>.

## **5. EVALUATION QUESTIONS**

Replying to the evaluation questions is the core of the evaluation work and the replies will constitute the main part of the final report.

The answer to each evaluation question must be exclusively based on evidence and rigorous analysis. Different types of evaluation methods (quantitative and qualitative) and data sources must be combined to formulate the answers. The answers shall define key terms of the question, identify indicators and judgment criteria used for answering the question and fully disclose the reasoning followed in the analysis.

The evaluation questions are grouped under the six following evaluation themes – effectiveness, efficiency, sustainability, relevance, coherence (including complementarity), and EU added value:

### **Theme 1 Effectiveness**

*1. To what extent did the ERF 2011-2013 (or 2008-2010) actions contributed to the achievement of the objectives defined in Articles 2 and 3 of Decision No 2007/573/EC and to the priorities defined by the Strategic guidelines (Decision No 2007/815/EC)?*

*a) To what extent did the ERF 2011-2013 (or 2008-2010) actions contribute to the reception conditions and asylum procedures?*

*b) To what extent did the ERF 2011-2013 (or 2008-2010) actions contribute to the integration of persons referred to in Art 6 (target group)?*

*c) To what extent did the ERF 2011-2013 (or 2008-2010) actions contribute to the enhancement of Member States' capacity to develop, monitor and evaluate their asylum policies in the light of their obligations under existing and future Community legislation relating to the Common European Asylum System (in particular practical cooperation activities between Member States)?*

*d) To what extent did the ERF 2011-2013 (or 2008-2010) actions contribute to the resettlement of persons referred to in Article 6(e)?*

*e) To what extent did the ERF 2011-2013 (or 2008-2010) actions contribute to the transfer of persons falling within the categories referred to in Article 6(a) and 6(b) and 6(c)?*

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<sup>37</sup> <http://ec.europa.eu/smart-regulation/evaluation/search/download.do?documentId=10697239>

*2. To what extent did the ERF 2011-2013 (or 2008-2010) emergency actions contributed to the achievement of these same objectives and to the priorities?*

### **Theme 2 Efficiency**

*3. To what extent were the effects of the ERF 2011-2013 (or 2008-2010) actions achieved at a reasonable cost in terms of financial and human resources deployed?*

### **Theme 3 Sustainability**

*4. To what extent have the positive effects of the ERF 2011-2013 (or 2008-2010) actions lasted after the interventions were terminated?*

### **Theme 4 Relevance**

*5. To what extent did the ERF objectives correspond to the needs related to receiving, and in bearing the consequences of receiving, refugees and displaced persons by the Member States?*

*6. To what extent did the ERF actions correspond to the needs related to receiving, and in bearing the consequences of receiving, refugees and displaced persons by the Member States?*

### **Theme 5 Coherence and complementarity**

*7. To what extent were the ERF 2011-2013 (or 2008-2010) actions coherent with and complementary to other actions related to asylum, financed by other EU financial instruments and from national resources of the Member States, including the activities of the European Asylum Support Office (EASO), supporting EU Member States on asylum?*

### **Theme 6 EU added value**

*8. What is the additional value resulting from the ERF 2011-2013 (or 2008-2010) actions compared to what the Member States would be able to carry out through investments necessary for the implementation of the EU policies in the field of asylum without the support of the ERF 2011-2013 (or 2008-2010) actions?*

## **6. EVALUATION TASKS AND METHODOLOGY**

The contractor is requested to carry out, in four stages, the following tasks:



