



FAME Support Unit

CT03.1

Working paper EMFAF programme template

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List of acronyms

CLLD	Community-Led Local Development
CPR	Common Provisions Regulation
CT	Core Task
DG MARE	Directorate-General for Maritime Affairs and Fisheries
EMFAF	European Maritime Fisheries and Aquaculture Fund
FAME	Fisheries and Aquaculture Monitoring and Evaluation
FI	Financial Instrument
MA	Managing Authority
MEF	Monitoring and Evaluation Framework
MS	Member State
NA	Needs Assessment
NN	National Network
PO	Policy Objectives
SO	Specific Objective
SWOT	Analysis of strengths, weaknesses, opportunities and threats
TA	Technical Assistance
ToI	Type of Intervention
ToO	Type of Operation

1 Introduction

1.1 Background

The 2021-2027 programming period is currently (March 2021) under preparation. The Member States (MSs) are in the process of developing their EMFAF 2021-2027 programmes. In December 2020 a provisional political agreement on both CPR and EMFAF was reached. The regulation is expected to enter into force in spring 2021.

While the 2021-2027 regulatory framework¹ creates a certain amount of flexibility, it also outlines requirements for a comprehensive Monitoring and Evaluation Framework (MEF), as well as consistent intervention logic, for all programme submissions. It is therefore essential that the strategies, specific objectives, types of action, and indicators required in programme submissions are all coherent, comparable among MSs, and closely linked to the forthcoming EMFAF MEF.

DG MARE introduced an annotated programme template in June 2019 to support the preparation of national programmes in the 2021-2027 period. This template was central to the FAME CT10 Needs Assessment (NA) 2019. MAs and FAME conducted 20 workshops in September 2019-January 2020 supporting the development of programme strategy, target setting, and the selection of indicators. The workshops revealed several open questions, especially regarding the use of the programme template and the content required within it.

The workshops supported MSs in better understanding the programme template and developing their programme contents. MSs requested a follow-up document addressing the entire programme template for the EMFAF. This led to the present working paper.

1.2 Purpose and target groups

The general aim of this working paper is to support DG MARE and MAs in the preparation of their EMFAF programmes 2021-2027. Specific objectives are to:

- assist the MAs in the development of their programmes;
- assure coherence among programmes.

The main target group consists of DG MARE geographic policy officers and MA officers who are responsible for programming.

The present working paper is complemented by the FAME working paper on the MEF²

1.3 Structure of the document

The working paper follows the structure of Annex V of the CPR but only contains those sections of Annex V that are relevant to the EMFAF. FAME provides comments for each

¹ Common provision regulation proposal COM(2018) 375 final, EMFAF Regulation Interinstitutional File: 2018/0210(COD) – Brussels, 14 June 2019.

² EUROPEAN COMMISSION – Directorate-General for Maritime Affairs and Fisheries, Unit D.3 (2021): FAME SU MEF 2021-2027, working paper, Brussels

main section and sub-section. Apart from the introduction, the working paper is divided into two main chapters:

- Chapter 2 briefly explains the methodological base of this working paper, and the underlying intervention logic.
- Chapter 3 is the core chapter of the working paper, describing each section of the programme template and adding explanatory comments.
- In the Annex FAME provides a FAME methodology the sections 1, 2A, 7 of the programme template.

1.4 Acknowledgments

FAME would like to thank all DG MARE officers and the MS experts and officials in the MA for their active contribution to this working paper through a long series of meetings and workshops since 2018.

In particular, we acknowledge the hard work and dedication of Gabriela IGLOI, Vincent GUERRE, and Eoin MAC-AOIDH from DG MARE Unit D3. Without their continued support and guidance, this working paper would not have been possible, and for that FAME is extremely grateful.

Note: the present version of the working paper and all references to draft regulation articles are provisional; the working paper will be updated to reflect the MEF elements as they are defined according to the CPR/EMFAF Regulations upon their entry into force, which is expected in the spring of 2021.

The approach and methodologies proposed in this working paper do not constitute legal interpretation and are not binding. They are considered to be recommendations by technical experts.

2 Methodology

The working paper for the EMFAF programme template is based on a thorough exchange with the European Commission and aligned with the internal approaches of DG MARE. The development of this working paper was based on the following methodological steps:

1. desk review of presentations and fiches by various European Commission bodies and agencies (DG MARE, DG REGIO, Interact);
2. setup of task force of FAME core team and thematic experts (June 2020);
3. screening of the EMFAF programme template and delivery of a first draft in August 2020;
4. exchange between DG MARE and FAME;
5. feedback from MAs during the FAME annual stakeholder meeting 2020 (CT07) and peer review 2020 (CT10);
6. synthesis and finalisation (November 2020);
7. feedback from DG MARE (January 2021);
8. revision and adaptation to the final regulation (March 2021).

As mentioned above, the working paper contains all EMFAF-relevant sections of the programme template and explanatory fields for different fields of the programme template.

Sections of the programme template that are not relevant to the EMFAF are not part of this working paper.

To distinguish the programme template requirements from the additional explanatory and methodological notes, this working paper uses specific formatting. The FAME table below provides a key to the different headings and sections of the working paper:

FAME Table 1: Key for the reading of the working paper

Format	Type of text
Headings	Heading of the programme template
<i>Reference</i>	Legal references as in the programme template
<i>Text Field []</i>	Text field as in the programme template
FAME Comments	FAME comments are in the grey fields below the headings of the programme template.

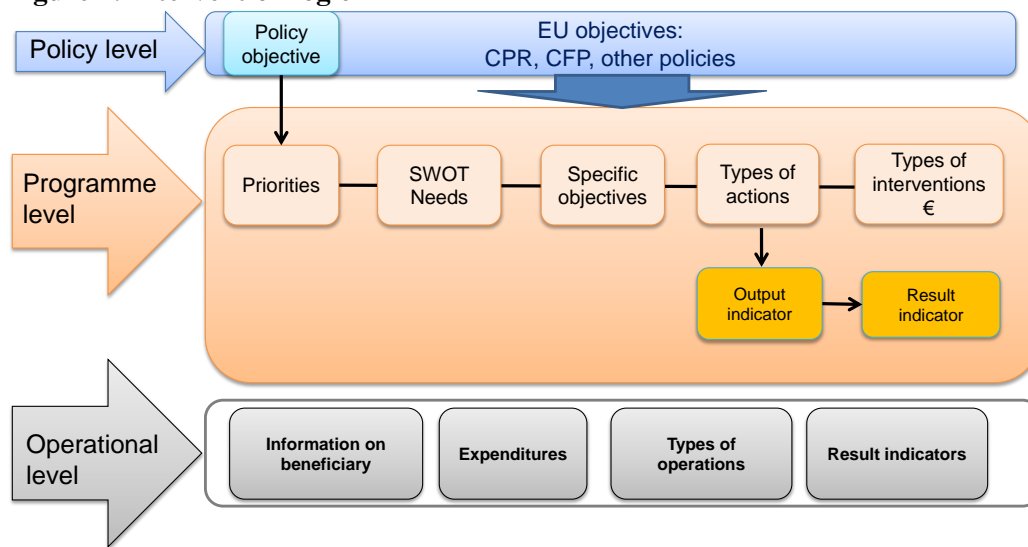
Source: FAME 2020

Intervention logic

The basis of the programme is a clear intervention logic that outlines the reasoning behind EMFAF interventions in MSs' fishery and aquaculture activities. The intervention logic describes the needs of the MSs, as well as how and why the EMFAF will be used to address these needs. It should follow a clear and coherent structure, with a standardised reporting format between MSs to ensure consistency and coherence. We distinguish between three levels of the intervention logic: the policy level, the programme level, and the operation level (**Error! Reference source not found.**). For the programme, all three levels need to be taken into account. At the programme level the following principles apply:

- the future EMFAF is structured along four priorities;
- each priority is broken down into specific objectives (SOs);
- for each SO:
 - the types of action should be defined;
 - the respective target groups should be defined;
 - the type of interventions should be selected;
 - milestone and target values for output indicators should be set;
 - a minimum of one common result indicator should be selected; and
 - target values should be set.

Figure 1: Intervention logic



Source: FAME 2020

3 CPR Annex V with comments

3.1 Template for programmes supported from the ERDF (Investment for Jobs and growth goal), ESF+, the Cohesion Fund and the EMFAF – Article 16(3)

CCI	
Title in EN	[255 characters ³]
Title in national language(s)	[255]
Version	
First year	[4]
Last year	[4]
Eligible from	
Eligible until	
Commission decision number	
Commission decision date	
Member State amending decision number	
Member State amending decision entry into force date	
Non substantial transfer (art. 19.5)	Yes/No
Fund concerned	<input type="checkbox"/> ERDF
	<input type="checkbox"/> Cohesion Fund
	<input type="checkbox"/> ESF+
	<input type="checkbox"/> EMFAF

Title in EN	FAME comment: this is to be defined for any future reference (e.g. this title will appear in all corresponding COM decisions)
Non-substantial transfer” (CPR. Article 19.5)	<p>“... For the programmes supported by the EMFAF, the Member State may transfer during the programming period an amount of up to 8% of the initial allocation of a specific objective to another specific objective, including technical assistance implemented pursuant to Article 30(4) ... Such transfers shall not affect previous years. They shall be considered to be not substantial and shall not require a decision of the Commission amending the programme. They shall however, comply with all regulatory requirements.”</p> <p>FAME comment: This point only refers to subsequent amendments of the programme. At the time of first preparation of a programme, the answer “No” should be given.</p> <p>“Fund concerned”: tick the appropriate box. This will ensure that only the relevant parts of the programme template appear in SFC.</p>

³ Numbers in [square brackets] refer to the maximum number of characters.

