



FAME Support Unit

CT03
Working paper
AIR 2016 Part B

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Acronyms

AIR	Annual Implementation Report
CPR	Common Provision Regulation
DG MARE	Directorate-General for Maritime Affairs and Fisheries
EMFF	European Maritime and Fisheries Fund
COM	European Commission
EU	European Union
FI	Financial Indicator
MA	Managing Authority
MC	Monitoring Committee
OI	Output Indicator
OP	Operational Programme
RI	Result Indicator
SO	Specific Objectives
UP	Union Priority

1 Introduction

1.1 Background

According to the Common Provision Regulation (CPR) Art.50, each Member State (MS) has to submit an annual implementation report (AIR) every year between 2016 and 2023.

The AIR shall include “*key information on implementation of the programme and its priorities by reference to the financial data, common and programme-specific indicators and quantified target values, including changes in the value of result indicators where appropriate, and, the milestones defined in the performance framework*” (ibid).

According to EC No 508/2014 Art. 114 (2) the AIR should include, in addition to the provisions of Article 50 of Regulation (EU) No 1303/2013, the following:

- (a). *information on financial commitments and expenditure by measure;*
- (b). *a summary of the activities undertaken in relation to the evaluation plan;*
- (c). *information on the actions taken in cases of serious infringements as referred to in Article 10(1) of this Regulation, and of non-respect of the conditions laid down in Article 10(2) of this Regulation, as well as on remedy actions;*
- (d). *information on actions taken to comply with Article 41(10) of this Regulation.;*
- (e). *information on the actions taken to ensure the publication of beneficiaries in accordance with Annex V to this Regulation, for natural persons in accordance with national law, including any applicable threshold.*

The structure of the European Maritime and Fisheries Fund (EMFF) AIR is predefined in the EC No 1362/2014 Annex “model for the AIR of the EMFF”.

The model provided in the Annex of 1362/2014 is divided into three parts:

- Part A includes the main parts of the AIR to be reported every year between 2016 and 2023,
- Part B includes only those aspects for the reporting submitted in 2017 and 2019,
- Part C is relevant only for the AIR 2019.

AIR 2016¹ is the first report including Part B. It includes the following headings:

- Assessment of the implementation of the Operational Programme (OP) (Section 11);
- Horizontal principles of implementation; (Section 12)
- Reporting on support used for climate change objectives (Section 13).

¹ Terminology clarification: AIR 2016 is the report that covers data for the year 2016 and is submitted to the Commission by 31 May 2017. Different ESIF guidelines often refer to it as the 2017 report.

1.2 Objectives

FAME SU has developed this short working paper as a supporting tool for MS reporting on AIR 2016 Part B.

The aims of this working paper are:

- Provide support to Managing Authorities (MAs) for completing the AIR 2016 Part B;
- Ensure consistency and quality of the AIR 2016 Part B inputs of the MAs;
- Support DG MARE in the AIR acceptance process.

1.3 How to use this working paper

This working paper is structured along the sections of the AIR 2016 Part B model. The information provided should be constant with AIR Part A, especially with Section 2 (Overview of the implementation of the Operational Programme) and section 8 (Activities in relation to the evaluation plan and synthesis of the evaluations).

For each section the working paper provides a set of open and closed questions. The questions are designed to help streamline the reporting of MS and should enable a certain aggregation of AIR 2016 Part B content. This part should facilitate full understanding of the key underlining issues in the OP implementation. Information provided should be as complete and concise as possible.

- The questions aim to obtain a critical assessment by MA of specific implementation aspects, which should be short and concise.
- Some questions provide a set of possible answers to select from (marked with an “o” in the beginning); multiple answers are possible. However it is necessary to elaborate answers with additional information.

The working paper (and the enclosed questions) is not legally binding and it is not obligatory to answer the questions. Its use however, is strongly recommended for the sake of consistency and comparability.

If you have specific questions please send your questions to the FAME Support Unit under FAME@fame-emff.eu.