<p><b><u>PART I:</u></b></p> <p><i>Evaluation, which covers the national programmes of the Member States (2011-2013) and the Community Actions under the Annual Work Programmes 2011-2013.</i></p>	<p><b><u>PART II:</u></b></p> <p><i>Evaluation, which covers the Community Actions under the Annual Work Programmes 2008-2010.</i></p>
<p><b><u>Stage 1 (1 month)</u></b></p>	
<p><b>Task 1: Draft a short introduction</b> stating the purpose and scope of the evaluation (max. 1 page).</p> <p><b>Task 2: Draft a chapter presenting the fine-tuned evaluation questions</b> defined in section 6 (max. 2 pages).</p>	
<p><b>Task 3: Draft a detailed analysis of the evaluation questions</b> and identify output, result and impact indicators to be used for answering them, building on and further developing the analysis presented in the contractor's offer. Key terms of the evaluation questions shall be defined by the contractor.</p> <p><b>Task 4: Fine-tune the methodological approach to the evaluation,</b> building on and further developing the methodology presented in the contractor's offer. This will include a description of the methods to be used in the evaluation and their limitations. The reasoning followed in determining the methodological approach, including the underlying hypotheses, has to be explained. This section will also explain how the fieldwork and desk research together will enable all the evaluation questions to be answered.</p>	<p><b>Task 7: Draft a detailed analysis of the evaluation questions</b> and identify output, result and impact indicators (tailored for the Community Actions under the Annual Work Programmes 2008-2010) to be used for answering them, building on and further developing the analysis presented in the contractor's offer.</p> <p><b>Task 8: Define the methodological approach to the evaluation</b> of the Community Actions under the Annual Work Programmes 2008-2010, building on and further developing the methodology presented in the contractor's offer. This will include a description of the methods to be used in the evaluation and their limitations.</p>

**Task 5: Define and create the evaluation tools**

necessary for the collection of data needed for the answering of the evaluation questions. For example: tools for the assessment of the national evaluation reports; interview guides and templates for survey/s; criteria for selecting the respondents to the questionnaires and/or surveys; the list of the bodies and people to be contacted. If modelling is used, define the scope and methodology for the simulations based on model(s) and the related data needs and provide a detailed description of these tools, including their limitations and the contribution to answering the evaluation questions.

*The evaluation tools have to be validated by the Commission before data collection and analysis starts.*

**Task 6: Draft a descriptive chapter on the background of the ERF 2011-2013 actions.**

Provide a brief description of the ERF (legal basis; the different implementation modalities with the different authorities involved in the management), its objectives and the needs the ERF aimed to satisfy. The information shall be summarised in the presentation of the Intervention Logic including visually an Intervention Logic diagram showing how the intervention works, complete, in terms of needs, objectives, inputs, activities, outputs, results and impacts. The analysis of the needs shall take into account the relevant regulatory framework. In addition, a description of the policy context shall be provided, as well as a description of the baseline for

the implementation of the ERF 2011-2013 actions.  
The chapter shall not exceed 6 pages.

**Task 9: Draft a detailed time schedule** for the evaluation work.

**Task 10: Compile the inception report** comprising the outputs of tasks 1-9 and submit the report to the Commission.

**Task 11: Revise the inception report** in line with the comments provided by the Commission / the Steering Group and re-submit it to the Commission (if relevant).

**Stage 2 (3 months)**

**Task 12: Desk research.** Collect and analyse at least the following documents:

- Relevant legal acts (Decisions No 2007/573/EC, No 2007/815/EC and No 2008/22/EC);
- Joint EU resettlement programme (Decision n° 281/2012/EU of the European parliament and of the Council of 29 March 2012 amending Decision No 573/2007/EC)
- Council Directive 2005/85/EC (Asylum procedures)
- Council Directive 2003/9/EC (Reception conditions);
- Council Directive 2004/83/EC (Qualification Directive)
- Council Regulation (EC) No 2725/2000 (Eurodac);
- Council Regulation (EC) No 343/2003 (Dublin Regulation)
- Report from the Commission to the European Parliament and the Council on the evaluation of the Dublin system (COM(2007) 299 final)

