FAMENET

CT 5.1

Working Paper Evaluation Plan

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1 Introduction

1.1 Background

The Common Provisions Regulation (CPR)\(^1\) and the European Maritime, Fisheries and Aquaculture Fund (EMFAF) Regulation\(^2\) for 2021-2027 entered into force in July 2021. They contain provisions related to the monitoring and evaluation framework (MEF) and are complemented by the Implementing Regulation 2022/79\(^3\) pursuant to EMFAF Regulation, Article 46.

In accordance with Article 44 of the CPR, each Member State (MS) shall draw up an evaluation plan and submit it to their EMFAF monitoring committee no later than one year after the approval of the programme. In the programming period 2014-2020, the evaluation plan was part of the operational programmes according to the EMFF Regulation (EU) No 508/2014, Article 18 (j). However, according to the CPR, the evaluation plan is no longer a compulsory part of the programme (see Article 22 “Content of programmes”). Since the evaluation plan for the 2021-2027 period is no longer part of the programme, it can be easily adapted to the needs and changing conditions. This allows the MS or managing authority to formulate the plan in a precise and operational way.

The evaluation plan plays a key role in ensuring that sufficient, relevant and appropriate evaluation activities are carried out by the MS. This should enable the effective, efficient, relevant and coherent implementation of the EMFAF programmes and contribute to better designing the programmes in the next programming period. The evaluation plan should also ensure that resources and information needed to evaluate the programmes are available during the programming period and ex-post.

EMFAF evaluations should validate the results achieved and explore how/why inputs, outputs and results of the programme contributed to the achievement of objectives.

In addition, the evaluations carried out by the MS should also support the annual performance review to ensure a more effective monitoring and evaluation system that provides better insights on the achieved targets and future improvements.

The evaluations carried out by the MS (particularly impact evaluations in 2029) should feed into the retrospective evaluation to be conducted by the Commission at the end of 2031. According to Article 45 (2) of the CPR, the retrospective evaluation should examine the effectiveness, efficiency, relevance, coherence and Union added value of EMFAF.

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1.2 Purpose and target groups

The purpose of this working paper (WP) is to:

- help the MS comply with Article 44 of the CPR. The FAMENET working paper on the evaluation plan only provides suggestions on the structure and content of the evaluation plans. However, the working paper is legally non-binding to the MS and its content should be applied considering the principle of proportionality (i.e. the effort needed for the evaluation in relation to the size and complexity of the programme in each MS).
- provide methodological support for drafting a good evaluation plan. The evaluation plan serves as a strategic document covering all evaluations foreseen during the programme period 2021-2027, including the final impact evaluation 2029. The plan should be adaptable to any emerging evaluation needs and changes in the course of the programme life cycle.
- serve as guidance and inspiration for conducting different types of evaluations for the EMFAF programmes in each MS based on the MS’ needs and conditions.

The main targets groups of the WP are:

- MS/managing authorities, monitoring committee and other institutions involved in implementing EMFAF programmes
- fisheries local action groups (fisheries LAGs)
- internal or external evaluators
- European Commission (DG MARE)

1.3 Structure of the document

In addition to the introduction (chapter 1), this evaluation plan working paper includes four main chapters:

- chapter 2 (Methodology) describes the methodological design and steps followed to prepare the working paper along the structure agreed with the Commission (DG MARE) and any obstacles encountered during this process.
- chapter 3 (Defining the scope of the evaluation plan) points out key aspects that should be considered when defining the overall scope of the evaluation plan.
- chapter 4 (Content and outline of the evaluation plan) provides suggestions on drafting an evaluation plan including indicative contents of the evaluation plan and relevant aspects related to the design and implementation of evaluations.
- chapter 5 (Recommendations and examples for programme-specific EMFAF evaluation plans) will provide specific suggestions and concrete examples of evaluation plans for the EMFAF programmes based on the information available from the Member States.

Annex 1 provides a detailed overview of the proposed content of the evaluation plan.

1.4 Acknowledgements

We thank the managing authorities and experts from the Member States and representatives of the European Commission for their active contributions to the working paper.

We thank in particular our colleagues in Czech Republic and Sweden.
Disclaimer

This working paper is a detailed overview elaborated by technical experts. The working paper and its content is non-binding to Managing Authorities. The working paper outlines all the details that an evaluation plan for the EMFAF can address and take into consideration. The readers need to keep the principle of proportionality in mind and take their specific situation and size of programme into consideration when drafting the evaluation plan.
2 Methodology

The methodology followed for the elaboration of this WP consists of the following main steps:

- desk review/research
- feedback from the stakeholders
- drafting of the working paper
- dissemination

2.1 Desk review/research

Desk research was carried out during March - May 2022 to:

- examine the relevant regulatory framework (e.g., CPR, EMFAF Regulation for 2021-2027), guidance and references provided by the Commission such as the SWD on Performance, monitoring and evaluation of the ERDF, CF and JTF in 2021-2027 and Better Regulation Guidance and Toolboxes.
- collect data on the lessons learned and knowledge gained in the programme period 2014-2020 (e.g. screening of EU and national documents, previous evaluation plans at MS level, etc.).

2.2 Feedback from the stakeholders

After desk review/research, feedback was collected from the stakeholders with the objective of receiving additional input and reviewing the content of the working paper. More specifically, information and feedback was gathered from:

- the Commission (written comments on the draft WP, consultation of SWD (2021) 198 drafted by DG REGIO Evaluation unit).
- Member States (e.g. through workshops, online sessions with MS EMFAF representatives to collect in-depth information at MS level).

Peer review sessions have also been held to present the draft WP and receive feedback before submitting the final working paper to the Commission.

2.3 Drafting of the working paper

FAMENET has elaborated the first draft of the working paper using the analyses of the data collected from desk review/research. The Commission and the MS have been consulted through online and face-to-face events such as interviews/meetings, workshops, etc.

The feedback received through several feedback loops has been incorporated into the WP to elaborate several draft versions and the final working paper.
3 Defining the scope of the evaluation plan

3.1 Introduction

The Commission’s SWD on "Performance, monitoring and evaluation of the ERDF, the Cohesion Fund and the JTF in 2021-2027" provides the MS with some guidance on the structure and content of the evaluation plan. However, there are no specific guidelines for the EMFAF programme.

Therefore, this working paper aims to provide recommendations that are tailored to the specific requirements of the EMFAF. It should help the MS define the overall scope of the evaluation plan and identify the main aspects that should be covered by the plan.

When defining the overall scope of the evaluation plan for the EMFAF programme, the MS should consider the following principles.

3.2 Distinguish between the evaluation plan and the detailed evaluation design

Clear distinction should be made between the evaluation plan and the detailed evaluation design:

- the evaluation plan is the responsibility of the managing authority, the monitoring committee (which shall approve the plan) and an evaluation steering group (only if needed). It provides an overarching framework without providing detailed methodological information (the latter is the task of the evaluators). The evaluators may support the preparation of the plan but cannot take responsibility for the content in order to avoid any conflict of interest.

- the detailed evaluation design (in line with the evaluation plan) is the responsibility of the evaluators. It concretises the evaluation questions initially outlined in the evaluation plan in terms of content by elaborating the evaluation and judgement criteria, methods, data basis and the refined implementation period. The detailed evaluation design is preferably prepared separately for each type of evaluation (e.g. one evaluation design for the process evaluation, one for the final impact evaluation, etc.).

3.3 Consider the timing of the different evaluation tasks

The evaluation plan shall take into account the evaluation provisions and timeline specified in the CPR. Evaluation will be carried out on two main levels: EU and MS level (see Figure 1).

---


5 An evaluation steering group (typically convened by the MA) supports the evaluation processes during the programme life cycle and helps to facilitate and coordinate stakeholder consultations. For more information see section 4.2.1.
On **EU level**, Article 45 of the CPR states that a **mid-term evaluation** shall be completed by the end of 2024. Considering the timeline for the programme approval and start of the implementation, it could be expected that the EMFAF programmes may not produce sufficient outputs and results that could feed into the EC mid-term evaluation by end of 2024. Moreover, since there is no obligation for MS to carry out mid-term evaluation by 2024 for the EMFAF under Article 44 of CPR, it cannot be expected the MS´s evaluations to be a reliable source for the Commission´'s mid-term evaluation.

The Commission shall also carry out a **retrospective evaluation** to examine the effectiveness, efficiency, relevance, coherence and EU added value of each fund (including EMFAF) by 31 December 2031. This evaluation shall focus in particular on the social, economic and territorial impact in relation to the EU policy objectives referred to in Article 5(1) of the CPR. In addition, the environmental dimension of the EMFAF should be particularly considered. The impact evaluation 2029 and the final performance report 2031 that need to be carried out by the MS (see below) should feed into the Commission´s retrospective evaluation.

On **MS level**, obligations on the evaluation of the EMFAF programme are stated in Article 44 of the CPR. The Member State or the managing authority shall submit the **evaluation plan** to the monitoring committee no later than one year after the decision approving the programme. If the EMFAF programmes are adopted by the end of 2022, the final evaluation plan for each MS could be expected by the end of 2023 (at the latest). The plan should include all the evaluations that are envisaged during the programme period 2021-2027, including the final impact evaluation 2029.

MS shall carry out **ongoing evaluations** related to one or more of the evaluation criteria: effectiveness, efficiency, relevance, coherence and EU added value, with the aim to improve the quality of the design and implementation of programmes. Other relevant criteria should also be covered (e.g.,
inclusiveness, non-discrimination and visibility, etc.). While the programme implementation phase is likely to start in 2023, the initial effects achieved by the programme may be expected only in 2025 (or end of 2024 at the earliest).

An impact evaluation shall be carried out for each programme by 30 June 2029. In addition, each managing authority shall submit to the Commission a final performance report of the programme by 15 February 2031 pursuant to Article 43(1) of the CPR.

In line with Article 41(1) of the CPR, the Commission will organise annual performance reviews with each MS to examine the performance of each EMFAF programme. The MS shall, no later than 1 month before the review meeting, provide the Commission with information on the elements listed in Article 40(1) of the CPR. When agreed between the MS and the Commission the review may be carried out in writing. Monitoring data (e.g. Infosys data) and information from these performance review meetings will serve as important sources of data for the evaluators and the Commission when conducting their evaluations.

3.4 Cover monitoring and evaluation activities in the evaluation plan

When elaborating this WP, two key activities of the M&E system\(^6\) are considered:

- **monitoring** (as an internal process), defined as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds”.
- **evaluation** (carried out by independent evaluators), defined as “the systematic and objective assessment of an ongoing or completed project, programme, or policy, its design, implementation and results”.

Within the M&E framework, the evaluation plan should assist the monitoring process (annual performance review) by supporting the managing authority in the analysis of Infosys monitoring data and in the development of conclusions and recommendations for possible improvements, and steer the external evaluation of the EMFAF programme (see Figure 2 below).

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\(^6\) Source: OECD Glossary of Key Terms in Evaluation and Results Based Management, 2010
Figure 2: Scope of the evaluation plan within the M&E framework

Source: FAMENET, 2022

A good M&E system is key in feeding the evaluations at MS level and the Commission’s mid-term evaluation of the programme in 2024 and the retrospective evaluation (end of 2031).
4 Content and outline of the evaluation plan

The evaluation plan for the EMFAF programme should cover four main parts:

1. coverage and objectives
2. organisation and coordination aspects (evaluation framework)
3. technical aspects of the evaluations
4. support the annual performance review of the programme

This working paper proposes a fourth part focused on supporting the annual performance review of the EMFAF programmes as an integral part of the evaluation plan. The fourth part is proposed, because performance data analysis is essential and if done on a regular basis, it will serve as a very good basis for various other reporting (e.g. to the Monitoring Committee and to the Commission at the APR meetings) and evaluation requirements.

