



FAME Support Unit

CT04

Working paper

EMFF AIR

PART A

Final

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Acronyms

AIR	Annual Implementation Report
CCI	<i>Code Commun d'Identification</i> (reference number of each programme, attributed by the Commission)
CFP	common fisheries policy
CIR	Commission Implementing Regulation
COM	European Commission
CPR	Common Provision Regulation
CSV	Comma-Separated Values
EMFF	European Maritime and Fisheries Fund
ESI Funds	European Structural and Investment Funds
EU	European Union
FAME	Fisheries and Aquaculture Monitoring and Evaluation
FAME SU	FAME Support Unit
FI	Financial Indicator
IMP	integrated maritime policy
MA	Managing Authority(ies)
MC	Monitoring Committee
MS	Member State(s)
OI	Output Indicator
OP	Operational Programme
n.a.	non-applicable
RI	Result Indicator
SFC	System for Fund Management in the European Union
SO	Specific Objective
SSCF	Small-Scale Coastal Fisheries
SWOT	Strengths, Weaknesses, Opportunities and Threats
TA	Technical Assistance
UP	Union Priority

1 Introduction

1.1 Background

The European Maritime and Fisheries Fund (EMFF) is one of five European Structural and Investment Funds (ESI Funds). Each Member State (MS) draws up a single operational programme (OP) to implement the Union priorities set out in Article 6, which are to be co-financed by the EMFF.

The EMFF OP Managing Authorities (MA) prepare and submit an Annual Implementation Report (AIR) by 31 May of each year, from 2016 up to and including 2023. AIRs are subject to a specific admissibility and acceptance procedure by the European Commission (COM).

The model and presentation of the EMFF AIR is defined in the Commission Implementing Regulation (EU) No 1362/2014. The model for the AIR of the EMFF, which is provided in the Annex of the aforementioned regulation, is divided into three parts:

- Part A includes the main parts of the AIR that are to be reported every year between 2016 and 2023 ('light report').
- Part B sets out additional information that is to be provided in reports submitted in 2017, 2019 and in the final report (2025).
- Part C sets out information that has to be provided only in the report submitted in 2019 and in the final report in 2025 (in addition to that set out in Parts A and B).

The AIRs should provide information that is consistent and comparable between the years of implementation as well as among MS.

As of the end of 2017, MS have submitted two AIRs: one covering 2014 and 2015 and one for 2016. The Fisheries and Aquaculture Monitoring and Evaluation Support Unit (FAME SU) of the Commission produced an annual synthesis report in 2016 and 2017.

The admission and acceptance procedures and the synthesis of the reports revealed some discrepancies and misinterpretations in the reports and underlined the need for guidance, as presented in this working paper.

1.2 Purpose and target groups

NB: This paper is only addressing Part A.

A version covering also PART B and PART C will follow.

The purpose of the current working paper on the AIR PART A is therefore to:

- collect and compile lessons learnt during the AIR submission and approval processes in 2016 and 2017;
- assist MS with the AIR preparation and the Commission with the AIR assessment;
- facilitate comparability and synthesis of the MS' AIRs and allow the Commission to conduct further analyses.

The additional information provided in the working paper is built on experiences and lessons learnt during the AIR submission and approval processes in 2016 and 2017, and the questions received. The working paper proposes an outline to be followed when filling PART A of the AIR. This enables MS to identify more easily what information is relevant and to communicate it under the relevant sections, how this information should be formulated and in what detail it should be reported.

1.3 Structure of this working paper

Chapter 1 provides an introduction to the working paper.

Chapter 2 describes the AIR regulatory framework.

Chapter 3 follows the structure of the AIR template and gives complementary information for each section and subsection in order to assist MS in their reporting requirements.

2 Regulatory Framework

2.1 Relevant regulations

The EMFF is one of five ESI Funds that aim to promote growth and jobs in Europe. The EMFF supports the implementation of the European Union's (EU) common fisheries policy (CFP) and the integrated maritime policy (IMP).

The two basic legal acts for the implementation of the EMFF are:

1. Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 on the European Structural and Investment Funds (ESI Funds), often referred to as the Common Provisions Regulation (CPR), and
2. Regulation (EU) No 508/2014 of the European Parliament and of the Council of 15 May 2014 on the European Maritime and Fisheries Fund (EMFF), often referred to as the EMFF Regulation.

The table below lists the relevant articles of the Regulations to be taken into account for the preparation of the EMFF AIR.

Box 1: EMFF AIR, relevant regulations

Regulations	Articles
Reg. (EU) No 1303/2013 Common Provisions Regulation	Article 46 - Report on implementation of financial instruments Article 50 - Implementation reports Article 125 - Functions of the managing authority Article 135(4) - Deadlines for presentation of interim payment applications and for their payment Article 138 – Submission of information Article 141 - Submission of closure documents and payment Article 143 – Suspension of payments
Reg. (EU) No 508/2014 European Maritime and Fisheries Fund	Article 114 - Annual implementation report
Reg. (EU) No 1362/2014 Commission Implementing Regulation EMFF	Article 2 - Format and presentation of the annual implementation reports for the EMFF Annex - Content of the annual implementation report
Reg. (EU) No 821/2014 Commission Implementing Regulation Financial Instruments	Annex 1 – Model for reporting on financial instruments
Financial Regulation (EU) No 966/2012	Article 59(5) – Deadline for the final (last annual implementation) report

Article 50 of the CPR and Article 114 of the EMFF Regulation require that the monitoring of operational programmes should involve the MS drawing up an AIR. The AIR is one of the instruments used for the monitoring of the implementation of operational programmes. It provides the Monitoring Committee (MC) with the opportunity to take stock of the progress of its programme each year and the Commission with valuable information on progress in the implementation of the programmes.