3.2 Section 1. Programme strategy, main development challenges and policy responses

Reference: Article 17(3)(a)(i)-(vii) and 17(3)(b)

Text Field [30 000]

FAME comment: Section 1 of the programme template is a text field with a maximum of 30 000 characters. This should contain a description of the overall context of the strategy at EU, national, regional and local levels (where relevant), linked to the strategic choices that will be made in the programme. MSs should present a coherent analysis of the overall challenges relevant to the scope of the EMFAF. MSs should describe under this section the core objectives of the programme to respond to the main challenges identified. These objectives should reflect the policy response of the MS to those challenges.

The text field should contain a summary of the entirety of Table 1A (below), which follows it. We therefore recommend filling in this text field only after Table 1A is finalised.

Table 1A: of the template: “For the EMFAF”

<i>Table 1A</i>			
<i>Policy objective</i>	<i>Priority</i>	<i>SWOT analysis (for each priority)</i>	<i>Justification (summary)</i>
		<i>Strengths</i> [10 000 per priority]	<i>[20 000 per priority]</i>
		<i>Weaknesses</i> [10 000 per priority]	
		<i>Opportunities</i> [10 000 per priority]	
		<i>Threats</i> [10 000 per priority]	
		<i>Identification of needs on the basis of the SWOT analysis and taking into account the elements set out in Article 69(6) of the EMFAF Regulation</i> [10 000 per priority]	

FAME comment: The strategy development starting with Table 1A of the programme includes the needs, a SWOT analysis, and justifications of action at the policy objective (PO) level.

For each priority, MSs should provide an analysis of the situation in terms of strengths, weaknesses, opportunities and threats.

Pursuant to Article 9 of the EMFAF Regulation, MSs shall endeavour to take into account regional or local challenges, where appropriate. This should also be reflected in the SWOT.

Article 9 of the EMFAF Regulation also requires MSs to take into account the specific needs of SSCF in the SWOT, in terms of both the profitability and sustainability the of the sector. The combination of the elements of the SWOT should outline and justify the needs of the MS in the scope of each Priority. These needs should in turn be linked to the SOs and be the basis for developing the “types of actions” for each SO in section 2.1.

The “justification” section of table 1A should highlight the key findings of the SWOT and feed the previous text field of section 1 on the programme strategy.

An effective and logical justification of actions should follow a clear path from the SWOT and needs analysis, to the programme strategy and the selection of SOs, and finally to the types of actions.

3.3 Section 2. Priorities

Reference: Article 17(2) and 17(3)(c)

FAME comment: Section 2 of the programme template contains detailed elements of the intervention logic for **all priorities other than technical assistance**, and should build upon Table 1A in section 1. For each selected specific objective, the MS should define:

- the related **types of actions** – Article 17(3)(d)(i) CPR
- the **main target groups** benefitting from the types of actions -- Article 17(3)(d)(iii) CPR
- **actions safeguarding equality, inclusion and non-discrimination** – Article 17(3)(d)(iiia) CPR
- indication of the specific territories targeted, including the planned use of territorial tools (if relevant) – Article 17(3)(d)(iv) CPR
- the planned use of **financial instruments** (if relevant) – Article – 17(3)(d)(vi) CPR
- **indicators** - Reference: Article 17(3)(d)(ii)
 - output indicators (number of operations)
 - common result indicators (predefined set) and their respective baselines and targets;
- indicative breakdown of the programmed resources (EU) by type of intervention for EMFAF - Article 17(3)(c) CPR

3.3.1 Section 2.A

2.A Priorities other than technical assistance

2.A.1 Title of the priority [300] (repeated for each priority)

Text Field [300]

2.A.1.1 Specific objective

Repeated for each selected specific objective, for priorities other than technical assistance.

FAME comment: Nothing is to be entered for 2.A.1.1. Specific objective: it is simply descriptive of the subsections to follow.

For each specific objective the same subsections have to be filled in.

2.A.1.1.1 Interventions of the Funds

Reference: Article 17(3)(d)(i)(iii))(iiia)(iv)(v)(vi) CPR;

The related types of actions – Article 17(3)(d)(i) CPR; Article 6(2) ESF+ Regulation:

Text Field [8 000]

FAME comment: For each selected SO, the MS must describe (in the text field) the types of actions it intends to support with the EMFAF.

The broad concept of “**types of actions**” provides the necessary flexibility to MSs to describe the scope of their programmes in the manner that suits them best. There is no constraint on format (except for a limit on the number of characters). MS can find examples of types of actions in the toolbox of the Sea Basin Analyses⁴.

For the specific objectives that contribute to the development of SSCF, MS must describe the types of actions considered for this purpose (Article 9 of the EMFAF Regulation) and/or indicate specifically which types of action will also be used to support SSCF.

⁴ SWD (2020) 206 (final).

The main target groups - Article 17(3)(d)(iii) CPR:

Text Field [8 000]

FAME comment: MSs should define the **main target groups** of the types of actions planned under the SO in question.

This is a broad list of categories of relevant stakeholders (including businesses, individuals and groups) who will be targeted by the types of actions. However, this list should not prejudice the definition of the selection criteria and the selection of beneficiaries, in accordance with the CPR.

For SO 3.1, this section should also provide information on the main stakeholders involved in the communities dependent on fisheries and aquaculture.

This should be repeated separately for all SO, for all priorities not related to Technical Assistance.

Actions safeguarding equality, inclusion and non-discrimination – Article 17(3)(d)(iiia) CPR

Text Field [2 000]

FAME comment: In this text field, MSs should list the actions which help to accomplish the goals of fostering higher equality, inclusion, and non-discrimination of race, religion or belief, disability, age, gender or sexual orientation. This should be repeated separately for all SOs for priorities not related to Technical Assistance.

Specific territories targeted, including the planned use of territorial tools – Article 17(3)(d)(iv) CPR

Text Field [2 000]

FAME comment: MSs should define the **specific territories** targeted under each SO, e.g. Natura 2000 areas or territorial/regional coverage of CLLD. With regards to the latter, the CPR no longer includes a population threshold, which was formerly 10,000-150,000 inhabitants. The MS should include an indication of the types of areas expected to be covered, though the exact definition should be left to the local stakeholders.

Pursuant to Article 9 of the EMFAF Regulation, MSs must “endeavour to take into account regional or local challenges”, where relevant. Such regional and local challenges should be addressed in this section. For example, the MS could describe a differentiated approach at sea basin level. This section can also be used to reflect the sea basin approach developed in the Sea Basin Analyses.⁵

⁵ SWD (2020) 206 (final).

The interregional, cross-border and transnational actions – Article – 17(3)(d)(v) CPR

Text Field [2 000]

FAME comment: Operations may be implemented outside of the territory of the MSs, provided that it contributes to the objectives of the programme. Should MSs plan to support such operations, they should describe their scope in this section.

The planned use of financial instruments – Article – 17(3)(d)(vi) CPR

Text Field [1 000]

FAME comment: MSs should indicate whether they intend to use **financial instruments**. If not, they should justify why this type of support will not be provided, including an analysis underpinning the decision not to use FIs (e.g. lack of knowledge and expertise, complexity of set-up, lack of demand from potential beneficiaries, etc.). MSs should also indicate whether an ex-ante assessment has already been carried out. If yes, a short summary of the results leading to a negative conclusion should be added. Where the main beneficiaries are public authorities or research institutions/knowledge centres, less justification is needed (e.g. typically for SO 1.4, 1.6 or 4.1).

This should be repeated separately for each SO, for all priorities.

If the use of FIs is planned:

- Has an ex-ante assessment been carried out? If so, the MS should summarise the results.
- Has a general description of the type of instrument been provided (only loans or guarantees if the MA is managing the FI)? In this case, has a strategy document been completed as per Annex IX CPR?
- For FIs not directly managed by the MA (but for which the MA is responsible), have all the elements of the funding agreement been completed as set out in Annex IX CPR?
- Has it been properly ensured that the FI(s) support(s) only new investments that are expected to be financially viable (Article 52(2) CPR)?
- Have lessons learned from the implementation (or ex-ante assessment process) of financial instruments under the EMFF (if relevant) been listed?
- Have any suggestions to remove obstacles to FI take-up in that MS been set out?

2.A.1.1.2 Indicators

Reference: Article 17(3)(d)(ii)

FAME comment: In tables 2 and 3 of the programme template, the MA should enter every indicator they will use for the performance framework (Article 12 of the CPR).

Table 2: Output indicators

FAME comment: The EMFAF has only one type of output indicator: “number of operations”.

MSs have to define the 2024 milestone and 2029 target values for the number of operations for each SO. That is the sum of all operations to be implemented with EMFAF support.

Priority	Specific objective	Fund	Category of region	ID	Indicator	Measurement unit	Milestone (2024)	Target (2029)

FAME comment: The milestone (2024) value is a value of the indicator, to be determined by the MA, which will measure the progress of EMFAF actions at a certain point during the programming period, to monitor the effectiveness of the relevant project during its implementation and before its completion. The target (2029) value is a final value of the indicator which the MA seeks to achieve through actions implemented through EMFAF funding.

Table 3: Result indicators

Priority	Specific objective	Fund	Category of region	ID	Indicator	Measurement unit	Baseline or reference value	Reference year	Target (2029)	Source of data [200]	Comments [200]

FAME comment: In Table 3, MAs select under each SO the most appropriate common result indicator(s) to reflect their strategy and the outcome expected. MAs must select at least one common result indicator for each SO, but may select more. The general rule is: “as few as possible, as many as necessary”.

Each selected result indicator needs to include the ID (i.e. number), the name and the measurement unit, all established in Annex I of the EMFAF Regulation. The table must also include the baseline (zero in most cases), the target, the sources of data (programme beneficiaries or, in the case of indicator, RI 12 “Effectiveness of the system for “collection, management and use of data”, the STECF reports and experts judgement) and additional comments if needed.

2.A.1.1.3 Indicative breakdown of the programmed resources (EU) by type of intervention for EMFAF

Reference: Article 17(3)(c) CPR

Table 7 bis

Priority No	Specific objective	Type of intervention	Code	Amount (EUR)

FAME comment: For each SO, MAs indicate in this table the amount of financial resources (in EUR) from the EMFAF to be allocated indicatively towards each selected type of intervention. The types of intervention are established in Annex IV of the EMFAF Regulation.