Figure 3 below provides an overview of the main content of the evaluation plan and aspects that should be further considered in the detailed evaluation design. A detailed overview of the proposed content of the evaluation plan is also provided in Annex 1.

Figure 3: Indicative content of the evaluation plan and aspects to be further elaborated in the detailed evaluation design

<table>
<thead>
<tr>
<th>Content of the Evaluation Plan</th>
<th>Aspects to be further elaborated in the detailed evaluation design</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Part 1: Coverage and objectives</strong></td>
<td>1. Coverage 2. Objectives</td>
</tr>
</tbody>
</table>

* Evaluation and judgement criteria, indicators, methods  
* Implementation period  
* Evaluation deliverables; delivery period  
* Communication  
* Data needed; data quality control  

* The procedure and timing of supporting the annual performance review

Source: FAMENET, 2022
4.1 Part 1: Coverage and objectives

In line with the legal framework set out in the CPR and other relevant national provisions, the MS shall specify the coverage and objectives of the evaluation plan for their programme.

4.1.1 Coverage

The evaluation plan should describe the programme(s) covered and include a short summary of the programme’s intervention logic to help the reader understand the context of the plan. As stated in Article 44 (5) of the CPR, an evaluation plan may cover more than one programme and this should be specified in the plan. The plan may also include preparatory activities for the next programming period 2028+.

If the evaluation plan covers more than one programme, a balance of the evaluations carried out among the programmes should be ensured. In this case, the MS should make sure that programme-specificities are reflected in the plan that covers several programmes. This would allow the evaluation plan to reflect specific-evaluation needs of the EMFAF programme, EMFF experiences, Common Fisheries Policy links and policy needs, etc.

4.1.2 Objectives

The evaluation plan should describe its overall objectives in line with the EU and national legal framework and the priorities of the EMFAF programme.

The evaluation plan is the basis to conduct well-designed evaluations in line with the principles of accountability (evaluations as proof that funds are used as intended to deliver effects) and learning (evaluations as feedback to improve an intervention or policy, but also to build the skills and capacity of policymakers, which can be transferred to other tasks and policies7). Its objectives should be developed taking into consideration the evaluation needs and priorities of the programme to ensure that sufficient and appropriate evaluation activities are carried out to inform the Commission and the programme’s main bodies and stakeholders.

The evaluation activities should answer the questions of whether the EMFAF programme and its implementation is working or not, in particular which actions and procedures work and which do not. As also stated in the Better Regulation Guidelines, the evaluation should not only assess what has happened (what?) but also consider why it has happened (the role of the EMFAF intervention) and, if possible, how much has changed (how much?). It should look at the wider implementation context and processes to provide an independent and objective judgment of the situation based on available and reliable evidence.

While the programme indicators measure ‘what’, they do not explain ‘why’. For example, it is not enough to measure and assess via Infosys how many “Businesses with higher turnover” were achieved (what?), but the evaluation must be able to provide a plausible explanation of why it was reached (or not) and how much has changed/been achieved as a consequence of the EMFAF interventions.

Similarly, the evaluation must be able to explain the challenges that limit progress in the programme implementation to achieve financial and output targets.

The evaluation activities should provide policy-relevant information and concrete findings for the redesign and improvement of the current programme (if needed). Corrective measures may be also recommended during the programme implementation that do not necessarily require programme modification.

In addition, the evaluation activities can provide relevant information for the design of the future programme based on reliable evidence.

An analysis of relevant evidence available (e.g., from previous evaluation experiences) could help explain and decide where the evaluation efforts could be most concentrated. The EMFAF programme may also provide an indication of relevant areas/topics for evaluations, especially where new initiatives or interventions are foreseen.

The plan should also have enough flexibility to respond to emerging evaluation needs in the course of the programme life cycle (e.g. need to conduct ad hoc evaluations that were not originally envisaged in the evaluation plan or changing needs in the MS to adjust the programme due to external factors that may require a specific evaluation, etc.).

### Coverage and objectives (examples):

- evaluations should be carried out based on the evaluation plan to improve the quality of the design and implementation of the programme.
- evaluations should be interlinked with the performance framework (annual performance review, final performance report), but also go beyond it.
- the impact of the programme should be evaluated in 2029 in a rigorous way based on good quality data.
- the programme will provide the necessary resources for carrying out evaluations, including ensuring procedures for data collection.
- the evaluation plan will ensure that the data and information needed to evaluate the programme are available on time.

### 4.2 Part 2: Organisation and coordination (evaluation framework)

The organisation and coordination part of the evaluation plan should cover the aspects described below.

#### 4.2.1 Main bodies and their responsibilities, and coordination mechanisms

The evaluation plan should (a) identify the main bodies involved in M&E and describe their responsibilities; (b) describe the coordination mechanisms set up by the MA for coordination and exchange on planned evaluations, findings and methodologies, and define coordination tools with other actors (e.g. fisheries LAGs). MS shall also ensure that the necessary procedures are set up to produce and collect the necessary data for evaluation.
In order for the M&E framework to properly function and deliver results in an efficient manner, a sound governance should be designed, enabling transparency and accountability.

The evaluation plan should identify the main actors of the M&E system and clearly describe their roles and responsibilities.

- the actors to be involved in the governance of the M&E should be identified according to the legal acts and specificities of each EMFAF programme. Therefore, a single model of governance cannot be recommended. The main bodies involved in M&E of the programmes are typically: the MAs, Monitoring Committee (MC), the body entrusted with accounting function (i.e. Certifying authority) and, on occasion, an evaluation steering group (if needed), technical working groups, evaluators, beneficiaries, fisheries LAGs, scientific or other expert academic input and data providers. Additional stakeholders may also be represented by the intermediate bodies (IBs).

- after identifying the main actors, their roles and responsibilities should be defined. These might include:

  - advise – review material and make suggestions to others who make the decisions.
  - recommend – review material and suggestions and make recommendations to others who make the decisions.
  - decide – have final control over decisions in the evaluation.

The main roles and responsibilities for each of the key bodies related to M&E are summarised below.

### Table 1: Main bodies and responsibilities

<table>
<thead>
<tr>
<th>Body</th>
<th>Who</th>
<th>Responsibilities</th>
</tr>
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</table>
| Managing Authority (MA)     | National Ministry in charge of implementing the programme.          | • functioning and governance of the M&E framework and the quality, timeliness and communication of results.  
                                |                                                                      | • ensure a secure electronic information system.  
                                |                                                                      | • provide the Commission with relevant data on operations in the context of APR meetings.  
                                |                                                                      | • monitor the quality of programme implementation by means of indicators and provide the MC with information and documents necessary to monitor the programme’s progress.  
                                |                                                                      | • draw up an evaluation plan.  
                                |                                                                      | • chair the evaluation steering group, coordinate evaluations through an evaluation unit or an evaluation coordinator, facilitate cooperation amongst the M&E stakeholders and ensure capacity building of stakeholders.  
                                |                                                                      | • draft the terms of references and manage evaluation tenders. |
| Monitoring Committee (MC)   | All relevant socio-economic actors (e.g., other ministries, regional representatives, sectoral associations, NGOs, |
                                | Relevant MC functions related to M&E (CPR, Article 40)            | • The MC shall examine:  
                                |                                                                      |   - the progress in programme implementation and in achieving the milestones and targets. |

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<table>
<thead>
<tr>
<th>Body</th>
<th>Who</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>etc.), EC in advisory and</td>
<td>• issues that affect the performance of the programme and measures</td>
<td>- the progress made in carrying out evaluations, syntheses of evaluations and any follow-up given</td>
</tr>
<tr>
<td>monitoring role.</td>
<td>taken to address them.</td>
<td>to findings.</td>
</tr>
<tr>
<td></td>
<td>• the progress in implementing operations of</td>
<td>- the progress in implementing operations of strategic importance, where relevant.</td>
</tr>
<tr>
<td></td>
<td>• The MC shall approve:</td>
<td>- the final performance report.</td>
</tr>
<tr>
<td></td>
<td>- the final performance report.</td>
<td>- the evaluation plan and any amendment thereto.</td>
</tr>
<tr>
<td></td>
<td>• The MC shall be consulted and shall, if it considers it</td>
<td>- The MC shall be consulted and shall, if it considers it appropriate, give an opinion on any</td>
</tr>
<tr>
<td></td>
<td>appropriate, give an opinion on any programme amendment proposed</td>
<td>programme amendment proposed by the MA.</td>
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<tr>
<td></td>
<td>by the MA.</td>
<td>• The MC may make recommendations to the MA, including on measures to reduce the administrative</td>
</tr>
<tr>
<td></td>
<td>• The MC may make recommendations to the MA, including on measures</td>
<td>burden for beneficiaries.</td>
</tr>
<tr>
<td></td>
<td>to reduce the administrative burden for beneficiaries.</td>
<td></td>
</tr>
<tr>
<td>Body entrusted with accounting</td>
<td>A dedicated department or body of the MS responsible for the</td>
<td>Relevant accounting functions related to M&amp;E (CPR, Article 76)</td>
</tr>
<tr>
<td>function</td>
<td>management and control of expenditure.</td>
<td>• keeping electronic records of all the elements of the accounts, including payment applications.</td>
</tr>
<tr>
<td>Beneficiaries (including final</td>
<td>A public or private body with or without legal personality, or a</td>
<td>• provide information pertinent to the programme’s monitoring and evaluation.</td>
</tr>
<tr>
<td>beneficiaries)</td>
<td>natural person, responsible for initiating or both initiating and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>implementing operations.</td>
<td></td>
</tr>
<tr>
<td>Fisheries LAGs</td>
<td>Partnerships between fisheries actors and other local private and</td>
<td>• provide information pertinent to the programme’s monitoring and evaluation.</td>
</tr>
<tr>
<td></td>
<td>public stakeholders.</td>
<td>• monitor progress towards the achievement of objectives of its strategy.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• evaluate the implementation of its strategy.</td>
</tr>
<tr>
<td>Fisheries LAG networks</td>
<td>Networks of fisheries LAGs, especially in regionalised countries.</td>
<td>• their role can be particularly important in regionalised countries, where the networks can be an</td>
</tr>
<tr>
<td></td>
<td></td>
<td>important source of expertise and capacity building and can contribute to the development of</td>
</tr>
<tr>
<td></td>
<td></td>
<td>harmonised approaches to evaluation.</td>
</tr>
<tr>
<td>Intermediate bodies (IBs)</td>
<td>Public or private bodies with legal personality.</td>
<td>• data collection and the monitoring of programme progress according to delegation of tasks and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>functions by the MA.</td>
</tr>
<tr>
<td>Data providers and other</td>
<td>An organisation or business that provides data for use of</td>
<td>• hold data of relevance to the programme, conduct research on relevant topics, be a source of expert</td>
</tr>
</tbody>
</table>

8 CPR, Article 71: The Member State shall identify for each programme a managing authority and an audit authority. Where a Member State entrusts the accounting function to a body other than the managing authority in accordance with Article 72(2) of this Regulation, the body concerned shall also be identified as a programme authority.
<table>
<thead>
<tr>
<th>Body</th>
<th>Who</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>relevant institutions and organisations</td>
<td>consumption by third parties.</td>
<td>knowledge or even collect specific monitoring data for the MA on a contractual basis.</td>
</tr>
<tr>
<td>Evaluators</td>
<td>Evaluation experts (internal or external)</td>
<td>• carry out evaluation activities ensuring functional independence. The evaluations of the EMFAF programme may be assigned to internal experts, external experts or a team of internal and external evaluators (see section 4.2.3)</td>
</tr>
</tbody>
</table>

*Source: FAMENET, 2022*

On top of this list, additional actors may be embedded in the system, such as:

- **technical working groups (TWG)** established by the MA/MC to assist in technical tasks and consult with stakeholders on specific issues, e.g., on environmental issues such as measuring pollution by investment in aquaculture farm. The composition and tasks assigned to each TWG will vary depending on the issue at hand.

