Report on the second EPATEE survey

Synthesis Report

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June 2018

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With thanks to all the persons that participated in the EPATEE's interview and survey.

Project coordination and editing provided by Austrian Energy Agency.

Manuscript completed in June 2018.

This document is available on: www.epatee.eu

Document title	Report on the second EPATEE survey
Work Package	WP2
Document Type	Synthesis Report
Date	28 June 2018
Document Status	Version 1.6

Acknowledgments & Disclaimer

Preface

This report summarises the outcomes of the second survey submitted to the group of stakeholders, aimed at collecting a more quantitative feedback and a better understanding of the needs of the EPATEE stakeholders in view of the implementation of the EPATEE web-tool.

The survey has been promoted mainly among evaluators, evaluation customers (i.e. people who commission evaluation activities), and evaluation users (i.e. people who use the results of evaluation, for example for lobbying, research purposes, etc.).

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1.1　Methodology

The questionnaire aims to understand how ex-post evaluation is integrated into the cycle of energy efficiency policies, to identify good practices and to obtain opinions and useful suggestions to develop the support tools envisaged by the EPATEE project.

The survey has been developed and implemented in three steps:

- Design of the questionnaire by FIRE, improvements by the EPATEE partners, and implementation on web platform;
- Promotion of the questionnaire among all the stakeholders identified by the partners;
- Analysis of the collected data.

1.1.1　Questionnaire design and web platform

The first draft of the questionnaire was developed by FIRE and sent to partners on December 7th, 2017 for comments and suggestions to improve both structure and content.

The questionnaire is structured as follows: a first general part aimed at all the subscribers, a second part addressed to evaluators and another one dedicated to evaluation customers.

After having received all the comments from the partners FIRE implemented the survey on the web platform LimeSurvey.

The questions are of three types:

- closed, with one answer available among a set of options;
- multiple response, which allows to select more than one option;
- open, to allow for free contribution.

In the Annex, it is possible to consult the whole questionnaire in word format.

1.1.2　Submission of the questionnaire

On February 12th, FIRE opened the survey and sent to the partners the link through which to access the questionnaire with a letter of invitation to be sent to national stakeholders. FIRE asked the partners to make at least 2 submissions to invite national stakeholders to complete the questionnaire.

A webpage on the EPATEE website was created to promote the survey and direct the stakeholders to the web platform on which the survey was implemented.

The promotion of the survey was done via e-mail. Each partner has done more than one mailing to the stakeholders reported in the Stakeholder Engagement List (176 contacts overall).

The closing date of the questionnaire was set as first instance for March 2nd. The trend of the responses suggested to postpone the expiry of the survey by one week. The survey was then closed on March 9th.

1.1.3 Answer rate and profile of the respondents

Data collected through the platform has been analysed by FIRE using Excel. The results are summarised in the next chapter.

The total answers received are 112, of which 47 complete and 65 incomplete (i.e. some subscribers have stopped filling the questionnaire before its end).

Also incomplete answers have been considered in the analysis when significant.

Figure 1 shows that there is a good geographical coverage.
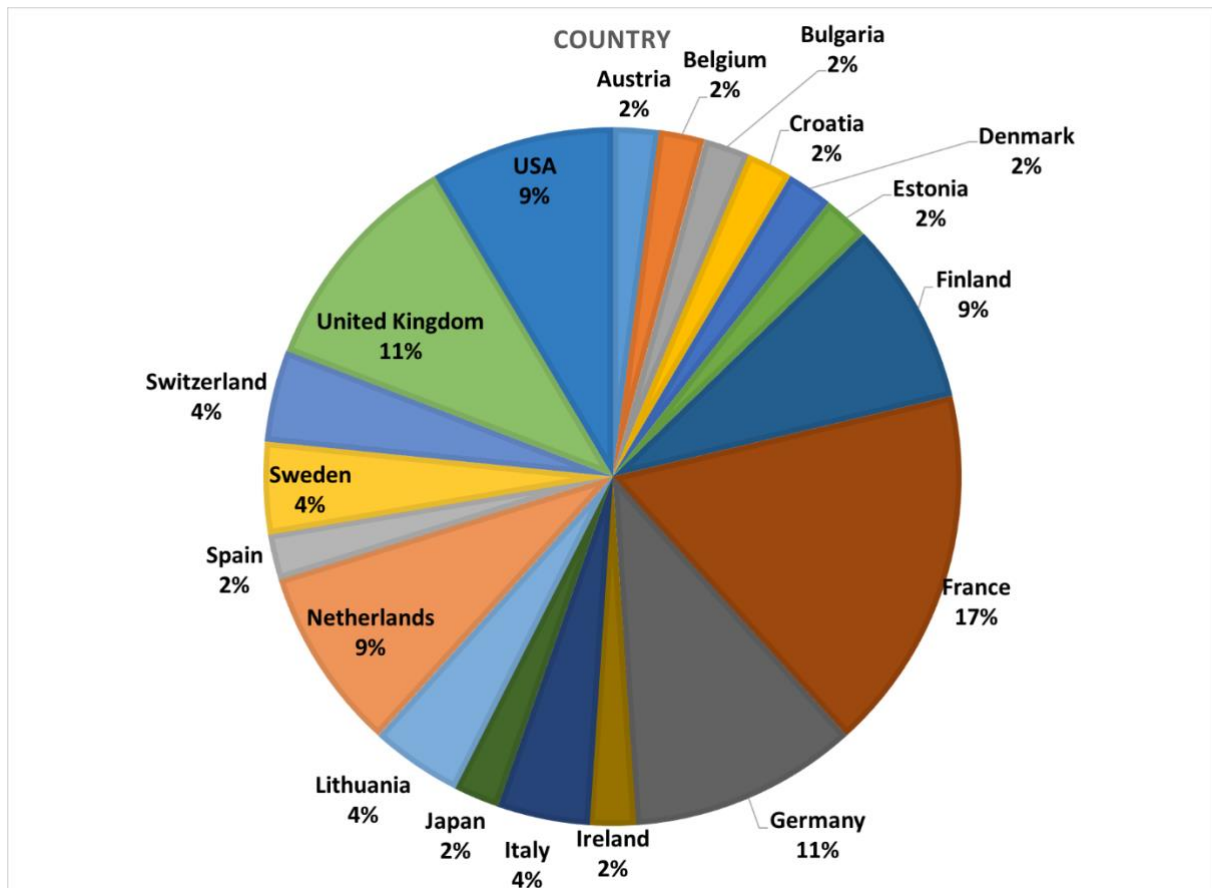
Figure 1. Geographical coverage.