3.3.2 Section 2.B

2.B. Technical assistance priority

FAME comment: The following subsections of Section 2.B cover information similar to the previous sections, but for all activities related to technical assistance.

2.B.1 Priority for technical assistance pursuant to Article 30(4)

Reference: Article 17(3)(e bis) CPR;

FAME comment: There are two options for reimbursement of technical assistance (TA) from the COM to MSs:

- on the basis of eligible costs actually incurred in line with CPR Article 46(b); OR
- on the basis of a flat rate in line with CPR Article 46(e).

These alternatives cannot be combined within or across the funds. The MS should clearly indicate its choice for one of those in the PA and that choice will apply to **all funds** covered by the CPR. The corresponding section of the programme (2.B) should therefore be consistent with the choice of the MS in the PA as regards the form of the TA.

This section mirrors the format of section 2.A.2.1, with a focus on the technical assistance activities. Although the template implies that the process should be repeated for each TA priority, the two reimbursement options give rise to two possibilities:

- if TA is reimbursed on the basis of eligible costs incurred, it takes the form of a separate single priority;
- if TA is reimbursed on the basis of a flat rate, it is calculated as a fixed percentage of the allocation of each SO and does not appear as a separate priority, but only as an additional – automatically calculated – column in the financial plan);

For both of the above alternatives, a threshold of 6% of the programme budget applies for EMFAF. There is no possibility to increase it in “duly justified cases”, as there was in the 2014-2020 period. However, the threshold may be exceeded in one single case only: if in addition to the forms above, the MS decides to implement further TA actions to be reimbursed under “financing not linked to costs”.

2.B.1.1. Intervention from the Funds

The related types of actions-- Article 17(3)(e)bis(i) CPR

Text Field [8 000]

FAME comment: In the above text field, MSs should list all the types of actions related to the technical assistance priority.

It is important that this field reflects not only the running costs of the authorities taking part in the implementation but also the MS's obligations, for example setting up the electronic data exchange system as of 01/01/2023 (e-Cohesion); evaluations; administrative capacity building within the authorities and also for Monitoring Committee members; communication and visibility; capacity building of the sector to facilitate access; and optimal use of the programme support.

The main target groups – Article 17(3)(e)bis(iii) CPR

Text Field [1 000]

FAME comment: In the above text field, MSs should list all the main groups that will be targeted by EMFAF technical assistance funding.

2.B.1.2. Indicators

Output indicators with the corresponding milestones and targets

Reference: Article 17(3)(e)bis(ii) CPR

Table 2: output indicator

Priority	Specific objective	Fund	Category of region	ID [5]	Indicator [225]	Measurement unit	Milestone (2024)	Target (2029)

FAME comment: In Table 2, MSs should include the output indicator and corresponding milestones and targets related to technical assistance.

2.B.1.3 Indicative breakdown of the programmed resources (EU) by type of intervention

Reference Article 17(3)(e)bis(iv) CPR

Table 9: EMFAF

Priority No	Specific objective	Type of intervention	Code	Amount (EUR)

FAME comment: MSs indicate the amount of financial resources from the EMFAF to be allocated to each TA type of intervention. Since for the EMFAF there is only one available type of intervention for TA (Cf. Annex IV), the selection is predefined. The amount indicated in this table must match the amount for TA in the financial plan (table 11a).

2.B.2 Priority for technical assistance pursuant to Article 32 – repeated for each TA priority

Reference: Article 17(3)(e) CPR

2.B.2.1 Description of technical assistance under financing not linked to costs – Article 32

Text Field [3 000]

FAME comment: “... the Member State may propose to undertake **additional** technical assistance actions [apart from the two forms of TA outlined in the previous section and additional to the 6%] to reinforce the capacity of Member State authorities, beneficiaries and relevant partners necessary for the effective administration and use of the Funds.”

This additional TA must be reimbursed by “financing not linked to costs”.

The MS should describe briefly the actions to be supported. Additionally, Appendix 2 (financing not linked to costs) must be filled in.

Only in the case that the MSs decides to use financing not linked to costs does Table 9 of section 2.B.2.2 need to be filled in.

2.B.2.2. Indicative breakdown of the programmed resources (EU) by type of intervention

Table 9: EMFAF

Priority No	Specific objective	Type of intervention	Code	Amount (EUR)

FAME comment: There is only one available ToI for TA in Annex IV of the EMFAF Regulation, so the selection is predefined.

3.4 Section 3. Financial plan

Reference: Article 17(3)(f)(iii) CPR

3.A Transfers and Contributions

Reference: Article 10; Article 21; CPR

<u>Programme amendment related to</u>	<input type="checkbox"/> <u>contribution to InvestEU</u>
	<input type="checkbox"/> <u>transfer to instruments under direct or indirect management</u>
	<input type="checkbox"/> <u>transfer between ERDF, ESF+, Cohesion Fund or to another Fund or Funds</u>

FAME comment:

Contribution to InvestEU – pursuant to Article 10 of the CPR, this contribution may be proposed in the PA or in any subsequent amendment to the programme. At PA level, at the beginning of the programming exercise, the maximum amount proposed to contribute to InvestEU may not exceed 2% of the initial national allocation of the EMFAF. After 1 January 2023, a further maximum 3% of the initial national allocation of the EMFAF may be proposed through a programme amendment.

Transfer of resources – Transfers of up to 5% to any other instrument under indirect or direct management are possible. However, the procedure in Article 21 of the CPR requires a programme amendment. This implies that transfers of resources are not possible in the first version of the programme.

The total sum of contributions to InvestEU and transfers to any other instrument under direct or indirect management together cannot exceed 5% of the initial national allocation of the EMFAF throughout the programming period.

Leaving the two boxes empty will deactivate the following three tables, which will thus not appear in SFC.

Table 15: Contributions to InvestEU

Transfer from										Transfer to		
Fund	Category of region	2021	2022	2023	2024	2025	2026		2027		Total	InvestEU window
							Financial appropriation without flexibility amount	Flexibility amount	Financial appropriation without flexibility amount	Flexibility amount		
ERDF	More developed											
	Transition											
	Less developed											
ESF+	More developed											
	Transition											
	Less developed											
CF	N/A											
EMFAF	N/A											

FAME comment: Table 15 is relevant to the EMFAF MSs who intend to transfer parts of their EMFAF funding to InvestEU.

Table 15B: Contributions to InvestEU

Table 15B: Contributions to InvestEU* (summary)	Category of regions	Window 1 Sustainable Infrastructure	Window 2 Innovation and Digitisation	Window 3 SME	Window 4** Social Investment and Skills	Total
		(a)	(b)	(c)	(d)	(f)=(a)+(b)+(c)+(d)+(e)
ERDF	More developed					
	Less developed					
	Transition					
	Outermost and northern sparsely populated					
ESF+	More developed					
	Less developed					
	Transition					
	Outermost					
CF						
EMFAF						
Total						

Text field [3500] (justification), taking into account how those amounts contribute to the achievement of policy objectives selected in the PA in line with Article 9(1) of InvestEU regulation)

FAME comment: If there is a contribution from the EMFAF to InvestEU, table 15B should indicate to which relevant “window”. For columns a-d please refer to the InvestEU regulation.

Table 16A: Transfers to instruments under direct or indirect management* (breakdown by year)

Transfer from										Transfer to		
Fund	Category of region	2021	2022	2023	2024	2025	2026		2027		Total	Instrument
							Financial appropriation without flexibility amount	Flexibility amount	Financial appropriation without flexibility amount	Flexibility amount		
ERDF	More developed											
	Transition											
	Less developed											
ESF+	More developed											
	Transition											
	Less developed											
CF	N/A											
EMFAF	N/A											

FAME comment: Table 16A is relevant to the EMFAF if the MS intends to divert parts of its EMFAF funding to other instruments under direct or indirect management.

Table 16B: Transfers to instruments under direct or indirect management* (summary) Fund	Category of regions	Instrument 1	Instrument 2	Instrument 3	Instrument 4	Instrument 5**	Total
		(a)	(b)	(c)	(d)	(e)	(f)=(a)+(b)+(c)+(d)+(e)
ERDF	More developed						
	Transition						
	Less developed						
	Outermost and northern sparsely populated						
ESF+	More developed						
	Transition						
	Less developed						
	Outermost						
CF							
EMFAF							
Total							

*Cumulative amounts for all transfers done through programme amendments during programming period With each new request for transfer, a programme amendment shall set out the total amounts transferred for each year by Fund and by category of region.

** Transfers may be made to any other instrument under direct or indirect management, where such possibility is provided for in the basic act. Number and names of the relevant EU instruments will be specified accordingly.

Text field [3000] (justification)

FAME comment: Table 16B indicates the amount of EMFAF contribution to each other instrument(s) benefitting from the transfer.

Table 17A: Transfers between ERDF, ESF+ and Cohesion Fund or to another Fund or Funds* (breakdown by year)

Transfers from		Transfers to		Breakdown by year										
Fund	Category of region	Fund	Category of region (where relevant)	2021	2022	2023	2024	2025	2026		2027		Total	
									Financial appropriation without flexibility amount	Flexibility amount	Financial appropriation without flexibility amount	Flexibility amount		
ERDF	More developed	ERDF, ESF+ or CF, EMFAF, AMF, ISF, BMVI												
	Transition													
	Less developed													
ESF+	More developed													
	Transition													
	Less developed													
CF	N/A													
EMFAF	N/A													

*Transfer to other programmes. Transfers between ERDF and ESF+ can only be done within the same category of region.

FAME comment: Table 17A is relevant to the EMFAF if the MS intends to divert parts of its EMFAF funding to other Cohesion Funds.

