



FAMENET

Working paper on EMFAF evaluation

FINAL
December 2023

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EUROPEAN COMMISSION – Directorate-General for Maritime Affairs and Fisheries

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Recommended citation:

EUROPEAN COMMISSION - Directorate-General for Maritime Affairs and Fisheries, Unit D.3 (2023): FAMENET Working paper EMFAF evaluation, Brussels

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Abbreviation

AER	Annual Economic Report
CPR	Common Provision Regulation
DCF	Data Collection Framework
EC	Evaluation Criteria
EMFAF	European Maritime, Fisheries and Aquaculture Fund
ESIF	European Structural and Investment Funds
EU	European Union
EUMOFA	European Market Observatory for fisheries and aquaculture
FAMENET	Fisheries and Aquaculture Monitoring, Evaluation and Local Support Network
FI	Financial Instruments
IB	Intermediate body
JC	Judgment Criteria
JRC	Joint Research Centre
KEQ	Key Evaluation Questions
MA	Managing Authority
MC	Monitoring Committee
MS	EU Member State
SBS	Structural Business Statistics
SCO	Simplified Cost Options
STECF	Scientific, Technical and Economic Committee on Fisheries
ToC	Theory of Change
ToR	Terms of Reference

1 Introduction

1.1 Background

More than just a legal requirement, the evaluation of the European Maritime, Fisheries and Aquaculture Fund (EMFAF) is essential to understand whether or not the fund was successful in achieving its goals, and to demonstrate these successes or failures to the wider public and identify possibilities for improvement.

Although there are far-reaching environmental, economic and sociological factors at work in EU fisheries policy, the EMFAF only represent a small portion of total European Structural and Investment Funds (ESIF) funding, and the resources available for evaluations are often limited when compared to other funds. It is necessary, then, for Managing Authorities (MA) to take a well-coordinated approach to evaluating the EMFAF to ensure that the highest quality evaluations can be delivered given the limited resources available.

1.2 Purpose and target groups

The purpose of this working paper is to:

- help MAs and intermediate bodies (IBs) comply with regulatory requirements and established best practices¹ for the evaluation of their EMFAF Programme;
- assist MAs and IBs in improving the programming, management and utilisation of the EMFAF and future funds; and
- build capacity and develop institutional knowledge among MAs and IBs, to ensure quality, consistency and completeness of EMFAF evaluations throughout the EMFAF 2021-2027 period.

1.3 Structure of the working paper

After this introductory chapter, Chapter 2 provides an overview of evaluations as a whole. Chapter 3 describes in-depth methodology for preparing and delivering evaluations for the EMFAF, and Chapter 4 outlines the life cycle of an evaluation. Chapter 5 closes with a description and timeline of the supplementary evaluation fiches that will be delivered over the course of the implementation of the EMFAF.

This working paper is also complemented by several additional evaluation fiches (see Table 1). The evaluation fiches provided by FAMENET will evolve over time based on the evaluation requirements and needs, and along the different evaluation phases of the MS. Each type of evaluation will be covered by one fiche, which can be used also as a stand-alone document. The fiches will include in-depth explanation and will provide support to the MS on how to conduct the different types of evaluations.

¹ *The best practices in this working paper are largely based on the European Commission. (November 2021), Better Regulation Guidelines and European Commission. (July 2023), EU Better Regulation Toolbox*

Table 1: Overview on how to use the EMFAF evaluation working paper and fiches.

Evaluation process	Working paper	Fiches
Evaluation preparation	Section 4.1	
Evaluation implementation	Section 4.2 Annex 6.3 (Methodology)	Fiches on process, efficiency, effectiveness and impact evaluation
Data management	Section 0	

Source: FAMENET, 2023

1.4 Acknowledgments

FAMENET would like to thank all DG MARE officers and Member States' Managing Authorities experts and officials for their active contribution to this paper.

In particular, we acknowledge the hard work and dedication of George KIRMIZIDIS from DG MARE Unit D3 in the completion of this paper. Without their continued support and guidance, this working paper would not have been possible, and for that FAMENET is extremely grateful.

Frequently Asked Questions

FAMENET aims to produce working papers that are as comprehensive as possible. However not everything can fit in a limited number of pages and things change over time and as new issues arise.

Over the course of the implementation of the EMFF and EMFAF, FAMENET closely communicates with a wide network of EMFAF practitioners and stakeholders and systematically collects information to develop a comprehensive body of knowledge on all FAMENET focus areas, namely monitoring and evaluation, community-led local development and communication. This is done on a continuous basis by compiling '**Frequently Asked Questions**' (FAQs) received from our network over the years. These FAQs are constantly updated to reflect the changing needs of EMFF/EMFAF stakeholders.

A comprehensive list of these FAQs can be found on the FAMENET website here: https://oceans-and-fisheries.ec.europa.eu/funding/famenet/famenet-frequently-asked-questions_en

Users of this working paper are invited to contact FAMENET at info@FAMENET.eu in case the need arises for clarification on any methodological topics related to the monitoring, evaluation, implementation or communication of the EMFAF, or related to Community Led Local Development (CLLD). These and other, such methodological questions will be anonymised and regularly added to the FAQ webpage for future reference, to the benefit of the wider community of EMFAF practitioners.

2 Understanding evaluations

2.1 What is an evaluation?

Conducting an evaluation is more than just counting figures and collecting data; evaluations of public policies and programmes allow us to learn whether policy interventions have worked well or not, and can provide us with factual evidence for these successes or failures.

A successful evaluation uses real-world evidence to judge **how well a policy intervention has performed compared to projections made prior to its implementation and baseline values collected in the context of the programme preparation.**

During an evaluation all relevant stakeholders are involved to provide insight into whether or not an intervention has achieved its intended result(s). The conclusions and lessons learned from evaluations should support the programme management and feed into the development of future policy interventions. Furthermore, they should help to improve the development and implementation of future policy interventions.²

2.2 How to organise evaluations

Evaluation management in EMFAF involves a multi-level approach that spans from the EU level to the national and regional levels.

EU Level: At the EU level, the European Commission (EC) takes the lead in coordinating and overseeing the evaluation of Cohesion policy funds. The EC develops and maintains the Monitoring and Evaluation Framework to ensure consistency and comparability across Member States. It also conducts thematic and strategic studies and evaluations to assess the overall impact of EMFAF on EU priorities and objectives.

National Level: Member States are responsible for implementing EMFAF at the national level and are required to have an evaluation plan in place. The programme management is required to conduct a minimum number of evaluations at national level. The evaluations can be internal done by an independent unit or externalised.

The evaluations will be accompanied by representatives of the programme management and examined by the Monitoring Committee (as lined out in Art. 40.1.e. of the CPR).

At the local level, fisheries local action groups (LAGs) are expected to monitor progress towards achieving their own strategic objectives and evaluate the implementation of their local development strategies (Regulation 2021/1060, Art 33). To support LAGs in planning and undertaking monitoring and evaluation. FAMENET plans a separate working paper for LAG evaluation.

2.3 Purpose of an evaluation

An evaluation aims, where possible, to draw conclusions about the causal effects of an intervention on the actual outcomes/results. Thus, it should provide an evidence-based assessment of whether an

² European Commission. (July 2023), *EU Better Regulation Toolbox #45*

intervention continues to be justified or where lessons learned can be used for improving future interventions.

Evaluations address the following questions:

- **what** has happened?
- **why** did it happen?
- **how much change** can be attributed to the intervention?
- **to what extent** does this change meet the original expectations/projections?

Better Regulation

This working paper incorporates relevant elements of the guidance outlined in the Better Regulation Guidelines³ and the Better Regulation Toolbox⁴ which set out the principles that the European Commission follows for new initiatives and proposals and when managing and evaluating existing legislation.

These documents contain methodological guidance on technical aspects of evaluating EU funds, including evaluation criteria and defining evaluation questions. The Better Regulation Guidelines are set out for Commission purposes; however, they can be useful for all MS evaluations as well, and serve as a valuable reference point for additional information.

As such, evaluations form the basis for a possible future revision of a policy intervention⁵. To do so, an evaluation should look at the wider perspective, identifying (and learning from) any unintended or unexpected effects (positive or negative) caused by the EU intervention. An evaluation goes further than typical monitoring or audit activities.

Difference between monitoring and audit.

Monitoring looks at **'what'** has occurred; i.e. the output of the intervention.

Compliance audit looks at **'how'** the internal control systems have functioned and how resources have been used at the implementation level.

Each evaluation question must address a single **evaluation criterion**. There are several evaluation criteria; however, there are some which should be addressed by all evaluation reports and others which can be selected according to the evaluation needs.

The main evaluation criteria as defined in the Common Provision Regulation (CPR) laying down common provisions on the eight Cohesion Policy funds, including the EMFAF and in the Better Regulation Guidelines and Toolbox of the European Commission published in 2021, are listed below:

- **Effectiveness:** how effective was an intervention in fulfilling expectations and meeting its objectives?

³ European Commission. (November 2021), *Better Regulation Guidelines*; European Commission. (July 2023), *EU Better Regulation Toolbox*

⁴ European Commission. (July 2023), *EU Better Regulation Toolbox*

⁵ European Commission. (July 2023), *EU Better Regulation Toolbox #45*

- **Efficiency:** how efficient was the intervention in terms of cost-effectiveness and proportionality of actual costs to benefits?
- **Relevance:** how relevant is the intervention to current and emerging needs?
- **Coherence:** how well-aligned is the intervention with other EU interventions or national/international strategies?
- **EU added value:** does the intervention produce results beyond what would have been achieved by MS actions alone?⁶

Additional evaluation criteria that can be included in the evaluations, as per the CPR, are 'inclusiveness', 'non-discrimination' and 'visibility'⁷.

⁶ European Commission. (July 2023), *EU Better Regulation Toolbox #45*

⁷ Regulation (EU) 2021/1060 of the European Parliament and of the Council, Article 44.

3 Evaluating the EMFAF

The evaluation of EMFAF programmes provides the perfect opportunity to assess the success or failure of EU funding in the maritime, fisheries and aquaculture sector, an important policy intervention at the regional, MS and EU level.

As was the case with the evaluation of previous funds for the EU maritime, fisheries and aquaculture policies, the requirements for the evaluation of the European Maritime, Fisheries and Aquaculture Fund (EMFAF) are defined in the regulatory framework, specifically in the Common Provisions Regulation (CPR), EU Regulation 2021/1060⁸.