2.2 AIR content

Article 50 of the CPR is the main clause regarding implementation reports and contains provisions on content for the light and comprehensive reports (depending on the year in which the report is to be submitted), admissibility, their examination and observations by the Commission. It applies to all ESI Funds.

The format and the presentation of the EMFF AIR are predefined in Commission Implementing Regulation (EU) No 1362/2014. The model for the AIR of the EMFF provided in the Annex of the aforementioned regulation is divided into three parts:

- Part A includes the main parts of the AIR that are to be reported every year between 2016 and 2023 ('light report');
- Part B sets out additional information that is to be provided in reports submitted in 2017, 2019 and in the final report in 2025;
- Part C sets out information that has to be provided only in the report submitted in 2019 and in the final report in 2025 (in addition to that set out in Parts A and B).

Given the limits imposed by the Commission Implementing Regulation (CIR) 1362/2014 and the annexed AIR model, any additional information that is not required but would be beneficial, can be communicated to the Commission via other means (annual review meetings, MC meetings, informal contacts, etc.).

Box 2: Content and submission deadline for the AIR per year

Year of submission	Period covered	AIR content	Deadline
2016	1/1/2014 – 31/12/2015	Light (PART A only)	31 May 2016
2017	1/1/2016 – 31/12/2016	Comprehensive (PART A and B)	31 May 2017
2018	1/1/2017 – 31/12/2017	light (PART A only)	31 May 2018
2019	1/1/2018 – 31/12/2018	Comprehensive (PART A, B and C)	31 May 2019
2020	1/1/2019 – 31/12/2019	light (PART A only)	31 May 2020
2021	1/1/2020 – 31/12/2020	light (PART A only)	31 May 2021
2022	1/1/2021 – 31/12/2021	light (PART A only)	31 May 2022
2023	1/1/2022 – 31/12/2022	light (PART A only)	31 May 2023
2025	1/1/2023 – 31/12/2023	comprehensive (PART A, B and C)	15 February 2025*

* In exceptional circumstances, the deadline of 15 February may be extended by the Commission to 1 March, upon communication by the Member State concerned according to Financial Regulation (EU) No 966/2012.

All EMFF AIRs should contain the following information each year:

- ESIF, Art. 50(2): reporting on the performance framework (as from 2017);
- ESIF, Art. 50(2): findings from evaluations;
- ESIF, Art. 50(9): citizens' summary;
- ESIF, Art. 46: standardised reporting on financial instruments;
- EMFF, Art. 114(a): information on financial commitments/expenditure by measure;
- EMFF, Art. 114(b): summary of activities under the evaluation plan;
- EMFF, Art. 114(c): actions taken in cases of serious infringements;
- EMFF, Art. 114(e): actions to ensure publication of beneficiaries.

The 2017 and 2019 AIRs, as well as the last AIR (2015), must include additional information:

- ESIF, Art. 50(4): assessment of progress made towards the achievement of the objectives of the OP, information on partnership, support to climate change objectives, sustainable development and equality between women and men and non-discrimination, including accessibility for disabled persons and integration of the gender perspective.

For 2019 and the last AIR (2025):

- ESIF, Art. 50(5): assessment of the contribution towards the Europe 2020 Strategy.

2.2.1 Light reports (PART A only)

MS should reflect, in the light reports, on the following:

- Essential information on the implementation of the OP and its priorities, provided in the form of short and general commentary;
- Performance tables correctly filled in with data for the year concerned (some data will be fed in automatically from the OP);
- Issues that affect implementation of the programme and the measures taken, which are clearly described.

In addition, the light reports must also provide a synthesis of the findings of all evaluations that were carried out during the reporting year.

A summary for citizens must be annexed to the report.

Each AIR, where applicable, needs to be complemented by a report on the implementation of financial instruments (CPR, Article 46(1)(3)) that should follow the model defined in Annex 1 Reg. (EU) No 821/2014. Should the report on financial instruments (where applicable) and all the information required under CPR Article 46(2) not be submitted, the AIR has to be declared inadmissible.

The annual and final implementation reports, as well as a summary of citizens' content, shall be made available to the public (CPR Article 50(9)).

2.2.2 Comprehensive reports

These should go further than mere quantitative information and provide a qualitative assessment of the information provided and progress towards achieving the objectives of the programme and the programme's contribution to achieving the Europe 2020 Strategy.

2.3 Procedures

The sections below describe the main steps of the AIR submission and approval process:

1. Submission of the AIR
2. Admissibility check by the Commission
3. Acceptability (quality) check by the Commission
4. Follow-up in case of non-admissible or non-acceptable reports

2.3.1 Submission of the reports by the Member State

The MA presents the AIR for approval to the MC. After MC approval, the MA submits the AIR to the Commission via SFC2014. The MA has to ensure that the date of the AIR approval by the MC is indicated in the report under section 1 of the AIR.