Respondents come mainly from the public sector, as Figure 2 shows.
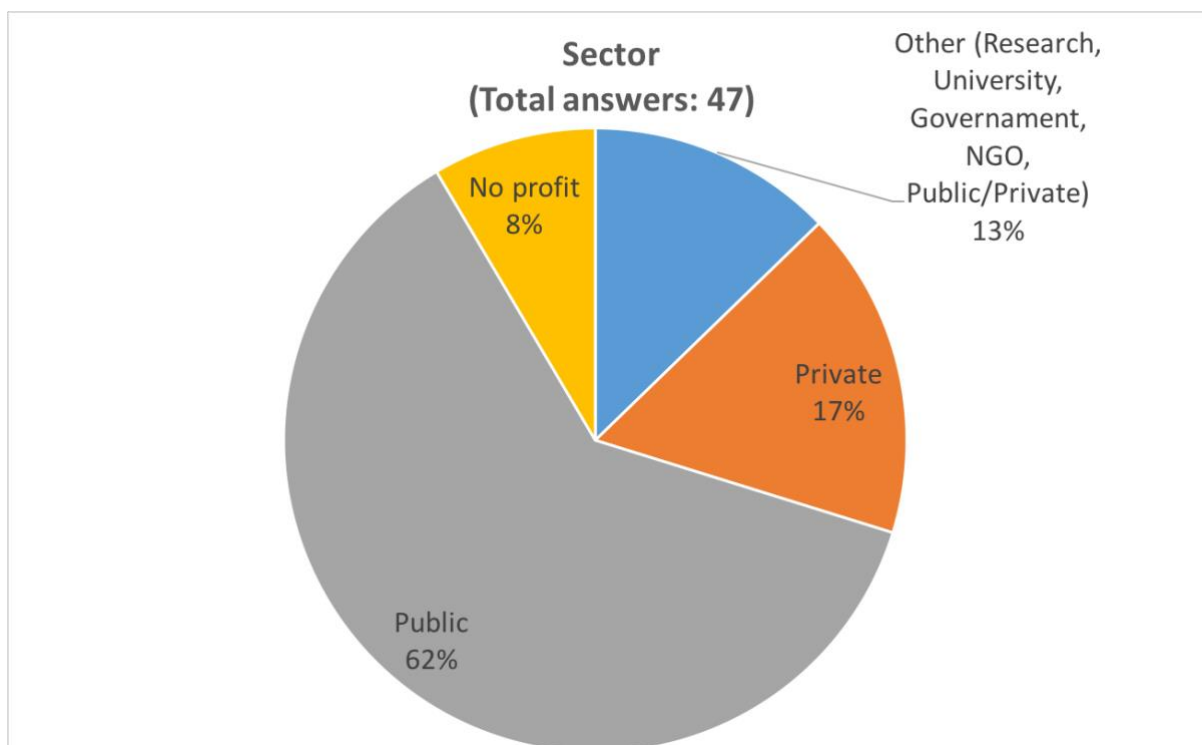
Figure 2: Sector.

The type of respondents is summarised in Figure 3. Evaluators are prominent, but there is also a good number of evaluation customers and users. This affected the number of questions answered by each group (e.g. evaluation users stopped at Q6, whereas the evaluators and evaluators customers have other questions to answer).
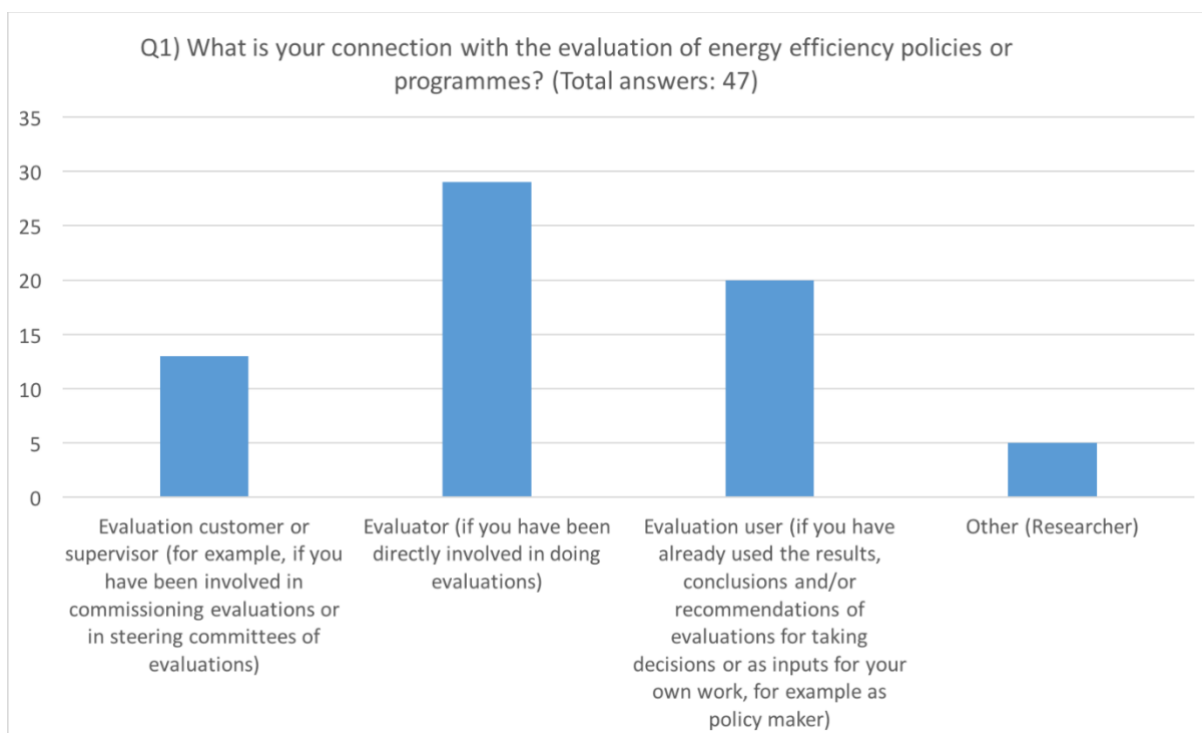
Figure 3: Q1. Respondents' connection with the evaluation of energy efficiency policies or programmes.

1.2   Outcomes of the survey

Besides graphs, used to summarise the outcomes of closed and multiple choices questions, answers to open questions are integrally reported, in order to maintain all the information collected through the survey. These answers have been structured, grouping answers related to the same issue. This is to make it easier for the readers to identify the main types of comments or suggestions collected with the survey.

Basically this report doesn't include comments on the answers received through the survey, in order to avoid biases both for the readers and considering the original aim to use the collected data to develop the EPATEE webtool and improve our action.

1.2.1   General questions

Q2a. Do you agree with the ranking of solutions which was the result of the first EPATEE survey?

Question Q2a proposes to the interviewed subjects a ranking of solutions that can be implemented by the project consortium in the web-tool based on the answers of the first EPATEE survey.
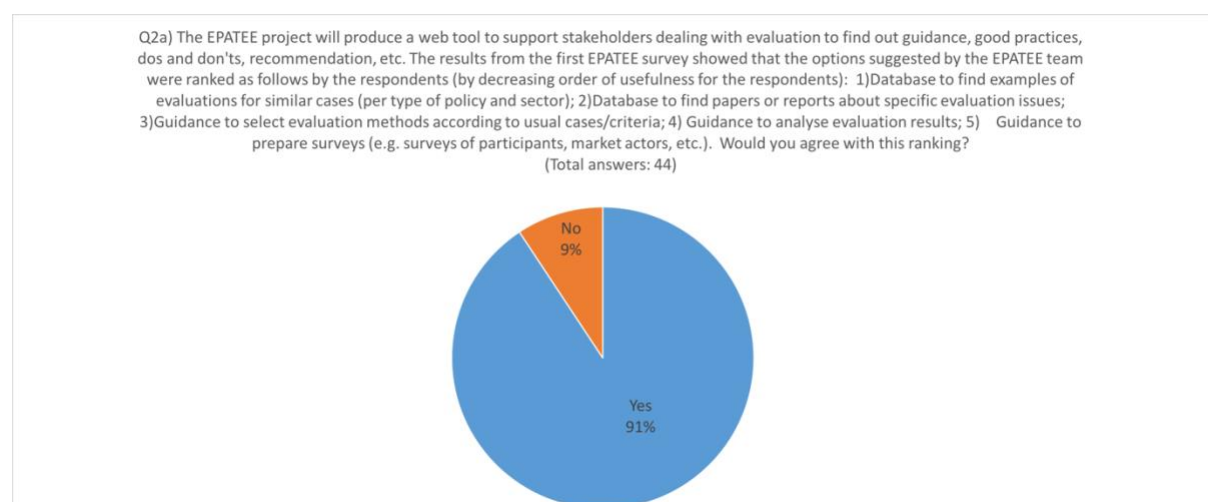

Figure 4: Q2a. Would you agree with the ranking suggested by the survey?

