FAME Support Unit

Monitoring and Evaluation under the EMFF

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Topics

1. Policy Framework

2. The FAME Support Unit

3. Needs Assessment
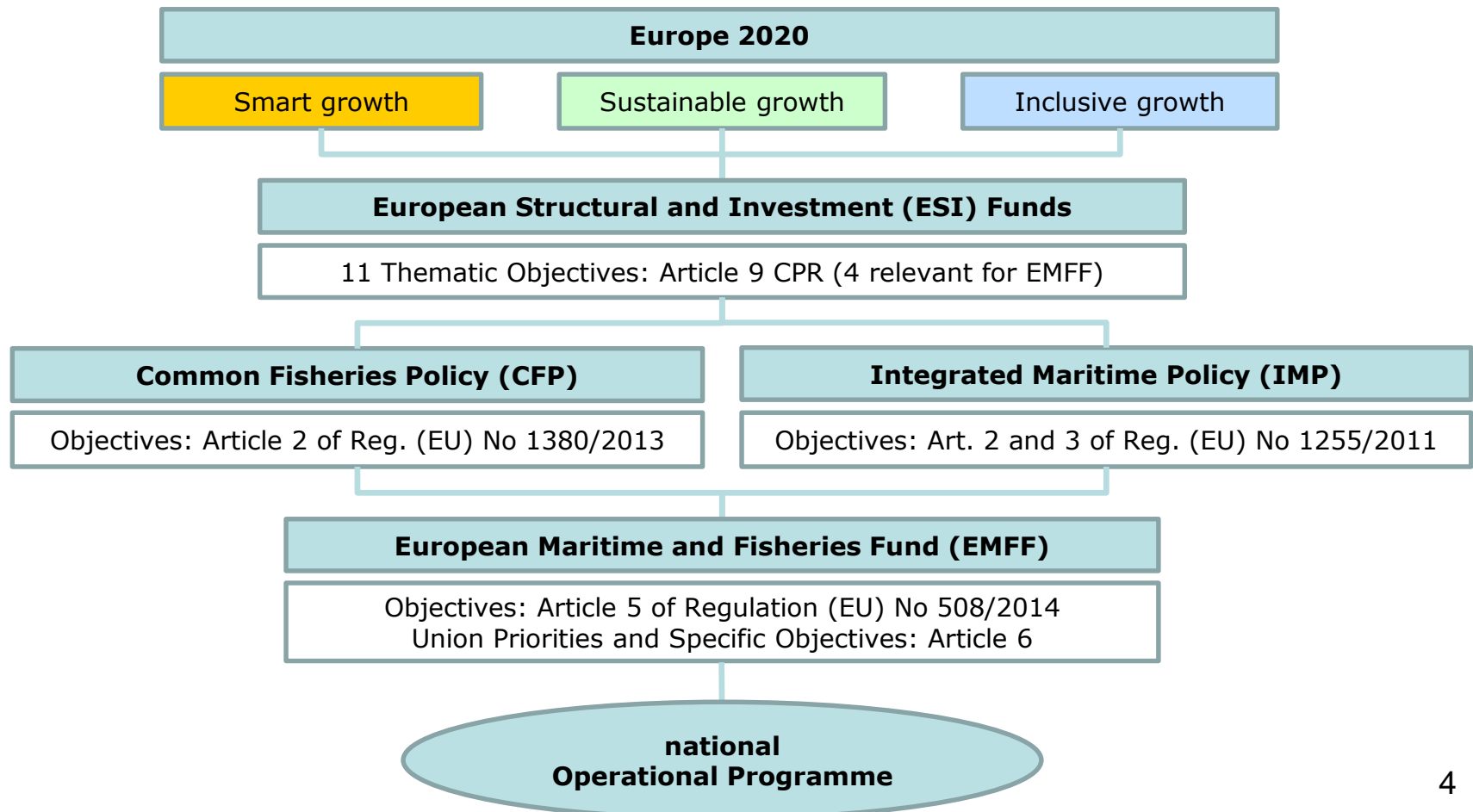
4. Database

5. Indicators

6. Conclusions

FAME Support Unit

The Policy Framework of Monitoring and Evaluation under the EMFF

How to implement Result Orientation?

