



FAME Support Unit

Monitoring and Evaluation under the EMFF

Frühjahrstagung des AK- Strukturpolitik der DeGEval

Working paper EMFF evaluation

2018 am 14./15. Juni in Hamburg-Bergedorf

Warum ein eigenes Handbuch für den Fischereifonds?

- *Evaluierungserfahrung ist gering*
- *Regulative ist nicht deutlich genug*
- *Notwendige Harmonisierung der Evaluierungen für zukünftiges:*
 - **Evaluationssynthese**
 - **Ex-post Evaluation**



Handbuch in zwei Teilen

Handbook

EMFF
spezifisch

Basiswissen

1. INTRODUCTION

1.1 Background

This working paper on the evaluation of European Maritime and Fisheries Funds (EMFF) programmes was written to fill an information gap and promote common standards in EMFF evaluations.

According to Article 56 of the Commission Provisions Regulation¹ (CPR), Managing Authorities (MAs) "shall ensure that evaluations, including evaluations to assess effectiveness, efficiency and impact, are carried out for each programme on the basis of the evaluation plan and that each evaluation is subject to appropriate follow-up in accordance with the Fund-specific rules."

In preparation for this working paper, the Fisheries and Aquaculture Monitoring and Evaluation Support Unit (FAME SU) conducted a needs assessment. The results showed a clear demand for a working paper that contributes to a common understanding of the main aspects of the evaluation process. It revealed that:

- some Member States (MSs) have started EMFF evaluations;
- there is no systematic approach among MSs to the questions asked in EMFF evaluations;
- some MSs need clarification and support in their evaluations;
- Some Evaluation Plans (EPs) currently included in the Operational Programmes (OPs) do not give MAs adequate guidance.

Different approaches to EMFF evaluations will cause difficulties for future EU-wide ex-post evaluations, whose usefulness depends on the degree to which national EMFF evaluation results are comparable. This working paper is intended to help standardise and improve the quality of future evaluations.

1.2 Who this working paper is for

This working paper is designed for MAs and for the experts who evaluate EMFF programmes. It focuses on evaluations during the programme implementation phase. The working paper supports MAs and evaluators in preparing the evaluation, contacting experts, and guiding the evaluation process. It takes into account existing evaluation guides and papers developed by other Directorates General (DGs) and external sources (see Annex 1).

The working paper supports MAs in:

- specifying the evaluation in terms of:
 - processes for different types of evaluations;
 - key evaluation questions (KEQs);
 - criteria and terms of reference (ToR);
 - methodology and data requirements;
 - timelines;
 - communication and resources.
- maintaining quality, consistency and completeness of both the process and its outcome.

1.3 Structure of this working paper

The complete working paper on EMFF evaluation comprises:

- the working paper itself (this document); and
- the EMFF evaluation toolbox.

The working paper supports MAs in preparing process and impact evaluations (see Section 3 below). It explains the main steps in preparing an evaluation, with references to the EMFF evaluation toolbox.

The EMFF evaluation working paper has five sections:

- **Section 1** is the introduction.
- **Section 2** supports the preparation phase with:
 - a **checklist** of the main aspects to consider when planning an evaluation;
 - a **timeline** for different evaluations; and
 - an outline **roadmap**.

¹ Regulation (EU) No 1303/2013

Toolbox

1. PROCESS EVALUATION 17

Process fiche 8: Effectiveness – monitoring system

Evaluation question
How effective is the monitoring system in collecting analysing and monitoring the output, financial, procedural and result indicators as defined by the programme?

Judgment criteria
The monitoring system is able to collect, analyse and monitor the required indicators as defined by the programme. The official reports (progress reports and AIRs) are on time and fulfil the reporting requirements of the Commission (Art. 52 of the CPR).