Table 17B: Transfers between ERDF, ESF+ and Cohesion Fund or to another Fund or Funds* (summary)

Table 17B: Transfers between ERDF, ESF+ and Cohesion Fund or to another Fund or Funds* (summary)		ERDF				ESF+				CF	EMFAF	AMF	ISF	BMVI	Total
		More developed	Transition	Less developed	Outermost and northern sparsely populated	More developed	Transition	Less developed	Outermost						
ERDF	More developed														
	Transition														
	Less developed														
	Outermost and northern sparsely populated														
ESF+	More developed														
	Transition														
	Less developed														
	Outermost														
CF															
EMFAF															
Total															

*Cumulative amounts for all transfers done through programme amendments during the programming period. With each new request for transfer, a programme amendment shall set out the total amounts transferred for each year by Fund and by category of region.

Text field [3000] (justification)

FAME comment: Table 17B indicates the amount of EMFAF contribution to each other CPR Fund(s) benefitting from the transfer.

3.1 Financial appropriations by year

Reference: Article 17(3)(f)(i) CPR

Table 10: Financial appropriations by year

Fund	Category of region	2021	2022	2023	2024	2025	2026		2026 for EMFAF only	2027		2027 for EMFAF only	Total
							Financial appropriation without flexibility amount	Flexibility amount		Financial appropriation without flexibility amount	Flexibility amount		
ERDF*	More developed												
	Transition												
	Less developed												
	Outermost and northern sparsely populated												
Total													
ESF+*	More developed												
	Transition												
	Less developed												
	Outermost and northern sparsely populated												
Total													

JTF*	<u>Article 3 JTF resources</u>													
	<u>Article 3a resources</u>													
	<u>Article 3d JTF resources (related to Article 3 JTF resources)</u>													
	<u>Article 3d JTF resources (related to Article 3a JTF resources)</u>													
Total														
Cohesion Fund	N/A													
EMFAF	N/A													
Total														

FAME comment: In Table 10 of the programme template please add the amount of EMFAF contribution for the years 2026 and 2027. This table should be consistent with, or identical to, the data in the table provided in Annex V of the EMFAF Regulation, which provides the financial breakdown per year and per MS as well as the total per year.

3.2 Total financial appropriations by fund and national co-financing

For the EMFAF:

Reference: Article 17(3)(f)(iii) CPR

EMFAF programmes using technical assistance according to Article 30(4) in accordance with the choice made in the Partnership Agreement.

Table 11A: Total financial allocations by fund and national contribution

Table 11A Total financial allocations by fund and national contribution						
Priority	Specific objective (nomenclature set out in the EMFAF Regulation)	Basis for calculation of EU support	Union contribution	National public contribution	Total	Co-financing rate
Priority 1	1.1.1	Public				
	1.1.2	Public				
	1.2	Public				
	1.3	Public				
	1.4	Public				
	1.5	Public				
Priority 2	2.1	Public				
	2.2	Public				
Priority 3	3.1	Public				
Priority 4	4.1	Public				
Technical assistance <i>pursuant to Article 30(4)</i>	5.1	Public				
<i>Technical assistance pursuant to Article 32</i>	<u>5.2</u>	<u>Public</u>				

EMFAF programmes using technical assistance according to Article 30(5) in accordance with the choice made in the Partnership Agreement.

Table 11A: Total financial allocations by fund and national contribution

Table 11 A Total financial allocations by fund and national contribution							
Priority	Specific objective (nomenclature set out in the EMFAF Regulation)	Basis for calculation of EU support	Union contribution		National public contribution	Total	Co-financing rate*
			Union contribution without TA pursuant to Article 30(5)	Union contribution for TA pursuant to Article 30(5)***			
Priority 1	1.1.1	Public					
	1.1.2	Public					
	1.2	Public					
	1.3	Public					
	1.4	Public					

	1.5	Public					
	1.6	Public					
Priority 2	2.1	Public					
	2.2	Public					
Priority 3	3.1	Public					
Priority 4	4.1	Public					
Technical assistance (Article 32)	5.1	Public					

FAME comment: The maximum co-financing rate is established in Article 31 of the EMFAF Regulation: 70%, with the exception of 100% for SO 1.5.

Thresholds and ceilings should be respected, in particular the followings:

- minimum 15% of the EMFAF allocation for row 1.4 (control and data collection)n except for land-locked MS, who can apply a lower percentage;
- maximum 15% of the EMFAF allocation for the five fleet measures together (i.e. increase of gross tonnage, engine replacement, first acquisition of a second hand vessel by a young fisher, permanent cessation of fishing activities, temporary cessation of fishing activities): rows 1.1.2, 1.2, 1.3;
- maximum 6% for TA.

The total financial allocation in the financing plan should equal the total aggregated indicative allocation of the types of interventions.

3.5 Section 4. Enabling conditions

Reference: Article 17(3)(h)

Table 12: Enabling conditions

Enabling Conditions	Fund	Specific objective (N/A to the EMFAF)	Fulfilment of enabling condition	Criteria	Fulfilment of criteria	Reference to relevant documents	Justification
			Yes/No	Criterion 1	Y/N	[500]	[1 000]
				Criterion 2	Y/N		

FAME comment: Only the four horizontal enabling conditions (HECs) described in Annex III of the CPR are relevant to the EMFAF.

The MS must provide a self-assessment (with justification) indicating whether the enabling conditions are fulfilled at the time of submission of the programme. An enabling condition is fulfilled when all the related criteria are met.

3.6 Section 5. Programme authorities

Reference: Article 17(3)(j); Article 65, Article 78 CPR

Table 13: Programme authorities

Programme authorities	Name of the institution [500]	Contact name [200]	E-mail [200]
Managing authority			
Audit authority			
Body which receives payments from the Commission			
Where applicable, body or, bodies which receive payments from the Commission in case of technical assistance pursuant to Article 30(5)			
Accounting function in case this function is entrusted to a body other than the managing authority			

FAME comment: This table should indicate the names and contact information of the programme authorities.

Reference: 4th subparagraph of Article 17(3) CPR

The repartition of the reimbursed amounts for technical assistance pursuant to Article 30(5) if more bodies are identified to receive payments from the Commission

Table 13 bis: The portion of the percentages set out in Article 30(5)(b) that would be reimbursed to the bodies which receive payments from the Commission in case of technical assistance

<i>pursuant to Article 30(5) (in percentage points)</i>	
<i>Body 1</i>	<i>p.p.</i>
<i>Body 2*</i>	<i>p.p.</i>

** Number of bodies defined by a Member State.*

3.7 Section 6. Partnership

Reference: Article 17(3)(g) CPR

Text Field [10 000]

FAME comment: The Code of Conduct on Partnership and multi-level governance outlined in Article 6 of the CPR will remain in force. The same type of information should be provided as for the programme in the 2014-2020 period.

3.8 Section 7. Communication and visibility

Reference: Article 17(3)(i) CPR, Article 42(2) CPR

Text field [4 500]

FAME comment: The section should describe the communication and visibility strategy to raise awareness of the achievements of Union funding and inform the general public accordingly.

3.9 Section 8: Use of unit costs, lump sums, flat rates and financing not linked to costs

Reference: Articles 88 and 89 CPR

Table 14: Use of Union contribution based on unit costs, lump sums, flat rates and on financing not linked to costs

Intended use of Articles 88 and 89	YES	NO
From the adoption programme will make use of reimbursement of the Union contribution based on unit costs, lump sums and flat rates under the priority according to Article 88 CPR (if yes, fill in appendix 1)	<input type="checkbox"/>	<input type="checkbox"/>
From the adoption programme will make use of reimbursement of the Union contribution based on financing not linked to costs according to Article 89 CPR (if yes, fill in Appendix 2)	<input type="checkbox"/>	<input type="checkbox"/>

FAME comment: If the MS decides to use simplified cost options (i.e. unit costs, lump sums or flat rates) or financing not linked to costs for the reimbursement of the Union contribution – **from the COM to the MS** –, it must indicate “yes” in this section and fill in Appendix 1 (for

simplified cost options) and/or Appendix 2 (for financing not linked to costs).

This section must be consistent with the information provided in Appendix 1 and Appendix 2. In particular, it is essential that Appendix 1 contains confirmation from an audit body that the calculation methodology for simplified cost options is sound (section C5).

This section does not concern the use of simplified cost options as a form of grant paid by the MS to beneficiaries.

3.10 Appendix 1: Reimbursement of eligible expenditure from the Commission to the Member State based on unit costs, lump sums and flat rates Union contribution based on unit costs, lump sums and flat rates⁶

Template for submitting data for the consideration of the Commission
(Article 88)

Date of submitting the proposal	
Current version	

⁶ The Council's partial mandate changed the title of the appendix, linked to CPR Block 6.

A. Summary of the main elements

Priority	Fund	Specific objective	Category of region	Estimated proportion of the total financial allocation within the priority to which the SCO will be applied in % (estimate)	Type(s) of operation		Corresponding indicator name(s)		Unit of measurement for the indicator	Type of SCO (standard scale of unit costs, lump sums or flat rates)	Corresponding standard scales of unit costs, lump sums or flat rates
					Code	Description	Code	Description			

B. Details by type of operation⁷ (to be completed for every type of operation)

Did the managing authority receive support from an external company to set out the simplified costs below?

If so, please specify which external company: Yes/No – Name of external company

Types of operation:

1.1. Description of the operation type	
1.2 [Priority]/[specific objective (s) concerned] (Jobs and growth goal) or area of support (EMFF) ⁸	
1.3 Indicator name ⁹	
1.4 Unit of measurement for indicator	
1.5 Standard scale of unit cost, lump sum or flat rate	
1.6 Amount	
1.7 Categories of costs covered by unit cost, lump sum or flat rate	
1.8 Do these categories of costs cover all eligible expenditure for the operation? (Y/N)	
1.9 Adjustment(s) method	
1.10 Verification of the achievement of the unit of measurement - what document(s) will be used to verify the achievement of the unit of measurement? - describe what will be checked during management verifications (including on-the-spot), and by whom. - what arrangements to collect and store the data/documents described?	
1.11 Possible perverse incentives or problems caused by this indicator, how they could be mitigated, and the estimated level of risk	
1.12 Total amount (national and EU) expected to be reimbursed	

⁷ NB: These types of operations are not the same as those used in Infosys. In this annex, they are not pre-defined and rather refer to broad categories of operations to be defined by MS.