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Hierarchy of Objectives

Europe 2020

Smart growth	Sustainable growth	Inclusive growth

European Structural and Investment (ESI) Funds

11 Thematic Objectives: Article 9 CPR (4 relevant for EMFF)

Common Fisheries Policy (CFP)	Integrated Maritime Policy (IMP)
Objectives: Article 2 of Reg. (EU) No 1380/2013	Objectives: Art. 2 and 3 of Reg. (EU) No 1255/2011

European Maritime and Fisheries Fund (EMFF)

Objectives: Article 5 of Regulation (EU) No 508/2014 Union Priorities and Specific Objectives: Article 6

national Operational Programme

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Result Orientation

- *National EMFF-OPs have **to contribute to selected objectives** at different levels*

- *There is an increased need to contribute to these objectives compared to previous programmes*

  - ➢ *"**result-based approach**" and "**reinforced result orientation**" (CPR)*

- *There is a greater need **to prove** that results are achieved.*

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What is new on Result Orientation?

"Old Approach"

- *Focus on* **consumption of money** *("if we give the money to the sector, it will do something good") and on* **monitoring activities and outputs***.*

Problems*:*

- *sometimes measures were* **not very effective***, sometimes they had* **negative effects**

"Result Orientation"

- **What do we want to change?**

- *How can we* **know** *and* **prove** *that we* **changed this successfully?**

(Comparison sharpened and maybe exaggerated, but represents the long-term development)   6

How is Result Orientation implemented?

- *Clear **Union Priorities** and **Specific Objectives** and a strong **intervention logic***

- *Clear **quantitative targets** for 2023 and **milestones** for 2018 (Perf. framework) in OPs*

- *An improved **Common Monitoring and Evaluation System (CMES)**, with a **focus on results**, which is common across the Commission and all MS*

- *Strong role of **evaluations** (under an evaluation plan)*

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How is the CMES adapted to Result Orientation?

*M&E-system **under EFF** (simplified):*

Intervention Logic:

Step:	**Activities**	**Outputs**	**Results**

| Data / Indicators: | **What was done?**
• Measures
• Actions | **What was the output?**
Infosys data (Annex 3 of CR (EC) No 498/2007)
Most output (e.g. m³ of cold storage created)
or implementation data | |