Further detailed information on the AIR submission procedure via SFC2014 can be found on the System for Fund Management in the EU's (SFC) Support

Portal: https://ec.europa.eu/sfc/en/2014/support-ms/imp_report_emff/quickguide

2.3.2 Assessment by the Commission

The Commission assesses all formally submitted AIRs in two steps.

a) Admissibility check

CPR Article 50(6) sets out that the AIR shall be admissible only if it contains all the information required in CPR Article 50 paragraphs 1 to 5 and in the fund-specific rules, i.e. EMFF Article 114(2). CPR Article 50(6) only refers to AIRs and not to the final report, meaning that the admissibility stage is not necessary for final reports. Paragraph 5 is relevant only for the AIR to be submitted in 2019 and the final report.

The above provisions must be interpreted strictly and the Commission checks that all the data and elements obligatorily required by the mentioned articles (CPR Art. 50(6) paragraphs 1 to 5, EMFF Art. 114(2)) are included for the relevant year and are in line with the template (Annex to the CIR 1362/2014).

Member States are informed about admissibility via SFC2014 within 15 working days of the date of receipt of the AIR.

For admissible reports, this will be done by simple SFC status notification with no letter sent to the Member State.

If the Commission does not react within 15 working days of receipt of the AIR, the report is automatically considered as admissible.

For non-admissible reports, the non-admissibility letter is sent to the MA within 15 working days of the date of receipt of the AIR. In the letter, the Commission states that the report is not admissible and what information is missing (CPR Article 50(6)).

b) Acceptability (quality) check

As soon as the report is deemed admissible (explicitly, or tacitly – if the 15 working days for examining the admissibility of the report have passed without any Commission response), the Commission conducts a full assessment of the quality of the information.

The level of the quality check differs between light and comprehensive reports.

For the PART A reports, the assessment focuses on the quality and consistency of the information provided, which is mainly quantitative but also includes qualitative information on the issues affecting the performance of the programme and the measures taken. MAs need to ensure that the information presented is accurate, coherent and consistent across the years. The qualitative information provided should clearly describe the key implementation issues

and requirements set out in the template and, when appropriate, also the steps taken to improve the OP implementation.

According to CPR Article 50(7), the Commission has to examine the annual and final implementation reports and inform the Member State of its observations within 2 months of the receipt of the AIR and within 5 months of receipt of the final report.

If the Commission does not provide observations within those deadlines, the reports shall be deemed acceptable.

If the report is unsatisfactory or the MS needs to provide further information, the Commission sends observations to the MA via the SFC. The revised AIR must be uploaded in the SFC2014 and the annexes attached again. Following the MA's resubmission of the AIR, the Commission re-examines the report and decides whether it is acceptable.

Furthermore, as stated in CPR Article 50(8), the Commission may flag issues to the MA that significantly affect the OP implementation. In this case, the MA needs to provide all necessary information with regard to those observations and, where appropriate, inform the Commission within 3 months of the measures taken. Although this procedure is linked to the AIR review, it is conducted separately from the procedure on admissibility and acceptance of the report.

The AIRs are also discussed during the respective Annual Review Meeting.

2.3.3 Non-admissible and non-acceptable reports

Pursuant to CPR Article 135(4), interim payments shall not be made for a programme unless the AIR has been sent to the Commission in accordance with the fund-specific rules.

If the implementation report for year N-1 is sent to the Commission on time in accordance with the fund-specific rules, applications for interim payment sent to the Commission after 31 May of year N will be acceptable.

If the report is not sent on time, applications for interim payment requests sent to the Commission after 31 May cannot be accepted and no interim payments can be made until an AIR is submitted.

If an AIR to be submitted in 2019 is judged to be non-admissible, this will have implications on the allocation of the performance reserve. In accordance with the second subparagraph of CPR Article 22(4), where a Member State fails to submit the information in accordance with CPR Article 50(5) and (6) (i.e. the AIR needs to be admissible), the performance reserve concerned shall not be allocated to the programme concerned.

In accordance with CPR Article 142(1)(d), in case 'there is a serious deficiency in the quality and reliability of the monitoring system or of the data on common and specific indicators', this may give rise to a suspension of all or part of the interim payments at the level of the priorities or programmes (CPR Art. 142(1)(d)).

3 Annual Implementation Report Part A – Reporting submitted every year

1 Identification of the annual implementation report

CCI (Code Commun d'Indentification)	<1.1 type="S" input="S"> (1)
Title	<1.2 type="S" input="G">
Version	<1.3 type="N" input="G">
Reporting year	<1.4 type="D" maxlength="4" input="M">
Date of approval of the report by the Monitoring Committee (Art 113.d of EMFF)	<1.5 type="D" input="M">

A corresponding date of the approval of the AIR by the Monitoring Committee is an admissibility criterion for the AIR.

There should be no discrepancies between the version approved by the MC and the version submitted to the Commission via SFC2014, although a 'user-friendly' Word version can be submitted to the MC.

2 Overview of the implementation of the operational programmes (Article 50(2) of Regulation (EU) No 1303/2013)

<2.1 type="S" maxlength="7000" input="M">

Due to the regulatory limits set in the regulation and character limits in the template, the information required needs to be well structured, concise and to the point. Repetitions among sections should be avoided.