- **external reviewers**, who are functionally independent experts responsible for the review and quality assurance of the evaluations. For each evaluation report, the reviewers may write a review statement, which is published together with the report. In addition, they can provide methodological and subject matter expertise as needed, as well as contribute to specific topics such as environmental analyses (see example from Sweden in section 5.2).

### b. Coordination mechanisms

Coordination mechanisms related to M&E may include coordination bodies, formal agreements and digital coordination tools. They should allow the MS to build a common understanding among EMFAF stakeholders, support the evaluation process and enable the effective management of unexpected occurrences during the evaluation.

Coordination bodies may include an **evaluation steering group** (typically convened by the MA) to support the evaluation processes during the programme life cycle and help facilitate and coordinate stakeholder consultations. The composition of the group depends on the specificities of the programme (priorities, scale and delivery) and the tasks assigned to the group. As a minimum, the group should include representatives from the MA and others involved in programme delivery, representatives from the bodies entrusted with accounting function, those responsible for programme design and policymaking and, if applicable, members of the evaluation unit. In addition to the actors responsible for programme administration, thematic experts may be involved to support the impact evaluation of the overall programme objectives (e.g. environmental, economic, social, etc.).
Formal agreements (in addition to the EU legal framework) may include:

- written documents that formalise the relationships between the different stakeholders (MAs, IBs, FLAGs, data providers, independent evaluators) and ensure that activities, responsibilities and accountabilities for the evaluation are clear (e.g., memorandum of understanding, contractual agreement, etc.). For example, this can be related to the provision of sensitive data to evaluators in line with the General Data Protection Regulation (GDPR).
- written procedures that provide guidelines for decision making processes, increasing transparency, accountability, uniformity and stability.

In addition, existing digital tools in the programme administration should be used in the best possible way to support the coordination of stakeholders and the flow of information. Digital communication tools can also be used to facilitate meetings (e.g. Webex, Teams, Zoom, etc.).

<table>
<thead>
<tr>
<th>Practical suggestions when describing governance and coordination mechanisms:</th>
</tr>
</thead>
<tbody>
<tr>
<td>use organigrams to illustrate the M&amp;E arrangements and describe them in the text.</td>
</tr>
<tr>
<td>clearly identify relevant actors, but avoid naming companies (e.g. of evaluators) that might change.</td>
</tr>
<tr>
<td>make sure to describe actors’ roles and responsibilities specifically in relation to monitoring and evaluation.</td>
</tr>
<tr>
<td>note that the composition of the MC should not be described in the evaluation plan but rather in the appropriate chapter of the programme. The EP should only describe the role of the MC within the M&amp;E framework.</td>
</tr>
<tr>
<td>use of digital tools to facilitate the coordination is a state of the art, which should be followed by all stakeholders involved in the programme.</td>
</tr>
</tbody>
</table>

### 4.2.2 Stakeholder involvement

On top of the actors involved in the MC, the evaluation plan should describe other relevant stakeholders within the framework of the monitoring committees or in specific working groups established by the monitoring committees who will be affected by decisions made during or after the evaluation and how these stakeholders will be involved.

**Relevant stakeholders** may include policy makers, programme staff, beneficiaries, NGOs, fishers’ associations, consumers’ associations and secondary users of the evaluation findings. Their priorities and concerns should be understood and taken into account to enhance the evaluation planning, communication strategies during and after the evaluation, and support the utilisation of evaluation findings.
To identify who the best possible stakeholders to engage are, the following approaches could be used:

- **programme scoping**: developing a more in-depth understanding of the programme and its characteristics.
- **stakeholder mapping and analysis**: identifying different stakeholders’ level of interest and influence.

Different stakeholders can be engaged for different purposes and at different phases of the evaluation planning and implementation. It may not be feasible or appropriate to engage all potential stakeholders.

**To engage the relevant stakeholders** the following approaches could be used:

- **general event**: organising an event to inform them about the programme and raise awareness of relevant issues.
- **formal and informal meeting**: a conversation between an evaluator and a key stakeholder that is not conducted in a formal way but is still seeking the same outcomes.
- **workshop**: a meeting of key stakeholders to assess and build readiness for the evaluation.

### 4.2.3 Evaluators and their engagement

The evaluation plan should describe the source of evaluation expertise (internal/external/mixed) and whether the MS will engage an evaluation team for the entire programme life cycle. Here the plan should also define the provisions that ensure the functional independence of evaluators from the authorities responsible for programme implementation.

The evaluations may be conducted by:

- internal evaluators
- external evaluators
- team of internal and external evaluators

When deciding **who is best to conduct** the evaluation some key aspects should be considered such as:

- **relevant expertise**, reflecting the skills and knowledge in evaluation, in specific domains (e.g. small-scale coastal fisheries (SSCF)) or the local culture and context.
- **timelines, necessary resources and purpose** of the evaluation.
- **the balance of distance and involvement** that will be most suitable and support the use of evaluation findings. An external, unaligned evaluator may be viewed as more (or less) credible by different stakeholders. Involving staff and communities may be important for supporting cultural change, knowledge building and supporting the utilization of the evaluation findings.
- **different management tasks** depending on who is involved in which evaluation activities. For example, when using external evaluators you need to develop a process for selecting and managing them. These evaluators (e.g. single company/research institution, a consortium made up of several companies/research institutions) shall be chosen through a transparent tendering procedure that may apply for the entire programme period or for individual evaluations. On the contrary, if internal staff is involved it shall be ensured that processes are well documented and relevant training in specific evaluation tasks is conducted to ensure that quality standards are maintained.
Table 2 summarizes the main pros and cons of selecting an internal or an external evaluator.

**Table 2: Selection of internal or external evaluators – pros and cons**

<table>
<thead>
<tr>
<th>Type of evaluator</th>
<th>Pros</th>
<th>Cons</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Internal</strong></td>
<td>• easy to engage&lt;br&gt;• easy access to relevant information and knowledge of the context&lt;br&gt;• immediate capacity building&lt;br&gt;• early start and lower costs</td>
<td>• possibly not all necessary competences are available&lt;br&gt;• possibly less credible findings&lt;br&gt;• potentially higher costs than contracting external evaluators due to inefficiency, lack of experience and expertise in conducting evaluations.</td>
</tr>
<tr>
<td><strong>External</strong></td>
<td>• possibility to have a wide range of competences on board&lt;br&gt;• possibility to easily act as facilitator between parties&lt;br&gt;• more credible findings</td>
<td>• lengthy, complex and unsure tendering procedures&lt;br&gt;• possibly later start of the evaluation due to selection procedure time</td>
</tr>
</tbody>
</table>

*Source: FAMENET, 2022*

The evaluation plan should also indicate whether the same evaluation expert/team will be assigned for whole package of evaluations throughout the programme period or different experts will carry out different evaluation tasks. This important decision, which can influence the entire design of the evaluation, should be discussed and taken by the MC and MA.

Here the following points should be taken into account:

**Table 3: Selection of one or more evaluators for the entire programme period—pros and cons**

<table>
<thead>
<tr>
<th>Options</th>
<th>Pros</th>
<th>Cons</th>
</tr>
</thead>
<tbody>
<tr>
<td>Framework contract for all evaluation activities (one evaluator)</td>
<td>• Possibly reduce the administrative and time burden related to procurement and management of evaluations.&lt;br&gt;• Possibly better coordination between the MA and the evaluators due to an ongoing and long-term cooperation over the programme period.</td>
<td>• The contracted evaluation team may not have all the specific knowledge needed for all the tasks included in the evaluation package.</td>
</tr>
<tr>
<td>Individual contracts for specific evaluation activities (more than one evaluator)</td>
<td>• Select evaluators with specialized knowledge on specific topics and evaluation tasks.&lt;br&gt;• More flexibility for the MA in selecting better evaluators to specific evaluation tasks.</td>
<td>• Increase the administrative burden for the MA.&lt;br&gt;• Need for more coordination between the MA and the evaluators.</td>
</tr>
</tbody>
</table>

*Source: FAMENET, 2022*
Regarding the **independence** of the evaluators, the following measures should be considered:

- clear job description for the person/team assuming the evaluation function.
- exclusion of the aforementioned person/team from the authority of the services in charge of EMFAF programme’s design/implementation.

As stated in Article 44(3) of the CPR, MS shall entrust the evaluations to internal or external experts who are functionally independent. In this context, MS should ensure a level of independence that there is no doubt that the work is carried out with objectivity and the evaluation judgments are unbiased and not subordinated to an agreement of the services responsible for conducting the programme.

While assigning external evaluators might be a preferable option to ensure functional independence, MS may also decide (as second-best option) to assign the implementation and evaluation of the programme within the same organisation/institution. In this case, a good practice is to ascribe them to different departments. Assigning evaluation and implementation to the same department or unit of an organisation could give rise to doubts about the functional independence of the evaluation function.

**Practical suggestions when deciding the type of evaluator:**

- consider the budget and the objectives of the EMFAF programme.
- consider all sources that are suitable for conducting evaluations (in-house skills available, external experts).
- consider the administrative costs and timing for public procurement to select an external evaluator.
- analyse whether assigning the same evaluators for the entire programme period is (or not) suitable for the MS (e.g., costs, expertise, etc.).
- involve the staff to collect all relevant information.

**Table 4: Checklist for the assessment of the deliverables**

<table>
<thead>
<tr>
<th>Element of the deliverable</th>
<th>Assessment (good, sufficient, not sufficient)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the executive summary well developed?</td>
<td></td>
</tr>
<tr>
<td>Is the programme context and the evaluation task well described?</td>
<td></td>
</tr>
<tr>
<td>Is the methodological approach robust and in line with the offer?</td>
<td></td>
</tr>
<tr>
<td>(or justified in the case of adjustments)</td>
<td></td>
</tr>
<tr>
<td>Are the data available, consultable or reproduced in the report?</td>
<td></td>
</tr>
<tr>
<td>Have the available data been sufficiently analysed?</td>
<td></td>
</tr>
<tr>
<td>Where useful, independent and constructive conclusions and recommendations are elaborated?</td>
<td></td>
</tr>
<tr>
<td>Was the evaluation sufficiently coordinated with the client?</td>
<td></td>
</tr>
<tr>
<td>Is the report as a whole clearly structured and easy to read?</td>
<td></td>
</tr>
</tbody>
</table>

*Source: FAMENET, 2022*
Practical suggestions on quality control:
- define the object of the control.
- establish clear quality requirements.
- use tools for regularly checking the evaluation compliance to standards.

4.2.4 Capacity building

The evaluation plan should describe the capacity building activities envisaged during the programme period based on the needs of the MA and relevant actors dealing with the M&E system (e.g. programme’s managers, MA staff dealing with evaluation, IBS staff, fisheries LAGs). Exchange between MS (i.e. MAs) may also promote and encourage the use of good evaluation practices across Europe.

The capacity building needs may address:
- **human capital**, focusing on knowledge and skills to effectively design, manage, implement and use M&E.
- **organisational capital**, focusing on technical infrastructure and processes that enable a better environment for M&E.

Some examples of capacity building activities are presented below.