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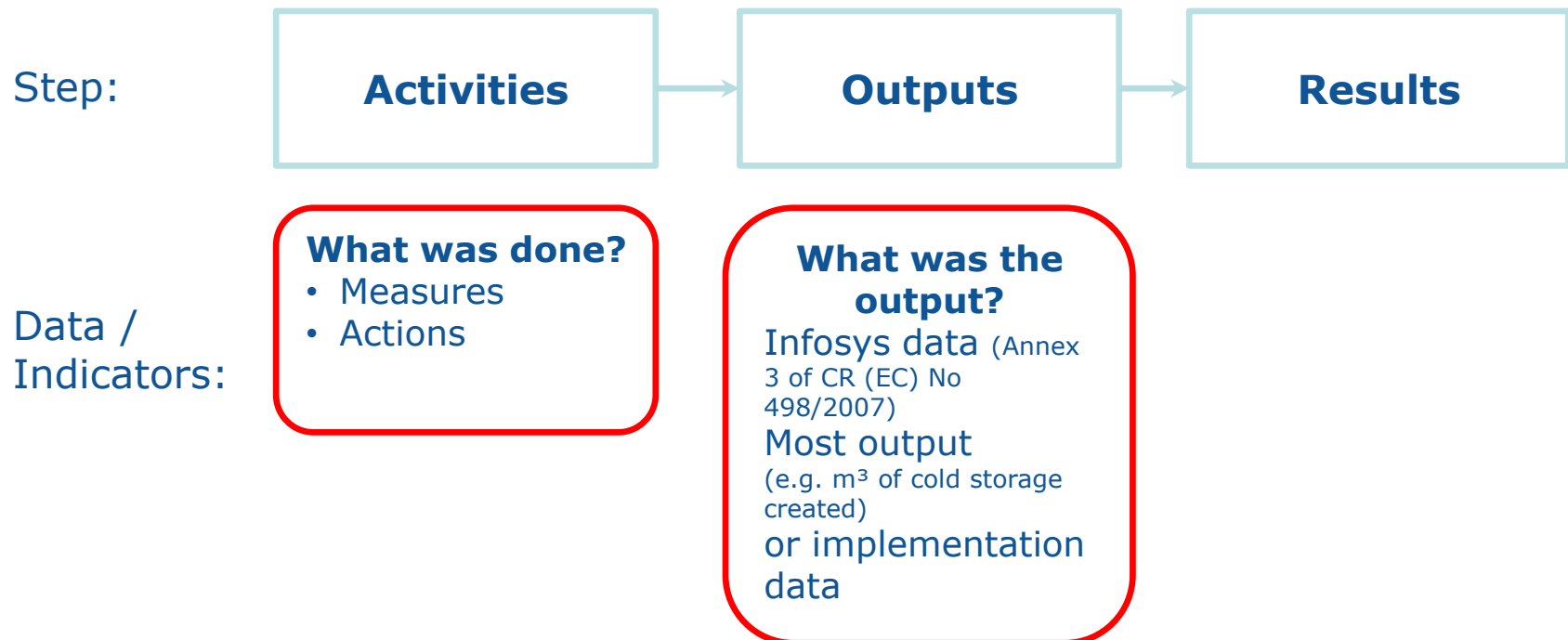
How is the CMES adapted to Result orientation?

*M&E-system **under EMFF** (simplified):*

Intervention Logic:

Step:	**Activities**	→	**Outputs**	→	**Results**

Data / Indicators:	**What was done?** • **Measures** (more detailed than in EFF) • **Implementation data** (field 20/21 of „new Infosys")	**What was the Output?** • **Output Indicators** (mostly number of operations)	**What were the Results?** • **Result indicators** (estimated before and validated after implementation)
		With milestones 2018 (PF) and targets 2023	With targets 2023