- Report from the Commission to the Council and to the European Parliament on the application of Directive 2003/9/EC of 27 January 2003 laying down minimum standards for the reception of asylum seekers (COM(2007) 745 final)
- Report from the Commission to the European Parliament and the Council on the application of Directive 2005/85/EC of 1 December 2005 on minimum standards on procedures in Member States for granting and withdrawing refugee status (COM(2010) 465 final)
- Report from the Commission to the European Parliament and the Council on the Application of Directive 2004/83/EC of 29 April 2004 on minimum standards for the qualification and status of third country nationals or stateless persons as refugees or as persons who otherwise need international protection and the content of the protection (COM(2010) 314 final)
- Communication on enhanced intra-EU solidarity in the field of asylum (COM(2011) 835 final)
- Communication from the Commission to the European Parliament and the Council on the establishment of a joint resettlement programme (COM(2009) 447 final)
- EASO fact finding report on intra EU relocation activities from Malta, July 2012
- Communication from the Commission to the European Parliament, the Council, the European Economic and social Committee and the Committee of Regions "Policy plan on asylum: An integrated approach to protection across the EU", COM(2008) 360 final, 17.6.2008;
- European Refugee Fund 2008-2013 multi-annual programmes of the Member States;
- European Refugee Fund 2011, 2012 and 2013 annual programmes of the Member States;
- Descriptions of the Management and Control Systems for the European Refugee Fund in the Member States;
- Annual Work Programmes for the 2008, 2009, 2010, 2011, 2012 and 2013 European Refugee Fund Community actions;

- Solid Guidance Notes SOLID/2008/16 (The fixed amount for the resettled persons in the European Refugee Fund), SOLID/2009/31 (Clarifications on the qualification criteria for the fixed amount for resettled persons falling within the specific categories under the European Refugee Fund), SOLID/2011/28 (Strategic objectives for the annual programmes 2012-2013 for the European Refugee Fund (ERF) and the European Fund for the integration of third-country nationals (IF)), and SOLID/2011/3 (Manual of the Eligibility Rules of costs – 4th version);
  - Final reports on the implementation of the ERF 2011 and ERF 2012 annual programmes, and ERF 2013 annual programme (when available);
  - Annual audit reports on the ERF 2011 and ERF 2012 annual programmes (drafted by the Audit Authorities of the Member States);
  - Reports on the monitoring visits of the Commission on the ERF 2011-2013 annual programmes;
  - Final reports for projects supported under the 2007, 2008, 2009, 2010, 2011, 2012 and 2013 EIF Community actions;
  - Reports with the financial data on the EIF annual programmes stored in the Commission's SFC2007 database.
  - Relevant EUROSTAT statistics.
- Any reports on financial and system audits as well as compliance checks with the relevant provisions of the legal base – must also be taken into account.

**Task 13: Analyse the 27 evaluation reports submitted by the Member States to the Commission.** The evaluation reports (which include also a section with data on certain output and result as well as impact indicators) have to be submitted to the Commission by 30 November 2015, but it cannot be excluded that this deadline will not be met in some cases and the reports will be submitted later. The reliability of the data and conclusions presented in the reports

have to be assessed, including by reviewing the methodological approaches adopted and cross-checking the data included in the evaluation reports against other sources of information (annual programmes; final reports). In case inconsistencies and gaps are identified in the data presented in the section on the output and result indicators, the contractor shall contact the Responsible Authorities of the Member States concerned and request clarifications and/or completion of the missing data.

**Task 14: Collect additional data on the ERF 2011-2013 annual programmes implemented by the Member States** for at least 6 case studies. (see task 15). Collect additional data for at least 6 case studies to complement the data included in the 27 evaluation reports of the Member States, in order to ensure a higher level of reliability of the evaluation findings, provide an in-depth understanding of the interventions (including cause-and-effect relations in conformity with the Intervention Logic), identify cases of good or bad practice and, if necessary, mitigate as much as possible any weaknesses in the national evaluation reports. The contractor shall propose the appropriate data collection tools (interviews, surveys etc.) and provide in the offer as much quantification as possible (for example, minimum number of interviews to be carried out, minimum number of surveys, minimum number of respondents to surveys etc.). The collected additional data shall be analysed and presented under at least 6 case studies. (see task 15).