Q2b. If not, what would be the ranking you would suggest?

In Q2b respondents who didn't agree with the suggested ranking had the possibility to suggest their own. Here the options provided by the four respondents are indicated.

	Participant 1	**Participant 2**	**Participant 3**	**Participant 4**
1st	Database to find examples of evaluations for similar cases (per type of policy and sector)	Database to find examples of evaluations for similar cases (per type of policy and sector)	Database to find examples of evaluations for similar cases (per type of policy and sector)	Database to find examples of evaluations for similar cases (per type of policy and sector)
2nd	Guidance to select evaluation methods according to usual cases/criteria	Guidance to select evaluation methods according to usual cases/criteria	Guidance to select evaluation methods according to usual cases/criteria	Guidance to select evaluation methods according to usual cases/criteria
3rd	Guidance to analyze evaluation results	Guidance to prepare surveys (e.g. surveys of participants, market actors, etc.)	Guidance to analyze evaluation results	Guidance to analyze evaluation results
4th	Database to find papers or reports about specific evaluation issues	Database to find papers or reports about specific evaluation issues	Database to find papers or reports about specific evaluation issues	Guidance to prepare surveys (e.g. surveys of participants, market actors, etc.)
5th	Guidance to prepare surveys (e.g. surveys of participants, market actors, etc.)	Guidance to analyze evaluation results	Guidance to prepare surveys (e.g. surveys of participants, market actors, etc.)	Database to find papers or reports about specific evaluation issues

Figure 5: Q2b. Alternative rankings.

Below are shown all the answers given to the open questions Q3, Q4, Q5, which dealt respectively with the other types of support expected from respondents, barriers to policy evaluation, and elements/actions that can facilitate and make more effective the introduction of evaluation in the policy cycle.

Q3. What other type(s) of support, guidance, etc. would you be interested to get from the EPATEE web tool?

Answers from respondents have been grouped per similar type of suggestion, to make it easier to identify how to take into account these suggestions in the development of the web tool.

The following suggestions can be connected with the content of the EPATEE Knowledge Base, as they can be understood as a demand for **making existing resources easily available**:

> "Validated evaluation methodologies."

> "More detailed methodology for evaluation, which could be applied for Lithuanian case."

> "A search tool that would help to find most relevant materials."

> "Database to find training course specific to each method."

About the suggestion referring to a given country (Lithuania), one of the objectives of the web tool is to take into account the differences in situation and context for evaluation. It is planned to use questions to help providing the users with resources adapted to their needs. However, this cannot be done country per country. This will be done by considering a typology of situations.

About the suggestion of a search tool, this is indeed one of the key objectives of the EPATEE web tool. As it is for the Knowledge Base already available.

About the suggestion on identifying training course, this was not initially in the type of resources considered. But this could indeed be interesting to look at.

On the same line, one respondent highlighted that many resources are already available:

> "There is a lot of guidance available on evaluation already and there's probably no need to re-invent the wheel...for example http://betterevaluation.org/ and guidance produced by individual governments like the UK Treasury's Magenta Book."

The approach of the EPATEE project is fully in line with this comment, as part of the work done is to gather existing resources and to categorize them. This will form the basis to make it easier for users to find resources relevant to their needs.

Another group of suggestions is about **guidance or guidelines**. These answers deal with different types of guidance or guidelines.

Two were about guidance related to **monitoring and evaluation of energy savings**:

> "Guidance on monitoring and use of data for energy savings (e.g. calculated savings vs deemed savings)."

> "Guidance to evaluation of actual results (energy savings)"

The objectives of the EPATEE web tool are fully in line with these suggestions, as the primary focus of EPATEE is indeed on the evaluation of energy savings.

Another suggestion was about **supporting an extended scope of evaluation** (cf. evaluation of non-energy impacts or multiple benefits of energy efficiency):

> "Guidelines for Impact Assessment (all types of impacts, including social-economic impacts: for example, local economic development and specifically employment impact, social cohesion, health impacts, the ability to act actors, and territorial dynamic). These guidelines can present qualitative methods."

This suggestion is in line with the results of the first EPATEE survey that shows a high interest of stakeholders in the evaluation of non-energy impacts. The Knowledge Base already gathered references on these issues. This could be further complemented in the EPATEE web tool depending on the time available after developing the tools/resources on evaluation of energy savings (priority of the project).

The two following suggestions were related to the **preparation of evaluation**:

> "Advice of steps to take to ensure evaluation is considered at the policy design stage"

> "Guidance to prepare specifications"

These issues will be covered by the project in a task dedicated to developing guidelines for the integration of evaluation into the policy cycle.

Another answer was related to **sources of data**, and can be grouped with other suggestions about databases.

"Guidance to available source data for executing analyses."

"Database on values for deemed savings."

Gathering data or data sources is out of the scope of the EPATEE project. However the guidance developed in the EPATEE web tool will likely cover the issue of data requirements depending on the type of evaluation method used.

Similarly, the following suggestion might be too specific for the EPATEE project:

"A tool to generate tables needed for the reporting."

Such a tool would require to analyse the reporting needs as well as the type of data available for reporting, etc. which is often different from one case to the other. However, what could be in the scope of the project would be to develop guidance in terms of documentation of the results.

The following suggestions can be connected with the EPATEE case studies, as it deals with the collection of **feedbacks and lessons learnt from existing evaluations**:

"It is not exactly a support tool, but a collection with best practice (as a small book) would be interesting."

"It would be useful to see how other countries have dealt with different type of problems. for example make a list of frequently appeared problems and good practices and contacts from countries that have dealt with certain problem."

"Examples of how programs were modified (improved) based on evaluations. The goal is to make evaluations more of a tool for continually improving policies than what it is often used for now, which is grading policies as pass or fail, or trying to promote one policy over another when in fact they are complementary/synergistic. My experience would caution strongly against using quantitative evaluation results as a basis for financial compensation of an implementer, as the methods and assumptions of the evaluation are not so robust as to be able to stand up if financial outcomes are tied to them and evaluators have a stake in the outcome."

The last answer of this group also deals with evaluation use, which is one of the issues covered in the EPATEE case studies.

The second answer in the group above include a suggestion about identifying contacts to share experiences, that can be connected with the following other answers also about contacts or forums:

"A list of evaluation institutions dealing with the topic"

"Contact information of those persons who contracted the evaluations and/or are using the results."

"Contact to other consumers of evaluations in the public sector"

"A list of experts that can be consulted (in case of short questions or need for direct guidance)"

"Key actors in key countries"

"Overview of institutions that conduct evaluations"

"Possibly a forum to discuss issues/ask questions."

> "Possibly a forum to discuss issues/ask questions - A forum for discussion and questions would also be valuable, if this is possible within the platform."

The project cannot provide list of contacts, as this would contravene to the protection of personal data (see GDPR - General Data Protection Regulation: https://ec.europa.eu/info/law/law-topic/data-protection_en). However the relevance to organise a forum or other ways to facilitate experience sharing beyond the end of the project will be examined, taking into account existing forums (e.g., Concerted Action for the Energy Efficiency Directive, LinkedIn discussion group of IEPPEC).

Finally, the answer below was not clear in terms of expectations about the EPATEE web tool:

> "Summary of effect sizes."