⁸ The Council's partial mandate deleted the text in [].

⁹ Several complementary indicators (for instance one output indicator and one result indicator) are possible for one type of operation. In these cases, fields 1.3 to 1.11 should be filled in for each indicator.

C: Calculation of the standard scale of unit costs, lump sums or flat rates

1. Source of data used to calculate the standard scale of unit costs, lump sums or flat rates (who produced, collected and recorded the data; where the data are stored; cut-off dates; validation, etc.).

2. Please specify why the proposed method and calculation is relevant to the type of operation.

3. Please specify how the calculations were made, in particular including any assumptions made in terms of quality or quantities. Where relevant, statistical evidence and benchmarks should be used and attached to this annex in a format that is usable by the Commission.

4. Please explain how you have ensured that only eligible expenditure was included in the calculation of the standard scale of unit cost, lump sum or flat rate.

5. Assessment of the audit authority(ies) of the calculation methodology and amounts and the arrangements to ensure the verification, quality, collection and storage of data.

*** Justifications on the underlying data, the calculation methodology and resulting rate or amount and related assessment by the audit authority [(in points 1, 3 and 5)] are not required when the simplified cost options submitted in this Appendix are established at Union level [(other policies or through the DA referred to in Article 88(4)].**

3.11 Appendix 2: Union contribution based on financing not linked to costs

Template for submitting data for the consideration of the Commission **(Article 89)**

Date of submitting the proposal	
Current version	

Please find [here](#) on page 7 (Annex) an example on financing not linked to costs you could refer to.

A. Summary of the main elements

Priority	Fund	Specific objective	Category of region	The amount covered by the financing not linked to cost	Type(s) of operation	Conditions to be fulfilled/results to be achieved	Corresponding indicator name(s)		Unit of measurement for the indicator	Envisaged reimbursement to the beneficiaries
							Code	Description		
The overall amount covered										

B. Details by type of operation (to be completed for every type of operation)

Types of operation:

1.1. Description of the operation type			
1.2 <u>[Priority-]</u> specific objective <u>[(s)]¹⁰</u> <u>(Jobs and growth goal) or area of support (EMFF)</u>			
1.3 Conditions to be fulfilled or results to be achieved			
1.4 Deadline for fulfilment of conditions or results to be achieved			
1.5 Indicator definition for deliverables			
1.6 Unit of measurement for indicator for deliverables			
1.7 Intermediate deliverables (if applicable) triggering reimbursement by the Commission with schedule for reimbursements	Intermediate deliverables	Date	Amounts
1.8 Total amount (including EU and			

¹⁰ The Council's partial mandate deleted the text in [].

national funding)	
1.9 Adjustment(s) method	
1.10 Verification of the achievement of the result or condition (and where relevant, the intermediate deliverables) - describe what document(s) will be used to verify the achievement of the result or condition - describe what will be checked during management verifications (including on-the-spot), and by whom. - describe what are the arrangements to collect and store the data/documents	
1.10a Use of grants in the form of financing not linked to costs . <u>Does the grant provided by Member State to beneficiaries take the form of financing not linked to costs? [Y/N]</u> ¹¹	
1.11 Arrangements to ensure the audit trail Please list the body(ies) responsible for these arrangements.	

[Appendix 2a: List of planned operations of strategic importance with a timetable - Article 17(3)]¹²

Text field [2 000]

¹¹ The Council's partial mandate added point 1.10a, which COM is proposing to amend in order to improve clarity.

¹² The Council's partial mandate proposed to add this Appendix 2a. The trilogue 10/12 agreed to add the timetable.

3.12 Appendix 3: EMFAF action plan for each outermost region

Template for submitting data for the consideration of the Commission

Name of the outermost region	
------------------------------	--

1. Description of the strategy for the sustainable exploitation of fisheries and the development of sustainable blue economy sectors

<i>Text field [30 000]</i>

MS should describe the overall strategy for the development of the blue economy in the outermost region concerned, including the links with their Blue Economy Strategies.

Ideally, MS should provide a SWOT for the fisheries, aquaculture and blue economy sectors of the outermost region concerned in this section.

2. Description of the main actions envisaged and the corresponding financial means

The action plan should then specify the overall strategy with a “description of the main actions envisaged” in the context of EMFAF support (section 2). These “main actions” are the equivalent to the “types of actions” to be described for each SO.

This section is organised along three strands corresponding to the main relevant areas of support of the EMFAF:

- Structural support to the fishery and aquaculture sector under the EMFAF;
- Compensation for the additional costs under Article 21, including the methodology for its calculation;
- Other investments in the sustainable blue economy necessary to achieve a sustainable coastal development (e.g. CLLD, marine knowledge).

Description of the main actions	EMFAF amount allocated (EUR)
Structural support to the fishery and aquaculture sector <i>Text field [10 000]</i>	
Compensation for additional costs ¹³ <i>Text field [10 000]</i>	
Other investments in the sustainable blue economy necessary to achieve a sustainable coastal development	

¹³ A methodology for its calculation should be included.

Text field [10 000]	
TOTAL	

Article 6(2) of the EMFAF sets out minimum amounts for the outermost regions at MS level. Each national envelope has to be distributed across the outermost regions of the MS through the action plans. MS freely decide on that allocation but any change at a later stage requires a programme modification.

According to Article 6(3) of the EMFAF, the amount of the compensation for the additional costs shall not exceed 60% of the overall allocation at MS level. However, since the 60% limit applies at MS level, it may be higher in one or more outermost regions if it is lower elsewhere.

“In circumstances justified in each action plan”, the capping can be raised to 70%. The justifications should be developed in the section on the compensation of additional costs, by highlighting the specific needs of the region(s) concerned. Since the capping applies at MS level (and not at individual outermost region level), this justification should also be included in the description of the types of actions for specific objective 1.5 in the main part of the EMFAF programme.

The financial table of the action plan is binding: **it is a programming document**. Amounts may only be changed through a programme amendment.

This table is organised along three strands corresponding to the main relevant specific objectives of the EMFAF. There is no strict correspondence between the strands of the action plan and the Priorities of the EMFAF, except for strand 2/EMFAF Article 21, which corresponds to specific objective 1.5.

Both strands 1 and 3 may cover types of actions under any of the SO of the programme, except specific objective 1.5. The types of actions described in strands 1 and 3 should be reflected in the targets for output and result indicators set for each SO concerned in the main part of the EMFAF programme.

The compensation for additional costs under Article 21 of the EMFAF must be described in section 2 of the template, in accordance with the provisions of that article and with the delegated act on the criteria for the calculation of the additional costs. This description in the action plan will replace the compensation plans of 2014-2020 and thus fully include the compensation regime in the programmes.

In order to avoid duplication with section 2.1.1 of the programme (interventions of the Fund for each SO), the description of specific objective 1.5 should be a short summary of the corresponding parts of section 2 of the action plans. However, the targets for output and result indicators for the compensation of additional costs should be included in the tables under specific objective 1.5 in the main part of the EMFAF programme.

3. Description of the synergies with other sources of Union funding

Text field [10 000]

This section describes the synergies with other sources of Union funding (e.g. ERDF, Horizon Europe). Member States have flexibility in the description.

If the Blue Economy Strategy for the outermost region concerns topics that do not fall under the scope of EMFAF, the synergies between the EMFAF and this Strategy should be described in this section.

4. Additional funding for the implementation of the compensation for the additional costs (State aid)

MS may grant additional financing through State aid for the implementation of the compensation for additional costs. MS must notify the COM of this State aid as part of the compensation, in this section of the action plan.

Information to be provided for each envisaged scheme/ad hoc aid

Region	Name of the Region(s) (<i>NUTS</i> ¹⁴)	...
		...
		...
Granting authority	Name	...
	Postal address	...
	Web address	...
Title of the aid measure	...	
National legal basis (reference to the relevant national official publication)	...	
	...	
	...	
Web link to the full text of the aid measure	...	
Type of measure	<input type="checkbox"/> Scheme	
	<input type="checkbox"/> Ad hoc aid	Name of the beneficiary and the group ¹⁵ it belongs to
		...
		...
Amendment of an existing aid		Commission aid

¹⁴ NUTS — Nomenclature of Territorial Units for Statistics. Typically, the region is specified at level 2. Regulation (EC) No 1059/2003 of the European Parliament and of the Council of 26 May 2003 on the establishment of a common classification of territorial units for statistics (NUTS), OJ L 154, 21.6.2003, p. 1.

¹⁵ An undertaking for the purposes of rules on competition laid down in the Treaty and for the purposes of this section is any entity engaged in an economic activity, regardless of its legal status and the way in which it is financed. The Court of Justice has ruled that entities which are controlled (on a legal or on a de facto basis) by the same entity should be considered as one undertaking.

scheme or ad hoc aid	<input type="checkbox"/> Prolongation	reference
	<input type="checkbox"/> Modification
Duration ¹⁶	<input type="checkbox"/> Scheme	dd/mm/yyyy to dd/mm/yyyy
Date of granting ¹⁷	<input type="checkbox"/> Ad hoc aid	dd/mm/yyyy
Economic sector(s) concerned	<input type="checkbox"/> All economic sectors eligible to receive aid	
	<input type="checkbox"/> Limited to certain sectors: please specify at NACE group level ¹⁸
Type of beneficiary	<input type="checkbox"/> SME	
	<input type="checkbox"/> Large undertakings	
Budget	Total annual amount of the budget planned under the scheme ¹⁹	National currency ... (full amounts) ...
	Overall amount of the ad hoc aid awarded to the undertaking ²⁰	National currency ... (full amounts) ...
	<input type="checkbox"/> For guarantees ²¹	National currency ... (full amounts) ...
Aid instrument	<input type="checkbox"/> Grant/Interest rate subsidy	
	<input type="checkbox"/> Loan/Repayable advances	
	<input type="checkbox"/> Guarantee (where appropriate with a reference to the Commission decision ²²)	
	<input type="checkbox"/> Tax advantage or tax exemption	
	<input type="checkbox"/> Provision of risk finance	
	<input type="checkbox"/> Other (please specify) ...	
Motivation	Indicate why a State aid scheme has been established or an ad-hoc aid has been granted, instead of assistance	

¹⁶ Period during which the granting authority can commit itself to grant the aid.