This section should contain key information on the implementation of the operational programme for the year N-1, including on financial instruments, with relation to the financial and indicator data.

The MA should provide a short overview of key implementation issues for the year concerned, making use of both result and output indicators. The information in this section should be coherent with the information included in other sections of the report, giving a big picture of the programme progress as a whole, focusing on important elements, including external factors and, where possible, complete with general conclusions on the progress on the ground. Information to include here in particular is listed in Box 3 and Box 4 below.

Box 3: AIR Section 2, indicative topics to be addressed (non-exhaustive list)

- I. **Key developments** and **challenges** with regard to the following:
 1. Management of the programme and/or the management and control system (designation, MC, partnership, etc., IT system, database, decisions originated from the conclusions of the evaluation);
 2. Topics identified by the strengths, weaknesses, opportunities and threats (SWOT) analysis and addressed in the strategy section of the OP (section 3). (Social, environmental and economic issues, such as changes in employment, profitability, environmental issues, etc.);
 3. Main achievements in relation to the CFP and the IMP (landing obligation, discard ban, small-scale coastal fisheries, multiannual plans, control, data collection, sustainable aquaculture, etc.);
 4. Calls for proposals: (overall achievements – number of already opened calls, number of activated measures, issues with opening calls);
 5. Output indicators: number of selected operations /operations under implementation /fully implemented /completed operations;
 6. Financial implementation at OP level (total, public and EU expenditure of the operations selected /declared by the beneficiaries, and progress in amount and percentage compared to the previous year and compared to the target);

7. Result indicators across Union priorities (UPs), (overall achievements, best performing indicators, indicators which are not progressing well, etc.);
8. Implementation of measures (best performing measures across UPs, lack of interest towards certain measures, reasons behind this, solutions introduced);
9. Overall achievements of performance framework milestones and targets (output indicators and financial indicators) – issues foreseen with meeting the milestones (Milestones are going to be achieved? Yes/no – reasoning and background information should be provided under section 4.2);
10. Reporting (experiences and identified difficulties in relation to the reporting requirements under the EMFF).

II. **External factors** which might have influenced the overall performance and/or the implementation of the programme (factors which cannot be influenced by the MA).

III. **Financial instruments (only applicable if foreseen in the OP)** – whether and how the financial instruments were used (are they planned, being used as planned; if not, what are the reasons for not using them and steps taken to address the problem).

Box 4: AIR Section 2, topics better avoided (non-exhaustive list)

1. Specific information at measure level, unless it affects the programme as a whole (listing of open measures);
2. Financial information in relation to specific measures, since the information is available in Table 4 (financial data);

3 Implementation of Union priorities

3.1 Overview of the implementation of the operational programmes by Union Priority (Article 50 (2) of Regulation (EU) No 1303 /2013)

Union priority	Key information on the implementation of the priority with reference to key developments, significant problems and steps taken to address these problems
Title of the Union priority <3.1 type="S" input="G">	<3.1 type="S" maxlength="7000" input="M">

Information should be provided as short and general commentary on the implementation of the UPs and technical assistance (TA) for the year(s) concerned with reference to key developments, significant problems and steps taken to address these problems. Information may be detailed according to the example in Box 5 below.

Box 5: Section 3, indicative topics to be addressed (non-exhaustive list)

<p>Key developments, significant problems and steps taken to address these problems with regard to the:</p> <ol style="list-style-type: none"> 1. Main achievements under the UP; 2. Calls for proposals (overall progress in call for proposals – number of already opened calls, number of activated measures); 3. Output indicators (OIs) (number and % of selected operations compared to the target operations under implementation, fully implemented and completed operations in relation to the target OI under the UP); 4. Financial implementation at UP level:
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- a. Planned expenditure under the UP compared to the total OP budget amount and % of total public and total EMFF;
 - b. Total – including private/public/EU expenditure of the operations selected under the UP and the progress in the amount and % compared to the previous year);
 - c. Total/public/EU expenditure of the operations declared by the beneficiaries and the progress in the amount and % compared to the previous year);
5. Result indicators (state of play in relation to the results planned under this UP, best performing indicators, indicators which are not progressing well, etc.). In case there is a discrepancy between the current report and previous reports in the table on the result indicators (AIR Table 1), the reasons should be explained under this section.
6. Implementation of measures (2-3 best performing measures at UP level (highest number of applications, etc.), if relevant; lack of interest towards certain measures and possible reasons behind, solutions introduced);
7. Overall achievements of performance framework milestones and targets (OI and financial indicators) – issues foreseen with meeting the milestones (yes/no – reasoning and background information should be provided under section 4.2);
8. Other results not expressed by result indicators but which are important in relation to the UP.

3.2 Result, output and financial indicators for EMFF (Article 50(2) of Regulation (EU) No 1303/2013)

MS are to provide data for result, output and financial indicators, as well as identifying milestones and targets for the performance framework by using Tables 1, 2 and 3.