It can be noted that there is no type of suggestion that was quoted by a majority of respondents to the survey (cf. 47 complete answers to the whole survey). Most of the groups of similar suggestions include two to five answers. The group including the highest number of similar answers is the one about contacts/forum to share experience, which is not really about a tool or resource but more about facilitating exchanges. This is done in EPATEE through the organization of workshops and webinars, and is more generally tackled by working at developing a community for experience sharing.

Therefore there is no clear outstanding demand that would have required to be added to the list of tools/resources listed in question Q2a. This was in fact what one respondent answered (in this answer, "above" refers to question Q2a):

> "If the above is provided, this would be a considerable benefit."

Overall, the answers to question Q3 bring useful complementary suggestions that will be taken into account when developing the EPATEE web tool.

> **Q4. As shown by the EPATEE report on the first survey, there are many barriers (e.g. financial, technical, organisational, political, etc.) that can impede an effective evaluation, or reduce its scope and capability to affect the policy cycle. The feedback collected from stakeholders also confirms that by introducing and integrating evaluation in the policy cycle, policy effectiveness can be improved. Based on your experience, which are the most important barriers that make the integration (or the introduction) of evaluation into the policy cycle difficult?**

Answers from respondents have been grouped per similar issue, to make it easier to identify the different issues raised among all the answers.

Some of the respondents mentioned several barriers in their answer, either making a link between the barriers or issues, or ranking them. Each answer (with multiple issues) is then presented below in a single quotation.

When no link was made between several barriers or issues mentioned in the same answer, then each part of the answer is quoted separately according to the issue they refer to.

Many answers to question Q4 raise issues similar to the barriers reported in the first EPATEE survey about evaluation practices[1]. Particularly about resources. The **financial barrier** is indeed mentioned in a straightforward way in several answers.

> "Lack of funding."

> "Lack of allocated resources."

> "Financial"

> "Sometimes, no or insufficient budget."

> "Limited funding."

> "Small programmes with limited budgets can´t carry the evaluation costs."

As mentioned in the last quote above, other answers raise **cost-related issues** rather than budget constraints.

> "Costs for analysis and data supply."

> "Too complicated mechanisms for evaluation would be (are) a serious barrier that affects the policy cycle. Plus it creates administrative and financial burden for all participating parties."

Time as a resource is also mentioned in some answers, but less frequently than financial resources.

> "Lack of time and money."

> "Time needed for evaluations, there is often a time pressure to find out the best interventions."

> "Lack of time to properly understand the results."

Time is more frequently quoted in terms of **difficulties to match timeframe for evaluation and timeframe for decision processes**. Which is indeed an issue more specific to integrating evaluation into the policy cycle.

> "Timing. The reality of scoping, commissioning, carrying out (along with a realistic timeframe), analysing and then developing feedback means that the nature of government policy can often move on. Guidance on the realistic timeframes of evaluation would give policymakers a better understanding of what is possible and then how to work that into their own evolving programme."

> "Different times: Time of evaluation is longer than the time of policy (short term)."

> "Too much time between the publication of results and the right Moment to adjust programs."

> "Duration of the evaluation."

> "The speed at which a policy may be introduced - not giving the policy team time to think about evaluation and also the lack of awareness among the policy team that evaluation should be considered and included at the start of the process."

As mentioned in the last quote above, other answers raise issues related to **evaluation planning**.

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[1] See https://epatee.eu/sites/default/files/2017-11_epatee_interviews_and_survey_report_v1.3.pdf

> "Often ex-post evaluation, i.e. evaluation and its data needs not integrated in the policy setup. Good and rigorous evaluation needs to be planned (together with respective data gathering) with the setup of a policy."

> "The integration of evaluation into the policy cycle is implemented in our policy cycle from a technical side; however, sometimes the selection of policies to be implemented obeys to political criteria rather than technical, without considering the initial planning of the policy cycle."

The last quote above emphasises that problems related to planning might be due to **differences in the cultures or habits between decisional level** (policy makers) **and operational or technical level** (policy officers and other implementers). These differences, or usual routines in decision making or policy management are raised in other answers.

> "Cultural barriers: Elected people are not trained or don't have the reflex to integrate evaluation in their policy."

> "Quite often there is a problem in communication between political and operation level, so information flow is not prompt as it should be."

> "I do not have any personal experience in this, but I suspect that the formalization of new routines within the realms of different actors and institutions may be a barrier, along with knowledge transfer. The integration of evaluation in policy cycles will require knowledge acquirement and alignment between several actors/institutions."

> "Policy-making and politics are two distinct things. I don't know how to better articulate the two and make politician better follow the evaluators' recommendations."

> "The political culture in some countries and the fact that political decisions are taken based on a political compromise between political parties and other involved stakeholders rather than on evidence-based evaluation."

> "Mostly, policies come from politics and are political ;-) Rigorous evaluation and learning of "what works, what does not", experimenting, trial-and-error, including shut-down of ineffective policies is not done."

The barriers listed above (financial and time resources, timing and planning, cultural aspects) are also explained in several answers by **policy makers' lack of interest** in evaluation and/or priority given to launching new policies or implementation.

> "Policy makers are more interested in announcing new policies, than in looking at the results of previous policies or previous policy cycles. Then little means (money and time) are dedicated to evaluation, which makes it difficult to perform useful evaluations. So evaluations are finally seen as a useless constraint... which creates a kind of vicious circle."

> "There is in general a lack of interest by policy-makers in the results of an evaluation. Good evaluations are costly, need to be budgeted as part of the policy/programme, and this is not always done, often for the first reason."

> "Evaluation is not a priority with most policy makers. They often don't see the added value, and as a consequence no resources are allocated for evaluation."

> "Lack of financial resources for evaluation projects and lack of interests in evaluation by policy-makers/program managers would be the biggest ones."

"Difficulties in accepting the importance of evaluation when designing the program. Efforts are being made to implement and fund, not to track results (even less to think about their evaluation)."

"The fundamental thing is that evaluation needs to be recognised as an essential element of the policy cycle by senior decision makers in the relevant ministry or department - where this is done well (e.g. UK's BEIS) then evaluation is conducted on a timely basis, funded properly and informs policy making."

"Cost and interest. People will say they are interested in the effectiveness of policies however they already assume that a policy is effective otherwise it would not have been proposed. Also many evaluation results take time to gather and by the time there is feedback on the impact of a policy the original policy makers have moved on to other topics. Putting money aside to look at the effectiveness of a policy is also a barrier. Again why spend money on something people believe is already effective and which will take a long time to evaluate."

The last quote above raises another issue: lack of interest in evaluation could be because policy makers would assume that they know well the impacts of the policies. Other answers go even further on this line, mentioning that **policy makers might sometimes not be willing to see results different from what they are expecting**.

"Decision maker are not open to the result of evaluation and just want confirmation of their work."

"Vested interest (pre-defined preferred outcome, not necessarily willing to consider other results)."

"There is no or small interest in effective evaluation as existing situation may show "better" results than could be achieved via proper evaluation."

"Policy makers are often not so keen on evaluation of policy measures which they introduced."

This feedback is moderated by another answer reporting a **positive experience**.

"In my experience, the ministries and other authorities (who we did the evaluations for) were very much interested in our results and seemed to consider them."

The answer below also brings a complementary view for the debate about policy makers' interest or will to evaluate, pointing that **evaluation is not always necessary from a decision making point of view** (which echoes to some extent some of the quotes above about cultural aspects).

"Some programmes are politically important and therefore it isn´t really an issue if they are effective or not compared to other programmes. If there is a mandatory target to be met, the evaluation may be irrelevant."