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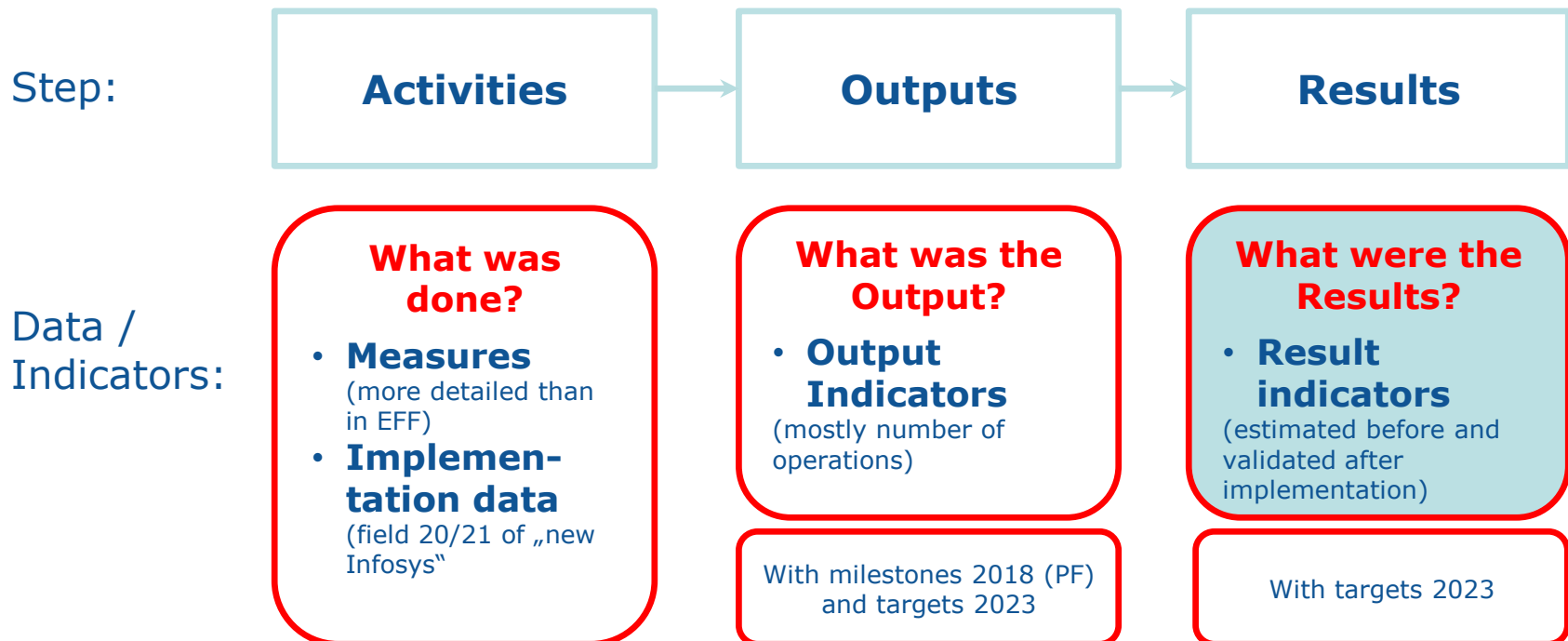
How will this help us to know and to prove what we have achieved?

- ***Enhanced level of information*** *and data on the side of* **Member States** *(MAs etc.)*

- *Submission of* **"New Infosys"data** *(EMFF Reg. Art. 97.1 (a), COM Impl. Reg. (EU) No 1242/2014 and 1243/2014)* *and processing of these data in a* **central database**

- *Enhanced* **Annual Implementation Reports (AIR)** *by MS (in particular 2017 and 2019) plus EU-level synthesis*

- *Enhanced* **availability of data for evaluations.**

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The FAME Support Unit

Mission, Personnel, Tasks

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What is FAME?

*FAME is a **Commission initiative** (DG MARE Unit A3). The Commission is supported by the **FAME Support Unit (FAME SU)***

*The aim of FAME is to **foster the development of the Common Monitoring and Evaluation System** (CMES) established by Article 107 of the EMFF Regulation*

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Objectives of the FAME Support Unit

- *to **assist** in **monitoring and evaluating the implementation of the EMFF** and to **provide the Commission with regular updates** on the state of play and analyses of EMFF implementation.*

- *to **build capacity across the Member States and in the Commission** on monitoring and evaluation methodologies, indicators and good practice.*

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Brussels Team

Team leader (TL)
Claudio Serangeli

M&E expert
Angelos Sanopoulos

EMFF expert
Szilvia Mihálffy

Database expert
Carl Tanghe

Local Support team
IT, communication, etc.

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The Thematic Experts

	Fish eries	Aqua-culture	Mark eting	Proces sing	Fish Control	Data Coll.	CLLD	IMP	M&E	Language
Y. Boixel	✓		✓	✓	✓		✓	✓	✓	FR, EN
B. Caillart	✓	✓	✓	✓	✓	✓		✓	✓	FR, EN
R. Cappell	✓	✓	✓	✓	✓	✓	✓	✓	✓	EN
V. Defaux	✓	✓	✓	✓	✓				✓	EN, FR
M. Hahn							✓		✓	DE, EN
T. Huntington					✓	✓	✓	✓	✓	EN
G. Macfadyen	✓	✓	✓	✓	✓		✓	✓	✓	EN, FR
A. Madriles	✓	✓	✓	✓		✓		✓	✓	DE, EN, ES, IT
A. Resch							✓		✓	DE, EN
P. Salz	✓	✓	✓	✓	✓	✓	✓		✓	EN, FR, ES, CZ
S. Schmüdderich	✓	✓	✓	✓		✓	✓		✓	DE, EN
C. Tröltzsch	✓		✓	✓		✓	✓	✓	✓	DE, EN, PL