TABLE 1

Result indicators for the EMFF (Reference table of OP template 3.2)

Table below to be repeated for each Union Priority

Union priority (Title of the Union priority <3.2.1 type="S" input="G">)														
Specific objective	Result indicator	Measurement unit	Target value (2023)	Yearly value										Cumulative value
				2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	
Title of the specific objective <3.2.1 type="S" input="G">	Name of the result indicator <3.2.1 type="S" input="G">	<3.2.1 type="S" input="G">	<3.2.1 type="N" input="G">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="N" input="M">	<3.2.1 type="S" input="M">

Box 6: Section 3.2, Table 1, result indicators; important points

- All OP specific objectives (SOs) must be included in the report. Although the SFC itself generates the list of the relevant SOs, check, before submission as to whether all SOs are indeed listed in the report. (The OP data in the SFC system is generated from the last adopted programme version available before the end of the reporting year. Therefore, for instance, for the AIR2017 exercise, the data generated in the system would be from the OP adopted before 31 December 2017.)
- RI values should only be reported for operations fully implemented or completed during the reported year (Infosys field 9 = codes 3 and 5) based on Infosys field 24 (validated results). If field 24 is empty, field 23 (indicative results) should be used. If using the indicative results,

the annual values should be updated in the year when validated results become available. When calculating the RI values at MS level, consult the methodology described for each RI in the FAME SU ‘working paper on the definition of the EMFF Common Indicator’ (published in October 2016).

- The values for all previous years should be coherent, but not necessarily equal to the previous report(s). In case of discrepancy, the reason should be explained under section 3.1 for the UP concerned (reference should be made to indicated and validated results).
- The values for all previous years should be coherent with but not necessarily equal to the previous report(s). Differences may occur between years due to differences between indicative and validated results. In the column ‘cumulative value’, sums of ratios (%) are meaningless for the following result indicators (RIs), which is why this column should be left blank for these indicators.
 - 1.4b: change in unwanted catches (%);
 - 1.5: change in fuel efficiency of fish capture;
 - 1.6: change in the % of unbalanced fleets;
 - 1.9b: change in the % of work-related injuries and accidents in relation to total fishers;
 - 3.A2: landings that have been subject to physical control;
 - 3.B1: increase in the percentage of fulfilment of data calls;
 - 6.1: increase in the Common Information Sharing Environment (CISE) for the surveillance of the EU maritime domain.

TABLE 2

Output indicators for EMFF (Reference table of OP template 3.3 and 7.1)

Table below to be repeated for each selected specific objective of the relevant Union Priority

Union priority (Title of the Union priority <3.2.2 type="S" input="G">)																
Specific objective (Title of the specific objective <3.2.2 type="S" input="G">)																
Selected relevant measures	Thematic objective	Output indicators														Cumulative value
		Indicator	Included into the performance framework	Milestone (2018)	Target value (2023)	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	
Title of the measure <3.2.2 type="S" input="G">	<3.2.2 type="S" input="G">	Name of the indicator <3.2.2 type="S" input="G">	<3.2.2 type="B" input="G">	<3.2.2 type="N" input="G">	<3.2.2 type="N" input="G">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="N" input="M">	<3.2.2 type="S" input="G">

Box 7: Section 3.2, Table 2, output indicators; important points

- All OP measures should be included in the report. (The OP data in the SFC system is generated from the last adopted programme version available before the end of the reporting year. Therefore, for instance, for the AIR2017 exercise, the data generated in the system would be from the OP adopted before 31 December 2017.)
- The annual output indicator values may represent the total number of operations, excluding code ‘1’ /interrupted and code ‘2’ /abandoned operations (in terms of the Art. 97(1)(a) report). MS are free to decide whether they report all code ‘0’/selected operations as outputs. Once an operation has been already reported in a certain year, it should not be reported again in a later year, even if its status of implementation (and so the code associated with it) changed. Each operation should only be reported once.
- The values for all previous years should be coherent with but not necessary equal to the previous report(s).
- There should be consistency with AIR Table 4 (in particular the plausibility of and consistency with the indicative allocation of the measure

as well as the number of selected operations).

- Output indicator values inserted in Table 2 are also relevant for the performance review if included in the former. However, as output indicators in Table 2 are reported per measure, but one indicator can cover more than one measure (see also AIR section 4.2), output indicators included in the performance framework (see OP section 7.1) will be summarised and monitored at the level of output indicator code.
- The figures for 2017 and subsequent years can either refer to the values achieved by operations, where all the actions leading to outputs have been implemented in full, but for which not all the related payments have necessarily been made, or to the values achieved by operations which have been started, but where some of the actions leading to outputs are still ongoing.¹ The stage of the operations reported might be compared to Infosys values.
- For the purpose of the performance review, operations can be counted in the Art. 97(1)(a) report when they have the code '0/selected', '3/completed', '4/under implementation' or '5/fully implemented'. The MS are free to decide whether they include or exclude operations with the code '0/selected'.
- Please note that the current SFC AIR template's Table 2 does not include a column 'Milestone (2018)' as indicated in the CIR 1362/2014, Annex AIR model's Table 2. The reason for the missing column is that the output indicators in this table are reported at measure level while the PF milestones were set at the level of output indicator codes.