Connected to the cultural aspects mentioned previously, some answers raise issues related to the **definition or selection of evaluation indicators or criteria**.

"Getting evaluation criteria on the agenda for consideration at the policy design stage can be seen as a nuisance. Programme delivery agents are often interested in different metrics compared to evaluators."

"Ad hoc policy making, insufficient definition / quantification of policy goals."

"Lack of access to tools for quantifying the impacts in metrics policymakers care about; Evaluations being driven by priorities (e.g. cost-effectiveness) that do not capture all of the policy-makers' priorities (e.g. economic development, health benefits)."

"The biggest barrier I find is the failure to recognize that evaluation results are usually the answer to a very specific and rigorously framed question. As an example, "data" are often assumed (as the etymology of the word implies) as "givens", whereas useful data are not given and universal, but rather specific to the evaluation of a particular, rigorously specified scientific hypothesis. Thus savings due to a policy depend on the meaning of "due to" and the evaluators and their clients must be very clear about what is held constant."

Some answers raise issues related to **capacity building**: lack of training, knowledge, etc. That are reported for both sides: policy makers and evaluators.

"Policy-makers' lack of understanding of evaluation terminology and evaluation processes."

"Lack of knowledge in the quantitative analysis."

"The lack of knowledge of how the device works in the field mainly for the industrial and tertiary sectors."

"Lack of methodological guidance, best practices and examples from other countries, responsible staff trainings."

"Lack of skills by evaluators would also be another important barrier."

"Comprehensively established and transposed programmes tend to have a high up-front cost and long penetration/maturation phase. Who can really evaluate it? And if evaluated, what if it is not the best in the world?"

Other practical or organizational issues are mentioned more specifically in a few answers.

"Lack of organization. Who is responsible for the evaluation?"

"Lacking availability of high-quality data."

In some cases, the respondents rank the barriers they mentioned. These four rankings are different. This would suggest that the **hierarchy of barriers might depend on the context, or on respondents' own experience**. This also means that all barriers identified in the survey will need to be analysed carefully in the next step of the EPATEE project.

"1) A focus on launching policies and not on documenting impact.
2) Inexperienced staff/politicians and lack of interest in learning why a program works or not and why.
3) Budget restraints."

"1/ lack of anticipation (policy design may continuously evolve). A political agenda (short-term) different from the need to take time to implement simultaneously both the policy and the evaluation framework (to collect data, to create a counterfactual, etc.). Evaluation = generally not rewarding for the politicians.
2/ lack of evaluation culture in the policy makers' community
3/ extra cost due to the implementation of the evaluation framework."

"(I) Financial;
(II) Insufficient staff resource to undertake the resource; and

(III) Timeliness - evaluations take a long time to complete, so may be completed after the policy is modified/ renewed."

"1. Culture: the "culture" of evaluation is different than the "culture" of policymaking. They need to think of this as a capacity building process and take this as a long-term commitment. They need to understand the "language" and "assumptions" that are made in each field.
2. Time: it takes time to work together - e.g., meetings may take longer for policymakers when discussing evaluation issues, and for evaluators when discussing policy issues."

Last but not least, one answer highlights that the **EU level was not always showing the example** about integrating evaluation into the policy cycle.

"The results of the evaluations should be taken into account already at the EU level, during the preparation of directives, legislation and state aid guidelines. If the bottlenecks exist already in those, there is not much possibilities for improvement on national level."

Q5. Based on your experience, which are the elements/actions/practices that can help the integration of evaluation into the policy cycle?

Answers from respondents have been grouped per similar type of suggestion, similarly to the previous question.

Many suggestions were made in views of the barriers mentioned for the previous question (Q4). Only one suggestion is directly about **tackling financial barriers** (budget restrictions, lack of or limited funding).

"For the integration, sufficient resources should be foreseen for the evaluation in the planning stage."

As raised in the quote above, several other suggestions deal with the issue of **evaluation planning**.

"Providing guidelines to facilitate an early planning of evaluation."

"Aside from the points raised above, greater consideration of evaluation earlier in the policy cycle."

"Planning of evaluation at the beginning of the implementation of policy."

"Include ex post evaluation cycle and give clear guidelines how this influences ex ante planning."

"Having an evaluation framework that policymakers use to develop evaluations for each policy they are developing is very useful. Ex-post evaluations carried out with no up-front design often lack the ideal data or information needed to gain real insight."

"Evaluation taking place while programme (or whatever is evaluated) is still running (=accompanying evaluation) in addition to ex-post evaluation."

"Determined process that is executed in a similar way each year. If possible by the same evaluators."

"Evaluation experts should be consulted when setting up a policy to include a proper evaluation design and define necessary data needs from the outset."

"Deeper links between the research world and the policy makers."

"A suitable planning that gathers all views of stakeholders and considers the evaluation part of the policies is key."

Matching timeframes of evaluation and decision making is not tackled directly in the suggestions made. But two of them raise the issue of **time perspective**.

"Having stable long term policies does certainly help."

"Taking a long-term view. It is just good practice to see what the impacts of policies are, especially as the cost of the evaluation will have a small cost compared to the implementation of many policies."

The last quote in the list about evaluation planning is also connected to the issue of **involving/making the link between all stakeholders**. Which is also raised in several other suggestions.

"Elaborate an organization that integrates all the actors of the scheme for a common evaluation."

"Evaluator must be integrated during all the policy cycle and work at the beginning with the policy makers. Nowadays, evaluator, policy maker, implementers don't work together. There is policy maker at the beginning, implementers in the middle and for the ex post evaluation, evaluator."

On the same line, other suggestions highlight the importance of **communication between evaluation customers and evaluators**.

"Early, frequent and ongoing communication and coordination between policy-makers and evaluators."

"Enough discussions and exchange of information already at early stages of the policy planning."

"Early and regular meetings with project team."

About communication, another answer points that it is also a matter of **identifying the right persons**.

"1. Finding the right people to work together as a team. One person can easily dominate discussions; you need people who are willing to learn, rather than to say that they already know the answers. 2. Willingness to accept risk and failure. Policymakers are not used to that - they want "winners". But sometimes, evaluations will show the weaknesses/limitations of particular policies. One can learn as much, if not more, from failed policies than successful ones. So, the evaluators must maintain their objectiveness and not be unduly influenced by policymakers."

Other suggestions are about **clarifying evaluation objectives and indicators**, and ensuring that they are in line with the objectives of the policy.

"Having discussions as early as possible in the policy cycle to clarify the objectives of the policy, and then to prioritize the objectives of the future evaluation(s)."

"As discussed immediately before, the evaluators must be looking for the signal or outcomes that the program designers expected or desired to achieve. I have reviewed too many evaluations where the evaluators apparently never talked to the program designers and assumed that the intended outcome was one thing when it really was something different: for example low-income housing weatherization programs where the desired

outcomes included health and safety, comfort of occupants, job creation, and equity rather than simply reductions in energy use."

"Increased access to tools to evaluate programs in metrics policy-makers care about."

At the other end of the evaluation process, some suggestions are dealing with evaluation outputs, and particularly **the way to communicate and discuss evaluation results**.

"Good summaries, early results."

"Selling the benefits of evaluation to programme implementers."

"1) Evaluators must repeatedly insist on not distorting their evaluation results to say more than the data can justify.
2) Evaluators, press and citizens/businesses must be openly critical towards evaluations results based on too insufficient data and challenge these."

Several suggestions are about **introducing requirements to do evaluation** (either at national or EU level), which can be seen as a way to tackle policy makers' lack of interest or will to evaluate.