3.1 Legal basis for EMFAF evaluations

The legal bases for EMFAF evaluations are defined in a number of articles of Regulation (EU) 2021/1060, also known as the CPR (Common Provision Regulation). The table below gives an overview.

Table 2: Requirements for the EMFAF evaluations in the CPR, Regulation (EU) 2021/1060

Element	Responsible	Delivery	Reference
<i>Submission of an evaluation plan to the monitoring committee</i>	Member State	≤ 1 year from programme approval	Article 44(5)
<i>Ongoing evaluations of EMFAF programmes (e.g. related to the evaluation criteria)</i>	Member State	Ongoing	Article 44(1)
<i>Mid-term evaluation</i>	Commission	End of 2024	Article 45(1)
<i>Impact evaluation</i>	Member State	30 June 2029	Article 44(2)
<i>Final performance report</i>	Member State	15 February 2031	Article 43(1)
<i>Retrospective evaluation</i>	Commission	End of 2031	Article 45(2)
<i>Website containing information on the programme, including all evaluations</i>	Member State	≤ 6 months from programme approval	Article 49(1)

Source: FAMENET, based the CPR, 2023

The CPR only lists general elements, and does not go into detail on the technical requirements for EMFAF evaluations. The decision on what types of evaluations will be carried out for the EMFAF and how the programmes will be analysed in detail is ultimately a decision of the MS and depends on the resources available and the needs of the national programmes. For this reason, additional guidance is needed to close this information gap and provide the MA with the tools needed to deliver the best evaluations possible given the open-ended nature of the regulatory requirements.

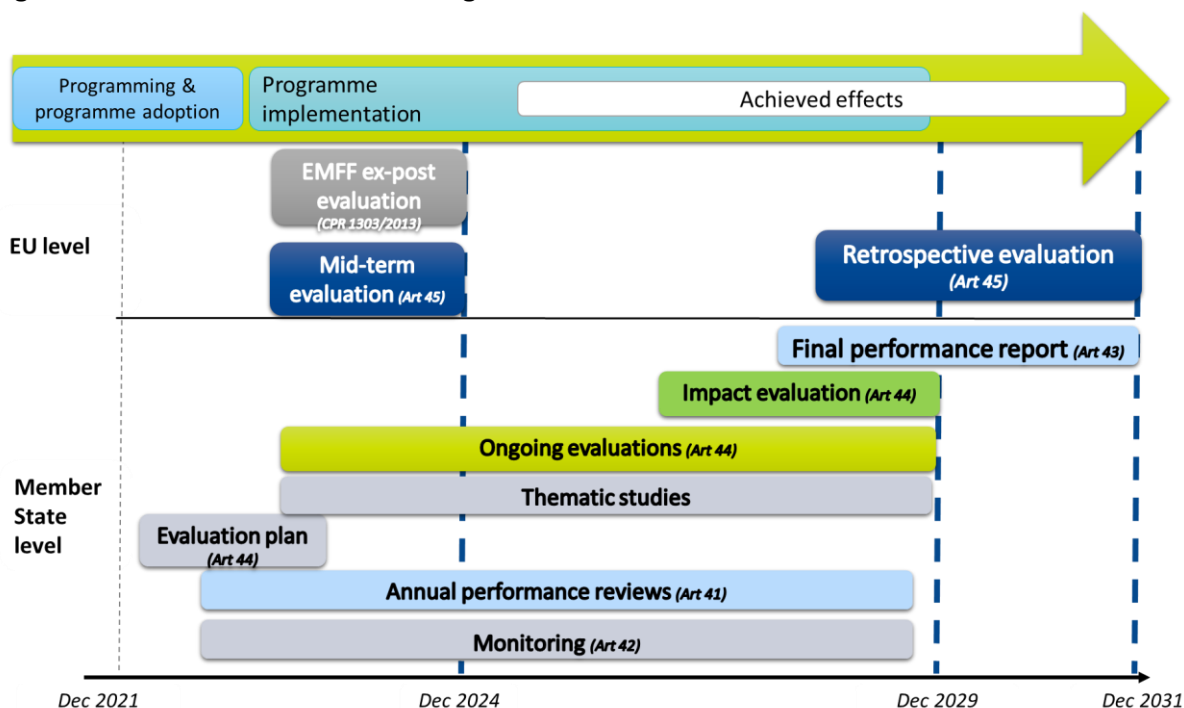
The following sections provide detailed methodology on the different types of evaluations to be delivered for the EMFAF.

⁸ Regulation (EU) 2021/1060 of the European Parliament and of the Council

3.2 Types of EMFAF evaluations and their timing

There are several types of EMFAF evaluations that can be carried out, each with different implementation timings in the programme life cycle; some are to be delivered at the EU level and some at the MS level (see Figure 1).

Figure 1: Timeline of EMFAF monitoring and evaluation



Source: FAMENET, based the CPR, 2023

At the **EU level**, the Commission must carry out a mid-term evaluation by the end of 2024 (CPR, Art. 45).⁹ The Commission shall also conduct a retrospective evaluation to examine the effectiveness, efficiency, relevance, coherence and EU added value of the EMFAF by 31 December 2031. It shall focus on the social, economic and territorial impact in relation to the EU policy objectives referred to in Art. 5(1) of the CPR. The environmental dimension of the EMFAF should also be considered based on the indicators and baseline studies of the Strategic Environmental Assessments of the EMFAF programmes¹⁰.

At the **MS level** there is no legal obligation for MS to carry out a mid-term evaluation for the EMFAF by 2024. The MAs shall carry out ongoing evaluations of the programmes to improve the quality of the design and implementation of programmes and an impact evaluation at the end of the programme implementation. Finally, the MS are asked to provide a final performance report by 2031. The **impact evaluation** carried out by the MS by 2029 should feed into the EU level retrospective evaluation. This

⁹ Regulation (EU) 2021/1060 of the European Parliament and of the Council, Article 45(1).

¹⁰ SEA based on the EU Directive 2001/42/EC of the European Parliament and of the Council of 27 June 2001 on the assessment of the effects of certain plans and programmes on the environment, as transposed into national legislation

implies that MAs can conduct a variety of possible studies and evaluations throughout the programme implementation. The table below explains different types of studies and evaluations **at the MS level**.

Table 3: Type of studies and evaluations at MS level

Type of evaluation		Focus	Relevant evaluation criteria	Suggested timing
Thematic studies		Thematic studies might be necessary at the beginning or during of the evaluation process, to either provide a comparison between the achievements of the intervention and the status-quo before the intervention occurred or to complement evaluation studies. This allows for more robust evaluation results in future evaluations. Thematic studies can be for specific sectors, or for the whole programme.	n.a.	2021-2024
Ongoing evaluation	Process evaluation	This type of evaluation focuses on the performance of EMFAF programme activities related to the delivery system, resource management and coordination of EMFAF implementation, selection procedures of applications, calls for funding, implementation of SCOs, stakeholder involvement, internal and external communication and coordination with other funds.	Relevance Effectiveness Efficiency	2023-2027
	Implementation evaluation	This type of evaluation should address one or more of the evaluation criteria. It should cover the performance of the EMFAF programme activities related to the achievement of target values, achieved direct and immediate results for the beneficiaries, and reduction of the administrative burden. Other criteria could also be covered e.g., inclusiveness, non-discrimination and visibility, etc.	Effectiveness Efficiency Coherence Relevance	
Impact evaluation		The impact evaluation focuses on the change the EMFAF programme achieved for its target groups/sector. This change should be analysed beyond immediate effects and against a baseline.	Effectiveness Efficiency Coherence EU added value	2027-2029 (till 30 June 2029)
Final performance report		A final performance report of the EMFAF programme focuses on the achievements of the programme objectives, issues affecting the programme performance and the measures taken to address those issues, as well as other elements laid down in Art. 40(1) of the CPR (except point (d)).	Effectiveness	2030 (Till 15 February 2031)

Source: FAMENET based the CPR, Articles 43 and 44, 2023

The MA should choose the types of evaluation they plan to conduct throughout the EMFAF programme period and their implementation time. The choice of the type and number of evaluation

depends on the status of the programme implementation, the needs of specific evaluation results and the budget available for evaluations. These choices should be documented in the programme evaluation plan. The different types of evaluations and supporting actions that can be carried out by the MS are described below.

3.2.1 Thematic studies supporting evaluations

There can be multiple thematic studies used to support evaluations. Thematic studies can be used for different purposes:

- At the beginning of the programming period to establish a 'baseline'¹¹, starting point against which the programme-induced change is measured in an impact evaluation.
- In-depth studies throughout the programming period, which focus on particular aspects of the programme implementation and complement evaluation studies.

In both cases the preparation and planning of the study and its link to specific evaluations should be clarified at the beginning of the programming period.

The difference between an evaluation and a thematic study is that the latter focuses on analysing a specific thematic aspect and does not follow the standard evaluation structure. However it should always be linked to an evaluation. The link between the thematic study and the evaluation should be already clearly outlined in the evaluation plan.

There is no standard outline of a thematic study and it can cover for example the following aspects:

- status quo of a sector,
- dynamic and occurrence of species,
- impact of environmental changes or economic crises,
- level of satisfaction of beneficiaries,
- inclusiveness, non-discrimination, visibility of interventions,
- etc.

Thematic studies can range from simple surveys to in-depth research papers. However, the purpose of the study should be clearly defined and linked to the respective evaluation.

3.2.2 Process evaluation

A process evaluation focuses on assessing the delivery mechanism of the EMFAF programme. It should help to reduce/eliminate inefficiencies and strengthen positive features in the delivery system during the programme period. Thus, it should determine whether or not the delivery system:

- is effective,
- is efficient,
- improved compared to the previous period, and
- implemented lessons learned from previous evaluations.

¹¹ For further information on baseline see European Commission. (July 2023), *EU Better Regulation Toolbox #60; Toolbox #16*

A process evaluation can be carried out several times during the programming period depending on the size of the programme and the available budget.