- Key points to consider**
- Infosys is set up and operational
 - No FAME Art. 97.1 error reports
 - Clarity of the definition of the rights of access to the database of the relevant bodies
 - Data collection
 - Compatibility of the national systems with the EMFF system
 - Compatibility of the AIR with SFC2014
 - Timeliness of the approbation by the MC and the submission of the AIRs to the Commission
 - Comprehensiveness and clarity of the reports for the monitoring committee

- Evaluation indicators**
- Duration between submission and admission of AIR
 - Art. 97.1 number of errors
 - Accessibility of database
 - Available and complete data collection
 - Quality of the data collected
 - Number and type of differences between EMFF system and national monitoring system
 - Number and type of differences between AIR and SFC2014
 - Duration of approbation and submission of reports
 - Perceived clarity of the reports for MC members

- Evaluation methodology**
- Data analysis and plausibility assessment
 - Interviews with MA
 - Interviews with experts
 - Interviews with MC members

Process fiche 9: Efficiency – OP Implementation

Evaluation question
How cost- and time-efficient are the OP implementation activities?

Judgment criteria
Applications are processed and funds provided to beneficiaries in a timely manner. The measures/schemes have been implemented at reasonable cost to the administration. The administrative costs of the measures/schemes are different from those of comparable activities in the previous period.

- Key points to consider**
- Cost per operation
 - Whether costs are higher or lower compared to the previous programming period
 - Whether costs are higher or lower compared to similar interventions funded by other national or regional programmes

- Evaluation indicators**
- Cost (i.e. expenditure for OP management, not for the operation) per application compared to similar actions in the previous programming period or compared to other ESIF funds in the programming period 2014-2020
 - Average time from application to decision
 - Average time from application to funds being provided for approved projects

- Evaluation methodology**
- Process mapping (e.g. analysis of management systems/workflows in the management of an intervention)
 - Cost analysis (e.g. Cost-Effectiveness Analysis, Cost-Benefit Analysis)

Working paper

1 INTRODUCTION

- 1.1 Background
- 1.2 Who this working paper is for
- 1.3 Structure of this working paper

2 PREPARATION

- 2.1 Checklist
- 2.2 Timing of evaluations
- 2.3 Life cycle and roadmap

3 EVALUATION FICHES: UNDERLYING PRINCIPLES

- 3.1 Process evaluation
- 3.2 Effectiveness evaluation at SO/measure level
- 3.3 Impact evaluation at UP level
- 3.4 Efficiency evaluation at SO/measure level

4 METHODOLOGIES

5 TERMS OF REFERENCE

- 5.1 Selecting a winning proposal
- 5.2 ToR table of contents

Toolbox

1 PROCESS EVALUATION FICHES

- 1.1 Partnership
- 1.2 Implementation (management structure and processes)
- 1.3 Communication

2 EFFECTIVENESS EVALUATION (SPECIFIC OBJECTIVE/ MEASURE LEVEL) – FICHES

3 IMPACT EVALUATION (UP LEVEL) – FICHES

- 3.1 Impact evaluation fiche – UP1
- 3.2 Impact evaluation fiche – UP2
- 3.3 Impact evaluation fiche – UP3
- 3.4 Impact evaluation – UP 4
- 3.5 Impact evaluation fiche – UPS
- 3.6 Impact evaluation fiche – UP6

4 METHODOLOGY

5 RELEVANT REGULATIONS

6 INTERVENTION LOGIC

2014 2015 2016 2017 2018 2019 2020 2022 2024

Programm-
entwicklung

OP Implementa-
tion

Abschluss
des
Programmes

Kaum Projekte
begonnen

DFB verlangt
Ergebnisse

Ex-ante
Evaluation

Prozessevaluation

Prozessevaluation

Evaluation der
Effektivität des
Maßnahmen

Evaluation
der
Wirkung

Ex-post
Evaluation

Datenmanagement im Fischereifonds

Table Annex I						
1 CCI	2 Unique Identifier of the Operation (ID)	3 Name of the operation	5 NUTS code	...	18 Measure concerned	...
2014DE14MFOP001	NI12345678	Low-energy onboard freezer for unwanted catches	DE94H	...	I.22	...