**Table 5: Examples of capacity building activities**

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-assessment</td>
<td>Individual reflection on one's skills, knowledge and attitudes related to evaluation competencies</td>
</tr>
<tr>
<td>Peer-assessment</td>
<td>A form of assessment, which provides additional benefits beyond self-assessment – in particular, the opportunity for peer learning through the review process.</td>
</tr>
<tr>
<td>Coaching</td>
<td>Supporting an individual during training or development in order for them to reach a specific personal or professional goal.</td>
</tr>
<tr>
<td>Peer learning</td>
<td>An approach to learning where tacit knowledge is transferred from practitioner-to-practitioner. Peer learning can have many different objectives and take various forms.</td>
</tr>
<tr>
<td>Self-paced learning</td>
<td>Viewing learning materials, such as previously recorded webinars, at your own pace.</td>
</tr>
<tr>
<td>Training and formal education</td>
<td>Development of knowledge and skills in conducting and/or managing an evaluation in a structured setting.</td>
</tr>
<tr>
<td>Conferences/Seminars/Workshops</td>
<td>Attendance at professional events helps people to identify relevant examples and further guidance, reflect on their work and get feedback on it, and form networks for peer support and review.</td>
</tr>
<tr>
<td>Evaluation Library</td>
<td>This provides access to print and/or digital resources such as evaluation guides, manuals and textbooks, and evaluation reports</td>
</tr>
<tr>
<td>Public information about evaluation</td>
<td>Providing a clear definition or explanation of evaluation in online and printed materials.</td>
</tr>
</tbody>
</table>

Source: FAMENET, 2022

Practical suggestions when designing capacity building:
- identify the needs.
- define capacity building activities and tools appropriate for the different targets and content.
4.2.5 Communication
The evaluation plan should describe how the evaluation results will be communicated internally (e.g. to the MA, MC, IBs, etc.) and to the wider public, and where these results will be published.

Depending on the varying needs of these stakeholders, several tools could be foreseen in different formats (e.g. the dissemination of evaluation results to “internal” stakeholders is generally performed through the evaluation reports). The programme’s communication plan can be a valuable tool to align evaluation activities with reporting needs and effectively disseminate the results of the evaluation to specific stakeholders identified during the stakeholder mapping (see the section “Stakeholder involvement” above).

A list of relevant formats to disseminate evaluation results is presented below.

Table 6: Dissemination of the evaluation results

<table>
<thead>
<tr>
<th>Format</th>
<th>Tool</th>
<th>Target</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written</td>
<td>Executive Summaries</td>
<td>Internal stakeholders</td>
<td>A shortened version of the full report.</td>
</tr>
<tr>
<td></td>
<td>Aide memoire</td>
<td>Internal stakeholders</td>
<td>A short document that summarizes key findings and recommendations.</td>
</tr>
<tr>
<td></td>
<td>Reports</td>
<td>Internal stakeholders</td>
<td>Ensure they are readable, straight to the point, and use a writing style that promotes understanding regardless of who the target audience is. Simple graphic design principles applied to your reporting documents will ensure readability and maximize learning. You can use design elements and visual depictions of your data to assist the reader.</td>
</tr>
<tr>
<td></td>
<td>Memos and email</td>
<td>Internal stakeholders</td>
<td>Maintain ongoing communication among evaluation stakeholders through brief and specific messages about a particular issue.</td>
</tr>
<tr>
<td></td>
<td>Newsletters, bulletins, briefs, and brochures</td>
<td>External stakeholders</td>
<td>Highlight particular findings or angles on an evaluation using shorter communications such as bulletins, briefs, newsletters, blogs and brochures.</td>
</tr>
<tr>
<td></td>
<td>Website</td>
<td>External stakeholders</td>
<td>Disseminate information such as that coming from evaluations via a range of web-based tools.</td>
</tr>
<tr>
<td>Presentation events</td>
<td>Conference</td>
<td>Internal &amp; external stakeholders</td>
<td>Discuss a topic or theme in a large group of people at a set venue. Gather data. Communicate information about an evaluation; report findings, receive feedback and plan for utilization.</td>
</tr>
<tr>
<td></td>
<td>Feedback workshops</td>
<td>Internal stakeholders</td>
<td>Meetings in which stakeholders and evaluators can discuss the evaluation’s findings &amp; recommendations.</td>
</tr>
<tr>
<td></td>
<td>Verbal briefings</td>
<td>Internal stakeholders</td>
<td>Provide specific information to an audience of interested participants allowing for a structured question and answer format based on that information.</td>
</tr>
<tr>
<td></td>
<td>Presentation materials</td>
<td>Internal &amp; External stakeholders</td>
<td>Present the evaluation findings in the form of a poster is a good opportunity to get your message across in a clear way while also providing opportunities for feedback.</td>
</tr>
</tbody>
</table>
### 4.2.6 Follow-up

The evaluation plan should explain the procedures put in place to follow up the evaluation findings and recommendations. In addition, the plan should describe the role of the MA, MC, departments and other relevant actors in this process.

After the evaluation recommendations are formulated and communicated to the evaluation manager and the evaluation steering group, the evaluator finalises and submits the final evaluation report. This concludes the work of the evaluator and marks the start of the follow up process. The MA and MC are the responsible bodies to carry out the follow-up activities.

The main goal of the follow up process is to review with the Commission during the annual review meetings and the Monitoring Committee how the evaluation recommendations have been or will be taken into account during the programme period (and not for the future programme). These recommendations should help the MA and MC to fine tune the implementation of the programme.

A dedicated monitoring tool may be developed by the MA (e.g. a dashboard) as described in the example provided in Table 8.

#### Table 7: Follow-up tool example

<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Type</th>
<th>Relevance</th>
<th>Follow up action</th>
<th>Progress</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Insert the full text as from the evaluation report.</td>
<td>Classify the recommendation based on different categories (e.g. delivery model, implementation, communication, etc.).</td>
<td>Range the relevance of the recommendation for the further efficient implementation of the programme (e.g. high, medium, low).</td>
<td>Describe the types of actions that shall be undertaken, if any, to adopt the recommendation.</td>
<td>Report on the progress of the follow up action.</td>
<td>Insert any comment which may be relevant.</td>
</tr>
</tbody>
</table>

Source: FAMENET, 2022

If necessary, the MA/MC may apply a broader approach when carrying out their follow-up activities by engaging other relevant actors. The following methods, facilitated by the MA, may be used to efficiently follow-up the evaluation recommendations.
Table 8: Follow-up methods

<table>
<thead>
<tr>
<th>Method</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group critical reflection</td>
<td>Facilitating a group stakeholder feedback session</td>
</tr>
<tr>
<td>Individual critical reflection</td>
<td>Asking particular individual stakeholders for their independent feedback</td>
</tr>
<tr>
<td>Participatory recommendation screening</td>
<td>Testing recommendations with key stakeholders</td>
</tr>
<tr>
<td>World Cafe</td>
<td>Hosting a group dialogue which emphasizes the power of simple conversation when considering relevant questions and themes</td>
</tr>
</tbody>
</table>

Source: FAMENET, 2022

4.2.7 Budget

The evaluation plan should indicate the total budget earmarked for the implementation of the evaluation activities during the programme period, including preparatory activities for the next period 2028+.

The effort needed for the EMFAF evaluation should follow the principle of proportionality, i.e. the effort should be in adequate relation to the size and complexity of the programme. However, each MS shall ensure that the evaluation obligations set out in Article 44 of the CPR are met such as to carry out a mandatory impact evaluation of the programme by 30 June 2029 and to examine the evaluation criteria effectiveness, efficiency, relevance, coherence and Union added value.

Based on the budget planning procedures applied in each MS, the MA may use different internal tools to estimate the budget for its evaluation activities. However, these tools and detailed description of cost categories are not expected to be included in the evaluation plan.

Table 14 and Table 15 in Annex 2 provide some examples of relevant cost categories that could be taken into account by the MA when defining the budget for each type of evaluation and the total budget (for internal purposes only).

Practical suggestions when drawing up the evaluation budget:

- start the budgeting process by consulting with the budget, procurement and/or human resource units within the MA to verify and understand budget process and ensure that the budget is comprehensive and accurate.
- if the relevant unit(s) to be consulted are not within the MA, consider putting resources together with other programmes covered by the CPR that have the same needs.
- assess the availability of internal resources to ensure a smooth implementation of the evaluations (e.g., developing an accurate calculation of staff time costs early in the process helps to enlist their commitment).
- consider the purpose and scope of the evaluation. The resources available may influence the level of an evaluation’s robustness or the solidity of its findings, restrict the evaluation scope (number of questions, sample size, data collection and analysis options) or influence the choice of evaluation designs. The importance of the programme, previous experiences and the decisions to which the evaluation will contribute are important factors to consider.
- encourage internal stakeholders (e.g., MA, Steering Group) to agree on the importance of evaluation and resources to support it (e.g. internal staff, evaluators).

4.2.8 Revision

The evaluation plan should describe the procedures to be followed in case revisions of the plan will be needed in the course of the programme life cycle.
As mentioned under part 1 (objectives and coverage), the evaluation plan should have enough flexibility to respond to emerging evaluation needs and adjust it accordingly (e.g. needs to conduct ad hoc evaluations that were not originally envisaged in the plan or changing needs in the MS to adjust the programme due to external factors that may require specific evaluations).

The MA should report on a regular basis to the MC on the progress made in implementing the evaluation plan and propose necessary revisions of the plan. As stated in Article 40 (2c) of the CPR, the MC shall approve the evaluation plan and any amendment thereto.

4.3 Part 3: Technical aspects of the evaluation

Part 3 is a substantial part of the evaluation plan, which should include the key technical aspects described below.

4.3.1 Evaluation guidelines

To ensure that the evaluations are carried out in accordance with the EU and national regulations and guidelines, the evaluation plan should state key regulations and guidelines that evaluators shall consider when carrying out evaluations.

These may include:

- **at EU level:**
  - regulations: CPR, EMFAF Regulation, Commission Implementing Regulation (EU) 2022/79 as regards the recording, transmission and presentation of operation-level implementation data.
  - guidelines: Better Regulation Guidelines and related Toolboxes #46 (Designing the evaluation), #47 (Evaluation criteria and questions).
  - staff working documents (SWDs): SWP Performance, monitoring and evaluation of the ERDF, CF and JTF in 2021-2027.

- **at national level:**
  - laws, regulations, strategies and plans, guidelines, previous evaluation plans, etc.
  - the EMFAF programme and relevant references to evaluation areas or topics for evaluation.
  - **performance framework methodology papers** drafted by the MS based on the working paper “Performance Framework methodology paper” (FAME Support Unit, July 2021). For each EMFAF programme a Performance Framework (PF) methodology

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paper has been prepared and submitted together with the EMFAF programme. The PF methodology paper describes the intervention logic of the programmes, their methodological approaches and criteria regarding the choice of indicators, baselines, milestones and targets, evidence base and calculation methods. Thus, the PF methodology paper provides all the basic elements of the intervention logic and should be the basis for any monitoring and evaluation activity throughout the programming period.

- The evaluation plan should build on the PF methodology paper. Links between specific objectives, interventions and indicators should be considered as well as the calculation methods and target values. The PF methodology paper together with the evaluation plan should support the MA in monitoring and evaluation during the programming period.

### 4.3.2 Evaluation type and topic

The evaluation plan should contain a list of evaluations to be carried out throughout the period (until 30 June 2029), including their scope and an explanation for the selection of the themes covered. Depending on new evaluation needs arising during the programme life cycle, additional (ad hoc) evaluations may be added at a later stage.

Overall, depending on the evaluation scope the following **types of evaluations** can be distinguished:

- **process evaluation**: Performance of programme activities related to the delivery system, stakeholder involvement, internal and external communication and coordination with other funds, initiatives and programmes. In addition, process evaluation may be useful in informing the next programming programme 2028+ (e.g. related to changes in the delivery system, project selection criteria, introduction of Simplified Cost Options, etc.)

