

INFORMATION FICHE NO 11

**OUTLINE OF THE COMMON MONITORING AND EVALUATION
SYSTEM FOR THE EMFF 2021 – 2027**

27 March 2019

RELEVANT PROVISIONS IN THE DRAFT LEGISLATION

Regulation	Provisions
EMFF Proposal	Article 37 (monitoring)
CPR Proposal	Article 37 (monitoring) Article 39; Article 40 (evaluation)

This document is based on the text of the adopted EMFF proposal. It is a provisional text, without prejudice to on-going discussions. This series of fiches is intended to guide Member States, explaining and elaborating the text of the proposal.

OBJECTIVE OF THIS FICHE

This fiche provides an overview of the main elements of the common monitoring and evaluation system contained in the Commission proposal. It outlines the common **programme level indicators** to be included in the Operational Programme, and the accompanying **Infosys data**, which comprise the main **monitoring** data to be provided by the Member States (under shared management). It also outlines Commission and Member State **evaluation** obligations. It highlights the main elements of continuity with the current system and the simplifications proposed for the next period.

LEGAL BASIS

Article 37 of the Commission's EMFF proposal:

Monitoring and evaluation framework

1. *Indicators to report on progress of the EMFF towards the achievement of the priorities referred to in Article 4 are set out in Annex I.*
2. *To ensure effective assessment of progress of the EMFF towards the achievement of its priorities, the Commission shall be empowered to adopt delegated acts, in accordance with Article 52, to amend Annex I to review or complement the indicators where considered necessary and to supplement this Regulation with provisions on the establishment of a monitoring and evaluation framework .*

Article 37 of the Commission's CPR proposal:

Transmission of data

1. *The managing authority shall electronically transmit to the Commission cumulative data for each programme by 31 January, 31 March, 31 May, 31 July, 30 September and 30 November of each year in accordance with the template set out in Annex VII.*

The first transmission shall be due by 31 January 2022 and the last one by 31 January 2030.

For programmes under Article 4(1)(c)(vii) of the ESF+ Regulation, data shall be transmitted annually by 30 November.

2. *The data shall be broken down for each priority by specific objective and by category of regions, and shall refer to:*
the number of selected operations, their total eligible cost, the contribution from the Funds and the total eligible expenditure declared by the beneficiaries to the managing authority, all broken down by types of intervention;
the values of output and result indicators for selected operations and values achieved by operations.
3. *For financial instruments data shall also be provided on the following:*
 - (a) *eligible expenditure by type of financial product;*
 - (b) *amount of management costs and fees declared as eligible expenditure;*
 - (c) *the amount, by type of financial product, of private and public resources mobilised in addition to the Funds;*
 - (d) *interest and other gains generated by support from the Funds to financial instruments referred to in Article 54 and resources returned attributable to support from the Funds as referred to in Article 56.*
4. *The data submitted in accordance with this Article shall be reliable and up-to-date as of the end of*

the month preceding the month of submission.

5. *The managing authority shall publish all the data transmitted to the Commission on the website referred to in Article 44(1).*
6. *For programmes supported by the EMFF, the Commission shall adopt an implementing act in accordance with the advisory procedure referred to in Article 109(2) in order to establish the template to be used for the implementation of this Article.*

Article 39 of the Commission's CPR proposal:

Evaluations by the Member State

1. *The managing authority shall carry out evaluations of the programme. Each evaluation shall assess the programme's effectiveness, efficiency, relevance, coherence and EU added value with the aim to improve the quality of the design and implementation of programmes.*
2. *In addition, the managing authority shall carry out an evaluation for each programme to assess its impact by 30 June 2029.*
3. *The managing authority shall entrust evaluations to functionally independent experts.*
4. *The managing authority or the Member State shall ensure the necessary procedures to produce and collect the data necessary for evaluations.*
5. *The managing authority or the Member State shall draw up an evaluation plan. That evaluation plan may cover more than one programme. For the AMIF, the ISF and the BMVI, that plan shall include a mid-term evaluation to be completed by 31 March 2024.*
6. *The managing authority shall submit the evaluation plan to the monitoring committee no later than one year after the approval of the programme.*
7. *The managing authority shall publish all evaluations on the website referred to in Article 44(1).*