¹⁷ 'Date of granting the aid' means the date when the legal right to receive the aid is conferred on the beneficiary under the applicable national legal regime.

¹⁸ NACE Rev. 2 — Statistical classification of Economic Activities in the European Union. Typically, the sector shall be specified at group level.

¹⁹ In case of an aid scheme: indicate the annual overall amount of the budget planned under the scheme or the estimated tax loss per year for all aid instruments contained in the scheme.

²⁰ In case of an ad hoc aid award: indicate the overall aid amount/tax loss.

²¹ For guarantees, indicate the (maximum) amount of loans guaranteed.

²² Where appropriate, reference to the Commission decision approving the methodology to calculate the gross grant equivalent.

	<p>under the European Maritime, Fisheries and Aquaculture Fund (EMFAF):</p> <ul style="list-style-type: none"><input type="checkbox"/> measure not covered by the national programme;<input type="checkbox"/> prioritisation in the allocation of funds under the national programme;<input type="checkbox"/> funding no longer available under the EMFAF;<input type="checkbox"/> other (please specify)
--	--

4 Annex: FAME methodological suggestions for specific sections

4.1 Section 1 – strategy

According to the regulation and the programme template, the SWOT should be developed at the priority level. However, priority 1 in particular contains many different thematic fields and thus has many policies addressing different stakeholders with different perspectives. The ambiguity created by these differences would make the SWOT unnecessarily complicated and contradictory, since these different perspectives may conflict in many cases.

For example, a SWOT on the economic development of the fisheries sector from the viewpoint of the fisher has weaknesses and strengths that are different than those assessed from the viewpoint of environmental protection policy. Consequently, a SWOT on the fisheries sector would have different strengths and weaknesses compared to a SWOT on protection and restoration of aquatic biodiversity and ecosystems.

Before starting the SWOT it should be clear which thematic field is addressed and which perspective the SWOT is based on. **Thus, the SWOT in each priority should follow a certain structure, covering each of the main thematic fields relevant to the EMFAF.**

To support this principle, we suggest that the SWOT should address the following principles:

- The MA should first clarify **the challenges based on the national studies, evaluations, and EC** observations and suggestions;
- For each sub-SWOT clarify:
 - Which **sector** is the SWOT addressing (e.g. fisheries, aquaculture)?
 - Which **thematic field/policy** is the SWOT addressing (e.g. economic development, environmental protection, sustainable production, maritime protection, SSCF)?
 - Viewpoint of the SWOT developer (public authorities, NGOs (which kind?), fishers).
- Each SWOT has two distinct levels, which are often mistaken for one another:
 - The **internal level**: this covers **strengths** and **weaknesses**, which are *intrinsic characteristics of the individual sector* being addressed by the SWOT;
 - The **external level**: this covers **opportunities** and **threats**, which are *external elements from outside the system* the SWOT is addressing, and which cannot be influenced by the stakeholders in the system.

When developing the SWOT, then, it is important to first determine whether the elements under consideration arise from *within* the individual sector or from *outside*.

Beneficial aspects of the sector arising solely from *within* the sector are said to be **strengths**, while *negative* or *detrimental* aspects of the sector arising from *within* the sector are said to be **weaknesses**. Examples of sector strengths include a young workforce, modern and well-maintained vessels, and a strong IT infrastructure. Examples of weaknesses would include an aging workforce, poorly maintained or outdated vessels, and a weak IT infrastructure or technological capabilities.

Similarly, elements that are *potentially beneficial to the sector, and arise from outside the control of the sector or its stakeholders*, are considered **opportunities**. Elements that are

potentially harmful to the sector, and arise from outside the control of the sector or its stakeholders, are considered **threats**. Examples of opportunities include increased demand (national or international) for seafood or blue tourism, improvements in seafood value chain infrastructure from catch to market, and new developments in fisheries or aquaculture technology. Examples of threats include decreases in national or international demand for seafood or blue tourism, disruptions to the seafood value chain infrastructure, and increased water pollution (see also Figure 3).

In many cases, the authors of SWOTs mistakenly describe goals or actions already achieved by the funds as “opportunities”. This contradicts the SWOT logic. An opportunity should represent some element, originating from outside the sector, which could provide some potential future benefit to the sector.

Figure 2 provides some guiding questions to support the understanding of the different elements of the SWOT.

Figure 2: Guiding questions for the SWOT

	Harmless	Harmful
Internal origin In the system	Strengths What works well in the sector? What are the advantages in the sector? What are our resources and assets in the sector?	Weaknesses What could I do better? What is missing but what is needed? Where are we at risk?
External origin Not in the system	Opportunities What are the trends of the future that are not yet addressed in the sector? Is there any new aspect that the sector can explore?	Threats Are major changes coming that threaten the sector? What are the external effects that increase the vulnerability? Are there changes that affect the sector? Is it likely that any of the weaknesses of the sector make it vulnerable? Where is it not ready? Are there other regions that do it differently?

Source: FAME 2020

Figure 3: Example of a SWOT

Sector	Fisheries
Thematic field	Economic development of SSCF
Viewpoint of the SWOT	Public authority
Strengths	Weaknesses
<ul style="list-style-type: none"> • Fishers’ experience • Strong tradition • Competitive fleet • Technology platforms 	<ul style="list-style-type: none"> • High average age of the fleet • Little synergy between companies in R&D • Restrictions on access to fishing grounds due to lack of agreements • Lack of awareness of sustainability
Opportunities	Threats
<ul style="list-style-type: none"> • Increasing sustainable tourism • Growing demand for sustainable fish • New technology developments 	<ul style="list-style-type: none"> • Invasive species • Drought • Increased water pollution • Brexit • Predation by wildlife • Competition from Asia

Source: FAME 2020

After SWOTs have been developed and structured according to the different thematic fields, the combination of elements of the SWOT should outline and justify:

- the specific **needs** of the MS for each of the thematic fields, and
- the selection of the corresponding **SOs**.

Needs

The elements defined in the SWOT should help establish the MS’s needs. These needs should in turn be linked to the SOs and be the basis for developing the types of action for each SO (section 2.1 of the programme template).

Out of the combination of SWOT elements, different strategic approaches can be developed which would then support the justification. One methodology proposes the following strategic directions that can be defined through different elements of the SWOT:

- **Growth-accelerating** or **expansionary** strategies take advantage of the **opportunities** adapted to the **strengths** of a specific area;
- **Structural adjustment** strategies surpass **weaknesses** to take advantage of **opportunities**;
- **Stabilisation** strategies identify ways to reduce vulnerability to external **threats** by taking advantage of **strengths**;
- **Preventive** strategies avoid **weaknesses** created through **susceptibility to external threats**.

Figure 4: Combination of SWOT elements and the resulting strategic direction

	Strengths	Weaknesses
Opportunities	Growth – accelerating / expansionary strategy	Structural adjustment strategy
Threats	Stabilisation strategy	Preventive strategy

Source: adapted by FAME, 2019

Needs should not be formulated as types of action.

If there are many **needs**, it might be helpful to prioritise the needs according to certain well-defined criteria, such as:

- priority/commitment
- demand
- size of target group
- market failure
- expected added value
- short-term versus long-term
- EMFAF impact

The results of the prioritisation should be included in the justification section in table 1.A of the programme template; a thorough combination of elements leads to a coherent justification

of SOs. SOs are broad political statements that form the most central element of the programme.