**Task 15: Analyse and present the additional data on the ERF 2011-2013 annual programmes implemented by the Member States under at least 6 case studies.**

The additional data collected under task 14 shall be analysed and presented under at least 6 case studies, representing different types of the ERF projects and different Member States (at least 6 Member States, representing different situations). Under the case studies, the relevance, effectiveness, efficiency, sustainability, coherence and complementarity and the EU added value of the selected actions has to be evaluated. The full case studies shall be presented in an annex to the interim (and final) report. The contractor shall present in the offer the proposal for the selection of the case studies and explain the reasoning for the selection.

*The exact selection of the case studies might be modified following the analysis of the national evaluation reports, in order to mitigate as much as possible any weaknesses in the reports. The proposal for the modification of the case studies in comparison to the offer must be approved by the Commission / the Steering group. The modification cannot lead to a reduction of the outputs (number of case studies, number of interviews, number of surveys and number of respondents to the surveys) in comparison to the offer. The modification of the case studies in comparison to the offer cannot lead to an increase of the total price of the evaluation services as proposed in the offer and agreed in the Specific contract.*

**Task 16: Collect and analyse additional data on the ERF 2011-2013 Community actions.**

The contractor shall propose the appropriate tools for the data collection and analysis in the offer and provide in the offer as much quantification as possible (for example, minimum number of interviews to be carried out etc.).

**Task 17: Draft a descriptive chapter summarising the implementation of the ERF 2011-2013 actions and their main results and impacts,**

on the basis of the outputs of tasks 12, 13, 14, 15 and 16. The description shall present the programmed ERF allocations and the final ERF contributions paid to the Member States; a breakdown of the programmed allocations and final ERF contributions per priorities; presentation of the number of projects supported under the Community actions and the corresponding amounts planned and paid; and quantified aggregated information on the main types of projects supported under the ERF 2011-2013 actions. If a precise quantification is not possible due to the limited availability of data, estimates might be presented instead (with a footnote indicating that the piece of data is an estimate). The chapter shall not exceed 10 pages.

**Task 18: Draft an annex with statistical information on the ERF 2011-2013 annual programmes.**

Present statistical information on the ERF 2011-2013 annual programmes. The information shall include financial data on the ERF 2011-2013 annual programmes retrieved from the Commission's SFC2007 database (ERF programmed amounts; ERF



Final contribution amounts; implementation rates; all provided per Member States and/or per priorities, in the format agreed with the steering group) and data on output indicators. The data shall be presented in the form of graphs, tables and charts, accompanied by comments highlighting the most important patterns and trends. The annex shall not exceed 20 pages.

**Task 19: Draft answers to the evaluation questions**

specified in section 6. The replies to these must be based on evidence acquired during the implementation of tasks 12, 13, 14, 15 and 16. Each answer must include a definition of key terms of the question, based on the output of task 3, identify output, result and impact indicators and information sources used for answering it and fully disclose the reasoning followed in the analysis and judgment. Different types of evaluation methods (quantitative and qualitative) and data sources must be combined to formulate the answers. The replies to the evaluation questions shall be structured by the evaluation themes (relevance; effectiveness; efficiency; sustainability; coherence and complementarity; EU added value). The chapter with the evaluation findings / replies to the evaluation questions shall not exceed 50 pages.

**Task 20: Collect and analyse additional data on the ERF 2008-2010 Community actions.**

The contractor shall propose the appropriate tools for the data collection and analysis in the offer and provide in the offer as much quantification as possible (for example, minimum number of interviews to be carried out etc.).