A process evaluation could address the following aspects:

1. **effective involvement of socio-economic partners**, with the underlying evaluation question: *'How effectively were the stakeholders and socio-economic partners involved in the decision-making process in the programme preparation phase as well as in the programme implementation phase?'*
2. **effective programme delivery system**: The evaluation should assess whether the delivery system effectively supports programme implementation. This includes launching tenders and calls, supporting applicants, selecting applications, decision making processes, contracting and payments, providing user friendly IT tools guiding and simplifying the application/reporting process for applicants and beneficiaries. The underlying question is: *'How effective are the administrative processes from application to operations' completion and the management structures?'* Furthermore the evaluation should address how effective the monitoring and data collection system works and the milestones and target reached.
3. **implementation of horizontal principles**: the evaluation should address the horizontal principles according to the Article 9 of the CPR. The underlying questions are: *'have actions to mainstream and promote the horizontal principles been effectively implemented?'*
4. **implementation of lessons learned**: Furthermore, the evaluation should address whether the programme delivery system has improved compared to the previous period and how it benefited from lessons learned with the underlying question: *'How were lessons learned from previous evaluations implemented and how did the changes effectively improve the process?'*
5. **efficient programme delivery system**: The evaluation should assess the efficiency of the administrative processes in terms of resources used and timing, the cost-benefits balance of administrative procedures and improvements in efficiency compared to the previous programming period. The main focus lies in the reduction of workload, implementation of digital solutions, and efficiency of the communication system among programme management bodies and in contact with beneficiaries. The underlying question is: *'How efficient are the programme implementation activities in terms of costs and time?'*
6. **efficient implementation**: The evaluation should address the time- and cost-efficiency of the delivery system and the programme implementation activities. This includes elements such as simplification measures (change/reduction of requirements in the application and reporting process (simplified forms, user friendly IT tools etc.), Simplified Cost Options (SCO) and financial instruments (FI). The underlying questions are *'How cost- and time-efficient is the programme delivery system and the programme implementations activities?'*
7. **effective communication**: The evaluation assesses whether the main target groups have been reached, and if so, how? It should not simply examine the communication strategy content as a strategic text but also systematically review the frequency of communications and channels used, and capture the perception of target groups. The underlying question is: *'How effective and efficient are the communication actions in achieving the intended communication results for the specific target groups?'*

How many process evaluation cycles are necessary?

FAMENET recommends to conduct at least two process evaluations during the programming period; one early on, for example in 2024 and a second one in 2026. Process evaluations should focus mainly on those aspects in the delivery system which are newly implemented and/or underwent significant changes (staff change, change of application/beneficiary support, application system etc.) and those aspects which did not work well in the past and had been changed.

A detailed methodology for the design of process evaluations, including evaluation questions, judgment criteria, evaluation indicators and methods, is provided in the process evaluation fiche accompanying this working paper.

3.2.3 Implementation evaluation

The implementation evaluation should help to demonstrate whether the programme is still on track to achieve its objectives, and whether external and/or internal circumstances have interfered with the achievement of these objectives. An implementation evaluation can be carried out several times during the programme implementation. It focuses mainly on the effectiveness, efficiency, coherence and relevance of the programme implementation.

The implementation evaluation could address the following aspects:

- 1. achievement of the milestones and targets for each specific objective:** The evaluation covers the timeframe in which the programme aims to achieve output and result targets and analyse reasons for deviations, if any. The underlying evaluation question is: *'Is the programme on track in terms of achieving its milestones and targets?'*
- 2. efficient implementation of operations:** While the process evaluation focuses on the efficiency of the delivery system, the implementation evaluation should focus on the efficiency of the implementation of operations and the delivery of outputs and results. The underlying question is: *'Are the costs to deliver outputs and achieved results justifiable?'* An additional question can be: *'Did the introduced simplification measures contribute to increasing efficiency of the delivery of outputs and results?'*
- 3. relevance of the programme's support in relation to the actual needs of the sector:** Relevance of the programme's planned actions is the core of the programme strategy. However, it is necessary to analyse in certain intervals whether the programme strategy is still valid or whether changing context and external factors and subsequently changing needs necessitate adjustments. The underlying question is: *'Does the programme still respond to the actual needs of its target groups?'*
- 4. coherence of the programme in relation to other strategies, funds and policies:** The evaluation should assess whether the programme is coherent with the EU policies, national and regional strategies in place as set out in the partnership agreement. For example, after the programme preparation phase, new EU or national strategies might come into place, which are relevant for the programme but due to their later formulation they were not considered during the preparation phase. The underlying question is: *'Is the programme still coherent with existing EU, national or regional strategies and does it exploit synergies?'*

What is the best level for an implementation evaluation?

There is no rule how to address the different specific objectives in the evaluation. It may be useful to address related specific objectives together or each specific objective separately.

A detailed methodology for the design of implementation evaluations, including evaluation questions, judgment criteria, evaluation indicators and methods, is provided in the implementation evaluation fiche.

3.2.4 Impact evaluation

An impact evaluation is obligatory for all MS EMFAF programmes and must be finalised by 30 June 2029.¹² This evaluation goes beyond the achievements of targets and should analyse whether EMFAF-funded operations have induced a change in the sector. To be able to assess the change made, the achievements need to be compared against a baseline situation.

The impact evaluation should support future programmes implementation (post 2027 and beyond) and will feed into the European Commission's retrospective evaluation. It should address the following aspects:

- **effectiveness of the programme contribution to changes in the sector:** The analysis should look closely at the effects and benefits of the EMFAF to different stakeholders and to the relevant sectors in general. It should identify external factors affecting these benefits and how these factors relate to EMFAF, including the identification of unintended and unexpected effects that might have occurred. The underlying question is: *Has the programme effectively contributed to an intended change related to the programme intervention logic, selected specific objectives and related common result indicators?*
- **efficiency of the programme contribution to changes in the sector:** The analysis should address the benefit of the induced changes in relation to the resources. It should compare the costs with the benefits co-generated by the intervention (identified under the effectiveness criterion), and explore further potential for simplification and reduction of administrative burden. The underlying question is: *Has the programme efficiently contributed to an intended change related to the programme intervention logic, selected specific objectives and related common result indicators?*
- **relevance of the programme interventions:** relevance evaluation should analyse the relationship between past needs (during programming, cf. SWOT and needs analysis in the programme), developments in the sectors and future needs and challenges in the EU and the programme objectives. The underlying question is: Did the programme interventions remain relevant in a changing environment?
- **coherence of the programme interventions:** coherence evaluation will analyse how well the programme interventions are aligned with other strategies and programmes and how well (or not) different interventions, EU/international policies or national/regional/local policy elements work together. The evaluation questions address the external coherence (*Were the programme interventions coherent with other strategies and programmes?*) as well as the internal coherence (*Were the programme interventions coherent within one another or did they contradict each other?*). In addition, possible synergies should be identified.

¹² Regulation (EU) 2021/1060 of the European Parliament and of the Council, Article 44 (2).

- **EU added value** addresses changes achieved by the EMFAF and how these changes would have been reasonably achieved by national actions supported by the MS (without the EMFAF support). The underlying question is: *Would the changes have been achieved in the same intensity, quality or would they have been achieved at all?* In addition, the evaluation should analyse whether the achievements would have covered the same regions in the MS.

A detailed description of the impact evaluation design will be provided in the impact evaluation fiche (planned to be developed and published in 2024).

4 Evaluation life cycle

Programme life cycle management is a systematic approach for managing the development, implementation, and maintenance of programmes. It encompasses all the stages of a programme's life cycle and supports programme management. Evaluation follows a similar life cycle responding to each programme life cycle phase. The evaluation life cycle pictures the links between the different stages of programme implementation and indicates how the different evaluations can support the programme evolution.

The evaluation life cycle (Figure 2) includes:

- **Evaluation preparation**¹³: this is strongly aligned with the **programme preparation**, since during this phase all aspects of the evaluation process, which will later have an impact on the evaluations itself, should be prepared. These are then outlined in an '**evaluation plan**'. Other preparation steps are also implemented such as setting up of an evaluation steering group (if needed), detailed evaluation planning and public procurement for the selection of external evaluation experts.
- **Data management**: this is carried out by the programme bodies and should support the entire evaluation life cycle.
- **Conducting evaluations**: evaluations are conducted by independent expert(s) in coordination with the MA and other programme bodies.

Figure 2: Evaluation life cycle



Source: FAMENET 2023

¹³ Evaluation plan should be finalised one year after the approval of the programme

An overall timeline of the evaluation-related activities to be carried out by the programme management along the evaluation life cycle is best summarised in the form of a ‘roadmap.’ (see Annex 6.1).

4.1 Evaluation preparation

This section covers the main aspects that should be considered during the evaluation preparation, including:

- set-up of an evaluation steering group (if needed)
- development of the evaluation plan
- detailed evaluation planning
- public procurement process

4.1.1 Set-up of an evaluation steering group (if needed)

The steering group is not obligatory. However, in order to organise an efficient coordination and cooperation between the evaluation experts and the programme management, a steering group (ideally not more than 3-5 persons) might be worth considering.

The MS may set up 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 (size, MA staff, priorities, scale and delivery) and the tasks assigned to the group. As a minimum, the group should include representatives from the MA (especially from the evaluation unit, if existing), IBs, financial audit and possibly important stakeholders and thematic experts (e.g. environmental, economic, social, etc.).

4.1.2 Development of the evaluation plan

The MA must prepare an evaluation plan, which serves as a baseline and a tool for institutional memory. Its key elements are:

A. Coverage and objectives

B. Organisation and coordination (evaluation framework)

- main bodies and their responsibilities, and coordination mechanisms
- stakeholder involvement
- evaluators and their engagement
- capacity building
- communication
- follow up
- budget
- revision

C. Technical aspects of the evaluations

- evaluation guidelines
- evaluation type and topic
- evaluation questions
- timing

- programme data
- data quality control

With the evaluation plan the MA should have a clear picture of:

- what type of evaluations will be carried out during the EMFAF programme period?
- what data is needed to conduct the evaluations?
- what has to be done in the preparation of the evaluations?

When planning an evaluation, it is also important to make a preliminary assessment of data needs and availability and to consider how long the EU intervention has been operating. This will allow to make clear from the start what the analysis will be able to deliver¹⁴.

The purpose of the evaluation plan is to outline the future evaluations and communicate this to the Monitoring Committee. For detailed information on the evaluation plan, please see the FAMENET Working Paper on the Evaluation Plan, (December 2022)¹⁵.

4.1.3 Detailed evaluation planning

In most cases, the evaluation plan, being a strategic document, might not contain all relevant information required for the public procurement process. In such cases a more detailed plan, which may take the form of an internal document, is may be required to provide more detailed information about the scope of the evaluations, evaluation questions, resources and necessary evaluation expert qualifications (see Table 4).