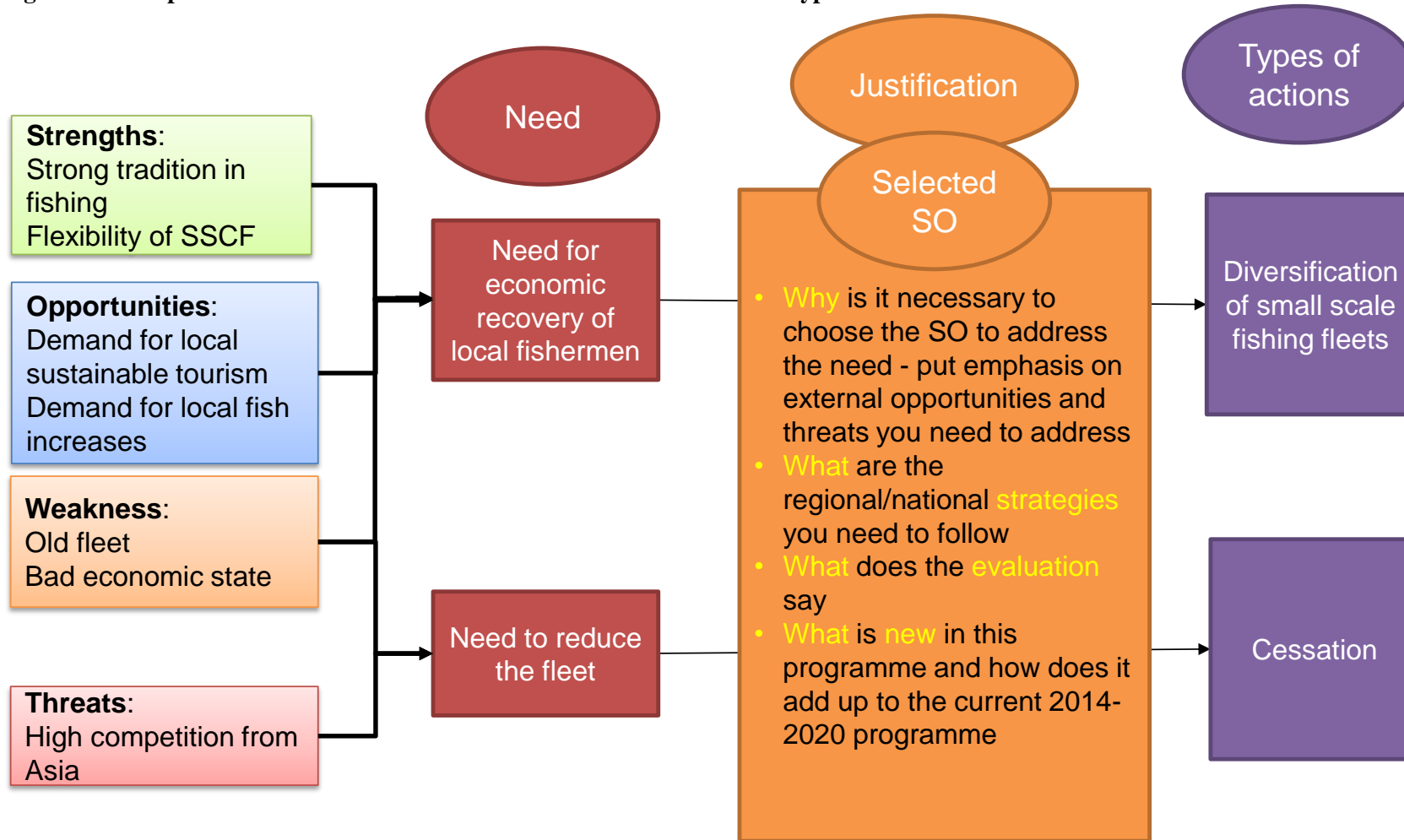
Justification of action

For each priority, MSs should explain why they will target support to the needs identified, while **clearly showing the link between the SWOT and the identified needs**. The justification should be underpinned with solid economic and other relevant data explaining the choices made in the strategy for the programme.

An effective and logical justification of actions should then follow a clear path from the SWOT and needs analysis, through the programme strategy and the selection of SOs, and finally to the types of action.

To respect the bottom-up approach of CLLD, consultation with fisheries and/or aquaculture communities – both on the SWOT and on the definition and prioritisation of needs – should have been undertaken and documented in a transparent way. This will have to be reported in section 6 of the programme template.

Figure 5: Example of how to combine SWOT elements to define needs and types of action



Source: FAME 2020

4.2 Section 2A - priorities

Specific objectives

Specific objectives are the most central element in the programme. Specific objectives are used to break down the priorities into smaller, more focused segments.

Specific objectives are set in the EMFAF Regulation. Priority 1 has six specific objectives, priority 2 has two, and priorities 3 and 4 have only one specific objective each.

MSs select specific objectives based on the SWOT and needs analysis.

For each selected specific objective, MSs will define:

- types of action (narrative of intervention);
- common result indicators (predefined set) and their respective baselines and targets;
- types of intervention (predefined set) and indicative allocation of funds thereto;
- financial allocation and co-financing rate.

The specific objectives and their corresponding priorities are included in the FAME SU MEF 2021-2027 working paper.

Types of action

Types of action are new to the EMFAF 2021-2027. These are broadly-defined planned actions to address the needs defined in the SWOT. MAs need to define types of action according to their needs, separately for each specific objective, following the logic of the programme. Types of action are not selected from a list. The definitions of types of action, types of intervention and common result indicators must be consistent.

This should be based on what has been developed in section 1 of the programme. Types of action need to be coherent with the:

- SWOT elements and needs
- types of intervention
- types of operation
- result indicators

Types of action should be flexible enough to allow the programme to address uncertainties without amendments. Ideally, the types of action can be less detailed than the types of operation used for Infosys 2021-2027. **However, the list of types of operation could help to describe types of action in the programme document.**

To define and justify types of action we recommend using different elements of the SWOT and combining them. Figure 5 illustrates the combination of different SWOT elements and possible types of action.

The methodology should help the description in the programme and the better understanding of the “story” behind the type of actions.

The definition at the level of types of operation will support target setting for output and result indicators as well as the selection of result indicators. We therefore recommend breaking down types of action into different possible types of operation. A list of the types of operation, which can be used to assist in the selection of types of action, is provided in the **FAME SU working paper EMFAF MEF 2021-2027.**

Output indicators

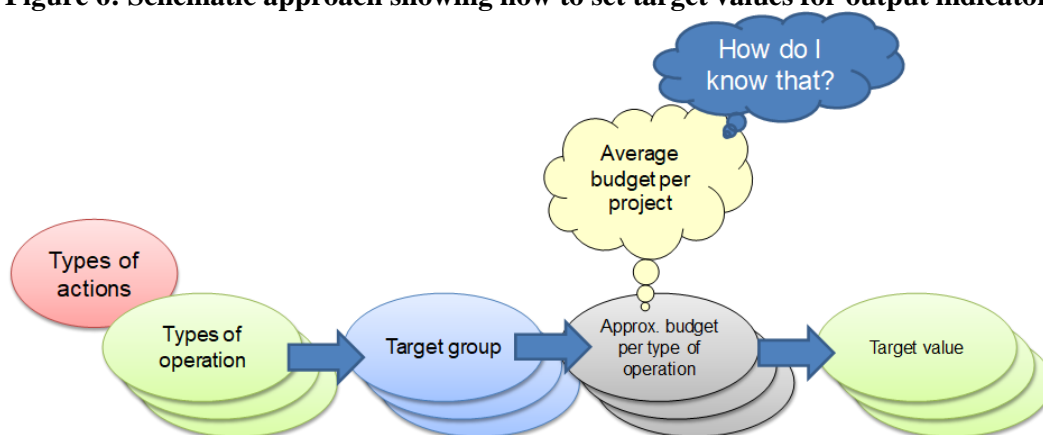
Output indicators aim to measure output produced with EMFAF support. The EMFAF has only one type of output indicator: “number of operations”. MAs define the target value for the number of operations for each specific objective in the EMFAF programme. That is the sum of all operations to be implemented for that specific objective.

For target setting, FAME recommends breaking down the types of action into possible types of operation and defining the following elements per type of operation (see also Figure 6):

- target group versus applicants
- estimated financial input
- estimated budget for each operation.

Based on these elements the number of operations can be elaborated.

Figure 6: Schematic approach showing how to set target values for output indicators



Source: FAME 2019

The sum of the target values per type of operation or type of action should be entered in Table 2 of the programme template.

Table 2 below supports this exercise with some examples discussed during the FAME peer review workshops with MAs.

FAME Table 2: Output indicator target setting examples

Types of action	Types of operation	Target group/ applicant	Financial input (EUR)	Assumption / type of operation	Number of operations
Protection of environmental areas	16 Awareness raising, communication to the wider public	Wider public (MSs) /institutes	200 000	10 000	20
	26 Retrieval and proper disposal of marine litter	Society (coastal areas)/fishers	100 000	1 000	100
	28 Specific investments for improving aquatic habitats and	Society (coastal areas)/NGOs	100 000	100 000	1

Types of action	Types of operation	Target group/ applicant	Financial input (EUR)	Assumption / type of operation	Number of operation s
	biodiversity				
Supporting the economic status of fishers	3 Investment in on-board production equipment	Fishers	150 000	30 000 ²³	5
	6 First acquisition of a fishing vessel		500 000	100 000 ⁵	5
	12 Other business diversification operations not involving fisheries, aquaculture, or innovation		250 000	10 000 ⁵	25
Sustainable growth of aquaculture	32 Productive investments for sustainable aquaculture	Research sector	10 000 000	500 000	20
	1 Investment in reduction of energy use and energy efficiency	Public sector NGO Aquaculture enterprises	2 500 000	100.000	25
	18 Development of marketing innovation		500 000	50 000	10

Common result indicators

Common result indicators are a predefined set of indicators, along specific thematic categories, established in Annex I of the EMFAF Regulation. They aim to measure the effect of the EMFAF programme and are common to all MSs.

It is assumed that the set of common result indicators covers the entire scope of what the MSs might fund under the EMFAF. Programme-specific result indicators defined by the MSs themselves are in principle possible, and MAs may use them, but they should not include them in their programmes nor report on them to the COM. The list of common result indicators and common result indicator definitions can be found in the FAME SU working paper EMFAF MEF 2021-2027.

Under each specific objective MAs select the most appropriate common result indicator(s) to reflect their strategy and the outcome expected. MAs must select at least one common result indicator for each specific objective, but may select more.

The general rule is: “As few as possible, as many as necessary”.

Selected common result indicators need not cover every possible aspect of the envisaged actions, but cover the most important effects.

²³ Monitoring data 2014-2020.

MAs define the **baseline and the target value** for each selected common result indicator for all specific objectives in the EMFAF programme. The baseline is the value of the indicator at the “starting point”, for example, 2021. The specific period in which the baseline is measured depends on the timing of approval of the MSs’ programme. The target is the sum of the effects of all operations to be implemented up to the end of the period. Target values only refer to results achieved by EMFAF operations.

For example, the indicator “jobs created” must measure only the jobs created due to the EMFAF operation, and not the other jobs created in the same sector.