Table Annex II		
1 CCI	2 Unique Identifier of the Operation (ID)	4 Vessel number 'Community Fleet Register number' (CFR)
2014DE14MFOP001	NI12345678	DEU500520102

Table Annex III			
1 CCI	2 Unique Identifier of the Operation (ID)	20 Operation implementation data	21 Value of the implementation data
2014DE14MFOP001	NI12345678	1	1
2014DE14MFOP001	NI12345678	2	58
2014DE14MFOP001	NI12345678	3	3

Table Annex IV				
1 CCI	2 Unique Identifier of the Operation (ID)	22 Result indicator(s) related to the operation	23 Indicative result expected by the beneficiary	24 Value of result indicator when validated after implementation
2014DE14MFOP001	NI12345678	1.1	1,500	
2014DE14MFOP001	NI12345678	1.2	4,500	
2014DE14MFOP001	NI12345678	1.3	1,000	
2014DE14MFOP001	NI12345678	1.5	0	
2014DE14MFOP001	NI12345678	1.7	0	
2014DE14MFOP001	NI12345678	1.8	3	
2014DE14MFOP001	NI12345678	1.9.a		
2014DE14MFOP001	NI12345678	1.9.b		

Stand
des
Projekt
es

Schiffs-
kenn-
zeichen

Art des
Projekt
es

Gender

Ausbezahlt
es Budget

Basis der Evaluation

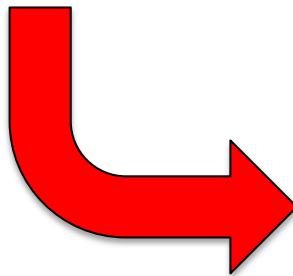
Toolbox

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2014DE14MFOP001	NI12345678	1.3	1,000	
2014DE14MFOP001	NI12345678	1.5	0	
2014DE14MFOP001	NI12345678	1.7	0	
2014DE14MFOP001	NI12345678	1.8	3	
2014DE14MFOP001	NI12345678	1.9.a		
2014DE14MFOP001	NI12345678	1.9.b		



Process fiche 8: Effectiveness – monitoring system

Evaluation question	Judgment criteria	Key points to consider	Evaluation indicators	Evaluation methodology
How effective is the monitoring system in collecting analysing and monitoring the output, financial, procedural and result indicators as defined by the programme?	The monitoring system is able to collect, analyse and monitor the required indicators as defined by the programme The official reports (progress reports and AIRs) are on time and fulfil the reporting requirements of the Commission (Art. 52 of the CFR)	<ul style="list-style-type: none"> Infosys is set up and operational No FAME Art. 97.1 error reports Clarity of the definition of the rights of access to the database of the relevant bodies Data collection Compatibility of the national systems with the EMFF system Compatibility of the AIR with SFC2014 Timeliness of the approbation by the MC and the submission of the AIRs to the Commission Comprehensiveness and clarity of the reports for the monitoring committee 	<ul style="list-style-type: none"> Duration between submission and admission of AIR Art. 97.1 number of errors Accessibility of database Available and complete data collection Quality of the data collected Number and type of differences between EMFF system and national monitoring system Number and type of differences between AIR and SFC2014 Duration of approbation and submission of reports Perceived clarity of the reports for MC members 	<ul style="list-style-type: none"> Data analysis and plausibility assessment Interviews with MA Interviews with experts Interviews with MC members

Process fiche 9: Efficiency – OP Implementation

Evaluation question	Judgment criteria	Key points to consider	Evaluation indicators	Evaluation methodology
How cost- and time-efficient are the OP implementation activities?	Applications are processed and funds provided to beneficiaries in a timely manner The measures/schemes have been implemented at reasonable cost to the administration The administrative costs of the measures/schemes are different from those of comparable activities in the previous period	<ul style="list-style-type: none"> Cost per operation Whether costs are higher or lower compared to the previous programming period Whether costs are higher or lower compared to similar interventions funded by other national or regional programmes 	<ul style="list-style-type: none"> Cost (i.e. expenditure for OP management, not for the operation) per application compared to similar actions in the previous programming period or compared to other ESIF funds in the programming period 2014-2020 Average time from application to decision Average time from application to funds being provided for approved projects 	<ul style="list-style-type: none"> Process mapping (e.g. analysis of management systems/workflows in the management of an intervention) Cost analysis (e.g. Cost-Effectiveness Analysis, Cost-Benefit Analysis)