Table 4: Aspect to be decided in the evaluation plan for each evaluation

Organisational aspects	Description
Steering group	Description of the role of the Evaluation Steering Group and planning of meetings and organisation.
Scope of the evaluation	The number of evaluations should be in proportion to the size of the programme. When deciding where to focus your evaluation efforts, consider: <ul style="list-style-type: none"> • to what extent has the programme already been implemented? • what are the intended outcomes of the evaluation? • who is the target group for the evaluation results? • is there sufficient data available to measure achievements? • how significant (in terms of budget, sensitive areas, relevant sectors) is the intervention likely to be in shaping future processes or programmes?¹⁶
Principle approach of evaluation	For each evaluation the MA needs to decide on the preferred evaluation approach; these include: <ul style="list-style-type: none"> • Theory based impact approach / contribution analysis, by establishing a theory of change (ToC) model for addressing the extent to which the

¹⁴ European Commission. (July 2023), EU Better Regulation Toolbox #45

¹⁵ FAMENET 2023

¹⁶ UK Economic and Social Research Council. (April 2011), Evaluation: Practical Guidelines

Organisational aspects	Description	
	<p>programme or intervention has achieved its intended changes with a wide variation of indicators and criteria.</p> <ul style="list-style-type: none"> • Counterfactual impact evaluation/ attribution analysis, addressing a small set of indicators. 	
Methodological focus	<p>The required methods in the evaluation have an impact on the budget. Desk research and interviews are the minimum requirements for an evaluation.</p> <p>Data collection methods such as surveys or analysis methods such as the counterfactual analysis¹⁷ require more budget and time for the evaluation experts.</p>	
Detailed evaluation questions along evaluation criteria	<p>Definition of a set of detailed evaluation questions which should reflect the actual need of the programme management. The evaluation questions could be structured along the evaluation criteria.</p>	
Define the budget for the evaluation	<p>Use methodologies and types of evaluations that are proportionate to the size of the programme and/or the focus of the evaluation.</p>	
Decide whether the evaluation will be done by an external team, an internal team or a hybrid of both¹⁸	<p>Advantages of external evaluation</p> <ul style="list-style-type: none"> • unbiased • experience in evaluation • state of the art evaluation methods • higher acceptance of results 	<p>Disadvantages of external evaluation</p> <ul style="list-style-type: none"> • expensive • contextual and experiential insight into organization and/or sector may be missing • in-depth knowledge requires collaboration with programme bodies and beneficiaries
	<p>Advantages of internal evaluation</p> <ul style="list-style-type: none"> • cheaper • faster process • contextual and experiential insight into organization and sector ownership of results 	<p>Disadvantages of internal evaluation</p> <ul style="list-style-type: none"> • possible lack of evaluation expertise • perceived lack of objectivity • lack of “outside the box” thinking
Decide the number and type of contract	<ul style="list-style-type: none"> • One evaluator for the whole period • Single contracts • Framework contracts 	

¹⁷ Counterfactual analysis is based on control groups, and evaluates the impact of the programme or intervention by comparing the actual achievements to what would have happened if the programme or intervention had not been implemented, using control groups. The control or comparison group represents a group of people who are similar to the programme or intervention beneficiaries, but who did not receive programme support. The outcomes of the control group are then used to assess what would have happened to the programme or intervention beneficiaries if they had not participated/supported by the programme or intervention.

¹⁸ Evaluations shall be carried out by internal or external experts who are functionally independent of the authorities responsible for programme implementation (Regulation (EU) 2021/1060 of the European Parliament and of the Council, Article 44 (3)).

Organisational aspects	Description
Define the necessary qualifications of the evaluator	<ul style="list-style-type: none"> • evaluation experience • experience in the relevant sectors • experience with the EMFAF and Structural Funds etc.
Identify which resources are available for the evaluation and what will be needed	The evaluation should be based on monitoring data (Infosys, other database of the organisation, organisational database, internal reporting, previous evaluations, list of participants, list of applicants, application forms, etc.) and where available baseline studies and other data sources (see Annex 6.2 Table 18).

Source: FAMENET 2023

4.1.4 Public procurement procedure

Public procurement procedures are processes through which public authorities in the MS purchase goods, services, works from private bodies, research institutions, etc. (in our case, this involves hiring external evaluation experts or companies to conduct evaluations).

Public procurement procedures at the MS level may vary depending on the type of contract and the MS awarding the contract. Therefore, each MA should consult their national regulatory framework on public procurement when launching calls for tenders for evaluation activities.

Content of the terms of references for calls

The ToR/tender specifications describe the requirements and expectations related to an evaluation, review, or similar study. They are typically developed during the planning phase of an assignment. They serve as the basis for the contract between the contracting authority of an evaluation and the external consultant(s) or a consultant company specialised in evaluations or functionally independent in-house staff carrying out the work.

The specifications of the public tender must reflect the legal requirements for evaluation in the respective country, and the principles of evaluation as outlined in the working paper.

Table 5: Possible elements of the administrative specifications of the tender

Administrative specifications	Description
Scope and description of the procurement	This section contains the description of the contracting authority, subject of the tender, place of performance, nature and volume of the contract and if applicable the electronic exchange system (e.g. e-Cohesion).
General information of the tendering	The general information contains the legal framework, access to procurement, participant register and how the tender should be submitted.
Language	The ToR should specify the working language and the reporting language
Structure of the offer	<p>The ToR may require offers to be structured in a particular format.</p> <ul style="list-style-type: none"> • For example, what is required in the technical offer and financial offer. • This could include different sections for the various parts of the technical offer, and another section covering the CVs of the team, the quality control arrangements, and the management plan, including risk management.

Administrative specifications	Description
	We recommend that the ToR specifies a maximum number of pages for the offer. This can make it easier to compare competing offer, and avoids padding that does not necessarily improve the quality of the offer.
Required qualifications of the team	The ToR should set out the expected profile of the evaluation team. This includes desired experience and credentials, and minimum professional requirements or competencies. The evaluation team should include expertise in fisheries as well as in EU programme management, evaluation and monitoring.
Guiding principles and values	The ToR should specify the ethical principles and procedures that the evaluators are expected to follow.
Annex	The annex contains the forms to be signed and submitted together with the offer.

Source: FAMENET, adapted from various tender specification documents from DG REGIO 2023

The technical specifications outline the requirements related to the methodology. A key part of the technical specifications for evaluations is the list of evaluation questions which are defined in the evaluation plan or in the internal detailed planning document, indicating also different evaluation criteria and sufficient data available. The table below proposes some the main elements of the technical specifications.

Table 6: Possible elements of the technical specifications of the tender

Technical specifications	Description
Background and context	Description of the strategy and objectives of the EMFAF programme being evaluated, along with the key development and implementation steps. The description explains the broader context of the programme in the MS and its link with national, regional and other EU interventions.
Programme description	Description of the EMFAF programme structure including SOs, and the measures of interest for the evaluation.
Objective of the evaluation	Description of: <ul style="list-style-type: none"> • objective of the evaluation • reasons for the evaluation • planned use of the evaluation results, and the expected timing of this • specific aspects of the EMFAF programme that need attention
Main users and target audience	The ToR should explain the target audience of the study and how different types of audience will use the results.

Technical specifications	Description
Scope of the evaluation	<p>Definition of:</p> <ul style="list-style-type: none"> • type of evaluation: whether it should focus on process aspects (how to improve the programme now, modify implementation procedures, reallocate funds) or strategic ones (what needs to be changed in the future, what change of policy direction is needed) • key evaluation questions to be addressed in the evaluation linked to the relevant evaluation criteria (e.g. effectiveness, efficiency, coherence etc.) • particular measures that are the main focus of the evaluation, might be already indicated in the evaluation questions • time period of the evaluation • context in which the evaluation results are incorporated
Governance and accountability arrangements	<p>The ToR can be crafted for an individual consultant or for a team. It should outline the roles and responsibilities envisioned to be necessary to carry out the assignment, and the management and coordination arrangements on the client and contractor side</p>
Regulatory framework (including EU regulations, guidelines, WP)	<p>List of relevant regulations and other documents to be considered during the evaluation</p>
Methodologies	<p>Definition of:</p> <ul style="list-style-type: none"> • main requirements for methodologies in terms of their relation to the outcome of the evaluation, including the decision of whether methodologies yielding qualitative or quantitative results are preferred • main sources for data collection <p>In general, based on the ToR and in consultation with the contractor, the evaluation team proposes the most appropriate evaluation methods. The ToR should state that the evaluation team should present a detailed statement of evaluation methods, including a list of data collection methods and procedures, information sources, and procedures for analysing the data.</p>
Main users and stakeholders of the study, participation and communication	<ul style="list-style-type: none"> • The ToR should list and describe the stakeholders in the evaluation process. It should show clearly how the MA and other stakeholders will review the evaluation process, and which kinds of participation will take place (e.g. MC meetings, steering group, special focus groups, etc.) • The ToR needs to outline the main channels of communication and the frequency of meetings required with stakeholders and the contractor. • Finally, the ToR should make clear that all information generated during the evaluation process has to be openly communicated with the contractor. This includes information about obstacles and challenges that might influence the results of the evaluation.
Available knowledge (list of available analyses)	<p>The section may contain a brief review of relevant available knowledge about the programme and its effects, to serve as a basic briefing for evaluation consultants and teams. The review should include details of previous evaluation studies.</p>