Article 40 of the Commission's CPR proposal:

Evaluation by the Commission

1. *The Commission shall carry out a mid-term evaluation to examine the effectiveness, efficiency, relevance, coherence and EU added value of each Fund by the end of 2024. The Commission may make use of all relevant information already available in accordance with Article [128] of the Financial Regulation.*
2. *The Commission shall carry out a retrospective evaluation to examine the effectiveness, efficiency, relevance, coherence and EU added value of each Fund by 31 December 2031.*

BACKGROUND

For the 2014-2020 period, a common approach to monitoring and evaluation for the EMFF saw the introduction of common result indicators, making the impact of investments comparable across Member States. This has allowed for greater transparency and ease in monitoring and evaluating the effectiveness of the EMFF.

The monitoring and evaluation elements of the post 2020 EMFF proposal are based on two principles: 1) continuity of the approach introduced in 2014-2020; and 2) simplification. In addition, the post 2020 monitoring and evaluation system for the EMFF will be closely linked to the other European Structural and Investment Funds (to show how EU funds can help to support the creation or maintenance of jobs for example) and more generally, the MFF. The

Commission will report on the contribution of the EMFF at this macro-level using the indicators from Annex I of the EMFF proposal. These are indicators for the Commission, rather than the Member States to report on. However, common indicators will also be set at programme level to capture the EMFF intervention in the Member States, similarly to the 2014-2020 period. This is explained in further detail below.

APPROACH: CONTINUITY AND SIMPLIFICATION

As outlined above, the common monitoring and evaluation system proposed aims to combine the continuity of the current (2014-2020) system with simplification.

1) Continuity – The proposed common monitoring and evaluation system consists of the programme level indicators captured in the operational programme and in Infosys¹. Infosys also captures project-specific information which will feed into the indicator values. These are the minimum quantitative data required to effectively monitor implementation. The monitoring data is to be complemented by qualitative evaluations. Together, these aspects account for the spending of public money and quantify how effective the fund is at contributing to various policies.

2) Simplification – The proposed common monitoring and evaluation system is a simplified version of the current approach. Simplification is achieved as follows:

a) **reduce the reporting burden while capturing key policy data.** This is done by setting milestones and targets (in the operational programme), and collecting the achievement values for a series of programme level output and result indicators (in Infosys). The **output indicators** simply count the number of expected and implemented operations in each area of support. The links between policy objectives, priorities, and areas of support are shown in Table 1 below. Further links with other policy areas, as well as links between areas of support and **result indicators** are provided in Annexes I and II to this fiche.

b) **automatic calculation of result indicator values from Infosys.** A single annual reporting of indicator values (currently via the Annual Implementation Report) will no longer be required. Instead, progress towards output and result indicator values can be automatically calculated from the Infosys data, which will be updated by Member States several times per year. The Annual Performance Report should outline the situation in the Member State supporting the progress information collected in Infosys.

Output and result indicators

- *Outputs are the direct deliverables of an operation. For the sake of simplicity, "number of operations" is the only output indicator for each area of support.*
- *Results are the immediate effect of an investment. 17 result indicators are proposed*

c) **reduction from 35 to 17 result indicators.** Table 2 lists the proposed common result indicators and their measurement units. Each indicator is further elaborated in Annex VI to this fiche. The number of result indicators has halved from the current period under this proposal.

¹ Infosys captures cumulative implementation data in current programming period (EMFF Art 97.1(a))

Table 1: Areas of support corresponding to CPR Policy Objectives and EMFF Priorities