Prozess evaluation

1. Stakeholder und Partner

Monitoring
committee

Partnership

Kosten

3. Communication

Strategie

Bewusstsein
in der
Bevölkerung

Management
Struktur

Administration

2. Programme- implementierung

Monitoring
system

Quer-
schnitts-
themen

Kosten

Erreichung
der
Meilensteine

DFB 2018

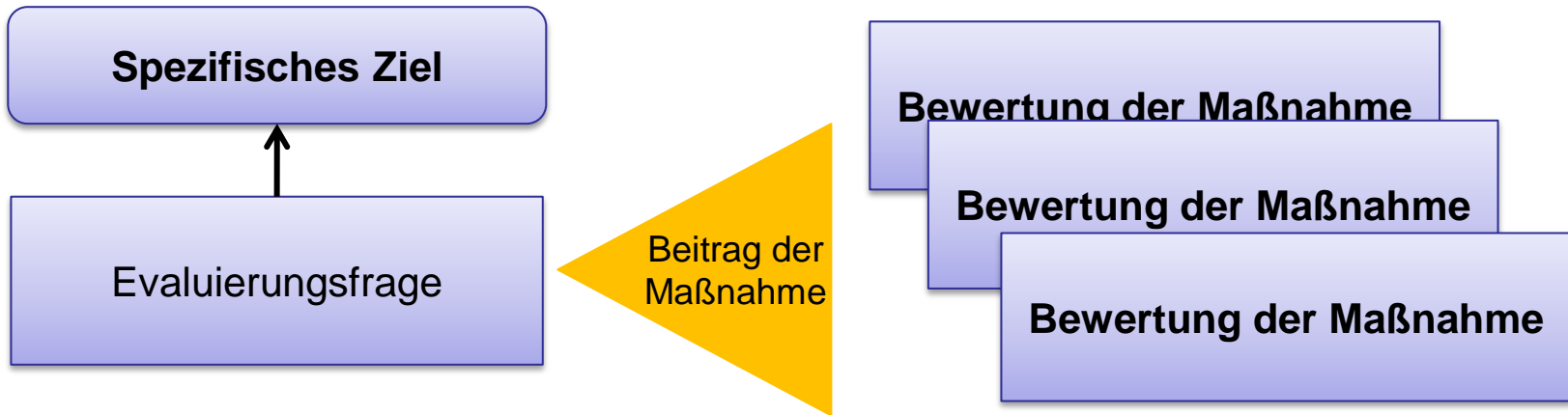
Process evaluation fiche

Process fiche 9: Efficiency – OP implementation

Evaluation question	How cost- and time-efficient are the OP implementation activities?
Judgment criteria	<p>Applications are processed and funds provided to beneficiaries in a timely manner</p> <p>The measures/schemes have been implemented at reasonable cost to the administration</p> <p>The administrative costs of the measures/schemes are different from those of comparable activities in the previous period</p>
Key points to consider	<ul style="list-style-type: none"> • Cost per operation • Whether costs are higher or lower compared to the previous programming period • Whether costs are higher or lower compared to similar interventions funded by other national or regional programmes
Evaluation indicators	<ul style="list-style-type: none"> • Cost (i.e. expenditure for OP management, not for the operation) per application compared to similar actions in the previous programming period or compared to other ESIF funds in the programming period 2014–2020 • Average time from application to decision • Average time from application to funds being provided for approved projects
Evaluation methodology	<ul style="list-style-type: none"> • Process mapping (e.g. analysis of management systems/workflows in the management of an intervention) • Cost analysis (e.g. Cost-Effectiveness Analysis, Cost-Benefit Analysis)

**Hilfe für die
Ausschreibung**

Evaluierung der Effektivität




KEY EVALUATION QUESTION 1.3: To what extent has EMFF contributed to “ensuring a balance between fishing capacity and available fishing opportunities”?



Evaluierung der Effektivität

Effectiveness evaluation fiche 2: Art. 38 – Limitation of the impact of fishing on the marine environment and adaptation of fishing to the protection of species (including 44.1.c. Inland fishing)

Category	
Judgement criteria	EMFF contributed to the reduction of unwanted catches, reduction of impact on environment and protection from birds and mammals
Key points to consider	<p>Investments in</p> <ol style="list-style-type: none"> equipment to improve size selectivity or species selectivity of fishing gear equipment that eliminates discards by avoiding and reducing unwanted catches of commercial stocks, or that deals with unwanted catches to be landed in accordance with Article 15 of Regulation (EU) No 1380/2013 equipment that limits and, where possible, eliminates the physical and biological impacts of fishing on the ecosystem or the sea bed equipment that protects gear and catches from mammals and birds <p><i>shall not be granted more than once during the programming period</i></p>