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Geographical Experts

BE   Pavel Salz

BG Violin Raykov

CZ Pavel Salz

DK Rasmus Nielsen

DE Suitbert Schmüdderich

EE Markus Vetemaa

IE Rod Cappell

EL Argyris Kapantagakis

ES Iosu Paradinas

FR Benoit Caillart

HR Mojca Hrabar

IT Fancesca Angori

CY Evangelos I. Paravas

LV Valdis Kudiņš

LT Edvardas Kazlauskas

HU Zilvia Mihálffy

MT Ramon Muscat

NL Pavel Salz

AT Andreas Resch

PL Marcin Rakowski

PT Leonor Elias

RO Tania Zaharia

SI Mojca Hrabar

SK Pavel Salz

FI Jarno Virtanen

SE Arne Andreasson

UK Tim Huntington

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FAME Support Unit – Activities and Tasks

Office	**Stories**	**Collaborative Platform**
Work Plan	**Reports Implement. EMFF**	
Methodol. Development	**Database**	**Guidance, Papers**
		Training
Meetings	**FAQs**	**Meetings**

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Needs Assessment

Findings and Conclusions

Why a Needs Assessment?

Explore and understand YOUR needs for support with the CMES;

Act in a demand-driven way and tailor the FAME SU activities to those needs;

Raise awareness that the FAME SU exists to support the Commission and the Member States.

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Why a Needs Assessment now?

The FAME SU commenced its activities in the second half of 2015;

EMFF OPs already being adopted, but there are still many tasks to be conducted with AIR 2017 in mind;

Now you have the chance to shape FAME priorities and actions for 2016.

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How are we doing the Needs Assessment?

Standardised questionnaire was developed to explore the challenges faced by MAs

Geographic experts contacted MAs for an interview using the standardised questionnaire;

FAME SU has drawn conclusions and suggestions for actions and is presenting them here today.

Topics covered by the Needs Assessment

Capacity and experience of the MA and challenges in OP implementation and M&E;

Lessons learnt during OP preparation and implications for the Evaluation Plans and the AIRs;

Wish List: topics and tools that should be delivered by FAME SU.

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Needs Assessment: Preliminary Results I

The MA are competent and experienced in OP implementation, but could further develop capabilities in M&E.

A lack of skilled personnel is often a bottleneck; only a few have a separate M&E department;

Programming the OPs was broadly successful, but some chapters created problems: result and output indicators; ex-ante conditionalities and the performance framework.

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Needs Assessment: Preliminary Results II

Evaluation Plans are considered to be either developed documents or as general orientation frameworks, where details must still be worked out;

"Evaluation topics and activities" and "Data and information, monitoring" are where support is needed;

AIR needs relate to the capacity for:

Drafting the monitoring and evaluation chapters and

Delivery of data in compliance with the time plan (especially for AIR 2017).

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Suggested Topics for 2016

*Indicators are essential. The first step has been taken with the **Working Paper on Definitions**. The focus should be on capturing the right data in **the application forms.***

*The **uneven level of development** of the **Evaluation Plans** should also be addressed in 2016; they need to reach a **common standard.***

*After work on indicators and evaluation plans is completed, the focus should move to **improved target setting** and **outlining evaluation methodologies.***

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Suggested Tools for 2016

Working Papers *will be further developed and consulted on through the EMFF Expert Group or through the Collaborative Platform;*

Training sessions *in the MS and in Brussels could be held;*

Flexible Groupings *of MS could be formed (e.g. based on experience, funds, UP, MA resources etc.) for* *Peer Exchanges* *following training.*

Your views on Needs Assessment

Topics and activities you find appropriate?