- **evaluation at Specific Objective (SO)/operation level such as effectiveness evaluation** (achievement of target values, achieved direct and immediate results for the beneficiaries), **efficiency evaluation** (reducing the administrative burden, cost-benefit analysis).

- **impact evaluation of the EMFAF programme**: Change for target group/sector beyond immediate effects against a baseline situation (before-and-after; with-and-without approach). There are three broad strategies for causal contribution in impact evaluation (are observed changes produced by the intervention or other factors?):
  - Estimating the counterfactual situation by taking a comparison group (mainly a quantitative approach)
  - Checking plausible correlations or breaks along an impact chain (mainly a qualitative theory of change approach)

- **modelling of impacts of sector-wide actions by using quantitative input-output models.**

- **quantitative counterfactual or modelling are feasible only for some actions (e.g. with numerous standardised cases). The theory of change is more widely applicable but delivers in most cases no quantitative findings.**

- **thematic studies**: studies (e.g. cross-sectional goals, baseline study related to impact evaluation in 2029), research studies (e.g. observation of needs/contextual trends that are relevant but not directly related to EMFAF).

Figure 5 in section 4.3.4 provides an indicative timeline of the main evaluations expected to be conducted by the MS during the programme life cycle.
To support a consistent, high-quality evaluation of the EMFAF programme, **evaluation criteria** should be used. The evaluation criteria can be viewed as a set of lenses through which an intervention and its results can be understood and analysed (OECD 2021\(^3\)).

In line with Article 44 of the CPR, the evaluations of the EMFAF programme should focus on five evaluation criteria: **effectiveness (output/results and impacts)**, **efficiency**, **relevance**, **coherence and Union (EU) added value**. Additional criteria can be added as necessary (e.g. inclusiveness, non-discrimination and visibility, etc.).

Figure 4 below provides a visual presentation of the use of evaluation criteria along the impact chain of an intervention.

**Figure 4: Use of evaluation criteria along the impact chain of an intervention**

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\(^3\) OECD (2021). Applying Evaluation Criteria Thoughtfully
Along this impact chain, various evaluation criteria can be used depending on the type and purpose of the evaluations. In this process, the MS should ensure a balance between flexibility (avoiding a mechanistic application of all the criteria) and selection of the easiest criteria or criteria that could give positive results (OECD 2021).

**Table 9: Evaluation criteria**

<table>
<thead>
<tr>
<th>Type of evaluations</th>
<th>Scope</th>
<th>Indicative relevant evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process evaluation</td>
<td>Performance of programme operations related to the delivery system, stakeholder involvement, internal and external communication, coordination with other funding instruments</td>
<td>Efficiency, Effectiveness, Relevance</td>
</tr>
<tr>
<td>Evaluation at SO/operation level</td>
<td>Achievement of target values, achieved direct and immediate results for the beneficiaries (but not capturing the impacts/changes against a baseline situation). Best benefit with the lowest expense of the programme operations</td>
<td>Relevance, Effectiveness, Efficiency, Coherence</td>
</tr>
<tr>
<td>Impact evaluation</td>
<td>Change for target group/sector beyond immediate impacts against a baseline situation (before-and-after; with-and-without approach).</td>
<td>Effectiveness, EU added value</td>
</tr>
<tr>
<td>Thematic studies</td>
<td>Observation of needs/contextual trends that are relevant but not directly related to EMFAF programme.</td>
<td>Depending on the focus (e.g. relevance, etc.)</td>
</tr>
</tbody>
</table>

*Source: FAMENET, 2022*

The box below provides a short definition for each of these evaluation criteria.

**Effectiveness (outputs/results): Objectives and targets reached in an effective manner**

Effectiveness (covering the outputs and results) is the extent to which qualitative and quantitative objectives pursued at the level of the specific objectives and types of actions are achieved. This implies that the links between the effects and the objectives need to be synthesized and aggregated. The purpose is to provide evidence on what extent the observed outputs and results have allowed the achievement of the stated objectives and defined targets. Indicators to measure effectiveness usually need a baseline value and an actual value to be compared. Typically, the indicators will compare a baseline to an actual situation.

**Effectiveness (impacts): Changes observed taking into account the indirect effects**

The term effectiveness (covering the impacts of the EMFAF programme) describes the changes that are expected to happen due to the implementation and application of a policy option/intervention. Such impacts may occur over different timescales, affect different actors and be relevant at different scales (micro and macro-level). To evaluate net impacts, based on gross effects, it is necessary to subtract the changes that would have occurred in the absence of the EMFAF programme, and which are therefore not imputable to it since they are produced by confounding factors.

Common result indicators should help to measure the achievement of objectives and results (Annex I of the EMFAF regulation). The envisaged methodological approach should be able to assess (in the ideal situation) the net impacts of the EMFAF actions on the overall EMFAF priorities. It can be assumed that for some suitable result indicators (not for all) net effects can be calculated (e.g. by estimating deadweight). Impacts may be classified into 3 categories: positive, negative, neutral.
**Efficiency: Best benefit with the lowest expense**

Efficiency is defined as the best relationship between resources employed and results achieved in pursuing a given objective through a type of action. In the analysis of efficiency, the relationship between the funds used and the administrative implementation costs (What are the costs?) and the effectiveness of the types of actions and programme (What are the results?) will be examined. Special attention is paid to the effectiveness: high costs for highly effective measures (in terms of achieved results) are justified, whereas high costs for less effective measures do not seem justified.

Efficiency in terms of used funds and achieved results (cost-effectiveness ratio) should be assessed at the level of the types of actions, while the efficiency in terms of reduced administrative burden for beneficiaries and administrations should be measured at the EMFAF programme level. Transaction costs (administrative implementation costs) can be seen as an "investment" in achieving higher funding effectiveness.

**Relevance: The ability to tackle a need and solve a problem**

Relevance is the extent to which the programme design and the achievements of the programme address the needs, problems and issues. The aim is to assess the relevance of the EMFAF types of actions compared to the needs of stakeholders in the fisheries, aquaculture and maritime sectors (e.g. fishers, fishing and aquaculture communities, local population, etc.). During programme implementation, relevance is reviewed to assess whether the mix of the types of actions is still achieving the expected effects (in a stable or changing context) and therefore remains valid. The evaluation should help to assess any changes in the relevance of the EMFAF programme and types of action over time (e.g. change of needs during the programme life cycle and how the programme has responded to these changes, whether the programme adaption affected the quality of the intervention logic, etc.).

The needs and the contribution to fulfil them can be judged by a contribution matrix, where needs and contributions (from effectiveness evaluation) are put on an ordinal scale (based on an interpretation of the findings in the evaluation studies).

**Coherence: Within the EMFAF types of actions and with other policy instruments**

Coherence looks at how well (or not) different EMFAF types of actions within a programme and with other policy instruments work together. Checking “internal coherence” means how well (or not) various types of actions within the EMFAF programme operate together to achieve its objectives. External coherence relates to how well EMFAF types of actions complement or contradict other policy instruments outside EMFAF with similar and/or related objectives (e.g. environmental policy).

An important result of the coherence analysis is a synergy and conflict matrix showing objectives and instruments/types of actions (grouped by regulations, objectives – depending on the synthesis question) with synergetic and adverse effects.

**EU added value: Benefits from not acting in isolation**

EU added value is a concept that seeks to capture the additional value resulting from EU legislation and funding compared to what would have been achieved by MS acting in isolation. This may include the added value in terms of financial resource availability, alignment with strategic goals and challenges in the fisheries, aquaculture and maritime sectors (including those related to climate change, etc.), and monitoring and effective control of the progress achieved (e.g. via Infosys).
4.3.3 Evaluation questions
The evaluation plan should contain a limited number of general or topic-specific evaluation questions for each type of evaluation.

Formulating good evaluation questions is an important step of the evaluation process. For each type of evaluation, a set of key evaluation questions (KEQs) should be prepared in line with the programme intervention logic, the purpose of the evaluations and the five criteria described above. The evaluation criteria should help to ask the right evaluation questions.

KEQs should create a general orientation for the evaluation and formulate what MAs and stakeholders want to know. An agreed set of KEQs makes it easier to decide what data to collect, how to analyse it and how to report it\(^\text{14}\).

Combining various evaluation criteria may be considered when defining the KEQs to better reflect the interrelations between these criteria and reduce the number of KEQs, as necessary. For example, an intervention may be relevant to address the beneficiaries’ needs but yet not effective, or it may be highly coherent with other instruments but less efficient due to increased transaction costs (e.g. management and coordination costs).

The proposed combinations of evaluation criteria for the EMFAF programme are as follows:

- **Combination of effectiveness (outputs/results) and relevance**: What has been achieved from the EMFAF types of actions and is the achievement relevant to the initial or changing needs of target groups?
- **Combination of effectiveness (impacts) and relevance**: To what extent contributed the EMFAF programme to the overall EMFAF programme priorities and EU policy objectives and are the observed impacts significant compared to the overall trend development/needs?

However, MS may also choose to assess the evaluation criteria for the EMFAF programme separately (without combining them).

Table 10 provides a list of indicative key evaluation questions that need to be further adapted by the MS based on their evaluation objectives and needs.

**Table 10: Indicative KEQs for different types of evaluation criteria**

<table>
<thead>
<tr>
<th>Evaluation criteria</th>
<th>Key Evaluation Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effectiveness (outputs/results) and Relevance</td>
<td>Contribution of EMFAF types of actions to the programme specific objectives (SO): KEQ1. How effective were EMFAF types of actions in strengthening economically, socially and environmentally sustainable fishing activities, and how relevant are the results achieved compared to the needs? KEQ2. How effective were EMFAF types of actions in increasing energy efficiency and reducing CO2 emissions through the replacement or modernization of engines of fishing vessels, and how relevant are the results achieved compared to the needs? KEQ3. How effective were EMFAF types of actions in promoting the adjustment of fishing capacity to fishing opportunities in cases of permanent cessation of fishing activities and contributing to a fair standard of living in cases of temporary cessation</td>
</tr>
</tbody>
</table>