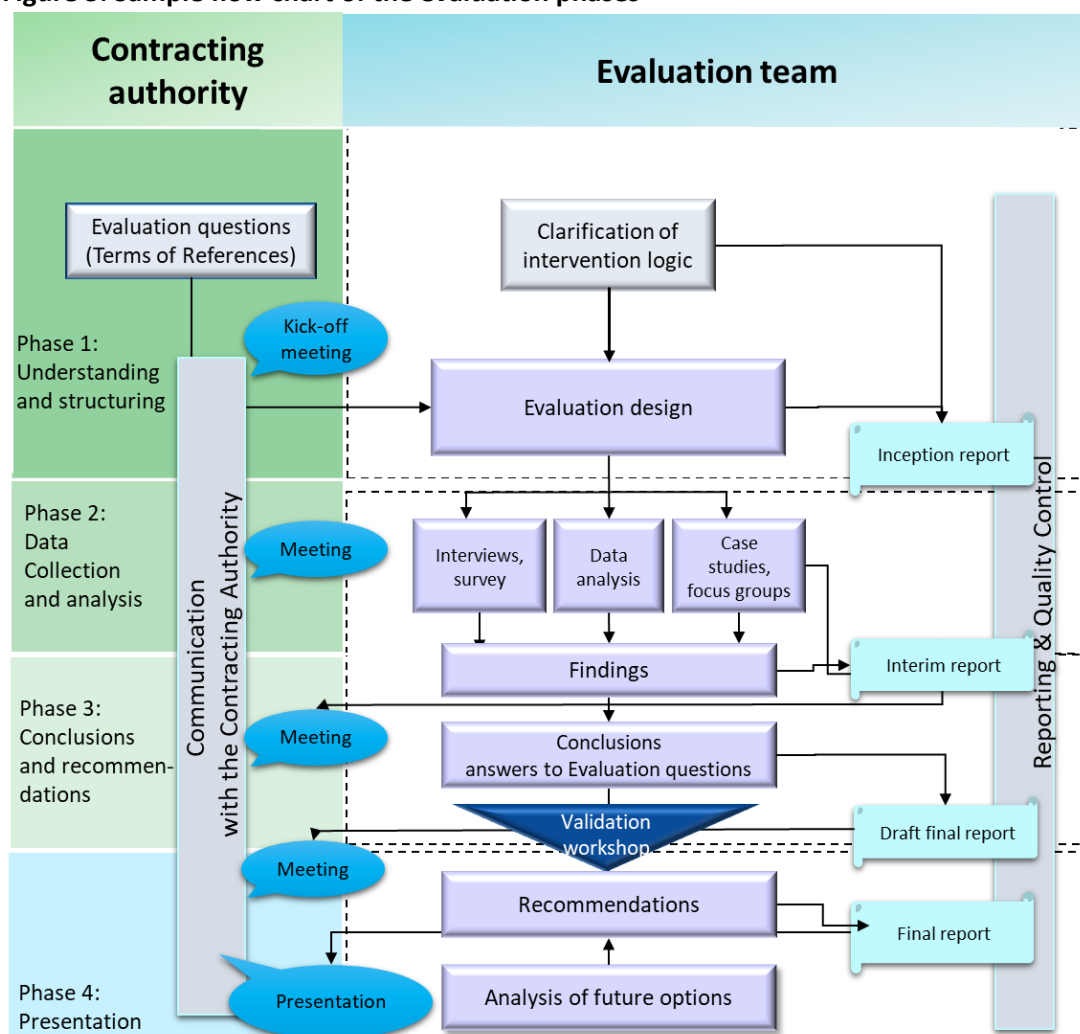
Technical specifications	Description
Schedule	<p>The ToR specifies the:</p> <ul style="list-style-type: none"> • deliverables, including their type, format, content, length, intended audience, and expected review process • binding timeline • any existing work plan, if available • end date of the contract <p>The ToR may also ask the evaluator to provide a detailed timeline and milestones within the specified time frame</p>
Indicative budget	<ul style="list-style-type: none"> • The ToR states the maximum budget (and potentially other resources) available for the evaluation, and what that budget covers. • The ToR should specify the costs which have to be outlined by the offer. • The ToR should indicate which costs are covered by the contract and which are not (e.g. travel costs, administrative costs). • Larger contracts should include a budget plan structured by deliverable.
Deliverables	<ul style="list-style-type: none"> • Systematic timetable related to expected deliverables • Timing and maximum length of the reports (inception, interim, final) • Summary for non-professionals • Meetings, PPTs and presentations planned to deliver results

Source: FAMENET, adapted from various tender specification documents from DG REGIO 2023

4.2 Evaluation implementation

During the implementation of evaluation activities, it is recommended to split each evaluation into phases. The Better Regulation Toolbox #4 outlines six phases¹⁹. For the EMFAF purpose we recommend combining them into four phases (see Figure 3 below). Structuring the evaluation process into phases should help the MA to organise a structured communication between the MA and the evaluation experts. After each evaluation phase, the evaluation expert should provide a report or at least verbal feedback on the progress of the evaluation. This helps to ensure that the evaluation process follows the requirements of the MA and supports the internal capacity building of programme management in terms of evaluation skills. The flowchart presented below shows how the evaluation phases might be implemented and organised between the contracting authority and the evaluation team.

Figure 3: Sample flow chart of the evaluation phases

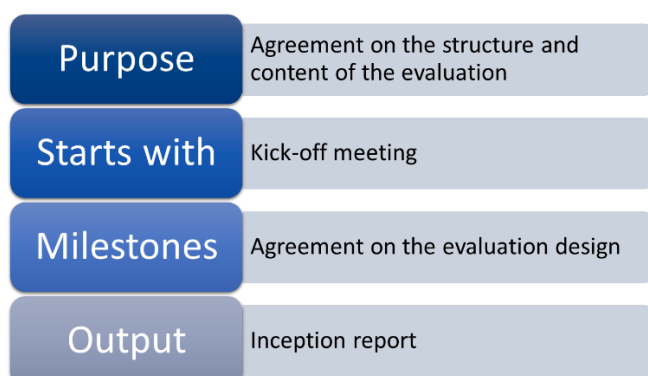


Source: FAMENET 2023

Each of the four phases are described in detail in the following sections.

¹⁹ European Commission. (July 2023), EU Better Regulation Toolbox #4

4.2.1 Phase 1: Understanding and structuring



Source: FAMENET 2023

Understanding

Understanding the evaluation content is a key planning phase and its quality shapes the quality of the evaluation.

In the case of **process evaluation**, the first step is to develop a flow chart of the delivery system and the involved stakeholders. The evaluation should follow the flow chart and address all pathways in the programme management and implementation process as well as all the communications paths. Evaluation questions should address the management structure, stakeholder involvement, data management, horizontal principles, simplification measures, capacity, resources and the national framework.

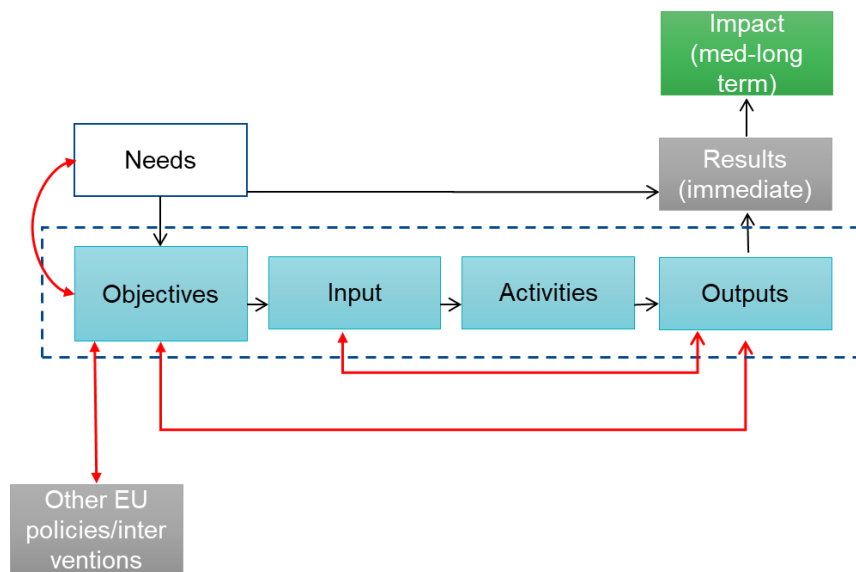
In the case of **implementing and impact evaluations**, understanding the intervention starts with the review of the intervention logic and the definition of evaluation questions. The review of the intervention logic should be carried out for each specific objective to establish the logical path between objectives, activities, outputs, and results.

Any intervention logic should include:

- Needs
- Objectives (overall policy objective(s), specific objectives)
- Input (types of operations, budget, target groups)
- Outputs
- Expected results (conditions to achieve results, indicators to measure the achievements)

The intervention logic is outlined in Figure 4 below.

Figure 4: Indicative intervention logic



Source: FAMENET 2023

To establish a theory-based evaluation, the intervention logic will be complemented with hypotheses and assumptions that will be tested during the evaluation. There are various ways to redevelop the intervention logic. An example of an intervention logic is provided in the table below.

Table 7: Intervention logic template

Input	Type of operations	Output	Results/Achievements		
			Short	Medium	Long
e.g. financial and human resources needed to implement the operations	Type of operations implemented by the beneficiaries	e.g., number of operations	During the reconstruction of the intervention logic, one could distinguish between short-, medium- and long-term results. Short- and medium-term results are in many cases within the merit of the programme, while the long-term results are only indirectly affected by the programme.		
			In the case of EMFAF, a lot of the result indicators define short-term results. However, it depends on the programme intervention (what can be achieved immediately and in the mid to long term).		
Preconditions			External factors		
Preconditions cover all the aspects which are assumed/already existing in order to implement the activities such as a functioning administration, interested beneficiaries, available co-financing, etc.			External factors hinder or enable the achievement of results. Hindering factors can be pandemics, wars, environmental or economic crises, etc.; enabling factors can be new EU policies, shifting public perceptions, environmental changes, etc.		

Source: FAMENET, 2023

Structuring

For all evaluations the evaluation expert should develop the evaluation design, which allows for a detailed breakdown of the evaluation questions and the feasibility of finding/collecting sufficient data for each question. During the development of the evaluation design the evaluation expert defines the available sources in terms of data and proposes additional data collection methods.

The evaluation design usually addresses the following elements:

- evaluation criteria
- key evaluation questions
- judgment criteria
- evaluation indicators
- evaluation methods

A short description for each of these elements is provided below.

Evaluation criteria

Based on the CPR²⁰ the EMFAF programme evaluations should focus on one or more of the five evaluation criteria: effectiveness (output/results and impacts), efficiency, relevance, coherence and EU added value.

These five evaluation criteria have their roots in the Better Regulation Toolbox. It is recommended to address each criterion at least once during the programming period in at least one evaluation. However, some (like effectiveness) will be relevant in all evaluations. Figure 5 provides an overview of the evaluation criteria and their meaning in the context of the EMFAF evaluations.

²⁰ Regulation (EU) 2021/1060 of the European Parliament and of the Council, Article 44.

Figure 5: Definitions of the five main evaluation criteria

Effectiveness (impact evaluation)	<ul style="list-style-type: none"> • changes that have been achieved taking into account the indirect effects
Effectiveness (ongoing evaluation)	<ul style="list-style-type: none"> • the extent to which qualitative and quantitative objectives pursued are achieved.
Efficiency	<ul style="list-style-type: none"> • best relationship between resources employed and results achieved in pursuing a given objective through an action.
Relevance	<ul style="list-style-type: none"> • changes in the relevance of the intervention to the environment (policy level)
Coherence	<ul style="list-style-type: none"> • no contradiction with other interventions of similar objectives – internal coherence • complement the other programmes and strategies – vertical coherence • complement the wider multilateral framework – external coherence
EU added value	<ul style="list-style-type: none"> • the additional value resulting from EU legislation and funding compared to what would have been achieved by MS acting in isolation.