Topics and activities you would approach differently?

Additionally this should be said….

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Needs Assessment: what happens next?

FAME SU will process the inputs from today's discussion and consider these;

The results of the Needs Assessments Interviews and today's inputs will inform the Annual Work Plan 2016.

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Database

Logic, functionalities and utility

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What does the EMFF Reg. require from CMES data?

- *Art. 97.1(a): The MA shall provide the COM with relevant **cumulative data on operations** (by 31 March each year)*

- *Art 107: A **Common Monitoring and Evaluation System (CMES)** for **EMFF operations** under shared management shall be established with a view to measuring the performance of the EMFF*

- *Details on **data content and structure** are defined by COM Impl. Reg. (EU) No 1242/2014 & 1243/2014 ("New **Infosys**")*

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What does the EMFF Reg. provide concerning data management on EU level?

- *Art. 109.1: A list of common indicators shall be specified to allow for **aggregation of data** at **Union level***

- *Art. 110.1: **Key information** ... on **each operation** selected for funding ... shall be **recorded and maintained electronically***

- *Art. 110.2: The COM shall ensure that there is an ... **electronic system** to **record**, **maintain** and **manage** key information and **report** on monitoring and evaluation.*

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A central database for the CMES

*Hence, there is a clear **need for a database* ** as a **central system for managing CMES data** to:*

- ***Import** data received from MS*

- ***Validate** data*

- ***Store** data*

- ***Process** data,*

- ***Enable extraction** of selected data to produce various **reports** on EMFF progress and results*

* in addition to SFC2014, which does not contain the required data on the individual operations

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Overall Structure of Database (DB)

SFC 2014

A

Part A: data on each OP

- Date of adoption of OP
- Measures and indicators selected
- Targets and milestones
- Financial data

Will receive : 27 OPs

B

Files transferred via SFC 2014

DB MS 1 **DB MS 2** **DB MS 27**
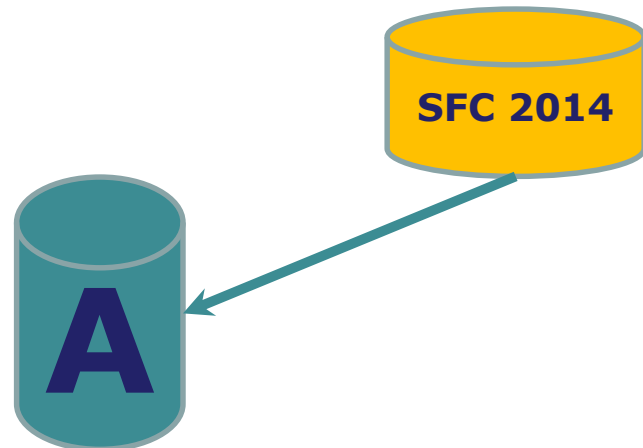
Part B: data on each operation supported

- To be received by 31 March of each year from the MS
- According to Art. 97.1(a) EMFF