\(^{14}\) *Note: KEQs are not suitable questions for an interview or questionnaire.*
<table>
<thead>
<tr>
<th>Evaluation criteria</th>
<th>Key Evaluation Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>of fishing activities, and how relevant are the results achieved compared to the needs?</td>
<td>KEQ4. How effective were EMFAF types of actions in fostering efficient fisheries control and enforcement, including fighting against IUU fishing, as well as reliable data for knowledge-based decision-making, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ5. How effective were EMFAF types of actions in promoting a level playing field for fishery and aquaculture products from the outermost regions, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ6. How effective were EMFAF types of actions in contributing to the protection and restoration of aquatic biodiversity and ecosystems, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ7. How effective were EMFAF types of actions in promoting sustainable aquaculture activities, especially strengthening the competitiveness of aquaculture production, while ensuring that the activities are environmentally sustainable in the long term, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ8. How effective were EMFAF types of actions in promoting marketing, quality and added value of fishery and aquaculture products, as well as processing of those products, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ9. How effective were EMFAF types of actions in enabling a sustainable blue economy in coastal, island and inland areas, and fostering the sustainable development of fishing and aquaculture communities, and how relevant are the results achieved compared to the needs?</td>
</tr>
<tr>
<td></td>
<td>KEQ10. How effective were EMFAF types of actions in strengthening sustainable sea and ocean management through the promotion of marine knowledge, maritime surveillance or coastguard cooperation, and how relevant are the results achieved compared to the needs?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effectiveness (impacts) and Relevance</th>
<th>Contribution of the programme to the EMFAF priorities:</th>
</tr>
</thead>
<tbody>
<tr>
<td>KEQ1. Compared to the baseline, what changes has the EMFAF programme been able to bring about to foster sustainable fisheries and the restoration and conservation of aquatic biological resources, how relevant are the changes achieved compared to the needs?</td>
<td></td>
</tr>
<tr>
<td>KEQ2. Compared to the baseline, what changes has the EMFAF programme been able to bring about to foster sustainable aquaculture activities, and processing and marketing of fishery and aquaculture products, thus contributing to food security in the union, how relevant are the changes achieved compared to the needs?</td>
<td></td>
</tr>
<tr>
<td>KEQ3. Compared to the baseline, what changes has the EMFAF programme been able to bring about to enable a sustainable blue economy in coastal, island and inland areas, and fostering the development of fishing and aquaculture communities, how relevant are the changes achieved compared to the needs?</td>
<td></td>
</tr>
<tr>
<td>KEQ4. Compared to the baseline, what changes has the EMFAF programme been able to bring about to strengthen international ocean governance and enabling seas and oceans to be safe, secure, clean and sustainably managed, how relevant are the changes achieved compared to the needs?</td>
<td></td>
</tr>
<tr>
<td>KEQ5. Compared to the baseline, what changes has the EMFAF programme been able to bring about to support greener, low-carbon fisheries, aquaculture and maritime sectors that support the transition towards a net zero carbon economy and resilient Europe by promoting clean and fair energy transition, green and blue investment, the circular economy, climate change mitigation and adaptation, risk prevention and management, and sustainable urban mobility, how relevant are the changes achieved compared to the needs?</td>
<td></td>
</tr>
<tr>
<td>Evaluation criteria</td>
<td>Key Evaluation Questions</td>
</tr>
<tr>
<td>---------------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td>Evaluation criteria</td>
<td>KEQ6. Compared to the baseline, what changes has the EMFAF programme been able to bring about to support a Europe closer to citizens by fostering the sustainable and integrated development of all types of territories and local initiatives in the fisheries, aquaculture and maritime sectors, how relevant are the changes achieved compared to the needs?</td>
</tr>
<tr>
<td>Relevance (if assessed separately)</td>
<td>KEQ1. Are the results achieved by the programme relevant to the initial needs identified during the programming phase and deliver effective solutions? KEQ2. Is the programme design still relevant in the light of changing needs and changing political priorities which may occur during the programme implementation?</td>
</tr>
<tr>
<td>Efficiency</td>
<td>KEQ1. How efficiently were EMFAF types of actions implemented in terms of the resources used and the results achieved (cost-effectiveness ratio) (to be defined in more detail for selected EMFAF types of actions based on a risk-based assessment and previous experience)? KEQ2. How efficiently was the EMFAF programme managed and implemented in terms of reduced administrative burden for beneficiaries and administrations?</td>
</tr>
<tr>
<td>Coherence (internal and external)</td>
<td>KEQ1. Internal coherence: Do the types of actions within the EMFAF complement each other and achieve synergies, or are there significant trade-offs between them, and does the mix of actions contribute to achieving key national and EU objectives? KEQ2. External coherence: Do the types of actions within the EMFAF programme complement other instruments/funds outside the EMFAF to achieve synergies or are there significant trade-offs?</td>
</tr>
<tr>
<td>EU added value</td>
<td>KEQ1. What is the added value of EMFAF programme implementation from EU legislation and EU funding compared to what the MS would have achieved on its own in terms of availability of financial resources, alignment with strategic goals and challenges in the fisheries, aquaculture and maritime sectors, and monitoring and effective control of success?</td>
</tr>
</tbody>
</table>

Source: FAMENET, 2022

To specify the KEQs judgment criteria should be defined by the evaluators in the evaluation design (not in the EP). They make the implicit assumptions of the objectives explicit and help to identify the required indicators and methods. The evaluation plan may propose indicative methods to collect and analyse the qualitative and quantitative data such as:

- **for data collection**: desk research, data collected via Infosys, surveys, interviews, case studies, focus groups, etc.
- **for data analysis**: descriptive analysis, statistical analysis, etc.

However, it should be highlighted that proposing methods is not a prior task that should be addressed in the evaluation plan. Specific methods for each type of evaluation shall be adapted and described in more detail by the evaluators in the evaluation design.

### 4.3.4 Timing

The evaluation plan should specify the timing for each type of evaluation. Depending on the type of evaluation and the evaluation criteria covered, two main time periods are relevant:

- **during the programme implementation/ongoing** (in case of process evaluations and evaluations at SO/operation level). Ongoing evaluations can be focused on different evaluation criteria depending on the programme. They should also support the mid-term evaluation of the EMFAF programme 2021-2027 that is expected to be conducted by the
Commission in 2024 (e.g. process evaluations or other types of evaluations that may be conducted by 2024 if implementing data will be available).

- **programme closure/ex-post:** Ex-post evaluations may be carried out for all evaluation criteria: relevance, effectiveness, efficiency (if costs are compared with achieved results), coherence and EU added value of the EMFAF programme.

**Figure 5: Indicative timeline of the evaluations at MS level**

4.3.5 **Programme data**

The evaluation plan should indicate the quantitative and qualitative data that the EMFAF programme can provide for each type of evaluation. Relevant data may include:

- **Infosys data:** Infosys\(^{15}\) is the database structure for the collection and reporting of the EMFAF monitoring data.
- **programme implementation documents** provided by the MA and IBs (e.g. performance review, project application documents, etc.).
- **data collected through surveys conducted by the MA.**
- **additional (qualitative) data from scheme-managers**, if available.
- **statistical data** from national sources, Eurostat, etc.
- **other related data** (e.g. provided by DG MARE).

Relevant data that cannot be provided by the programme must be collected by the evaluators.

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\(^{15}\) Infosys data are combined with output and result indicator values at the individual operation level including basic operation information, beneficiary information, financial data, type of operation (one per operation), result indicators (including baseline values, estimated result values before the operation and values achieved after the operation). Data are reported twice per year (31 January and 31 July as of 31 January 2022).
4.3.6 Data quality control
The evaluation plan should indicate whether the data provided by the programme are already subject to quality control or whether this is the evaluators’ responsibility.

In this context, the plan should describe the effective quality control mechanisms (e.g. data quality documentation, triangulation) that are or will be included to assure a sufficient level of quality of the programme data. Importance should be given to quality data management, including collecting and recording data, cleaning data, storing and backing up data.

Good data management and quality assurance should ensure that data are:

- valid. Data measure what they are intended to measure.
- reliable. Data are collected consistently.
- complete. No missing data or data elements.
- precise. Data have sufficient detail.
- intact. Data are protected from deliberate manipulation for political/personal reasons.
- available. Data are accessible so they can be validated and used for other purposes.
- representative. Conclusions can be drawn from the data collected.
- timely. Data are up-to-date and available on time.

Depending on the MS, the data quality control may be performed by the programme management (e.g. as an ongoing process or during the preparation of their internal performance review) or by the evaluators in cooperation with the programme management.

In both cases, cooperation among relevant bodies is key to integrate all available data sets and information, to identify possible data gaps and ensure the commitment towards high quality data. Ensuring data quality also extends to presenting the data appropriately in the evaluation report so that the findings are clear and conclusions can easily be drawn.

4.4 Part 4: Support the annual performance review of the programme
This part of the evaluation plan should:

- assist the MS in the annual performance review of the EMFAF programme by supporting its progress in monitoring and reporting (e.g. in data collection, data analysis, elaboration of conclusions, etc.).
- help the MS and the evaluators to better understand the achievements and identify potential gaps in the M&E system.

A good performance review of the programme should also help to better inform the Commission on the achievements made by the MS.

The evaluation plan could indicatively cover the following aspects:

4.4.1 Data collection
Based on Article 41 (3) of the CPR, the MS shall no later than 1 month before the APR meeting provide the Commission with concise information on the elements listed in Article 40(1) of the CPR. This information shall be based on the most recent data available.
In this context, the evaluation plan may include activities that help the MS to better prepare the information for the APR and identify potential gaps which hinder the provision of sufficient and appropriate monitoring data on time.

4.4.2 Data analysis
Data collected by the programme (e.g. Infosys monitoring data) are important in monitoring the progress of the EMFAF programme. However, managing authorities in the MS do not always have the capacities or expertise in analysing the data and drawing conclusions in the context of the programme performance review.

In this regard, the evaluation plan may include measures that support the MA in:

- analysing the data collected via Infosys for the preparation of the APR.
- revising the surveys conducted by the MA and analysing the data collected through these surveys.
- analysing contextual data necessary for the APR (e.g. from national statistics, Eurostat, etc.).

4.4.3 Conclusions
Following the data analysis, the evaluation plan may include activities that support the elaboration of conclusions on monitoring (annual performance review), such as on the progress made by the programme in achieving its milestones and target values in line with the proposed output and result indicators.

4.4.4 Recommendations
The evaluation plan may envisage activities that support the elaboration of recommendations on monitoring (annual performance review), such as:

- on the progress made by the programme in achieving its milestones and target values in line with the proposed output and result indicators.
- on revising the proposed indicators, as necessary (e.g. when a new indicator from the common set of indicators is needed to better reflect the achieved outputs and results or due to programme changes that may require adjustments in the monitoring system or indicators, etc.).

The plan may also envisage activities that support beneficiaries in better using the programme indicators when reporting their achievements (e.g. capacity building, workshops, etc.).

5 Recommendations and examples for programme-specific EMFAF evaluation plans
This chapter provides suggestions and concrete examples of evaluation plans for the EMFAF programmes based on the information available from the Member States. While the programmes and respective EP in different Member States may have different focus, these examples may help the MAs during the preparation of their evaluation plans.
## 5.1 Example from Czech Republic

### Table 11: Key aspects of the draft EMFAF evaluation plan in CZ

<table>
<thead>
<tr>
<th>Content of the Evaluation Plan</th>
<th>Key aspects covered in the evaluation plan EMFAF Czech Republic</th>
</tr>
</thead>
</table>
| Part 1: Coverage and objectives | • optimization of the implementation process as a whole.  
• the evaluation focuses on relevance, fulfilment of the objectives (effectiveness) of the EMFAF 2021-2027 and relevant parts of the Partnership Agreement, evaluation of the achievement of efficiency, coherence, added value at EU level, economy of public funds spent and sustainability of outputs and results of implemented activities. |
| Part 2: Organisation and coordination (evaluation framework) | Evaluations are organised and delivered by the following authorities:  
• **evaluation unit of the Managing Authority**  
  – composed of MA staff with expertise and experience in programme implementation.  
  – ensures coordination of the evaluation process in the preparatory phase (ensuring sufficient financial resources for the implementation of evaluations, preparation of the EP including preparation of the budget) and in the implementation phase (preparation of the ToR for the selection of external evaluators, tender evaluation, communication with external evaluators, assessment of evaluation outputs, publication of evaluation results, etc.).  
  – supports the work of the NCA (National Coordination Authority) evaluation unit by participation of its representatives in the work and advisory bodies of the NCA evaluation unit or by direct cooperation.  
• **MA Evaluation Working Group**  
  – composed of representatives of the MA evaluation units, a representative of the Intermediate Body (State Agricultural and Intervention Fund), a representative of the NCA evaluation unit (see below).  
  – plays in particular the role of an advisory and coordinating body for the framework evaluation activities, such as drawing up the EP, developing evaluation capacity activities, using the evaluation results and submitting them to the Monitoring Committee of the EMFAF programme.  
  – meets at least once a year (in person or online).  
• **evaluation expert teams**  
  – prepare external evaluations commissioned according to the evaluation plan.  
  – external independent bodies with expertise in the field of evaluation of subsidy programmes, which are selected by public procurement in accordance with the Public Procurement Act, the Public Procurement Methodology and other relevant regulations. |

Other entities affected by the evaluation activities and outputs are:  
• **Monitoring Committee of the Fisheries Programme**  
  – MA provides the members of the MC with information on the course of the evaluations carried out and their results, including information on how to communicate the results to stakeholders.  
  – evaluation unit of the MA presents the results and final reports of these activities at the MC meeting.  
  – MA can take into account the proposed recommendations when cooperating on the implementation of the programme.  
• **evaluation unit of the National Coordination Authority (NCA)**
- ensures the implementation of internal and externally commissioned evaluations for the needs of the NCA or other relevant partners and clients.
- coordinates the activities of the evaluation units of the Managing Authorities.
- ensures the exchange of information and experience between evaluation units.
- ensures communication with relevant partners at national and European level and builds an evaluation culture for EU funds or the wider Czech administration.