CPR Policy Objective	EMFF Priority	Area of support
A greener, low-carbon Europe by promoting clean and fair energy transition, green and blue investment, the circular economy, climate adaptation and risk prevention and management;	1. Fostering sustainable fisheries and the conservation of marine biological resources	<p>Article 14(1) Achievement of the environmental objectives of the CFP</p> <p>Article 14(1) Achievement of the economic objectives of the CFP</p> <p>Article 14(1) Achievement of the social objectives of the CFP</p> <p>Article 14(1) Achievement of the employment objectives of the CFP</p> <p>Article 16 Investments in small-scale coastal fishing fleets</p> <p>Article 17(1) Management of fisheries and fishing fleets</p> <p>Article 17(2) Permanent cessation of fishing activities</p> <p>Article 18 Extraordinary cessation of fishing activities</p> <p>Article 19 Control and enforcement</p> <p>Article 20 Collection and processing of data for fisheries management and scientific purposes</p> <p>Article 21 Compensation for additional costs in the outermost regions for fishery and aquaculture products</p> <p>Article 22 Protection and restoration of marine biodiversity and ecosystems</p>
	2. Contributing to food security in the Union through competitive and sustainable aquaculture and markets	<p>Article 23 Aquaculture</p> <p>Article 24 Marketing of fishery and aquaculture products</p> <p>Article 25 Processing of fishery and aquaculture products</p>
A smarter Europe by promoting innovative and smart economic transformation;	3. Enabling the growth of a sustainable blue economy and fostering prosperous coastal communities	Article 26 Community-led local development
A greener, low-carbon Europe by promoting clean and fair energy transition, green and blue investment, the circular economy, climate adaptation and risk prevention and management;		Article 27 Marine knowledge
	4. Strengthening international ocean governance and enabling safe, secure, clean and sustainably managed seas	<p>Article 28 Maritime surveillance</p> <p>Article 29 Coastguard cooperation</p>

Table 2: List of Common Result Indicators

No.	Common Result Indicator Name	Unit
1	Volume of landings/production	Tonnes
2	Value of landings/production	EUR
3	Volume of unwanted catch	Tonnes
4	Businesses created	Number
5	Business entities with higher turnover	Number
6	Capacity of vessels	Days cessation
		kW
		GT
7	Jobs created (FTE)	Number
8	Jobs maintained (FTE)	Number
9	Persons benefitting	Number
10	Area addressed by operations protecting and restoring marine and coastal biodiversity and ecosystems	Km ²
11	Operation of an effective system for “collection, management and use of data” in the required quality	high, medium, low, none
12	Cooperation between stakeholders from different sectors or areas	Number
13	Research, technological development, innovations and promotions enabled	Number
14	Installation of new control means	Number
15	Business entities benefitting from promotion and information activities	Number
16	Entities improving resource efficiency in production and/or processing	Number
17	Energy consumption leading to CO ₂ emissions reduction	litres/h
		kWh/a

As with the current programming period, targets and milestones for each relevant result (and output) indicator would be set in the operational programme. The values should reflect the expected results of EMFF investment at programme level. The indicators considered relevant are based on the areas of support selected (see Annex II), which in turn should be based on the SWOT analysis of the Member State, as is the case with the current programming period.

Some indicators for the area of support may be given a 0 value, for example where a volume/value change is unlikely for a small programme. An example could be a programme expecting only a couple of small-scale investments to improve efficiency in aquaculture facilities as the main initiatives in the area of support for aquaculture. These may not impact *volume/value*. Nevertheless, the impact of such investments should be captured by at least one other indicator relevant to the area of support, such as *improving resource efficiency*, or by reducing costs, it could help *maintain jobs*.

After targets and milestones are set for the indicators, all subsequent indicator data are **automatically calculated** from Infosys by aggregating individual operation data.

d) Simplification of Infosys. The Infosys structure is simplified from 4 tables, 24 fields and 160 types of operations in the current period, to 2 tables, 30 fields and 44 types of operations under this proposal. Data is collected at the individual operation level. It includes basic operation information, baseline values, estimated result values, and achieved values (after the operation). This is outlined in Annex III to this fiche. Each of the result indicators in Table 2 are linked to types of possible operations in Infosys (Annex IV), as detailed in Table 3 below.

