

**INFORMATION FICHE NO 11**

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

**Version II  
3 June 2019**

**RELEVANT PROVISIONS IN THE DRAFT LEGISLATION**

<b>Regulation</b>	<b>Provisions</b>
<b>EMFF Proposal</b>	Article 37 (monitoring)
<b>CPR Proposal</b>	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 (as reflected in Article 37 of the EMFF proposal). The indicators in Annex I of the EMFF Proposal will be fed from a number of sources, including the common result indicators listed here in Table 2, which will 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 Infosys<sup>1</sup>. 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 II and III 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. Infosys does not include indicator reporting directly, only specific information on individual operations. Its contents 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. 16 result indicators are proposed*

c) **reduction from 35 to 16 result indicators.** Table 2 lists the proposed common result indicators and their measurement units. Each indicator is further elaborated in Annex VII to

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

this fiche. The number of result indicators has halved from the current period under this proposal. The number of **output indicators** is also **reduced from 28 to 16**, one indicator counting the number of operations for each area of support.

*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	Article 14(1) Achievement of the environmental objectives of the CFP Article 14(1) Achievement of the economic objectives of the CFP Article 14(1) Achievement of the social objectives of the CFP Article 14(1) Achievement of the employment objectives of the CFP Article 16 Investments in small-scale coastal fishing fleets Article 17(1) Management of fisheries and fishing fleets Article 17(2) Permanent cessation of fishing activities Article 18 Extraordinary cessation of fishing activities Article 19 Control and enforcement Article 20 Collection and processing of data for fisheries management and scientific purposes Article 21 Compensation for additional costs in the outermost regions for fishery and aquaculture products Article 22 Protection and restoration of marine biodiversity and ecosystems
	2. Contributing to food security in the Union through competitive and sustainable aquaculture and markets	Article 23 Aquaculture Article 24 Marketing of fishery and aquaculture products Article 25 Processing of fishery and aquaculture products
Europe closer to citizens by fostering the sustainable and integrated development of urban, rural and coastal areas and local initiatives.	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	Article 28 Maritime surveillance Article 29 Coastguard cooperation

*Table 2: List of Common Result Indicators*

No	Common result indicator	Unit
RI 1.1	Volume of landings	Tonnes
RI 1.2	Volume of aquaculture production	Tonnes
RI 1.3	Volume of processing	Tonnes
RI 2.1	Value of landings	EUR
RI 2.2	Value of aquaculture production	EUR
RI 2.3	Value of processing	EUR
RI 3	Volume of unwanted catch	Tonnes
RI 4	Businesses created	Number
RI 5.1	Capacity of vessels	Gross tonnes (GT)
RI 5.2		Kilowatt (kW)
RI 5.3		Days extraordinary cessation
RI 6	Jobs created (FTE)	Number
RI 7	Jobs maintained (FTE)	Number
RI 8	Persons benefitting	Number
RI 9	Area addressed by operations protecting and restoring biodiversity and ecosystems	km <sup>2</sup>
RI 10	Effectiveness of the system for “collection, management and use of data” in the required quality	Ordinal scale: 3 = high, 2 = medium, 1 = low
RI 11	Cooperation between stakeholders from different sectors or areas	
RI 12	Innovations enabled	Number
RI 13	Fishing vessels where control means are installed	Number
RI 14	Business entities benefitting from promotion and information activities	Number
RI 15	Businesses entities improving resource efficiency in production and/or processing	Number
16.1	Energy consumption leading to CO <sub>2</sub> emissions reduction	litres/h for vessels engine
16.2		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 III), which in turn should be based on the SWOT analysis of the Member State, as is the case with the current programming period. At least one common result indicator should be selected for each area of support included.

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, 39 fields and 46 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 IV to this fiche. Each of the result indicators in Table 2 are linked to types of possible operations in Infosys (Annex V).

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, 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 to 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 CPR Policy Objectives and EMFF Priorities
- Annex II: Areas of support corresponding to wider policy areas linked to the EMFF (indicative)
- Annex III: Common result indicators corresponding to areas of support (select as appropriate)
- Annex IV: Structure of Infosys
- Annex V: Types of operations (Infosys)
- Annex VI: Indicative link between operational programme and Infosys
- Annex VII: Full description of each result indicator