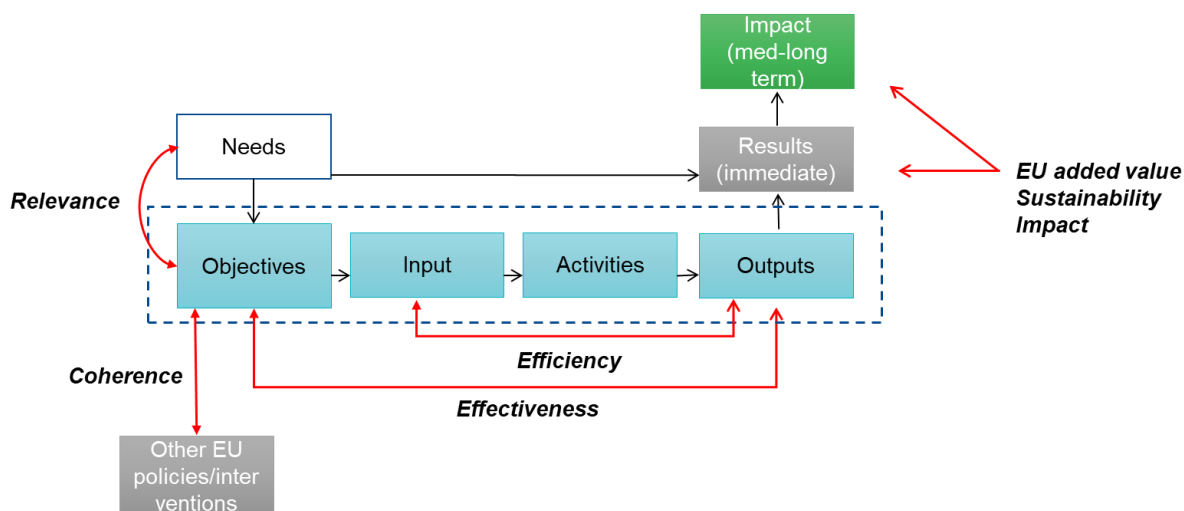
Source: FAMENET 2023, based on European Commission. (November 2021), Better Regulation Guidelines

Additional criteria may also be addressed in case they are relevant for the achievement of specific objectives such as:

- sustainability, impact, visibility, etc.
- horizontal principles addressing inclusiveness, non-discrimination, gender equality, etc.

Figure 6 below shows the link between the intervention logic and the five main evaluation criteria.

Figure 6: Evaluation criteria linked to the intervention logic



Source: FAMENET 2023, based on European Commission. (November 2021), Better Regulation Guidelines

Key evaluation questions

The key evaluation questions (KEQ) address the evaluation criteria. They create a general orientation for the evaluation and formulate what the MAs and stakeholders want to know. The KEQ depend on the type of evaluation (Table 8) and should always address those aspects that are under the direct influence of the programme. In many cases the KEQ have the respective evaluation criterion mentioned in the question. An agreed set of KEQs makes it easier to decide what data to collect, how to analyse it, and how to report it. KEQs are not suitable questions for an interview or questionnaire²¹. A set of KEQ along the evaluation criteria should be already defined by the MAs in the evaluation plan.

Table 8: Indicative KEQs for different types of evaluations

Type of evaluation	Evaluation criteria	Indicative key evaluation questions
Process evaluation	Effectiveness	<ul style="list-style-type: none"> • How effectively were the relevant stakeholders involved? • Are the administrative processes from project application to project finalisation (the project cycle) effective? • How effective is the management structure? • How effective is the monitoring system in collecting, analysing and monitoring the output, financial, procedural and result indicators as defined by the programme? • How effective is the progress towards the milestones and targets? • How did the programme management benefit from lessons learned from the previous period? • Have actions to mainstream and promote the horizontal principles of equality between men and women and non-discrimination been implemented effectively? • Have actions to mainstream and promote the horizontal principle of sustainable development, i.e. to preserve, protect and improve the quality of the environment, been implemented effectively? • How effective is the communication strategy in terms of reaching, informing and supporting the identified target group in the project application process? • Does the communication strategy contribute to improving the awareness of the achievements of the programme?
	Efficiency	<ul style="list-style-type: none"> • How cost- and time-efficient is the programme delivery system? • How cost- and time-efficient are the programme implementation activities? • Are the instruments of the communication strategy efficient (in terms of costs per output and timing)?
Implementation evaluation	Effectiveness	<ul style="list-style-type: none"> • To what extent is the programme able to reach the objectives? • What kind of external factors have enabled and hindered the programme implementation?
	Efficiency	<ul style="list-style-type: none"> • To what extent is the programme implementation system efficient? • To what extent is the cost-benefit relation of operations justifiable?

²¹ The accountability line indicates where the EMFAF programmes have direct influence.

Type of evaluation	Evaluation criteria	Indicative key evaluation questions
		<ul style="list-style-type: none"> To what extent are simplification measures efficiently taken up by beneficiaries? To what extent are programme financial instruments (FIs) taken up by beneficiaries?
	Relevance	<ul style="list-style-type: none"> To what extent is the delivery system able to respond to changing needs?
	Coherence	<ul style="list-style-type: none"> To what extent are operations internally and externally coherent?
Impact evaluation	Effectiveness	<ul style="list-style-type: none"> To what extent has the programme achieved the intended change? How did external events and changes influence the programme achievements?
	Efficiency	<ul style="list-style-type: none"> To what extent has the programme increased the level of efficiency compared to the previous period?
	Relevance	<ul style="list-style-type: none"> To what extent was the programme relevant to the changing environment?
	Coherence	<ul style="list-style-type: none"> To what extent were the programme operations internally and externally coherent?
	EU Added value	<ul style="list-style-type: none"> To what extent would the programme outputs and results not exist, be different, less in quality or quantity without the programme?

Source: FAMENET 2023

Judgment criteria

Judgement criteria come into play to further develop and specify certain aspects of the evaluation questions and allow defining the change brought about by the evaluated intervention(s). Judgement criteria are the link between evaluation questions (what is the evaluation examines) and indicators (what is the objectively verifiable source of evidence) and specify the desired condition to be evaluated. Judgment criteria are formulated positively as an expected result or a desired effect. Judgment criteria are agreed upon in the first phase of the evaluation. Data collection and analysis are structured according to them. Judgment criteria can be checked with quantitative indicators or with qualitative information (see example in Figure 7).

Evaluation indicators

Evaluation indicators deliver evidence for the judgment criteria. Most of the indicators FAMENET proposes in the fiches are based on Infosys data. Nevertheless, FAMENET has also included some evaluation indicators that may be necessary to complement the quantitative data. Evaluation indicators will be defined by the evaluation expert.

How to best present the evaluation design?

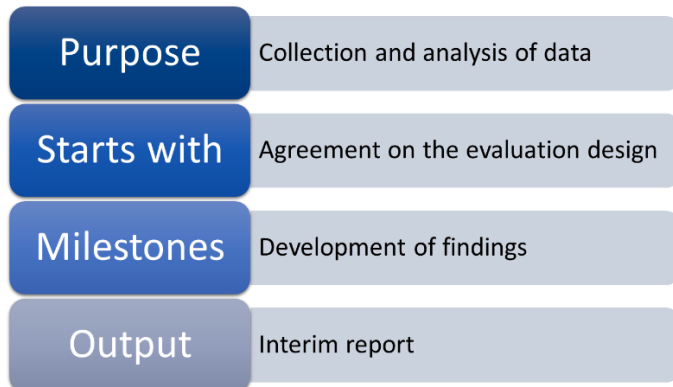
The above-described elements of the evaluation design should be collected in the form of a table. Figure 7 below shows an example of an impact evaluation design of one KEQ for one specific objective.

Figure 7: Example of one evaluation question for impact evaluation

Evaluation questions	Judgment criteria	Indicators	Data / Methods
<ul style="list-style-type: none"> linked to objectives of the programme each KEQ addresses one evaluation criterion 	<ul style="list-style-type: none"> operationalizes evaluation question helps identify indicators 	<ul style="list-style-type: none"> linked to the judgment criteria demonstrate if objectives were met or not 	<ul style="list-style-type: none"> perceptions of officers monitoring data external sources (studies, survey, interview, focus group)
<p>“How effective were EMFAF actions in improving fisheries control and enforcement?” (effectiveness)</p>	<p>“Through the installation of Remote Electronic Monitoring (REM) systems on fishing vessels, the control authority reduces IUU fishing”</p>	<ul style="list-style-type: none"> New REM systems installed on board fishing vessels Vessels equipped with REM Nr of IUU infringements 	<ul style="list-style-type: none"> CR15 Control means installed or improved Survey of fishers, academic research, national databases, etc.

Source: FAMENET 2023

4.2.2 Phase 2: Data collection and analysis



Source: FAMENET, 2023

Data collection:

Data collection methods for each evaluation should already be defined in the evaluation plan. The selection of methods depends on the available budget and the type of evaluation.

Data collection methods are mainly based on:

- desk research:** basic data collection methods based on data provided by Infosys, the MA, reports, studies, etc.
- field research:** in-depth qualitative data collection methods based on interviews, surveys, focus groups, etc.

Table 9: Data collection methods

Type of method	Data collection methods	Description
Desk research	Monitoring data	<ul style="list-style-type: none"> • EMFAF “Infosys” • other MA monitoring data
	Document review	<ul style="list-style-type: none"> • programme document, supporting documents, reports, previous evaluations, etc. • official statistics • additional studies, if available, should be considered
Field research	Interviews	<ul style="list-style-type: none"> • interviews should be done with the MA and key stakeholders relevant for the specific evaluation
	Survey	<ul style="list-style-type: none"> • some of the evaluation questions require information from beneficiaries and, if possible, from a wider group of stakeholders, which should be obtained through surveys
	Case study	<ul style="list-style-type: none"> • can be particularly useful in showing how different elements (implementation, context and other factors) fit together and produce the observed impacts
	Focus group	<ul style="list-style-type: none"> • focus groups are helpful in obtaining valuable answers to specific questions viewed from different perspectives

Source: FAMENET 2023

Data analysis

In the analysis phase the collected data will be critically assessed along the baseline assumptions (see intervention logic section Phase 1: Understanding and structuring 4.2.10). The analysis should identify the assumed outcomes, preconditions and external factors made at the beginning of the programme implementation and confirm whether or not those assumptions are justified by the collected data. It should be done mostly in a descriptive style along the evaluation criteria and questions. The results will be summarised in a synthesis.