- **NCA Evaluation Working Group**
  - consultative and Coordinating Authority for the NCA’s framework evaluation activities.
  - members of this group are mainly representatives of all operational programmes.
  - aims to exchange information and experience and to coordinate a common approach to the implementation of selected evaluations.

- **FAMENET** (supporting DG MARE and the Member States in the implementation and the monitoring and evaluation of the EMFAF programmes).

### Approval process of the Evaluation Plan

<table>
<thead>
<tr>
<th>EP</th>
<th>Evaluation NCA</th>
<th>MA Evaluation Working Group</th>
<th>Monitoring Committee</th>
</tr>
</thead>
</table>

EP was informally consulted with FAMENET

### Part 3: Technical aspects of the evaluations

1. **Baseline study**: A methodology to evaluate the impact will be established. The baseline values will also be set and evaluated through this study, which will serve as a pilot component to evaluate the impact of the programme.
   - **Type**: Thematic study to prepare the impact evaluation (no evaluation)
   - **Evaluation criterion**: -
   - **Expected timeline**: 2023

2. **Evaluation of the performance framework** - Regular (ongoing) evaluations of the achievement of milestones and specific objectives during the implementation, depending on the available data. The evaluation results will be processed into a summary evaluation, which will serve as a basis for the evaluation of the Partnership Agreement (processes by the Ministry for Regional Development of the Czech Republic (MRD)).
   - **Type**: Evaluation at operation level
   - **Evaluation criterion**: effectiveness
   - **Expected timeline**: 2024 and 2028

   - **Type**: Process evaluation, evaluation at SO/operation level, thematic studies
   - **Evaluation criteria**: relevance, effectiveness, efficiency, non-discrimination, visibility
   - **Expected timeline**: 2024-2027
4. **Ex-ante FI**: Update of the assessment of the use of the FI for the period 2014-2020, including an assessment of the use of the FI for the period 2028+.

**Type:** Process evaluation, evaluation at SO/operation level

**Evaluation criteria:** relevance

**Expected timeline:** 2025

5. **Evaluation of SEA Indicators**: On the basis of the opinion pursuant to Act No. 100/2001 Coll., §10h, the indicators will be evaluated twice during the period as to whether they meet the SEA criteria.

**Type:** Process evaluation, evaluation operation level

**Evaluation criteria:** effectiveness

**Expected timeline:** 2025 and 2028

6. **Analysis for the preparation of period 2028+**: A) Updating MNSPA, including identification of needs; B) SEA of EMFAF Programme 2028+ and SEA MNSPA 2030+; C) Evaluation/update of absorption capacity, setting of monitoring indicators including determination of target values. The evaluation aims to contribute to the creation of a quality programming document, to optimise the allocation of funds.

**Type:** Ex-ante process, impact, strategic and environmental evaluation

**Evaluation criteria:** relevance

**Expected timeline:** 2026-2027

7. **Impact analysis**: Based on the baseline study, an analysis of the impact of the EMFAF Programme will be carried out.

**Type:** Ex post, impact

**Evaluation criteria:** relevance, effectiveness, efficiency, coherence, EU added value

**Expected timeline:** June 2029

8. **Ad-hoc evaluations**

9. **Synthesis of evaluations for 2021-2027**: Summary of evaluations during the reporting period.

<table>
<thead>
<tr>
<th>Part 4: Support the APR of the programme</th>
<th>Not specifically addressed</th>
</tr>
</thead>
</table>

### Main challenges and suggestions

- **Main challenges**
  - analysis of the impact of the EMFAF Programme (impact evaluations) – new responsibility of MS in the programming period 2021–2027.
  - realization of complex evaluations on right time.
  - obtaining a quality evaluator in the case of an external contractor.
  - bring all evaluations to a successful conclusion.

- **Key aspects of the EP**
  - to have an EP set up to assist in the programme management and to find weaknesses in time so that improvement measures can be applied in time.
  - EP should be a tool for good implementation management, not as an extra bureaucratic activity.

- **Suggestions**
  - plan an indicative evaluation schedule in advance.
• do not plan too many evaluations in programming period.
• start preparing public tenders for suppliers of external evaluations on time.
• evaluate the qualifications of the evaluation team as a part of public procurement.

Source: FAMENET, 2022 based on the presentation of the Ministry of Agriculture of the Czech Republic on 12.10.2022

5.2 Example from Sweden

Table 12: Key aspects of the draft EMFAF evaluation plan in SE

<table>
<thead>
<tr>
<th>Content of the Evaluation Plan</th>
<th>Key aspects covered in the evaluation plan EMFAF SE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part 1: Coverage and objectives</td>
<td>The purpose of the evaluation plan is to ensure that sufficient, relevant, and appropriate evaluation activities are carried out, in order to:</td>
</tr>
<tr>
<td></td>
<td>• monitor that the Swedish Marine, Fisheries and Aquaculture Programme is achieving its objectives in the best possible way.</td>
</tr>
<tr>
<td></td>
<td>• ensure that the information (including data) and resources needed to evaluate the programme, during the programming period and ex-post, are available.</td>
</tr>
<tr>
<td></td>
<td>The objectives of the evaluation activities are:</td>
</tr>
<tr>
<td></td>
<td>• ex-post evaluation of the impact of the programme in terms of its contribution to the achievement of the common specific objectives of the programme (Article 44(2) of Regulation 2021/1060).</td>
</tr>
<tr>
<td></td>
<td>• promote the efficient, effective, relevant and coherent design and implementation of the Programme (Article 44(1) of Regulation 2021/1060)</td>
</tr>
<tr>
<td></td>
<td>• contribute to a more efficient, effective, relevant and coherent design of future programmes (Article 44(1) of Regulation 2021/1060).</td>
</tr>
<tr>
<td>Part 2: Organisation and coordination (evaluation framework)</td>
<td>Governance and coordination</td>
</tr>
<tr>
<td></td>
<td>• Swedish Board of Agriculture, which is the Managing Authority for the Swedish Marine, Fisheries and Aquaculture Programme and is responsible for the implementation of the evaluation plan:</td>
</tr>
<tr>
<td></td>
<td>– planning, managing, coordinating and communicating evaluations.</td>
</tr>
<tr>
<td></td>
<td>– reporting to the Commission and the MC.</td>
</tr>
<tr>
<td></td>
<td>– proving information for evaluation by maintaining and building up decision and information systems for the management and payment of aid and the official statistics collected.</td>
</tr>
<tr>
<td></td>
<td>– ensuring that lessons and recommendations from evaluations are taken into account in the design and implementation of current and future programmes.</td>
</tr>
<tr>
<td></td>
<td>– promoting evaluation-related knowledge and skills among relevant stakeholders. Responsibility for sharing and promoting the knowledge and skills among relevant stakeholders between the National Rural Network and the Evaluation Secretariat.</td>
</tr>
<tr>
<td></td>
<td>• Evaluation Secretariat, which is responsible for the implementation of the evaluations established by Regulation 2021/1060, based on the Swedish EMFAF Programme 2021-2027. The Secretariat is established by the Swedish Board of Agriculture on behalf of the Government Office (Ministry of Enterprise and Innovation) and is responsible for:</td>
</tr>
<tr>
<td></td>
<td>– planning, administering, coordinating, communicating evaluations and managing the evaluation process.</td>
</tr>
<tr>
<td></td>
<td>– managing an annual operational plan to prepare the evaluations in good time. The operational plan is updated and refined every six months and specifies</td>
</tr>
</tbody>
</table>
when evaluations will start, aspects to be evaluated and who will coordinate the activities.

- participating annually in the MC meetings to present new evaluation findings and report on the progress of evaluation activities.

- **External reviewers.** Each evaluation is reviewed and quality assured by a functionally independent expert.
  - in general, two reviewers follow the evaluation from planning to the final evaluation report.
  - for each evaluation report, the reviewers write a review statement, which is published together with the report.
  - the reviewers also contribute methodological and subject matter expertise as needed, as well as surveys and analyses of trends and developments in society.

- **National Rural Network**, which participates in the evaluation activities related to the dissemination of information and the handling of results and recommendations. The network also supports the identification of evaluation topics that are important to beneficiaries. In particular, the network contributes to the dissemination of information to various stakeholders, through the network’s established channels.

- **Monitoring Committee**, which has overall responsibility for monitoring the implementation and achievement of the programme’s objectives, including evaluation activities. The MC approves the evaluation plan and any amendments to it. It also reviews progress in carrying out evaluations, summarises evaluations and follows up on the results (Article 40 of Regulation 2021/1060). Additionally, it has the opportunity to give its opinion on planned future evaluations. The MC includes members from around thirty organisations.

- **FAMENET** (supporting DG MARE and the Member States in the implementation and the monitoring and evaluation of the EMFAF programmes).

### Communication of evaluation results

**Primary audiences, channels and communication objectives**

<table>
<thead>
<tr>
<th>Actors</th>
<th>How</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Programme and section controllers within the Managing Authority and Paying Agency</strong></td>
<td>Dialogue and targeted support</td>
<td>Understand the evaluation results (primarily conclusions and recommendations) and perceive that the results are relevant and should lead to action.</td>
</tr>
<tr>
<td><strong>Actors involved in the process for steering towards the programme goals</strong></td>
<td>Analysis meetings and targeted documents</td>
<td>Understand the evaluation results and perceive that the results are relevant and should lead to action. Collect suggestions for evaluations.</td>
</tr>
<tr>
<td><strong>Other parts of the Swedish Board of Agriculture working with EU programmes</strong></td>
<td>Ladan website (for Paying Agency), the Swedish Board of Agriculture's intranet - film</td>
<td>Disseminate knowledge of relevant evaluation results.</td>
</tr>
<tr>
<td><strong>Monitoring Committee</strong></td>
<td><strong>Reporting</strong></td>
<td>(As required by the Regulation) Knowledge of evaluations carried out. Approve progress according to evaluation plan.</td>
</tr>
<tr>
<td>--------------------------</td>
<td>--------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Government Offices/Ministry</strong></td>
<td><strong>Dialogue</strong></td>
<td>Understand the evaluation results and perceive that the results are relevant and should lead to action. Collect suggestions for evaluations.</td>
</tr>
<tr>
<td><strong>Beneficiaries and other stakeholders</strong></td>
<td><strong>The blog “The programmes and the money””, The national rural network, according to the communication plan (seminars, etc.).</strong></td>
<td>Disseminate knowledge about evaluation results, the progress of the programmes, and the use of the information collected.</td>
</tr>
<tr>
<td><strong>Other decision-makers (according to the communication plan)</strong></td>
<td><strong>Dialogue according to communication plan</strong></td>
<td>Understand the evaluation results and perceive the results to be relevant and should lead to action. Collect suggestions for evaluations.</td>
</tr>
<tr>
<td><strong>Stakeholders (according to communication plan)</strong></td>
<td><strong>Evaluation report</strong></td>
<td>Document and disseminate knowledge about the evaluation, focusing on evaluation results.</td>
</tr>
</tbody>
</table>

- Follow-up of communication activities and use of evaluation results. Communication activities and the use of evaluation results will be monitored in the following ways:
  - statistics on downloads of evaluation reports and readings of “the programmes and the money” blog are compiled annually.
  - after an evaluation report has been published, a survey is sent to the report’s primary audience. The survey is used to improve future reports and includes questions on the report’s clarity, credibility, usefulness, constructiveness and ability to address different aspects of sustainability in a balanced way.
  - part of the process evaluation is to assess the communication activities carried out and how the evaluation results are handled by the authorities concerned.

| Part 3: Technical aspects of the evaluations | The selection of evaluation method is based on what is appropriate and possible in each situation to conduct an evidence-based evaluation. This implies the use of both quantitative and qualitative methods. To ensure that data collection is in line with the needs, **external evaluators have been attached to the evaluation activities at the start of the programme**. The aim is that they contribute to the planning of the evaluation methods and the necessary data.