2 Part B — reporting guidelines

2.1 Assessment of the implementation of the Operational Programme (Article 50(4) of Regulation (EU) No 1303/2013) - Part B Section 11

EC 1362/2014 Annex AIR template Part B **Section 11** “*For each Union priority an assessment should be carried out on the information and data provided in Part A and progress towards achieving the objectives of the programme (incorporating the findings and recommendations of evaluations)*”

Union Priority	Assessment of data and progress towards achieving the objectives of the programme
UP 1	<p><11.2 type="S" maxlength="7000" input="M"></p> <p><i>The required input refers to general achievements related to the Specific Objectives (SO) of the OP. The assessment is related to section 3.2 of the OP. The achievements shall be reported for each Union Priority (UP) separately.</i></p> <p><i>Please describe how you see the progress made towards achieving the objectives. You might refer to Result Indicators (RI) which link to the SO in the respective UP. For the relation between RI-SO-UP please see Annex 1.</i></p> <p><i>Please describe which progress was made (higher, equal or lower than expected) and what obstacles have hindered the progress (for example political changes, economic crises). In case there are changes planned which affect RI please indicate them (for example changes in financial allocation between different UP and/measures)</i></p>
UP 2	As above
UP 3	As above
UP 4	As above
UP 5	As above
UP 6	As above

EC 1362/2014 Annex AIR template Part B **Section 11** “*An assessment by Union priority of whether progress made toward milestones and targets is sufficient to ensure their eventual fulfilment, indicating any remedial actions taken or planned, where appropriate*”

Union Priority	Assessment whether progress made toward milestones and targets is sufficient to ensure their eventual fulfilment, indicating any remedial actions taken or planned
UP 1	<p><11.2 type="S" maxlength="7000" input="M"></p> <p><i>This sub-section requires information on the achievements related to milestones and target values of the performance framework (Section 7.1 of the OP).</i></p> <p><i>The progress of Output Indicators (OI) and Financial Indicators (FI) should be reported following the questions below.</i></p>

	<ul style="list-style-type: none"> • <i>What progress has been made in relation to the 2018 milestones for OI?</i> • <i>What progress has been made in relation to the 2018 milestones for FI?</i> • <i>What progress has been made in relation to the 2023 targets for OI?</i> • <i>What progress has been made in relation to the 2023 targets for FI?</i> • <i>Please provide and describe reasons for low achievements.</i> • <i>Did you take or plan to take any remedial actions? Why?</i> <i>(please indicate which remedial actions have been taken or are foreseen)</i> • <i>Do you expect any risks in the future?</i> <i>If yes, what preventive actions do you foresee?(please describe)</i> • <i>Please mention if current performance is below or meeting expectations.</i>
UP 2	As above
UP 3	As above
UP 4	As above
UP 5	As above
UP 6	As above

2.2 Horizontal principles of implementation (Article 50(4) of Regulation (EU) No 1303/2013) - Part B Section 12

EC 1362/2014 Annex AIR template Part B Section 12 *“An assessment of the implementation of specific actions to take into account the principles set out in Article 5 of Regulation (EU) No 1303/2013 on partnership and multi-level governance, with particular emphasis on the role of partners in the implementation of the programme.”*

<12.1 type="S" maxlength="7000" input="M">

Please describe your approach to implementing partnership and multi-level governance. The description should mainly focus on how different partners were/are involved in the OP implementation and at which stages (e.g. preparation, implementation, information exchange).

Relevant partners are (in accordance with Article 3 of Commission Delegated Regulation (EU) No 240/2014 on the code of conduct):

- *competent regional, local, urban and other public authorities,*
- *economic and social partners,*
- *bodies representing civil society (including environmental partners, non-governmental organisations, bodies responsible for promoting social inclusion, gender equality and non-discrimination)*

Additionally, please describe the representation across the sector as follows:

- *representatives of the fisheries sector (especially small-scale fisheries), aquaculture, processing and marketing;*

- representatives for the measures shifted from direct to shared management (data collection, control and enforcement)
- representatives for IMP.

Please provide information how different partners were involved in the implementation, monitoring and evaluation of the OP. Examples of actions could be participation in the Monitoring Committee, timely disclosure of and easy access to relevant information; available channels through which partners may ask questions, provide contributions and be informed of how their proposals have been considered, dissemination of the outcome of the consultation, etc.

Please, provide information on whether you have organised any actions to increase the administrative capacity of partners so that they are able to take part effectively in the processes.

EC 1362/2014 Annex AIR template Part B Section 12 “An assessment of the implementation of specific actions to take into account the principles set out in Article 7 of Regulation (EU) No 1303/2013 on promotion of equality between men and women and non-discrimination, including accessibility for disabled persons as well as the arrangements implemented to ensure the integration of the gender perspective in the Operational Programme.”