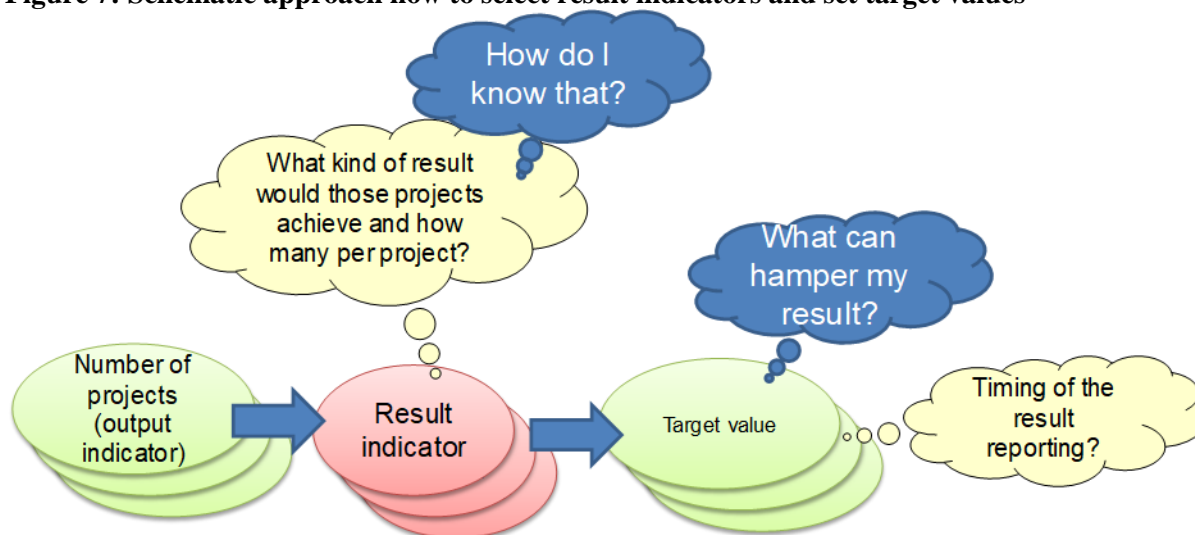
The target should translate the types of action into a quantified objective expressed in the measurement unit of the indicator.

MSs have flexibility as regards the methodology for setting the target. FAME recommends to list all the possible types of operation (i.e. the codes used in Infosys to indicate the features of each operation) which could be selected for each type of action, and then select corresponding result indicators for each type of operation. This methodology ensures that, in the implementation process, beneficiaries will be able to easily choose a relevant common result indicator for every operation.

The relevant elements of the methodology are (see also Figure 7):

- type of actions,
- type of operations,
- number of projects,
- result indicator,
- assumptions on units and correlations based on monitoring data or experience,
- limiting or auxiliary factors.

Figure 7: Schematic approach how to select result indicators and set target values



Source: FAME 2019

The sum of the target values for each type of operation or type of action should be completed in FAME Table 3 of the programme template. This table illustrates the methodology suggested by FAME, and how MAs have applied this methodology during the 2019 FAME needs assessment workshops. The examples and numbers are **for illustration only**.

FAME Table 3: Examples of result indicator target setting

Types of action	Types of relevant operations (indicative)	Budget (EUR)	Common result indicator (indicative)	Assumption	Sources	Target value	Context factors
Protection of environmental areas	Awareness raising, communication to the wider public	200 000	CR08 Persons benefitting	200 000 / 500 000 × 1 000 The key figure is calculated from the total amount spent, divided by an estimated number of persons addressed, multiplied by 1 000	Estimates Current programme Similar projects	400	Economic crisis shifts focus to other topics
	Marine litter	100 000	CR10 Actions contributing to good environmental status, including nature restoration, conservation, protection of ecosystems, biodiversity, fish health and welfare	EUR 10 000 per action	Estimates Current programme Similar projects	10	
	Restoring habitats in inland waters	100 000	CR09 Area addressed by operations contributing to good environmental status, protecting, conserving, and restoring biodiversity and ecosystems	0.1 km ² per operation	Estimates Current programme Similar projects	0.1 km ²	
Supporting the economic status of fishers	Investment on board vessels	150 000	CR08 Persons benefitting	2 persons per vessel EUR 30 000 per vessel	Estimates Current programme Similar projects	10	Climate change impact
	First acquisition of fishing vessels	500 000	CR08 Persons benefitting	2 persons per vessel EUR 100 000 per vessel		10	
	Diversification	250 000	CR08 Persons benefitting	2 persons per vessel EUR 10 000 per vessel		50	
Sustainable	Productive investment	10 000 000	New production capacity	EUR 3 million / 1 000 tonnes	Environmental licensing	3 333	Economic

Types of action	Types of relevant operations (indicative)	Budget (EUR)	Common result indicator (indicative)	Assumption	Sources	Target value	Context factors
growth of aquaculture						tonnes/annum	crisis shifts
	Energy efficiency		Entities improving resource efficiency in production and/or processing	1 entity per operation, budget included in the productive investment	Information from enterprises	10	focus to other topics
	Process innovation	500 000	Innovation enabled	1 innovation per operation		10	Research failures

Source: FAME 2020

Types of intervention

Types of intervention are used to establish indicative allocations for thematic areas within each SO. They are also used to track climate and environmental expenditure through standard coefficients. They are established in Annex IV of the EMFAF Regulation.²⁴

- There is no rigid link between an SO and a type of intervention (all types of intervention are theoretically available for all SOs).
- Under each SO, MSs select the most appropriate types of intervention – in accordance with the defined types of action – and indicatively allocate funds to each of them.
- It is possible – and even recommended – to select more than one type of intervention per SO.

The EMFAF has 16 types of intervention, of which three are CLLD-specific and one is for technical assistance (TA). A list of types of intervention is provided in the FAME SU MEF 2021-2027 working paper.

The types of intervention listed in the CPR are not relevant to EMFAF; EMFAF has its own types of intervention.

To determine an exact figure, it would be helpful for MAs to expand on the methodology described in FAME Table 4 of this working paper, in which an exact funding amount is budgeted towards each type of relevant operation. The best method would be:

1. to connect these types of operation to an appropriate type of intervention, when applicable, and
2. then to calculate the grand total of allocated funds for all types of operation (ToO) per relevant type of intervention (ToI).

This total should then be entered into Table 7bis of section 2.A.2.3 of the programme template, in the column “Amount (EUR)”. Some types of operation can apply to multiple types of intervention.

FAME Table 4: Example of determining fund allocation to ToI for 2.A.2.3 Table 7bis

No.	Type of intervention	Type of relevant operation	ToO budget (EUR)	ToI budget (EUR)
01	Contributing to Good Environmental Status of fishing and aquaculture operations by reduction of negative impacts, and/or enrichment of biodiversity	CR35 Gear selectivity in relation to endangered species	50 000	150 000
		CR33 Gear selectivity to reduce unwanted catches	50 000	
		CR26 Retrieval and proper disposal of marine litter	50 000	
06	Contributing to Good Environmental Status through implementing and monitoring marine protected areas including Natura 2000	CR35 Gear selectivity in relation to endangered species	50 000	1 150 000
		CR33 Gear selectivity to reduce unwanted catches	50 000	
		CR26 Retrieval and proper disposal of marine litter	50 000	

²⁴ The types of intervention listed in Annex I to the CPR are not relevant to the EMFAF.

No.	Type of intervention	Type of relevant operation	ToO budget (EUR)	ToI budget (EUR)
		CR27 Environmental services	1 000 00	

Source: FAME 2020

MAs can also possibly calculate the amount to be financed towards each type of intervention in the upcoming programming period based on a simple percentage increase from the amount allocated in the previous period 2014-2020. This could be a helpful method if the amount allocated to each type of intervention in the upcoming period is relatively similar to the amount allocated in the previous period. MSs should determine the amount allocated in the previous period, and decide whether this amount should increase, decrease, or stay the same for the new period, and to what degree (see as an example FAME Table 5).

FAME Table 5: Example of calculating type of intervention budget based on percentage change

No.	Type of intervention	Budget (EUR) 2014-2020	Percent increase	Budget (EUR) 2021-2027
01	Contributing to Good Environmental Status of fishing and aquaculture operations by reduction of negative impacts, and/or enrichment of biodiversity	4 500 000	20%	5 400 000 (= 4 500 000 × 1.2)
06	Contributing to Good Environmental Status through Implementing and monitoring marine protected areas including Natura 2000	5 600 000	-20%	4 480 000 (= 5 600 000 × 0.8)

Source: FAME 2020

4.3 Section 7 – communication strategy

This section should describe the envisaged approach to communication and visibility for the programme through defining its objectives, target audiences, communication channels including social media outreach, planned budget, and relevant indicators for monitoring and evaluation.

In particular, this section should address the following elements (i.e. obligations established in Chapter III of Title IV of the CPR):

- A website should be in place six months after the approval of the programme, presenting “the programme’s objectives, activities, available funding opportunities and achievements” (Article 44(1)). Calls for proposals will be published on that website as well as lists of operations selected for support.
- The contribution to the single website portal established at MS level (Article 41) should be described in the OP.
- The use of the Union emblem is compulsory to enforce the visibility of operations above EUR 100,000.

- A ‘programme communication officer’ should be identified at programme level to coordinate visibility, transparency and communication activities.
- Coordination should be foreseen with the ‘communication coordinator for visibility, transparency and communication’ established at national level for the ESI Funds.
- Participation of the ‘programme communication officer’ in the European network established in Article 43(3) should be foreseen.
- Establish a technical assistance budget including the cost of the ‘programme communication officer’ and the different communication actions foreseen.
- Annual communication plans are useful but not compulsory.

It is recommended that programming authorities organise transparency, visibility, and communication actions in a communication strategy that will bring coherence and added value to individual communication activities. The following tips should help to make this strategy effective and efficient:

- Establish objectives and specific objectives for visibility and communication (these are different from the OP objectives). For example, stakeholder engagement is a communication objective.
 - Distinguish external objectives (for example “communicate the achievements of the fund”) from internal objectives (for example “ensure good coordination between the different bodies involved in the implementation”).
 - Distinguish between long-term objectives (the whole programme duration) and short-term objectives (one year of implementation).
 - Choose output and result indicators to monitor the achievement of the objectives and the effects of the communication. Identify sources of information for these, such as surveys and monitoring systems.
- Define the different target audiences (general public, potential applicants for funding, bodies in charge of implementation, European Commission, etc.).
- Establish key messages to be communicated to each target public.
- Link communication objectives with target audience to define the communication actions/tools to undertake.
- Define the communication channels to be used to address different target audiences.
- Define the budget for different communication channels/activities.
- Set up indicators for monitoring the communication.