**Task 21: Draft a descriptive chapter summarising the implementation of the ERF 2008-2010 Community actions and their main results and impacts,**

on the basis of the outputs of task 20. The description shall present presentation of the number of projects supported under the Community actions and the corresponding amounts planned and paid; and quantified aggregated

	<p>information on the main types of projects supported as well on the priorities covered. If a precise quantification is not possible due to the limited availability of data, estimates might be presented instead (with a footnote indicating that the piece of data is an estimate). The chapter shall not exceed 3 pages.</p> <p><b>Task 22: Draft answers to the evaluation questions</b> specified in section 6. The replies to these must be based on evidence acquired during the implementation of the task 20. Each answer must include a definition of key terms of the question, based on the output of task 7, identify output, result and impact indicators and information sources used for answering it and fully disclose the reasoning followed in the analysis and judgment. The replies to the evaluation questions shall be structured by the evaluation themes (relevance; effectiveness; efficiency; sustainability; coherence and complementarity; EU added value). The chapter with the evaluation findings / replies to the evaluation questions shall not exceed 5 pages.</p>
<p><b>Task 23: Draft an overview of the progress of the evaluation and the methodology used.</b> Separately for PART I and PART II, the overview shall describe the methodological approach actually applied for the evaluation and provide information on the evaluation process. The description shall include the outputs of tasks 4 and 8, revised in line with the actual situation. Any limitations on the reliability of the data shall be disclosed and mitigating measures presented. Any difficulties encountered in carrying out the evaluation (including deviations from the planning as elaborated under task 9) and solutions proposed to solve them shall be presented.</p> <p><b>Task 24: Compile the interim report</b> comprising the outputs of tasks:</p>	

and submit it to the Commission. The outputs of tasks 15 and 18 shall be submitted as separate annexes.

**Task 25: Revise the interim report** in line with the comments provided by the Commission / the Steering Group and re-submit it to the Commission (if relevant).

**Stage 3 (1 month)**

**Task 26: Compile and analyse the answers received in the open public consultation, which will be launched by the Commission.** The consultation will be targeted to different stakeholders, such as authorities in the Member States, non-governmental organisations and beneficiaries (max. 5 pages).

**Task 27: Draft conclusions.** The contractor shall provide an overall judgement on the relevance, effectiveness, efficiency, sustainability, coherence and complementarity and the EU added value of the ERF 2011-2013 actions, based on and logically derived from the outputs of task 19. The conclusions should contain clear statements on the robustness and reliability of the data and analysis which form the basis of the evaluation. The conclusions shall not exceed 4 pages.

**Task 28: Draft recommendations.** The recommendations must correspond to and be logically derived from the conclusions (output of task 27) and be logically based on the analysis carried out under task 19. The recommendations shall not exceed 3 pages.

**Task 30: Draft conclusions.** The contractor shall provide an overall judgement on the relevance, effectiveness, efficiency, sustainability, coherence and complementarity and the EU added value of the Community Actions under the Annual Work Programmes 2008-2010, based on and logically derived from the outputs of task 22. The conclusions shall not exceed 2 pages.

<b>Task 29: Prepare an abstract</b> of no more than 200 words.	
<p><b>Task 31: Prepare an executive summary</b> of maximum 6 pages. The executive summary shall include a very brief presentation of the evaluation work and the methods used, together with a summary of the conclusions and recommendations arising from the exercise. The executive summary should contain clear statements on the robustness and reliability of the data and analysis which form the basis of the evaluation.</p> <p><b>Task 32: Compile the final report for review</b> and submit the report to the Commission.</p> <p>The final report has to include:</p> <ul style="list-style-type: none"> <li>- The following standard disclaimer: <p><i>"The document has been prepared for the European Commission however it reflects the views only of the authors, and the Commission cannot be held responsible for any use which may be made of the information contained therein".</i></p> </li> <li>- Table of contents;</li> <li>- Executive summary and the abstract (outputs of tasks 31 and 29 max. 6 pages);</li> <li>- Introduction (output of task 1 – max. 1 page);</li> <li>- Chapter presenting the evaluation questions (output of task 2 – max. 2 pages);</li> <li>- Chapter on the evaluation methodology and process (output of task 23 – max. 4 pages);</li> </ul> <p><b>PART I</b></p> <ul style="list-style-type: none"> <li>- Descriptive chapter on the background of the ERF 2011-2013 actions (output of task 6 – max. 6 pages);</li> <li>- Descriptive chapter on the implementation of the ERF 2011-2013 actions (output of task 17 – max. 10 pages);</li> <li>- Chapter presenting the evaluation findings / answers to the evaluation questions (output of task 19 – max. 50 pages);</li> <li>- Conclusions (output of task 27 – max. 4 pages)</li> <li>- Recommendations (output of task 28 – max. 3 pages);</li> </ul> <p><b>PART II</b></p> <ul style="list-style-type: none"> <li>- Descriptive chapter on the implementation of the ERF 2008-2010 Community actions (output of task 21 – max. 3 pages);</li> </ul>	