¹ See Commission Implementing Regulation (EU) 2018/276 of 23 February 2018 amending Implementing Regulation (EU) No 215/2014 with regard to changes to the determination of milestones and targets for output indicators in the performance framework for the European Structural and Investment Funds

TABLE 3

Financial indicators for EMFF (Reference table of OP template 7.1)

Union priority	Financial indicators													Cumulative value
	Indicator	Milestone (2018)	Target value (2023)	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	
Title of the Union priority <3.2.3 type="S" input="G">	Name of the indicator <3.2.3 type="S" input="G">	<3.2.3 type="N" input="G">	<3.2.3 type="N" input="G">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="N" input="M">	<3.2.3 type="S" input="G">

Box 8: Section 3.2, Table 3, financial indicators; important points

- The financial indicators should be reported at the level of the Union priorities.
- Article 5(2) of the CIR 215/2014 defines that the financial indicator is the total amount of eligible expenditure entered into the accounting system of the certifying authority and certified by the authority in accordance with Article 126 of the CPR.
- Note that in case of the EMFF private expenditure cannot be part of the financial indicator because private expenditure was not planned in the financing plan of the OP (see OP section 8.2). This means that the EMFF financial indicator = All certified EMFF + national public expenditure.
- Column ‘target value (2023)’: The sum of the annual values, i.e. the target value at UP level should be equal to the total public allocation planned in the financial plan of the OP (section 8.2) at UP level. If the sum of the annual values does not cover the total allocation, it is not a mistake in the report, but consider, when there is an opportunity, to eliminate this discrepancy in the OP.
- The annual values should represent the amount certified in that certain year.
- The values for all previous years should be coherent with the previous report(s). There should be consistency with AIR Table 4 (in particular the plausibility of the indicative allocations and amounts declared by the beneficiaries, which, at UP level, cannot be lower than the cumulative value of the financial indicator amount reported per Union Priority).

3.3 Financial data

TABLE 4

Financial data for the EMFF (Reference table of OP template 8.2, 8.3 and 9.2)

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)		
Union priority	Selected specific objective	Thematic objective	Measure	Total public contribution (EUR)	EMFF contribution (EUR)	Contribution to climate change from EMFF contribution (EUR)	EMFF co-financing rate (%)	Total eligible expenditure of operations selected for support (EUR)	Total public contribution of operations selected for support (EUR)	Proportion of the total allocation covered with selected operations (%)	Contribution to climate change of operations selected for support (EUR)	Total eligible expenditure declared by beneficiaries to the Managing Authority (EUR)	Total eligible public expenditure declared by beneficiaries to the Managing Authority (EUR)	Proportion of total eligible public expenditure declared by beneficiaries of the total allocation (%)	Contribution to climate change of total eligible public expenditures declared by beneficiaries to the Managing Authority (EUR)	Number of operations selected		
1. Promoting environmentally sustainable, resource efficient, innovative, competitive and knowledge based fisheries	Title of the specific objective <3.3.1 type="S" input="G"> <3.3.1 type="S" input="G">	<3.3.1 type="S" input="G">	Title of the measure <3.3.1 type="S" input="G">	<3.3.1 type="N" input="M">	<3.3.1 type="N" input="M">	<3.3.1 type="N" input="G">	<3.3.1 type="P" input="G">	<3.3.1 type="N" input="M">	<3.3.1 type="N" input="M">	<3.3.1 type="P" input="M">	<3.3.1 type="N" input="G">	<3.3.1 type="N" input="M">	<3.3.1 type="N" input="M">	<3.3.1 type="P" input="M">	<3.3.1 type="N" input="G">	<3.3.1 type="N" input="M">		

Box 9: Section 3.3, Table 4, financial data; important points

- The financial data table should include all financial information available up to year N of the implementation and not only data of year N.
- The reported data, at Union Priority level, should be coherent with the financing plan of the OP (see OP section 8).
- Columns 1 to 4 (*'union priority'*, *'selected specific objective'*, *'thematic objective'* and *'measure'*) are generated automatically by the SFC, but they should be verified to make sure that the data provided coincides with that in the OP. (The OP data in the SFC system is generated from the last adopted programme version available before the end of the reporting year. Therefore for the AIR in the year N exercise, the data generated in the system would be from the OP adopted before 31 December of year N.)
- For columns 5 to 8 (*'total public contribution (EUR)'*, *'EMFF contribution (EUR)'*, *'contribution to climate change from EMFF contribution (EUR)'*, *'EMFF co-financing rate (%)'*), indicative planned amounts in total should cover the total EMFF allocation (irrespective of the state of play of implementation).
- The indicative allocation for measures (columns 5, 6 and 8) should correspond with the amount at UP level in the OP (section 8.2). (If the indicative allocation at OP level does not match with section 8.2 of the OP, the SFC will block the AIR from being submitted. If they do not match at the level of the UP, a warning will be displayed.)
- For columns 9 to 17, financial data concerns all operations financed through the OP, independently of their implementation status.
- Column 9 *'total eligible expenditure of operations selected for support'* should not be lower than column 10 *'total public contribution to the operations selected for support'*. (The SFC will check it and a warning will be displayed in case of discrepancy). The value should preferably be equal to the sum of the Art. 97 (1)(a) report field 10 of operations linked to the same measure. Currency conversion deviations for MS not using EUR should be considered.
- Column 10 *'total public contribution of operations selected for support (EUR)'* should preferably be equal to the sum of Art. 97 (1)(a) report field 11 of operations linked to the same measure. Currency conversion deviations for MS not using EUR should be considered.
- Column 13 *'total eligible expenditure declared by beneficiaries to the Managing Authority'* should be the value already verified by the MA in line with CPR Article 125 and should be preferably equal to the sum of Art. 97 (1)(a) report field 14 of operations linked to the same measure.
- Column 13 *'total eligible expenditure declared by beneficiaries to the Managing Authority'* cannot be lower than column 14 *'total eligible public expenditure declared by beneficiaries to the managing Authority'*. (The SFC will check it and a warning will be displayed in case of discrepancy).