- **evaluations** will be carried out by **external contractors**, and these will vary depending on the topic (see below)
- **follow-up reports** will normally be carried out by staff at the **Swedish Board of Agriculture** and are based on data collected in the program. |
Planned evaluations (carried out by external contractors)

- **Process evaluation on how well the support system works**: in order to improve the ongoing programme.
  
  **Type**: process evaluation
  
  **Expected timeline**: 2023-2024

- **Objective 1.4 Fisheries control and data**: whether/how the programme has promoted effective fisheries control and enforcement, including the fight against IUU fishing, as well as reliable data for knowledge-based decision-making. The objective with the largest budget.
  
  **Type**: ongoing evaluation (effectiveness)
  
  **Expected timeline**: 2026-2027

- **Objective 2.1 Economically sustainable aquaculture**: whether/how the programme has promoted economic sustainability in aquaculture production.
  
  **Type**: ongoing evaluation (effectiveness)
  
  **Expected timeline**: 2027-2028

- **Objective 2.1 Environmentally sustainable aquaculture**: whether/how the programme has promoted environmental sustainability in aquaculture production. Special calls for green transformation in aquaculture.
  
  **Type**: ongoing evaluation (effectiveness)
  
  **Expected timeline**: 2027-2028

- **Objective 1.6 Biodiversity**: whether/how the programme has contributed to the protection and restoration of biodiversity.
  
  **Type**: ongoing evaluation (effectiveness)
  
  **Expected timeline**: 2026-2027

- **Objective 1.1 Sustainable fisheries**: whether/how the programme has strengthened fishing activities that are economically, socially and environmentally sustainable.
  
  **Type**: ongoing evaluation (effectiveness)
  
  **Expected timeline**: 2027-2028

- **Final impact evaluation**: on the impact of the EMFAF programme as well as the achievement of objectives, impact of the aid, cost-effectiveness and lessons learnt.
  
  **Type**: Impact evaluation
  
  **Expected timeline**: 2028-2029

Planned follow-up reports (carried out by the Swedish Board of Agriculture, preferably the Rural Analysis Unit)

- **Predators** (support for the handling costs of trapped seals is new)
  
  Timeline: 2024

- **Equality and gender equality** (According to the CPR, gender mainstreaming must be taken into account and promoted, including in the evaluation of programmes. Equality is also mentioned in the regulation)
  
  Timeline: 2023-2026

- **Small-scale coastal fishing** (a topic that extends through the entire programme)
**Timeline: 2023-2026**

- **Innovation**  
  Timeline: 2023-2026

- **Collection and management of marine litter**  
  Timeline: 2023-2026

- **Skills development**  
  Timeline: 2023-2026

- **Animal health and welfare in aquaculture**  
  Timeline: 2023-2026

**Data and information strategy**

- The data system which is made up of the following elements (databases):
  - ALF - e-Application System, provides information to FLIT
  - FLIT - Case management system, also includes input and output indicators
  - KUND - Data on customers, providing information to FLIT
  - PULF - Programme for the Monitoring of Rural Areas and Fisheries, including budget, target values and indicator plan for inputs and outputs
  - BLIS - Program for extracting information from other systems. With BLIS, information from different registers can be brought together and records can be extracted for reporting and analysis.
  - DAWA - Provides data from previous counterparts for the above subsystems for previous programme periods. DAWA also provides access to time series spanning previous programme periods, to the extent that previous systems contain corresponding information.

- Supplementary data sources:
  - the European Fisheries Data Collection (DCF), the aquaculture register and the national fisheries control
  - additional data such as data to analyse the achievement of qualitative objectives, which will be collected either by the Agency or by external evaluators (e.g., through interviews, studies and questionnaires, depending on the evaluation topic and question). As the planning of evaluation activities becomes more detailed, there may be a need for data other than those identified in this plan.

- **Timetable and budget**

  Activities will start at the start of the programme and continue until 2029, with the final evaluation to be completed by 30 June 2029. Evaluation activities will be ongoing during the period.

**Part 4: Support the APR of the programme**

Not specifically addressed

**Main challenges and suggestions**

Based on the draft Evaluation Plan, the challenging evaluation criterion “efficiency” is addressed on the one hand in the early-stage process evaluation of the implementation system, and at the other hand, in the final impact evaluation dealing with the cost-effectiveness of actions.

The quality of the evaluation work is assured in several ways. Evaluators are consulted at the outset to specify the evaluation methodology and data requirements. Each evaluation is reviewed by external reviewers. Furthermore, the target group of the evaluations is asked whether they find the results useful.

Source: FAMENET, 2022 based on the draft evaluation plan prepared by the Swedish Board of Agriculture
## 6 Annexes

### 6.1 Annex 1: Content and outline of the evaluation plan

Table 13: Indicative content of the evaluation plan and aspects to be further elaborated in the detailed evaluation design

<table>
<thead>
<tr>
<th>Content of the Evaluation Plan</th>
<th>Aspects to be further elaborated in the detailed evaluation design</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Part 1: Coverage and objectives</strong></td>
<td>Not required</td>
</tr>
<tr>
<td>1. Coverage: Explain the programme(s) covered by the evaluation plan.</td>
<td></td>
</tr>
<tr>
<td>2. Objectives: Specify the overall objectives of the evaluation plan.</td>
<td></td>
</tr>
<tr>
<td><strong>Part 2: Organisation and coordination (evaluation framework)</strong></td>
<td>Not required</td>
</tr>
<tr>
<td>1. Main bodies and their responsibilities, and coordination mechanisms: Identify the main bodies involved in monitoring and evaluation and their responsibilities; set up mechanisms between MA for coordination and exchange on evaluations planned, findings and methodologies; define coordination tools with other actors (e.g. fisheries LAGs). MS or the MA shall also ensure that the necessary procedures are set up to produce and collect the data for evaluation.</td>
<td></td>
</tr>
<tr>
<td>2. Stakeholder involvement: Ensure the involvement of other stakeholders within the framework of the monitoring committees or in specific working groups established by the monitoring committees.</td>
<td></td>
</tr>
<tr>
<td>3. Evaluators and their engagement: Decide on the source of evaluation expertise (internal/external/mixed) and whether to engage an evaluation team for the whole period; define the provisions that ensure the functional independence of evaluation experts from the authorities responsible for programme implementation.</td>
<td></td>
</tr>
<tr>
<td>4. Quality control: Determine which group of actors should accompany the evaluations and control the quality of the evaluation results.</td>
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</tr>
<tr>
<td>5. Capacity building: Training activities for MA staff dealing with evaluation and fisheries LAGs.</td>
<td></td>
</tr>
<tr>
<td>6. Communication: Describe how the evaluation results will be communicated internally and externally and where they will be published.</td>
<td></td>
</tr>
<tr>
<td>7. Follow-up: Indicate the procedures in place for following up the findings and recommendations from the evaluation; describe the role of the MA, MC, departments and other actors in this process.</td>
<td></td>
</tr>
<tr>
<td>8. Budget: Indicate a total budget amount for the implementation of the plan during the programme life cycle, including preparatory activities for the next period (covering the evaluation costs, data collection, training etc.).</td>
<td></td>
</tr>
</tbody>
</table>
### Content of the Evaluation Plan

<table>
<thead>
<tr>
<th>9. Revision: Describe the procedures to be taken for possible revisions of the evaluation plan during the programme life cycle.</th>
</tr>
</thead>
</table>

**Part 3: Technical aspects of the evaluations**

1. **Evaluation guidelines:** State the technical EU and national guidelines and related documents for evaluations to be considered by evaluators (e.g., standards, previous evaluation plans, etc.).

2. **Evaluation type and topic:** Determine the type of evaluation and for which topic it is planned. Basically, the following types of evaluations can be distinguished:
   - ongoing process evaluation
   - evaluation at SO/operational level (e.g., cost-benefit evaluation, effectiveness evaluation)
   - impact evaluation
   - thematic studies such as special studies (cross-sectional goals), research studies (context, methods).

3. **Evaluation questions:** Formulate a limited number of general or topic-specific evaluation questions for each type of evaluation. While indicative methods may be included, it should be noted that identifying and describing the methods is a prior task that should be carried out by the evaluators in the evaluation design.

4. **Timing:** Specify the timing for each evaluation.

5. **Programme data:** Indicate the quantitative and qualitative data that the EMFAF programme can provide for each type of evaluation (gaps have to be filled by the evaluators).

6. **Data quality control:** Indicate whether the data provided by the programme is already subject to quality control or whether this is the evaluator’s responsibility.

**Aspects to be further elaborated in the detailed evaluation design**

- Not required
- Evaluation and judgement criteria, indicators, methods:
  - Specify the criteria/indicators; methods needed to answer the evaluation questions.

- Implementation period
- Evaluation deliverables and the delivery period
- Communication:
  - Specify the communication process with the client and the steering group

**Part 4: Support the annual performance review of the programme**

1. **Data collection:** Support in better preparing information for the APR meetings and identify potential gaps that hinder the provision of sufficient and appropriate monitoring data on time.

2. **Data analysis:** Support in the analysis of monitoring data collected by the MA.

3. **Conclusions:** Support in the development of conclusions on monitoring (APR).

4. **Recommendations:** Support in the development of recommendations on monitoring (APR).

- Other data: Specify and collect data that are necessary for the evaluation but cannot be provided by the client.

- Data quality control procedure:
  - Specify the procedure

- Procedure: Specify the procedure and timing of supporting the annual performance review

**Source:** FAMENET, 2022
6.2 Annex 2: Estimation of the evaluation budget

Table 14: Evaluation budget example

<table>
<thead>
<tr>
<th>Indicative cost categories</th>
<th>Type of evaluation X</th>
<th>Type of evaluation Y</th>
<th>Type of evaluation Z</th>
<th>Total costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal procurement costs</td>
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<tr>
<td>Internal costs for steering and managing the evaluations</td>
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<tr>
<td>Capacity building costs for internal staff</td>
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<tr>
<td>Amount to be contracted to evaluators</td>
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<tr>
<td>Other costs (for the preparatory activities for the period 2027+)</td>
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<tr>
<td>Total</td>
<td></td>
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</tr>
</tbody>
</table>

Source: FAMENET, 2022

Table 15: Estimation of the amount to be contracted to evaluators

<table>
<thead>
<tr>
<th>Evaluation activity</th>
<th>Range of working days (from – to)</th>
<th>Average daily rate</th>
<th>Range of total costs (from – to)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project management</td>
<td></td>
<td></td>
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<tr>
<td>Data collection</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Primary data</td>
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<td></td>
<td></td>
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<tr>
<td>Secondary data</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Analysis</td>
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<td></td>
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<tr>
<td>Reporting</td>
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<td></td>
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<tr>
<td>Dissemination</td>
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<td></td>
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<tr>
<td>Other costs</td>
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<td></td>
<td></td>
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<tr>
<td>Travels</td>
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<tr>
<td>Other related costs</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: FAMENET, 2022