Table 3: Links between result indicators and types of operations

Nr.	Common RI	Unit OP	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	#	21	#	#	#	#	#	#	#	#	#	#	#	#	41	#	43															
			Energy efficiency	Investment on board of vessels	Investment at fishing port	First acquisition of a fishing vessel	Marketing activities	Traceability	Production and marketing plan	Advisory service	Product and process development	Business development	Diversification	Compensation not related to costs	Insurance schemes	Training	Marketing innovation	Process and product innovation	Studies and research	Data collection	Knowledge sharing	Institutional cooperation	Awareness raising, communication	Marine litter	Conservation and improvement of	Gear selectivity in relation to fish	Gear modification to minimise	Gear selectivity in relation to	Use of unwanted catches	Natura 2000 areas management	Natura 2000 areas restoration	MPA management and monitoring	MPA restoration	Pollution/contamination prevention	Water usage and quality	Control and enforcement - control	Control and enforcement -	Animal welfare	Food safety	Safety equipment/working	Capacity building	Pilot projects	Socio-cultural development	Governance	CLLD management	CLLD preparatory actions and							
1	Volume of landings/production	Tonnes	x	x	x	x	x	x	x	x	x					x	x							x	x	x	x									x	x																
2	Value of landings/production	EUR	x	x	x	x	x	x	x	x		x				x	x								x	x	x	x																									
3	Volume of unwanted catch	Tonnes		x																																																	
4	Businesses created	Number			x	x	x				x	x											x																														
5	Business entities with higher turnover	Number	x	x	x	x	x	x	x	x		x					x	x								x	x	x	x																								
6	Capacity of vessels	GT	x	x	x									x																																							
		kW	x	x	x									x																																							
		Days cessation												x																																							
7	Jobs created (FTE)	Number								x	x	x										x	x																														
8	Jobs maintained (FTE)	Number	x	x					x		x	x										x	x																														
9	Persons benefitting	Number								x		x	x		x	x						x	x																														
10	Area addressed by operations protecting and restoring marine and coastal biodiversity and	ha												x									x	x		x	x		x	x	x	x	x																				
11	Operation of an effective system for "collection, management and use of data" in the required quality	high, medium, low, none																		x																																	
12	Cooperation between stakeholders from different sectors or areas	Number																																																			
13	Research, technological development, innovations and promotions enabled	Number			x			x		x							x	x	x																																		
14	New control means installed	Number																																																			
15	Business entities benefitting from promotion and information activities	Number					x			x	x		x																																								
16	Entities improving resource efficiency in production and/or processing	Number		x			x			x	x		x				x	x																																			
17	Energy consumption leading to CO2 emissions reduction	litres/h	x	x	x																																																
		kWh/a	x	x	x																																																

Each operation should be linked to only one “type of operation”. CLLD is an exception, where Member States should choose secondary types when necessary.

This structure provides quantitative data to monitor and contribute to evaluation of (both ongoing and completed) results and their impacts by feeding the output and result indicators based on the aggregation of operation performance data.

EVALUATION

As with the current programming period, it is proposed that each Member State draw up an evaluation plan, which may cover more than one (fund) programme, and should submit the evaluation plan to the monitoring committee no later than one year after the approval of the programme.

The main simplification is that an ex-ante evaluation (as required in the current period) would no longer be required. The necessary information should be captured in the SWOT analysis and identification of needs in the operational programme.

An evaluation should be conducted after all investments have been completed to assess the impact made by the fund. This should be done by 30 June 2029.

As with the current programming period, all evaluations should validate the results achieved, exploring how and why inputs, outputs and results contributed to the achievement of objectives. They should focus on effectiveness, efficiency, relevance, coherence and EU added value. These evaluations by Member States should feed the mid-term (by the end of 2024) and retrospective (by the end of 2031) evaluations to be conducted by the Commission in the same framework.

SUPPORT TO MEMBER STATES

Similar support for monitoring and evaluation for Member States, as provided by FAME (Fisheries and Aquaculture Monitoring and Evaluation support unit) for the EMFF 2014-2020 period, is also envisaged for the next period.

LIST OF ANNEXES

Annex I: Areas of support corresponding to wider policy areas linked to the EMFF

Annex II: Areas of support corresponding to result indicators

Annex III: Structure of Infosys

Annex IV: Types of operations (Infosys)

Annex V: Link between operational programme and Infosys

Annex VI: Full description of each result indicator