<12.2 type="S" maxlength="3500" input="M">

The section should describe actions implemented in order to mainstream and promote:

- (1) equality between men and women and*
- (2) non-discrimination principle, including accessibility for disabled people.*

Please specify for each of the two principles:

- *Actions applied during the implementation, monitoring, reporting and evaluation process of the OP (e.g. involving relevant stakeholders in the programme implementation process, applying specific selection criteria; incorporating accessibility to disabled persons, implementing data in the monitoring database that allows to assess promotion of equality between men and women / non-discrimination, arrangements for training of relevant administrative staff on the subject, include the aspects of equality of men and women and non-discrimination in the evaluation.*
- *Please provide additional information on any difficulties experienced in implementing these actions. If yes, how were they or how would they be solved?*
- *Which EMFF measures aimed at promoting equality between men and women were implemented in the OP?*
- *Which EMFF measures aimed at promotion of the non-discrimination principles were implemented in the OP?*

EC 1362/2014 Annex AIR template Part B Section 12 “An assessment of the implementation of specific actions to take into account the principles set out in Article 8 of Regulation (EU) No 1303/2013 on sustainable development, including an overview of the actions taken to promote sustainable development.”

<12.2 type="S" maxlength="3500" input="M">

The section should provide information and assess implementation of actions aiming to promote sustainable development in accordance with Art.8.

Please specify:

- actions applied during the implementation, monitoring, reporting and evaluation process of the OP (e.g. involve stakeholders in the programme implementation process, specific selection criteria, implement relevant data in the monitoring database, arrangements for training of relevant administrative staff on the subject, include sustainable development in evaluation, etc.)*
- Have there been any difficulties in implementing these actions? If yes, how were they or how could they be solved?*
- Which EMFF measures aimed at sustainable development were implemented? In particular, did you implement measures aimed at landing obligation, biodiversity protection and Natura 2000?*

2.3 Reporting on support used for climate change objectives (Article 50(4) of Regulation (EU) No 1303/2013) - Part B Section 13

EC 1362/2014 Annex AIR template Part B Section 13 “Figures are calculated automatically and will be included into Table 4 on financial data. A clarification on the given values may be provided, particularly if the actual data is lower than the planned.”

<12.2 type="S" maxlength="3500" input="M">

What is the calculated figure as a share of the total expenditure for the given year?

Is it lower, higher, or equal to the OP share of the total EMFF allocation to be used for climate change objectives?

Please describe the reasons for any difference but particularly for lower figures reported in the AIR.

3 Annex

Annex 1 Relation between UP – SO – RI

UP	Measures	Specific objectives	Code	Result Indicator	Measurement Unit
1	Article 37 Support for the design and implementation of conservation measures and regional cooperation	1. Reduction of the impact of fisheries on the marine environment, including the avoidance and reduction, as far as possible, of unwanted catches;	1.4.a	Change in unwanted catches (tonnes)	tonnes
	Article 38 Limiting the impact of fishing on the marine environment and adapting fishing to the protection of species (+ art. 44.1.c Inland fishing)				
	Article 39 Innovation linked to the conservation of marine biological resources (+ art. 44.1.c Inland fishing)				
	Article 40.1.a Protection and restoration of marine biodiversity – collection of lost fishing gear and marine litter		1.5	Change in fuel efficiency of fish capture	litres fuel/tonnes landed catch
	Article 43.2 Fishing ports, landing sites, auction halls and shelters – investments to facilitate compliance with the obligation to land all catches				
	Article 40.1.b-g, i Protection and restoration of marine biodiversity – contribution to a better management or conservation, construction, installation or modernisation of static or movable facilities, preparation of protection and management plans related to NATURA 2000 sites and spatial protected areas, management, restoration and monitoring marine protected areas, including NATURA 2000 sites, environmental awareness, participation in other actions aimed at maintaining and enhancing biodiversity and ecosystem services (+ art. 44.6 Inland fishing)	2. Protection and restoration of aquatic biodiversity and ecosystems	1.10.a	Change in the coverage of Natura 2000 areas designated under the Birds and Habitats directives	Km ²
	Article 34 Permanent cessation of fishing activities	3. Ensuring a balance between fishing capacity and available fishing opportunities	1.3	Change in net profits	thousand Euros
	Article 36 Support to systems of allocation of fishing opportunities				