- Column 14 '*total eligible public expenditure declared by beneficiaries to the Managing Authority*' should preferably be equal to the sum of Art. 97 (1)(a) report, field 15 of operations of a certain measure.
- Column 17 '*number of operations selected*' cannot be zero (0), if column 9 '*total eligible expenditure of operations selected for support*' has a value other than 0, and vice versa.
- The values for climate change in columns 7, 12 and 16 should be in line with the OP. If there is a difference compared to what is in the OP, an explanation should be included in Part B section 13.
- In the case of technical assistance, the share in allocation (based on the indicative value in columns 5 and 6) should correspond with the OP values.

TABLE 5

Cost of operations implemented outside the programme area (Article 70 of Regulation (EU) No 1303/2013)

Union priority	Eligible expenditure within the EMFF incurred in operations implemented outside the programme area declared by the beneficiary to the managing authority (EUR)	Share of the total financial allocation to the priority axis (%)
1. Promoting environmentally sustainable, resource efficient, innovative, competitive and knowledge based fisheries	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
2. Fostering environmentally sustainable, resource efficient, innovative, competitive and knowledge based aquaculture	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
3. Fostering the implementation of the CFP	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
4. Increasing employment and territorial cohesion	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
5. Fostering marketing and processing	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
6. Fostering the implementation of the Integrated Maritime Policy	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
Technical Assistance	<3.3.2 type="N" input="M">	<3.3.2 type="P" input="G">
TOTAL OP	<3.3.2 type="N" input="G">	<3.3.2 type="P" input="G">

Box 10: Section 3.2, Table 5, operations implemented outside the programme area; important points

- According to CPR Art. 70, the Managing Authority may accept that an operation is implemented outside the programme area but within the Union. The total amount allocated under the programme to operations located outside the programme area should not exceed 15 % of the

support from the EMFF.

- Operations implemented outside the Union can only be financed in line with the EMFF Regulation and are exempted from the above 15 % rule. Therefore these operations do not have to be reported in Table 5. As an example, in line with Article 74 of the EMFF Regulation, measures Art. 76: Control and enforcement and Art. 77 Data collection may be carried out outside the territory of the Union.
- For the operations which are outside the programme area but within the Union, it should be verified that the share of the total financial allocation to the UP does not exceed 15 %, as defined in CPR Art. 70(2)(b).
- Information in this table should also be coherent with data provided in AIR, Table 4 – number of operations selected (column 17) and total eligible expenditure declared by the beneficiaries to the Managing Authority (columns 13 and 14).

4 Issues affecting the performance of the programme and corrective measures taken (Article 50(4) of Regulation (EU) No 1303/2014

4.1 Actions taken to fulfil applicable EMFF *ex-ante* conditionalities (2016 and 2017 only)

Non-applicable for reports submitted after 2017.

4.2 Performance framework and review – Issues affecting performance of the programme and corrective measures

<4.2 type="S" maxlength="7000"; input="M">

Reference should be made to the performance framework (milestones and targets), explaining the reasons for the difficulties encountered (internal and external factors) and the corrective measures taken. Also assess future risks where possible.

In the 2017 report, list the measures that are associated with output indicators where there is a risk of not achieving the milestones. List the UPs where there is a risk of not meeting the financial indicator (FI) milestones. Explain possible scenarios. List the possible solutions and MA measures in order to avoid losing the performance reserve and to meet the output indicator and financial indicator targets.

In the report submitted after 2017, identify the output indicators where milestones are not met and the reasons behind this. Provide explanations as to how the MA ensures that the target will be met at the end of the programming period.

5 Information on serious infringements and remedy actions (Article 114(2) of Regulation (EU) No 508/2014)

<5.1 type="S" maxlength="7000" input="M">

Information and actions taken in cases of serious infringements as referred to in Article 10(1) and the non-respect of durability conditions and remedy actions as set out in Article 10(2).

EMFF Art. 10(1) lists cases where the operator is considered as having committed serious infringements and therefore is inadmissible for support from the EMFF for an identified period of time laid down in pursuant to paragraph 4 of this Article. Art. 10(2) defines the durability of compliance with the conditions (*throughout the period of implementation of the operation and for a period of 5 years after the final payment to that beneficiary*). The information provided in this section is considered obligatory (therefore, AIR admissibility criteria). MA should provide information on:

- how the system of checks was put into practice, also referring to where the description of the system can be found;
- whether it has foreseen in the system to provide information to another MS (in accordance with Article 10(5));
- the accessibility of the summary referred to in Article 119(1)(d) (a summary of measures designed to ensure compliance with the CFP rules, including cases of non-compliance by Member States or beneficiaries, as well as of remedy actions such as financial corrections taken)

MS may also be requested to provide some quantitative information on, for example, the number/share of operations received and refused for the reason of inadmissibility in relation to Article 10.