"Making sure that evaluation is a compulsory part of the policy cycle, by including it in the overall planning with the introduction of the policy instrument."

"The prospect of funding being cut if not evaluated."

"If required by EU; if defined as key element in the legal basis for the respective policy instrument."

"EU requirements, which are the "must" for national bodies."

"Obligations imposed by external regulators (the European Commission for example)."

Another answer suggests that the **demand for evaluation** could come from citizen or political debates.

"Public/political pressure to demonstrate the effectiveness of energy efficiency policies and programs."

Many suggestions are related to **capacity building**, and particularly to **experience sharing**.

"Spread knowledge about quantitative analysis."

"Train politicians to raise their awareness of real policy issues."

"Increasing awareness, having tools for policy teams that highlight the importance and benefits of including evaluation at an early stage."

"Capacity building in public sector."

"Sharing experience about existing evaluations to show the added value of evaluation, and why and how it can be useful and worth to do."

"Showcases on how policy evaluation helped to identify the strong points of a policy (and hence help to back a politician) and the aspects that can be improved."

"Knowledge sharing, mentoring, team work."

"Examples of evaluations for similar cases and guidance to select evaluation methods according to usual cases/criteria."

"Knowledge transfer and best practice.

"The experience from the benefits from the existing evaluations. E.g. because of the EED we have said several and several times "thank God we have these monitoring and reporting systems up and running...""

Fewer suggestions are tackling the issue of **data collection**.

"Organizing data collection taking into account what data will be needed for the evaluation (and not only what data can easily be collected)."

"Thorough consideration of data needed at programme inception."

One answer is more a comment than a suggestion, highlighting that evaluation is always a part of the policy cycle anyway.

"To my knowledge, the evaluation is always a part of the policy cycle. Even a decision not to evaluate is an evaluation and a part of the policy cycle."

Another answer mentions that it is difficult for evaluators to make suggestions about integrating evaluation into the policy cycle, probably due to a bias in the point of view.

"Hard for us to do as evaluators though. Our task is to make our work relevant and useful. There will be a good keynote on this at IEPPEC 2018 - everyone should attend!"

Q6. Would you agree to be interviewed?

As Figure 6 shows, most of the stakeholders agree to be interviewed to tell their experience in the evaluation field.
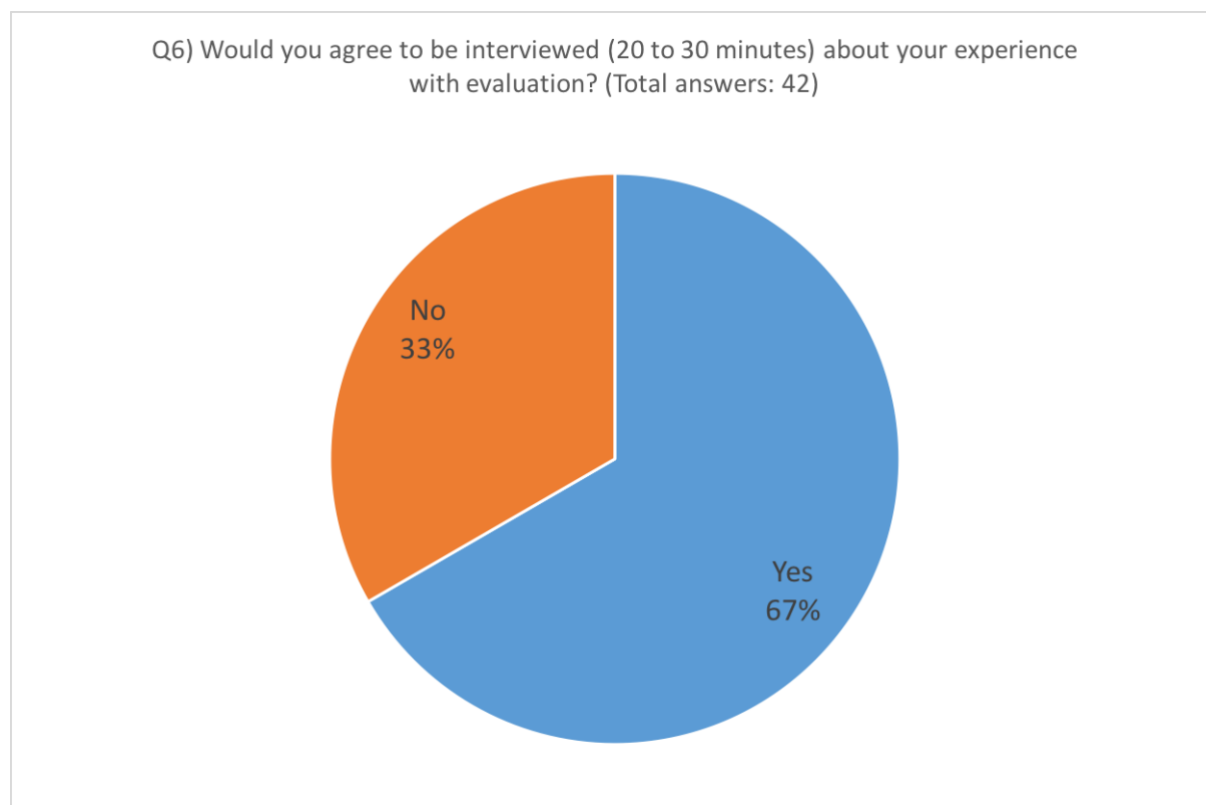

Figure 6: Q6. Availability for interviews.

1.2.2   Questions for evaluation customers

This part of the survey is dedicated to the questions asked only to evaluation customers or supervisors. Results should be taken with caution, as the number of respondents for these questions is 12. This sample size should also be considered taking into account that the number of evaluation customers (for evaluations of energy efficiency policies and programmes) in Europe is also limited. For example, compared to the situation in the United States, where the institutional framework makes that most of the Public Utility Commissions and energy utilities in each state are frequent evaluation customers.

Q7. What would you say about the way evaluation is generally integrated (or not) into the policy cycle of your organization?

Q7 is a multiple answer question. Most of the 12 respondents made answers showing that the evaluation results and conclusions are communicated to the various levels of hierarchy within the organisation (up to the top management/top levels). The other options show that the situation varies a lot among the respondents, a sign that very different approaches are found among countries and/or different policies.
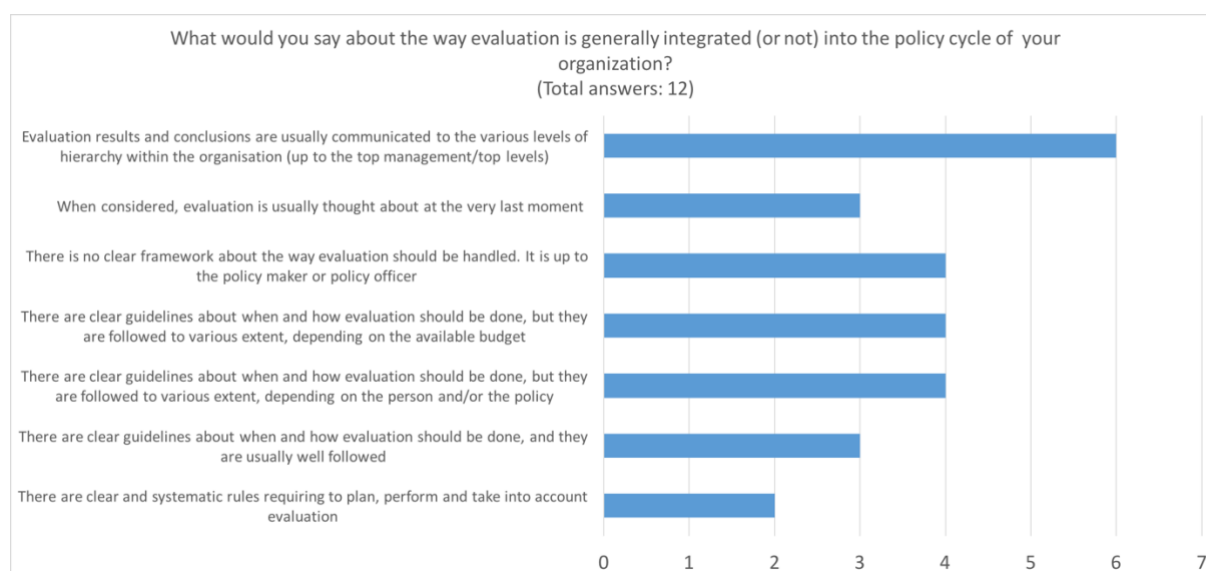
Figure 7: Q7. What would you say about the way evaluation is generally integrated (or not) into the policy cycle of your organization?.