1	Article 27 Advisory services (+ art. 44.3 Inland fishing)	4. Enhancement of the competitiveness and viability of fisheries enterprises, including of small scale coastal fleet, and the improvement of safety or working conditions	1.1	Change in the value of production	thousand Euros
	Article 30 Diversification and new forms of income (+ art. 44.4 Inland fishing)		1.2	Change in the volume of production	tonnes
	Article 31 Start-up support for young fishermen (+ art. 44.2 Inland fishing)		1.3	Change in net profits	thousand Euros
	Article 32 Health and safety (+ art. 44.1.b Inland fishing)		1.5	Change in fuel efficiency of fish capture	litres fuel/tonnes landed catch
	Article 33 Temporary cessation of fishing activities		1.7	Employment created (FTE) in the fisheries sector or complementary activities	FTE
	Article 35 Mutual funds for adverse climatic events and environmental incidents		1.8	Employment maintained (FTE) in the fisheries sector or complementary activities	FTE
	Article 40.1.h Protection and restoration of marine biodiversity – schemes for the compensation of damage to catches caused by mammals and birds		1.9.a	Change in the number of work-related injuries and accidents	number
	Article 42 Added value, product quality and use of unwanted catches (+ art. 44.1.e Inland fishing)		1.9.b	Change in the % of work-related injuries and accidents in relation to total fishers	%
	Article 43.1 + 3 Fishing ports, landing sites, auction halls and shelters - investments improving fishing port and auctions halls infrastructure or landing sites and shelters; construction of shelters to improve safety of fishermen (+ art. 44.1.f Inland fishing)				
Article 26 Innovation (+ art. 44.3 Inland fishing)	5. Provision of support to strengthen technological development and innovation, including increasing energy efficiency, and knowledge transfer	1.1	Change in the value of production	thousand Euros	
Article 28 Partnerships between fishermen and scientists (+ art. 44.3 Inland fishing)		1.2	Change in the volume of production	tonnes	
Article 41.1.a, b, c Energy efficiency and mitigation of climate change – on board investments; energy efficiency audits and schemes; studies to assess the contribution of alternative propulsion systems and hull designs (+ art. 44.1.d Inland fishing)		1.3	Change in net profits	thousand Euros	
Article 41.2 Energy efficiency and mitigation of climate change - Replacement or modernisation of main or ancillary engines (+ art. 44.1.d Inland fishing)		1.5	Change in fuel efficiency of fish capture	litres fuel/tonnes landed catch	

1				6. Development of professional training, new professional skills and lifelong learning		1.7	Employment created (FTE) in the fisheries sector or complementary activities	FTE	
		Article 29.1 + 29.2 Promoting human capital and social dialogue - training, networking, social dialogue; support to spouses and life partners (+ art. 44.1.a Inland fishing)					1.8	Employment maintained (FTE) in the fisheries sector or complementary activities	FTE
		Article 29.3 Promoting human capital and social dialogue – trainees on board of SSCF vessels / social dialogue (+ art. 44.1.a Inland fishing)					1.9.a	Change in the number of work-related injuries and accidents	number
							1.9.b	Change in the % of work-related injuries and accidents in relation to total fishers	%

UP	Measures	Specific objectives	Code	Result Indicator	Measurment Unit	
2	Article 47 Innovation	1. Provision of support to strengthen technological development, innovation and knowledge transfer	2.1	Change in volume of aquaculture production	tonnes	
	Article 49 Management, relief and advisory services for aquaculture farms		2.2	Change in value of aquaculture production	thousand Euros	
			2.3	Change in net profit	thousand Euros	
			2. Enhancement of the competitiveness and viability of aquaculture enterprises, including improvement of safety or working conditions, in particular of SMEs	2.1	Change in volume of aquaculture production	tonnes
	Article 48.1.a-d, f-h Productive investments in aquaculture	2.2		Change in value of aquaculture production	thousand Euros	
	Article 52 Encouraging new sustainable aquaculture farmers practising sustainable aquaculture	2.3		Change in net profit	thousand Euros	
		2.8		Employment created	FTE	
		2.9		Employment maintained	FTE	
			3. Protection and restoration of aquatic biodiversity and enhancement of ecosystems related to aquaculture and promotion of resource-efficient aquaculture	2.4	Change in the volume of production organic aquaculture	tonnes
	Article 48.1.k Productive investments in aquaculture - increasing energy efficiency, renewable energy	2.5		Change in the volume of production recirculation system	tonnes	
	Article 48.1.e, i, j Productive investments in aquaculture - resource efficiency, reducing usage of water and chemicals, recirculation systems minimising water use	2.6		Change in the volume of aquaculture production certified under voluntary sustainability schemes	tonnes	
	Article 51 Increasing the potential of aquaculture sites	2.7		Aquaculture farms providing environmental services	number	
	Article 53 Conversion to eco-management and audit schemes and organic aquaculture	2.8		Employment created	FTE	
		2.9		Employment maintained	FTE	