- Chapter presenting the evaluation findings / answers to the evaluation questions (output of task 22 – max. 5 pages);
- Conclusions (output of task 30 – max. 2 pages)

#### **ANNEXES (for PART I)**

- Separate Annex with the case studies (output of task 15 – max. 40 pages);
- Separate Annex with statistical information on the ERF 2011-2013 annual programmes (output of task 18 – max. 20 pages).
- Separate Annex on the analysis and results from the public consultation (output of task 26 – max. 5 pages).

The report shall respect the requirements specified in the annexed template for the evaluation final reports, with the exception of the evaluation themes in chapter 7 of the report (Answers to the Evaluation Questions). The answers to the evaluation questions shall be structured according to the following evaluation themes: 1. Effectiveness; 2. Efficiency; 3. Sustainability; 4. Relevance; 5. Coherence (including complementarity); 6. EU Added Value. The graphic requirements of the template (including the cover page) must be respected.

The report must be drafted in a clear and easily understandable language. The presentation of the text, tables and graphs has to be clear and complete and correspond to commonly recognised standards for publication.

The report (without annexes) shall not exceed 100 pages.

Statistical and background information shall be presented in the annexes of the report, but the main report must not contain any references to the annexes.

**Task 33: Revise the final report** in line with the comments provided by the Commission / the Steering Group and re-submit it to the Commission (if relevant).

#### **Stage 4 (1 month)**

**Task 34: Prepare the abstract** (output of task 29, relevant to PART I, revised in line with the comments of the Commission/ the Steering Group, if relevant) **as a stand-alone document in English, German and French.**

**Task 35: Prepare the executive summary** (output of task 31, revised in line with the comments of the Commission/ the Steering Group, if relevant) **as a stand-alone document in English, German and French.**

**Task 36: Compile the final deliverable** and submit it to the Commission.

The final deliverable shall consist of:

- 1) The final report with annexes structured exactly in the same way as in task 32, but it shall incorporate changes agreed with the steering group. When the content of the final report is accepted by the Commission, the contractor shall submit the report printed on paper (one copy in colour) and in electronic version (both in Word and PDF).
- 2) An abstract in English, German and French (output of task 34).
- 3) An executive summary in English, German and French (output of task 35).

## 7. RISKS

The programming of the ERF annual programmes was not based on a set of mandatory common output, result and impact indicators. The annual programmes included targets for indicators which were defined on a national basis. In some cases, the indicators were primarily defined for the output level which makes it more difficult to evaluate the results and impacts as some data was not collected and/or is difficult to be obtained *post factum*. In order to facilitate the evaluation, the Commission requested the Member States to report against a set of common indicators established ex-post and included in a template for the national ERF 2011-2013 ex-post evaluation reports. However, there is a considerable risk that some Member States will not provide all requested data in case it is not available.

The contractor is expected to propose evaluation methods which would satisfactorily address these gaps and risks. In particular, the contractor is expected to propose a methodology which would allow, despite the mentioned gaps, to analyse and to conclude on the results and impacts, as well as to satisfactorily respond to the evaluation questions.