Beispiel Maßnahme - Arterhaltung

Effectiveness evaluation fiche 2: Art. 38 – Limitation of the impact of fishing on the marine environment and adaptation of fishing to the protection of species (including 44.1.c. Inland fishing)

Evaluation indicators (EI)	Source
A. Total investment	Infosys code of measure
B. Absorption rate	Infosys code of measure Annex II AIR table 4 Total eligible expenditure declared by beneficiaries / the MA/total budget
C. Progress in reaching the target of output indicators	AIR Table 2 milestones and/or targets compared to cumulative value Number of operations/milestone value Number of operations/target value
D. Number of operations by type	Infosys code of measure I.15.1: Whether the operation relates to sea or inland fishing or both Infosys code of measure I.15.2: Type of investment: a. selectivity of gear b. reduce discards or deal with unwanted catches c. eliminating impacts on ecosystem and sea bed d. protecting gears and catches from mammals and birds e. fish aggregating devices in outermost regions
E. Number and type of vessels	Infosys Annex II field 4 Community Fleet Register
F. Number of fishermen benefiting;	Infosys code of measure I.15.3: Number of fishermen benefiting from the operation
G. Change (reduction) in unwanted catches.	RI 1.4.a Change in unwanted catches (tonnes) RI 1.4.b Change in unwanted catches (tonnes)
H. Type of environmental protection (e.g. species selectivity, size selectivity, reduction of impact on seabed, reduction of bycatches, protection of catches from birds and mammals etc.)	MA, beneficiaries
I. Type of fishery (e.g. type of gear used, type of vessel, location of fishing grounds, target species etc.)	MA, beneficiaries

Datenbank

Befragung



Effektivitätsbewertung pro SZ

Beispiel Aquakultur

**Bewertungs-
kriterien**

EMFF Beitrag zu Innovation in der Aquakultur
Maßnahme Artikel 47 EMFF

Verdeutlichung

Relevanter Text aus der Verordnung: e.g. Entwicklung von technischem, wissenschaftliche oder organisatorischem Wissen im Bereich der Aquakultur

**Bewertungs-
indikatoren**

Geplante Investitionen

Infosys Feld 10

Tatsächliche Investitionen

Infosys Feld 10

Anzahl der Projekte

Infosys II.1.1

Art der Projekte

Infosys II.1.1

Einfluss der Innovation auf die Verbesserung der Umwelt

Interviews mit VB und anderen Experten

Verwendung der Innovation nach dem Projektende

Interviews mit VB und Begünstigten

Änderung der Produktion durch die Innovation

Ergebnisindikator: Änderung des Produktionsvolumens



Wirkungsanalyse pro Prioritätsachse

Beispiel Aquakultur

Bewertungs- kriterien

Verdeutlichung

Änderung im Sektor insgesamt Kontextindikator

Beitrag des Programmes Bewertungsindikatoren

Verbesserung der
Umwelt

Checkliste

Investitionsvolumen
Produktionsvolumen

Programmeinvention
In zertifizierter Aquakultur

Ressourcen-
effizienz

Effizientere
Wassernutzung in der
Aquakultur

Kontextindikator:
Produktionsvolumen für
Zirkularsysteme

Produktionsvolumen im
Bereich der Zirkularsysteme

Wettbewerbs-
fähigkeit

Verbesserte Prozesse,
Kosteneffizienz,

Nettoprofit im Sektor
Wert der Aquakultur

Programmeinvention
Produktionsvolumen

Wirtschaftlichkeit

Neue Jobs, Jobs erhalten,
verbesserte
Arbeitsbedingungen

Jobs in der Aquakultur
insgesamt

Anzahl neuer Jobs

Innovation

Innovative Infrastruktur,
innovative Prozesse

Innovative Trends im Sektor
insgesamt

Zusammenfassung der
Bewertung der Maßnahmen
die zur Innovation beitragen.

Kontakt

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EMFF evaluation

Article 56 of the Common Provisions Regulation (CPR),

Managing Authorities (MAs) "shall ensure that evaluations, including evaluations to assess effectiveness, efficiency and impact, are carried out for each programme on the basis of the evaluation plan and that each evaluation is subject to appropriate follow-up in accordance with the Fund-specific rules."