2						2.1	Change in volume of aquaculture production	tonnes	
		Article 54 Aquaculture providing environmental services		4. Promotion of aquaculture having a high level of environmental protection, and the promotion of animal health and welfare and of public health and safety		2.2	Change in value of aquaculture production	thousand Euros	
		Article 55 Public health measures				2.4	Change in the volume of production organic aquaculture	tonnes	
		Article 56 Animal health and welfare measures				2.5	Change in the volume of production recirculation system	tonnes	
		Article 57 Aquaculture stock insurance				2.6	Change in the volume of aquaculture production certified under voluntary sustainability schemes	tonnes	
						2.7	Aquaculture farms providing environmental services	number	
		Article 50 Promoting human capital and networking		5. Development of professional training, new professional skills and lifelong learning		2.8	Employment created	FTE	
						2.9	Employment maintained	FTE	

UP	Measures	Specific objectives	Code	Result Indicator	Measurement Unit
3	Article 77 Data collection	1. Improvement and supply of scientific knowledge and collection and management of data	3.B.1	Increase in the percentage of fulfilment of data calls	%
	Article 76 Control and enforcement	2. Provision of support to monitoring, control and enforcement, enhancing institutional capacity and the promotion of economic growth, social inclusion and job creation, and providing support to employability and labour mobility in coastal and inland communities which depend on fishing and	3.A.1	Number of serious infringements detected	number
			3.A.2	Landings that have been the subject to physical control	%
4	Article 62.1.a Preparatory support	2. Provision of support to monitoring, control and enforcement, enhancing institutional capacity and the promotion of economic growth, social inclusion and job creation, and providing support to employability and labour mobility in coastal and inland communities which depend on fishing and	4.1	Employment created (FTE)	FTE
	Article 63 Implementation of local development strategies (incl. running costs and animation)		4.2	Employment maintained (FTE)	FTE
	Article 64 Cooperation activities		4.3	Businesses created	number
5	Article 66 Production and marketing plans	1. Improvement of market organisation for fishery and aquaculture products	5.1.a	Change in value of first sales in POs	thousand Euros
	Article 67 Storage aid		5.1.b	Change in volume of first sales in POs	tonnes
	Article 68 Marketing measures		5.1.c	Change in value of first sales in non-POs	thousand Euros
	Article 70 Compensation regime		5.1.d	Change in volume of first sales in non-POs	tonnes
		2. Encouragement of investment in the processing and marketing sectors	5.1.a	Change in value of first sales in POs	thousand Euros
	Article 69 Processing of fisheries and aquaculture products		5.1.b	Change in volume of first sales in POs	tonnes
			5.1.c	Change in value of first sales in non-POs	thousand Euros
			5.1.d	Change in volume of first sales in non-POs	tonnes

UP	Measures	Specific objectives	Code	Result Indicator	Measurement Unit
6	Article 80.1.a Integrating Maritime Surveillance	Development and implementation of the Integrated Maritime Policy	6.1	Increase in the Common Information Sharing Environment (CISE) for the surveillance of the EU maritime domain	%
	Article 80.1.b Promotion of the protection of marine environment, and the sustainable use of marine and coastal resources		6.2.a	Change in the coverage of Natura 2000 areas designated under the Birds and Habitats directives	Km ²
	Article 80.1.c Improving the knowledge on the state of the marine environment		6.2.b	Change in the coverage of other spatial protection measures under Art. 13.4 of the Directive 2008/56/EC	Km ²