Cross-verification using various sources (triangulation) is a good way to validate the different types of evidence. Any limitations on the methods applied or the data collected should be acknowledged, discussed during the assessment, addressed where possible, and documented.

What is triangulation?

Triangulation means using different methods to corroborate findings. Convergence of findings from multiple methods strengthens the validity of findings. It is good practice to triangulate quantitative data with qualitative and vice-versa. For example, a survey on investment behaviour distributed to a random sample of small enterprise owners could confirm the findings obtained from semi-structured interviews with representatives of financial institutions supporting these enterprises.

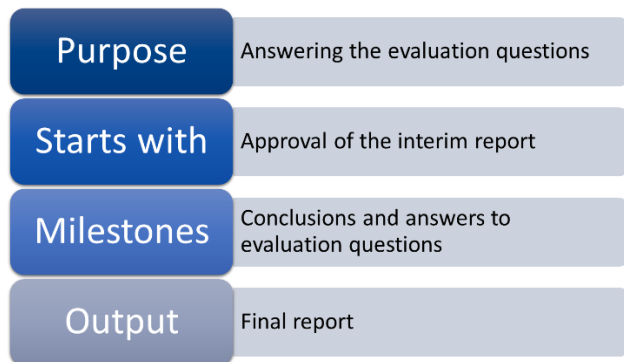
Depending on the quality of the data and available resources, different methodologies can be applied. Table 10 gives an overview of the methods mostly applied in relation to the various evaluation criteria.

Table 10: Data collection and analysis methods

Evaluation criteria	Data collection methods	Analysis methods	Triangulation
Relevance	Desk research Surveys Interviews Focus groups	Qualitative description Clustering Stakeholder analysis Factor, PESTEL analyses Contribution analysis	Interview with the programme bodies Validation workshop
Effectiveness	Monitoring Document review Surveys Interviews	Critical path analysis Output/Performance Measurement Comparative analysis Contribution analysis	Interview with the programme bodies Validation workshop
Efficiency	Monitoring Document review	Critical path analysis Input Measurement Cost-efficiency analysis	Validation workshop
Coherence	Document review, Surveys Interviews, Focus groups	Comparative analysis Contribution analysis	Validation workshop
EU added value	Monitoring, Document review, Surveys, Interviews, Focus groups	Contribution analysis of EU added value	Validation workshop

Source: FAMENET 2023, based on Evalsed Sourcebook: Method and Techniques 2013 and EU Better Regulation Guidance 2021.

4.2.3 Phase 3: Conclusions and recommendations



Source: FAMENET 2023

Phase 3 of any type of evaluation should focus on **drafting the final report** and validating the evaluation findings and conclusions, providing answers to the evaluation questions.

The draft final evaluation report contains the findings for each evaluation question and the main conclusions. The findings should be evidence based. For each evaluation question a short summary of the key findings in a box would help the reader.

The evaluation report could add to its utility by:

- highlighting lessons learned,
- providing good practices,
- sketching follow ups.

Validation workshop: Before the evaluation expert finalises the evaluation report, it is necessary to validate its findings with relevant stakeholders. This is essential to check that everyone shares the same understanding of the findings and conclusions, and to draw up recommendations. Findings, conclusions and recommendations may also be reviewed by external reviewers, for the purpose of validation, in lieu of validation workshop findings.

Final report: The final evaluation report takes into account the comments and feedback of the validation workshop and any other input (e.g. from the MA, Evaluation Steering Group, external reviewers). The report should contain the evaluation findings, conclusions (answering evaluation questions) and recommendations. Table 11 shows a possible outline of a final evaluation report.

Table 11: Proposed structure of the final evaluation report (indicative)

Section	Content
Executive summary	<ul style="list-style-type: none"> • aim of the evaluation • context of the report • findings • conclusions and lessons learned
Introduction	<ul style="list-style-type: none"> • background • scope of the evaluation • methodology • structure of the document • acknowledgement
Findings	<ul style="list-style-type: none"> • summary of the outcomes of the evaluation per key evaluation question
Conclusions	<ul style="list-style-type: none"> • answering the KEQ along the evaluation criteria
Lessons learned	<ul style="list-style-type: none"> • lessons learned per specific objective, depending on their importance
Recommendation	<ul style="list-style-type: none"> • recommendation table with type of recommendation, timing and responsibility
Annexes	<ul style="list-style-type: none"> • procedural information • summary of the data collected • evaluation matrix and answers to the evaluation questions • interviews and survey results • summary of the changes introduced after the validation of the draft report

Source: European Commission. (November 2021), *Better Regulation Guidelines* adapted by FAMENET

Ideally the draft evaluation report contains a table with the main recommendations presented in a structured way, such as a roadmap following the 5W principle²² (e.g., along SOs/topic, evaluation finding/issue, level of implementation, types of operations, period, responsibility) in order to support the MA in the implementation of recommendations (see Table 12).

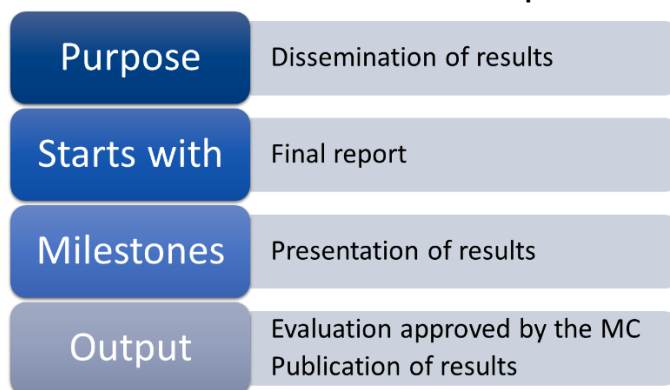
²² *What, why, who, where, when*

Table 12: Possible format of recommendations

SO/ Topic	Evaluation conclusions, the recommendation relies on (issue to address)	Recommendation (what)	Aimed result (why)	Responsible (who)	Level of implementation (programme, operation, other) (where)	Timing (when)

Source: FAMENET 2023

4.2.4 Phase 4: Dissemination and follow-up



Source: FAMENET 2023

In line with the evaluation plan, the final phase of each evaluation should focus on how the results of the evaluation will be disseminated and how the programme management will follow up with the recommendations. Adapting the executive summary for publication is strongly recommended.

Final presentation: To achieve a better understanding and acceptance of the evaluation conclusions and recommendations, the evaluation expert could adjust deliverables for different target groups. Table 13 shows an example of how to present the results for any type of evaluation.

Table 13: Presentation of conclusions and recommendations to different target groups

Main deliverables	Possible utilisation	Form	Target groups
Final evaluation report	Findings Conclusions	50 pages report with visualisations	Evaluation Steering Group MA
	Roadmap how to implement evaluation recommendations	10 pages	
Summary of the evaluation	Publication on the programme website Political message Brochure	3-5 page summary with visualisations mainly focusing on conclusions and recommendations	MC Politicians Stakeholders Wider public
Presentation	Presentation of the main conclusions and recommendations of the evaluation report	10 slide presentation	MC

Source: FAMENET 2023

Follow up: The implementation of the follow-up activities is the responsibility of the programme management and the Evaluation Steering Group should be informed on their implementation status.

Programme managers, in consultation with the Evaluation Steering Group, should ideally draft a specific plan to monitor the implementation of recommendations. This should be based on the fully or partly accepted recommendations provided by the evaluation experts and the follow-up procedures defined in the evaluation plan for the implementation of evaluation recommendations and use of evaluation results. The programme management should regularly monitor the implementation of the recommendations.

The MC should examine the progress made in carrying out evaluations, syntheses of evaluations and any follow-up given to findings according to Art. 40.1.e of the CPR.

4.3 Data management

Data management **supports the entire evaluation life cycle**, from the preparation to the implementation.

4.3.1 Data management arrangements

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.

4.3.2 Relevant data sources

Although it is required from the independent evaluation expert(s) to collect sufficient data to answer the evaluation questions, the MA has the duty to provide correct and up-to date data on the programme implementation. The more data the MA provides the higher is the credibility and reliability of the evaluation findings. Depending on the type of evaluation different source are needed to answer evaluation questions. Table 14 shows a list of data which is relevant in different evaluations.

Table 14: Type of data required by evaluations

Evaluation	Data type	Data used for evaluation	Data collection method
Process evaluation	EMFAF data	Infosys ²³ , CPR Art. 42/Annex XVII data, national monitoring data	Provided by MA
		Annual administrative monitoring data (e.g. human resource data, financial data, communication data)	
		Beneficiary data	
	Statistics	National registries	Desk research
	EMFAF data	Baseline data (to evaluate the changes achieved in the programme management and communication)	Provided by MA (if baseline studies are carried out); Evaluation experts if similar studies are carried out by other stakeholders
Previous programme evaluation data		Provided by MA	
Additional data	Qualitative data	Evaluation experts via surveys, interviews, or focus groups	
Implementation evaluation	EMFAF data	Infosys, CPR Art. 42/Annex XVII data, national monitoring data	Provided by MA
		Financial data	
		Beneficiary data	
	Statistics	DCF, EUFFR / national fleet register, control data, Eurostat, EUMOFA	Evaluation experts
Additional data	Qualitative data	Evaluation experts via surveys, interviews, or focus groups	
Impact evaluation	EMFAF data	Infosys, CPR art. 42/ComAnnex XVII data, national monitoring data	Provided by MA
		Financial data	MA; Evaluation experts, if needed
		Beneficiary and non-beneficiary data	
	Statistics	Baseline data (covering context factors and their influence for the impact evaluation addressing how change has been achieved)	Provided by MA (if studies are carried out by the programme); Desk research experts if similar studies are carried out by other stakeholders
		Baseline values for each sector and specific objective (e.g. through studies, secondary sources)	Desk research
		DCF, EUFFR / national fleet register, control data, Eurostat, EUMOFA	
Additional data	Qualitative data	Evaluation experts via surveys, interviews, or focus groups	

Source: FAMENET 2023

For more details on external data see Annex 6.2.

²³ 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).