Moreover, there are considerable time constraints and very tight deadlines that will need to be respected in the most absolute terms.

## 8. ORGANISATION AND WORK PLAN

### 8.1. Overall management of the contract

Responsibility and management of the evaluation remain with the European Commission (Directorate General for Migration and Home Affairs). A steering group will monitor the evaluation and it will be the main interlocutor of the contractor. The steering group will follow the evaluation process, assess and decide on acceptance or rejection of the different reports that the selected contractor will have to submit. It will also be instrumental in the provision of information to the selected contractor. The contractor should take into account the comments and recommendations of the steering group as much as possible and keep it regularly informed on the progress of the work.

The contractor will be required, and should be prepared, to attend four (4) meetings with the steering group at the Commission's premises in Brussels in order to monitor the evaluation exercise, in accordance with the timetable described in section 9.3 below. Four additional ad hoc technical meetings in Brussels with the project manager will be called by the Commission, with at least 5 working days advance notice, and when considered necessary during the period of validity of the contract.

### 8.2. Timetable for the work and deliverables

The work must be completed within **6 months** from the signature of the contract. The contractor is expected to start the work immediately after the contract has been signed. The stages and the reports mentioned in the table below are those detailed under Section 7 Evaluation Tasks and Methodology.

### **Indicative timetable**

	<b>DATE</b>	<b>MILESTONES</b>	<b>CONTENT</b>
	T-Day zero	Signature of the contract	
Inception Report	T+15 days	1 <sup>st</sup> /kick-off meeting and inception report for review	The contractor presents the inception report and raises specific questions or needs for complementary information. The meeting is used to discuss and clarify the tasks and the approach from the start, including the proposed working plan.
	T+Week 4	Inception report for acceptance	The contractor sends the inception report after integrating /taking into account /addressing all corrections and comments received
Interim Report	T+Week 14	Interim report for review	The contractor sends the interim report.
		2 <sup>nd</sup> meeting	The interim report is presented by the contractor and discussed. The Commission provides preliminary comments.
		COM feedback on the interim report	The commission provides additional comments on the interim report.
	T+Week 19	Interim report for acceptance	Within 20 days the contractor sends the interim report after integrating /taking into account /addressing all corrections and comments received.



Final Report	T-Week 20	3 <sup>th</sup> meeting	The reviewed interim report is presented by the contractors and discussed in view of drawing the conclusions and recommendations for the Final report.
	T+Week 21	Final report for review	The contractor sends the final report.
		4 <sup>th</sup> meeting	The final report is presented by the contractors and discussed.
		COM feedback on the final report	The commission provides additional comments on the final report.
	T+Week 26	Final report for acceptance	Within 20 days the contractor sends the final report after integrating/taking into account /addressing all corrections and comments received.

### ***Physical location at which services have to be performed***

The place of work will be at the contractor's premises. The contractor is also expected to carry out field work in the Member States, where relevant (for example, for the case studies The meetings with the Steering Group will take place at the designated Commission offices in Brussels.

## **9. DELIVERABLES**

The timing and the contents of the deliverables to be submitted by the contractor are described in Sections 7 and 9.2.

Each deliverable will be examined by the steering group, which may ask for additional information or propose changes in order to redirect and/or deepen the work if necessary.

Deliverables must be accepted by the Commission. This is of particular importance for the deliverables to which a payment is linked.

## **10. BUDGET**

## **11. QUALITY ASSESSMENT CRITERIA**

The overall quality of the evaluation will be assessed by the European Commission on the basis of the following criteria:

- Relevance;
- Appropriate methods;
- Reliable data;
- Sound analysis;
- Credible findings;
- Valid conclusions;
- Useful recommendations;
- Clarity.

## **12. INFORMATION SOURCES**

The documents referred to under task 12 which are not publicly available will be provided to the Framework Contract HOME/2015/EVAL/02 contractor upon the signature of the contract.