Expected: XX.000 Operations

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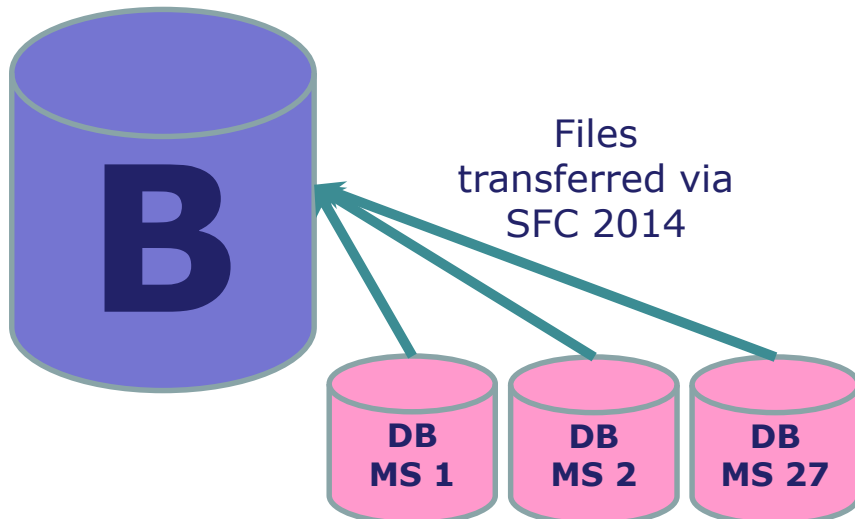
Analysis of data and reporting

Various reports can be produced, e.g.

- *Totals for output and result indicators*
  Example: How many jobs have been created in total by all operations completed up to now?

- *Comparisons between target values in OPs and actual achievements*
  Example:

- **Target 2023: 3407 FTE jobs created**
- **Actual jobs created by completed operations = XXX FTE**
- **= YY % of target value 2023**

A

B

Reports

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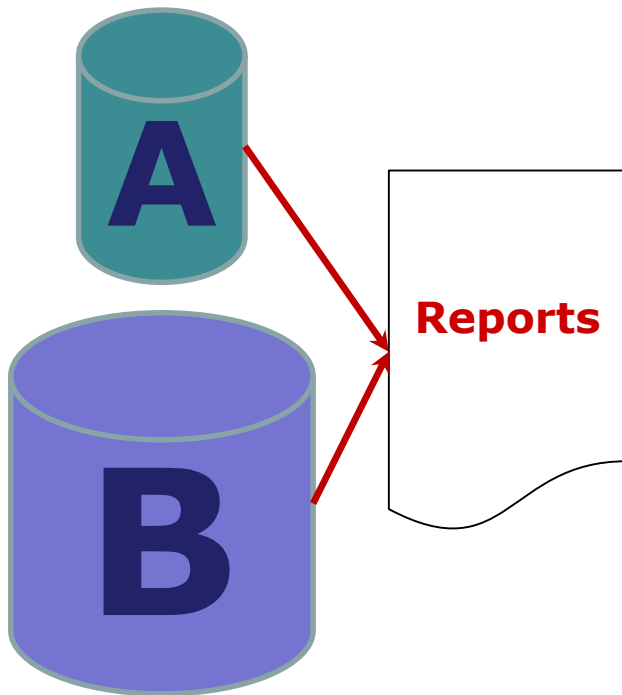
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The data validation tool – a shortcut to correct data

Validation

If error detected: report to COM

MS

To COM

via SFC2014

To COM

Report to COM

Information is sent to MS

Our alternative: First data validation by MS with the help of a validation tool provided by FAME SU

To MS

New Validation

To FAME SU

To COM

New data are produced to replace the wrong ones

MS receives communication and eliminates the error

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Examples of what will be validated

- ***Are the data complete*** *(are all required fields filled in)?*

- ***Is the format of the data respected*** *(dates, figures, etc.)?*

- ***Are all codes used*** *(for measures, indicators, implementation data, etc.)* ***correctly*** *and are they* ***consistent*** *with other data on the operation?*

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Indicators

Rationale, definitions and methodological considerations

What are indicators for?

Like all ESI Funds, the EMFF has adopted a reinforced result-orientation approach;

Indicators are the most important elements of the CMES;

A good indicator produces simplified information which is communicable and understood by both the provider and the user of information.

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How are indicators to be used?

There is a legal basis for Common Indicators, Commission Delegated Regulation (EU) No 1014/2014;

The regulation names the common indicators, but does not provide an operative definition or contextual information.