Q8. One very common recommendation about evaluation is to plan the evaluation from the start of the policy/programme (early planning). Would you say that in your organisation the early planning of evaluation is:

Answers to Q8 also shows a diversity in the practices about early planning of evaluation (from the evaluation customers' point of view): 6 respondents said that this practice is either frequent (3), systematic (1) or sufficient (1) in their organisation. 3 that it was rare, and the remaining 3 that they don't know.

Q8) One very common recommendation about evaluation is to plan the evaluation from the start of the policy/programme (early planning). Would you say that in your organisation the early planning of evaluation is (Total answers: 12)
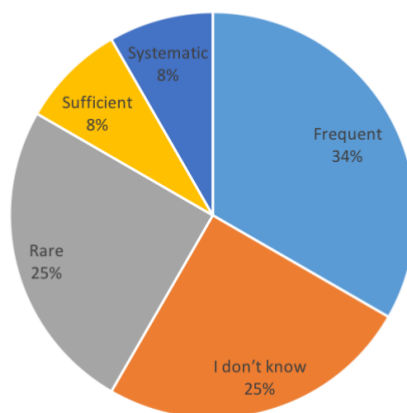
Figure 8: Q8. Evaluation and planning.

Q9. Are evaluation results discussed and considered in your organization (this does not mean that the recommendations are necessarily adopted and implemented)?

From Q9 it appears that evaluation results are usually discussed within the evaluation customers' organisations.

Q9) Are evaluation results discussed and considered in your organization? (this does not mean that the recommendations are necessarily adopted and implemented). (Total answers: 12)
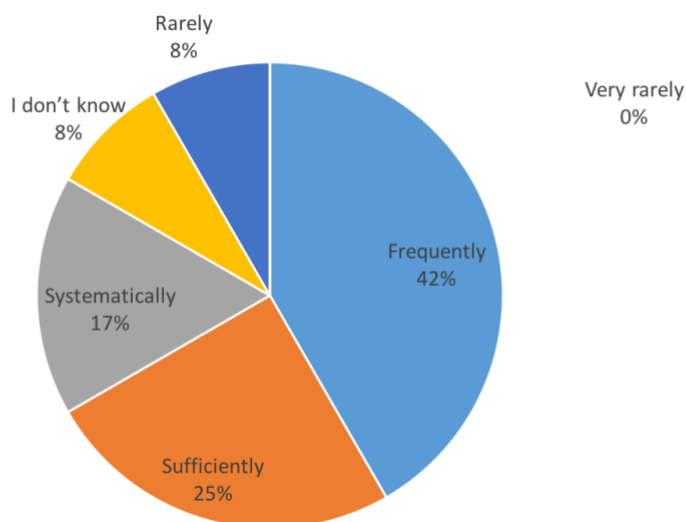
Figure 9: Q9. Discussion of evaluation results in the respondents' organizations.

1.2.3   Questions for evaluators

This part of the survey is dedicated to the questions asked to evaluators.

Q10. When you have made evaluations, did you experience that:

Answers to Q10 shows that the situation vary a lot among the respondents, a sign that very different approaches are found among countries and/or different policies.

Figure 10: Q10. Evaluation and its links with the policy process and decision-making.

Q11. The organisation of the evaluation activities is an important aspect, since it can make evaluation more effective if correctly planned. However, in many cases such organisation is not decided in the early stages, resulting in a rush at the last moment to decide how to implement the various evaluation activities. In the evaluations you made, would you say that the organisation of the evaluation activities (data collection, call for tenders, etc.) was:

As for Q8, answers to Q11 show a diversity in the practices related to evaluation planning (from the evaluators' point of view): 34% of the 29 evaluators said that the evaluations they made were either mostly (24%) or completely (10%) planned in advance. Whereas 25% said that they were mostly (21%) or completely (4%) decided and managed at the last moment. 38% mentioned a mix situation (partly planned, partly managed at the last moment). Evaluators' point of view would thus reflect more "late planning" than the point of view of evaluation customers. However this point is to take with caution due to the small size of both samples.
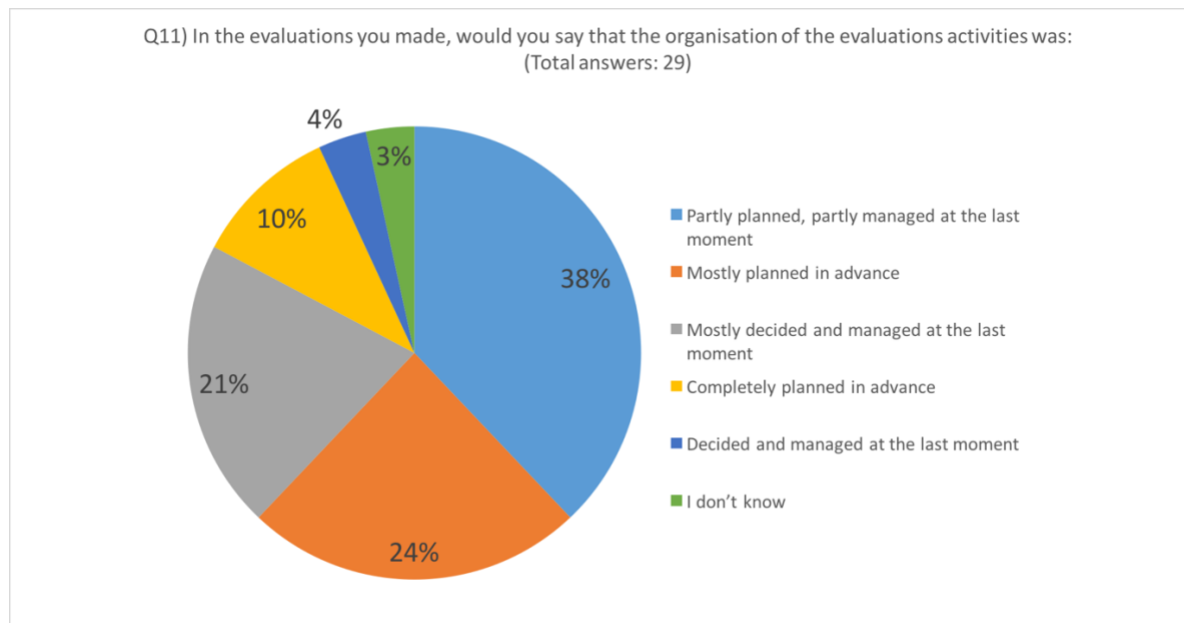
Figure 7: Q11. Evaluation planning and management.