6 Information on actions taken to support the small-scale coastal fishing fleet

<6.1 type="S"maxlength="7000" input="M">

A summary of actions taken is to be provided on the progress towards achieving the provision set out in Article 41(8) with regard to the priority of up to 60 % of public assistance to be ensured to the small-scale coastal fishing sector, including data on the actual share of small-scale coastal fishing within the operations financed under the measure of Article 41(2)².

Art. 41(8) of the EMFF regulation states that *applications made by operators from the small-scale coastal fishing sector shall be treated as a priority up to 60 % of the total support allocated for the replacement or modernisation of main or ancillary engines referred to in paragraph 2 over the entire programming period*. MA should describe how this is put into practice and what the percentage is of small-scale operations selected as a preference, as defined in this article.

² A leaflet on the support the EMFF can bring to small-scale coastal fishermen is available at the following link:

<https://publications.europa.eu/en/publication-detail/-/publication/847d577e-0f95-11e7-8a35-01aa75ed71a1/language-en/format-PDF/source-30977409>

Reporting on the financial support addressing the small-scale coastal fisheries (SSCF) should be based on the Art. 97(1) reports where Annex II provides information on the vessel number (field 4 of Annex II of CIR (EU) No 1242/2014).

7 Information on the actions taken to ensure the publication of beneficiaries (Article 114(2) of Regulation (EU) No 508/2014)

<7.1 type="S"maxlength="7000" input="M">

A summary of actions taken is to be provided in line with Annex V of the EMFF Regulation, with special regard to national legislation including any applicable threshold regarding the publication of data of natural persons.

In line with EMFF Art. 119(2), MS shall maintain a list of operations in comma-separated values (CSV) or XML format, which shall be accessible through the single website or the single website portal, providing a list of operations and a summary of the operational programme. The list of operations shall be updated at least every 6 months. The list of minimum information to be set out in the list of operations is laid down in Annex V.

MA should therefore provide the link, under this section, to the website with the list of beneficiaries. Also the MS should provide information on whether the national legislation allows for the publication of beneficiaries' names if they are natural persons.

8 Activities in relation to the evaluation plan and synthesis of evaluations (Article 114(2) of Regulation (EU) No 508/2014 and Article 50(2) of Regulation (EU) No 1303/2013)

<8.1 type="S"maxlength="17500" input="M">

A summary should be provided on the evaluation activities implemented. These activities should be compared to the OP evaluation plan provisions. Information on follow-ups should also be provided.

A synthesis of the findings of all previous years' evaluations should also be provided. The synthesis should contain reference to the name and reference period of the evaluation reports.

In addition, access to evaluations that were made publicly available pursuant to Article 54(4) of Regulation (EU) No 1303/2013 should be communicated here.

Box 11: Section 8, evaluations; important points

MA can structure and provide information if, and what type of, evaluations have been done³.

- Implementation of the evaluation plan:
 - Activities implemented according to the evaluation plan;
 - Additional activities and/or amendment of activities planned in the evaluation plan;
- Type of evaluations:
 - Process;
 - Effectiveness;
 - Impact evaluation;
- Key information of the evaluation:
 - Title of the evaluation;
 - Duration;
 - Main subject (e.g. in terms of process evaluation, the main focus of the evaluation; in terms of effectiveness, the evaluation in which measures are addressed);
 - Resources;
 - Follow-ups;
- Synthesis of findings:
 - Source of the findings (which evaluation);
 - Thematic area of the finding(s) (e.g. OP management, measure-related);
 - Affected group (e.g. related to beneficiaries, market stakeholders);
 - Type of recommendations generated and responsible bodies;
 - Follow-up actions and time of implementation.

³ For the evaluations, a working paper on the EMFF evaluations provides assistance to MS. The working paper is available at the following link:
https://ec.europa.eu/fisheries/cfp/emff/fame_en

9 Citizens' summary (Article 50(9) of Regulation (EU) No 1303/2013)

To be attached to the report

A citizens' summary of the contents of the Annual Implementation Reports shall be made public.

(A citizens' summary of the contents of the AIRs shall be made public and uploaded as a separate file in the form of an annex to the AIR. The format proposed is as follows: upload to SFC2014 as a separate file, there are no structured data and no restrictions on the number of characters used.)

The citizens' summary is part of the AIR package and is subject to MC approval. Therefore it is also an admissibility criterion for the EMFF AIR. In the event that the AIR content is amended during the quality check, MS should make sure that the correct and final version of the AIR and its summary is made available to the public (CPR Article 50(9)).

10 Report on the implementation of financial instruments (Article 46(1) of Regulation (EU) No 1303/2013)

To be attached to the report

Where the Managing Authority has decided to use financial instruments, it must send the Commission a specific report covering the financial instruments' operations as an annex to the AIR, using the template included in the implementing act adopted pursuant to Article 46(3) of Regulation (EU) No 1303/2013.

The FI-specific report, where applicable, is part of the AIR package, therefore must be approved by the MC and is part of the admissibility criteria of the AIR. If there is no information available yet on the FIs, this can be filled in in the specific report on FI in the annex. While the OP foresees the use of FIs, the MA may describe in the narrative the work underway, any problems encountered in setting up a FI, delays/obstacles and reasons, any change in the scope and/or scale of a FI, possibly a change in decision for setting up a FI, together with any information that explains the progress or its absence. The MA should ensure that the information provided in this section is complete and is correctly representing the actual state of play of the FIs on the ground.