Indicators: a working paper on definitions

To help the Member States, FAME was asked for a working paper with short and practical definitions for all Common Indicators;

This paper should be used as the basis for discussion at the upcoming EMFF expert group meetings and

It helps to prepare all of us for the monitoring and evaluation of the EMFF OPs.

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Some examples for discussion, I

Result indicator: ***Change in net profits***

Net profit is the gross profit (revenue less direct operating costs) less overheads , i.e. EBIT* level;

The change is expressed as the % difference between two points in time.

*Earnings Before Interest and Taxes

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More questions arise:

How reliable is the accounting system? Is it sufficient to stop at the EBIT level?

How do we deal with double-entry accounting and single-entry accounting?

Do we also need the absolute values (not only %-change)?

When do we measure the effect?

Member State experiences with Net Profit

Which measures are covered by this indicator?

What were the challenges in defining the target?

What are the challenges for beneficiaries in providing a target?

What are the challenges for evaluation?

Some examples for discussion, II

Result indicator(s): **Employment created/maintained (FTE)**

New employment positions in the fisheries or maritime sector that did not previously exist, but are created directly due to the EMFF intervention.

Employment maintained refers to existing jobs in the fisheries or maritime sector that are at risk and are likely to be lost without the EMFF intervention.

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More questions arise:

What about nature, quality and duration of employment created by Structural Funds: how durable are newly created jobs?

How reliable is the baseline for "maintained jobs"? What about "social desirability bias"?

How to avoid double counting (esp. UP4)?

Member State experiences with Employment Created/Maintained?

Which measures are covered by this indicator?

What were the challenges in defining the target?

What are the challenges for beneficiaries in providing a target?

What are the challenges for evaluation?

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Some examples for discussion, III

Result indicator: **Change in the coverage of marine protected areas (MPAs);**

a) A marine area belonging to the Natura 2000 network of areas…

(b) An area under a spatial protection measure in the sense of Article 13.4 of Directive 2008/56/EC…

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More questions arise:

What is the nature of EMFF measures? Are they going to change the spatial extent of the MPAs?

If MPAs become larger, is it because of EMFF?

How to avoid double counting (e.g. between UP1 and Up6)?

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Member State experiences with MPAs?

Which measures are covered by this indicator?

What were the challenges in defining the target?

What are the challenges for beneficiaries in providing a target?

What are the challenges for evaluation?

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Some examples for discussion, IV

Result indicators: ***Change in volume of aquaculture production/Change in Value of aquaculture production;***

Annual volume (tonnes) of sales by aquaculture farms, excl. hatcheries and nurseries (H&N);

Annual value (euros) of sales by aquaculture farms, excl. hatcheries and nurseries.

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More questions arise:

How do these two indicators influence each other (e.g. rising volume, falling value)?

Are there reliable data-series?

Can the "EUROSTAT approach" be followed?

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Member State experiences with volume and value of aquaculture?

Which measures are covered by this indicator?

What were the challenges in defining the target?

What are the challenges for beneficiaries in providing a target?

What are the challenges for evaluation?

Some examples for discussion, V

Result Indicator: **Aquaculture farms providing environmental services**

Farms which received support under art. 54 of EMFF.

Environmental services refer to qualitative functions of natural assets (land, water, air and the related ecosystems and their biota) related to disposal potential, production, recreation and other related needs of human beings.

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More questions arise:

An indicator which seems to be straightforward;

Actually closer to an output indicator;

But how will the evaluation identify, quantify and assess the Environmental Services?

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Member State experiences with Aquaculture farms providing environmental services?

Which measures are covered by this indicator?

What were the challenges in defining the target?

What are the challenges for the evaluation?

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Indicators: what happens next?

Please provide us with your comments on the Working Paper;

We will continue to work on more indicators for the next EMFF Expert Group Meeting in 2016;

More detailed methodological guidance for each indicator will follow in 2016.

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Conclusions