> **Q12. Were your evaluation results discussed and considered by the policy makers or officers you have been working with (this does not mean that the recommendations were necessarily adopted and implemented)?**

As for Q9, answers to Q12 show a large majority of the surveyed evaluators (73%) saying that their evaluation results were discussed by the policy makers or officers, either systematically (17%), frequently (21%) or sufficiently (35%). However, compared to the feedback from surveyed evaluation customers, the share of surveyed evaluators saying that this was rarely the case is higher (24% vs. 8%, i.e. only 1 evaluation customer).
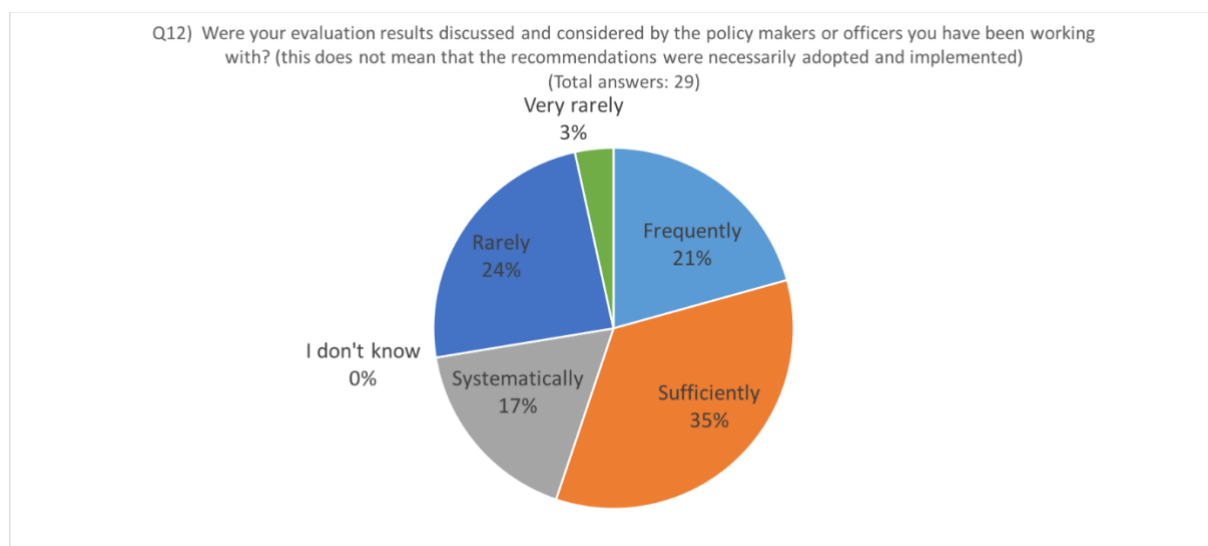

Figure 8: Q12. Were your evaluation results discussed and considered by the policy makers or officers you have been working with?

Annex I - Survey's questionnaire

Q1.: What is your connection with the evaluation of energy efficiency policies or programmes: (multiple answers possible)

- Evaluation customer or supervisor (if you have been involved in commissioning evaluations or in steering committees of evaluations for example)
- Evaluator (if you have been directly involved in doing evaluations)
- Evaluation user (if you have already used the results, conclusions and/or recommendations of evaluations for taking decisions or as inputs for your own work, for example as policy maker)
- Other (please specify)

Q2a.: The EPATEE project will produce a web tool to support stakeholders dealing with evaluation to find out guidance, good practices, dos and don'ts, recommendation, etc. The results from the first EPATEE survey showed that the options suggested by the EPATEE team were ranked as follows by the respondents (by decreasing order of usefulness for the respondents):

1) Database to find examples of evaluations for similar cases (per type of policy and sector);
2) Database to find papers or reports about specific evaluation issues;
3) Guidance to select evaluation methods according to usual cases/criteria;
4) Guidance to analyse evaluation results;
5) Guidance to prepare surveys (e.g. surveys of participants, market actors, etc.).

Would you agree with this ranking? (yes/no)

Q2b.: If not, please feel free to give your own ranking:

Q3.: What other type(s) of support, guidance, etc. would you be interested to get from the EPATEE web tool? (open question)

Q4.: As shown by the EPATEE report on the first survey, there are many barriers (e.g. financial, technical, organisational, political, etc.) that can impede an effective evaluation, or reduce its scope and capability to affect the policy cycle. The feedback collected from stakeholders also confirms that by introducing and integrating evaluation in the policy cycle, policy effectiveness can be improved. Based on your experience, which are the most important barriers that make the integration (or the introduction) of evaluation into the policy cycle difficult? (open question)

Q5.: Based on your experience, which are the elements/actions/practices that can help the integration of evaluation into the policy cycle? (open question)

Q6.: Would you agree to be interviewed (20 to 30 minutes) about your experience with evaluation?

- Yes
- No

Note: In any case, the interview questions will be sent in advance to the candidates and a suitable date will be arranged for the interview.

Additional questions for evaluation customers

Q7.: What would you say about the way evaluation is generally integrated (or not) into the policy cycle of your organization: (multiple answers possible)

- There are clear and systematic rules requiring to plan, perform and take into account evaluation
- There are clear guidelines about when and how evaluation should be done, and they are usually well followed
- There are clear guidelines about when and how evaluation should be done, but they are followed to various extent, depending on the person and/or the policy
- There are clear guidelines about when and how evaluation should be done, but they are followed to various extent, depending on the available budget
- There is no clear framework about the way evaluation should be handled. It is up to the policy maker or policy officer
- When considered, evaluation is usually thought about at the very last moment (i.e. when the policy is about to end, or when it becomes urgent to prepare the next period of the policy; note that we refer here to the planning of evaluation, not about its implementation that can be made in the last period of the policy on purpose and with a rational justification)
- Evaluation results and conclusions are usually communicated to the various levels of hierarchy within the organisation (up to the top management/top levels)
- Other (please specify)

Q8.: One very common recommendation about evaluation is to plan the evaluation from the start of the policy/programme (early planning). Would you say that in your organisation the early planning of evaluation is:

- Systematic
- Frequent
- Sufficient
- Rare
- Very rare
- I don't know

Q9.: Are evaluation results discussed and considered in your organization (this does not mean that the recommendations are necessarily adopted and implemented)? (please, consider a scale from systematically to very rarely)

- Systematically
- Frequently
- Sufficiently
- Rarely
- Very rarely
- I don't know

Additional questions for evaluators

Q10.: When you have made evaluations, did you experience that: (multiple answers possible)

- The evaluation process was well linked to the general policy process
- Evaluation questions (as defined by the evaluation customer) were clearly related to the policy objectives
- The main stakeholders were involved in the evaluation process
- The timeline of the evaluation was set in line with the needs of decision-making
- Evaluation appeared to be disconnected from the decision-making process
- Evaluation was mostly made to meet legislative/administrative requirements

Q11.: The organisation of the evaluation activities is an important aspect, since it can make evaluation more effective if correctly planned. However, in many cases such organisation is not decided in the early stages, resulting in a rush at the last moment to decide how to implement the various evaluation activities. In the evaluations you made, would you say that the organisation of the evaluation activities (data collection, call for tenders, etc.) was:

- Decided and managed at the last moment
- Mostly decided and managed at the last moment
- Partly planned, partly managed at the last moment
- Mostly planned in advance
- Completely planned in advance
- I don't know

Q12.: Were your evaluation results discussed and considered by the policy makers or officers you have been working with (this does not mean that the recommendations were necessarily adopted and implemented)? (please, consider a scale from systematically to very rarely)

- Systematically
- Frequently
- Sufficiently
- Rarely
- Very rarely
- I don't know