4.3.3 Infosys Data

The main source for evaluations is the Infosys data. Infosys provides a lot of information when combining different Infosys fields. These data can be filtered and combined in every possible way, as relevant for the evaluation questions. Following this approach, it is possible to analyse:

- What has been done;
- Why things were done (based on the selected EMFAF common result indicators and their targets);
- By whom things were done;
- Associated costs;
- The level of success (comparing indicative result estimated by the beneficiary during application and ex-post result)

Equally, a breakdown by various criteria is possible (e.g. does the success of a project differ if the beneficiary is female or male, a natural person or an institution, etc.).

In addition, the data can be linked to external data, e.g. via:

- the CFR number of the vessel, in cases where a vessel is involved (this allows to link the infosys data to general data on the fleet, e.g. vessel length, gross tonnage, engine power or main and secondary fishing gear)
- the NUTS code (indication of geographic region) of the operation, which allows to link infosys data to regional data and statistics (e.g. coastal vs. inland areas, socio-economic situation of the area)

The table below lists the type of data registered in Infosys; combinations are limitless.

Table 15: Infosys data fields

Type of Infosys data	Relevant Infosys fields
Data on the operation	(03) Short description of the operation (05) Sector (06) Specific Objective (07) Location (NUTS code) (15) Related to marine, inland or both (25) Type of intervention (26) Type of operation
Specific data in case the operation concerns a marine vessel	(04) Common fleet register (CFR) number (27) Increase of the gross tonnage (only if applicable) (28) Fleet segment of origin of the additional capacity if gross tonnage increased (only if applicable)
Data on the beneficiary	(08) Name of beneficiary (09) Beneficiary code (can be used to identify unique beneficiaries across all operations) (10) Type of beneficiary (11) Gender (12) Number of people directly involved (13) Number of partners involved (14) Lead partner (yes/no) (36) Did the beneficiary previously receive EMFF/EMFAF support?
Implementation of the operation	(16) State of progress (20) Date of approval (24) Date of final payment
Financial data	(17-19, 21-23) Different data on eligible costs (applied for and approved) and expenditure (money spent and verified)
Form of support	(35) Grant, financial instrument, combination of grants and financial instruments, prize or contracting
Relevance for various political priorities / Objectives of the EMFAF	(29-34) related to various topics such as climate change and equal opportunities
Result indicators (more than one per operation possible)	(37) Common result indicator code (38) Baseline value (39) Indicative result expected Ex-post result

Source: FAMENET 2023

5 Fiches

FAMENET prepares fiches for different evaluation criteria and types of evaluations. These evaluation fiches will evolve over time according to the evaluation requirements and needs and along the different evaluation periods of the MS. Each type of evaluation will be covered by one fiche, which will be added to this working paper or can be used as a stand-alone document.

The fiches will include in-depth explanations and will provide support to the MA on how to conduct the different types of evaluations.

The table below shows the planned evaluation fiches and the timetable for delivery:

Table 16: timetable of the planned publication of evaluation fiches

FAMENET document	Evaluation criteria covered	Content	Publication year of the fiche
Process evaluation fiche	Effectiveness, efficiency	Programme management and delivery system, communication	2023
Implementation evaluation fiche	Effectiveness, coherence and relevance	Assessment of the achievements of milestones and target values	2024
	Efficiency	Achievements of simplifications and cost-benefit assessment and	
Impact evaluation fiche	Effectiveness, efficiency, coherence, relevance and EU added value	Assessment of result achievements and how the programme contributed to the specific objectives and the overall objective of EMFAF	2024/2025

Source: FAMENET 2023

6 Annexes

6.1 Annex 1, Roadmap

Table 17: Evaluation- activities roadmap

Evaluation life cycle phase	Activities of the programme management bodies	Expected output	Communication/ bodies involved	Indicative duration	Milestones	Risks
Evaluation preparation	Set-up of an evaluation steering group , if needed (with MC members, experts and other stakeholders)	Evaluation steering group	<ul style="list-style-type: none"> MA MC 	1 month	Evaluation steering group meeting	
	Development of an evaluation plan	Evaluation plan	<ul style="list-style-type: none"> MA MC 	≤ 1 year from programme approval	Evaluation plan	<ul style="list-style-type: none"> Different understandings of the purpose of evaluations Delay in the decision-making process Underestimating the work involved in the evaluation process
	Detailed evaluation planning on available resources	Decision on available resources (financial/human)	<ul style="list-style-type: none"> MA MC 	1 month	Evaluation steering group meeting	Lack of adequate resources for evaluation requirements
	Detailed evaluation planning on the evaluation concept <ul style="list-style-type: none"> Detailed development of the evaluation questions Definition of sources per evaluation 	Detailed evaluation planning	<ul style="list-style-type: none"> Evaluation expert MA Evaluation steering group 	1 months	Evaluation steering group discussion	Delay in the decision-making process

Evaluation life cycle phase	Activities of the programme management bodies	Expected output	Communication/ bodies involved	Indicative duration	Milestones	Risks
	<ul style="list-style-type: none"> • Timing • Requirements of the evaluation expert • Decision on internal or external evaluation 					
	<p>Procurement process: Development of the Terms of Reference</p>	ToR based on the detailed evaluation plan	<ul style="list-style-type: none"> • Evaluation steering group 	1-2 months	Steering group discussion	<ul style="list-style-type: none"> • Resources and content of the terms of references do not match • Expertise is not explicitly outlined or not available • Lack of capacity • Lack of adequate evaluation applications
	<p>Procurement process: Selection process of applications a) choice internal / external b) launching a tender procedure in case external is selected. Not applicable if internal evaluation</p>	Approved process and criteria Evaluation contract Decision on evaluation expert team	<ul style="list-style-type: none"> • MA • Evaluation steering group • Procurement department 	1-3 months		
Data management	Setting up a monitoring system	IT system	<ul style="list-style-type: none"> • MA • IB 	1-12 months	MA and IB have access to a monitoring and reporting system	<ul style="list-style-type: none"> • The development of the IT system requires too many resources, takes too much time • IT systems of other funds are used which are not suitable for EMFAF
	Setting up and conducting baseline studies where necessary	Baseline studies		1-12 months	Baseline study	<ul style="list-style-type: none"> • Lack of understanding of the benefit of a baseline study

Evaluation life cycle phase	Activities of the programme management bodies	Expected output	Communication/ bodies involved	Indicative duration	Milestones	Risks
						<ul style="list-style-type: none"> Decision on baseline studies comes too late or not at all Lack of baseline studies at the end of the programming period
	Quality management of data	Robust data available		ongoing	Robust data available	Lack of quality and lack of understanding of IBs and other reporting bodies
Evaluation implementation	Start of the evaluation process	Kick-off meeting minutes	<ul style="list-style-type: none"> MA Evaluation steering group 	1-2 months	Kick-off meeting	Delayed start of the evaluation process
	Provision of data	Set of Infosys data and SFC2021 data, Audit	<ul style="list-style-type: none"> MA Evaluation experts Implementing bodies 			Lack of available data
	Approval of inception report	Inception report submitted one month after kick-off meeting and subsequently approved	<ul style="list-style-type: none"> Evaluation steering group 		Inception report meeting	<ul style="list-style-type: none"> Misunderstanding/disagreement over outcomes of the evaluation Delays in reporting
	Approval of the interim evaluation report	Evaluation experts should provide an interim report for discussion in the steering group		2 - 6 months	Interim report meeting	<ul style="list-style-type: none"> Inadequate evaluation questions Inadequate evaluation methodology

Evaluation life cycle phase	Activities of the programme management bodies	Expected output	Communication/bodies involved	Indicative duration	Milestones	Risks
		Draft final report		6 – 12 months	Draft final report meeting	<ul style="list-style-type: none"> Lack of response to surveys
	Approval of final evaluation report	Final report		1 – 2 months	Final report MC approval Publication of the report	
	Dissemination of evaluation results	Evaluation summary	MA	After the final report	Publication on the website	
	Follow up: Implementation of process evaluation recommendations	Process change	Evaluation steering group Evaluation experts	Ongoing	Process change implemented	<ul style="list-style-type: none"> Lack of capacity, lack of resources Delay in decision-making process
	Follow up: Implementation of content-related recommendations	Submission of the changed programme	Evaluation steering group Evaluation experts European Commission	Ongoing	Programme changed	

Source: FAMENET 2023

6.2 Annex 2, data sources relevant for the context of the evaluations

This annex reviews the relevance of several data sources that can be used for evaluations. These data sources are particularly useful to understand the context in which support is provided and the conditions in which the beneficiaries operate:

1. Economic performance of fishing fleets (DCF²⁴)
2. Economic performance of aquaculture (DCF)
3. Economic performance of fish processing (Eurostat, SBS statistics²⁵)
4. Fishing Fleet Register (DG MARE and national registers)
5. International trade statistics (Eurostat and EUMOFA)
6. Fishery control data

Table 18: Data sources relevant for EMFAF evaluations

Economic, social and transversal data on fishing fleets	
Source	<p>The economic and transversal data regarding fishing fleet performance is annually collected in all coastal MS. The social indicators are collected once in three years. The data can be obtained either from the responsible national institute or from JRC / STECF https://stecf.jrc.ec.europa.eu. JRC / STECF publishes four files (latest references):</p> <ul style="list-style-type: none"> • STECF 22-06 - AER.pdf • STECF 22-06 - EU Fleet Economic and Transversal data_national level.xlsx • STECF 22-06 - EU Fleet Economic and Transversal data_fleet segment.xlsx • JRC/STECF in STECF 19-03 - Social data in EU fisheries sector - data.xlsx <p>These files can be downloaded from https://stecf.jrc.ec.europa.eu/reports/economic The national data collection programmes are supported by EMFAF.</p>
Contents	<ul style="list-style-type: none"> • Data are defined by fleet segment, a combination of sea-basin, vessel length and dominant gear. • Economic data reflects landings by species (value and volume), costs, earnings, profitability and employment per fleet segment. It is based on a sample of vessels. Sample results are extrapolated to the total national fleet. The EU-wide time series started in 2008, so that historical trends can be identified. Some MS have even much longer time series. • Social data provides characteristics of the involved labour force in terms of age, gender, educational level, employment status and nationality. • Transversal data regards various indicators of fishing effort, fleet size and catches. Transversal data is in most MS based on census data obtained from logbooks.
Relevance	<p>The economic, transversal and social data allows assessment of the context related to support provided under EMFAF articles 17-21. However, the data cannot be linked to individual projects or beneficiaries.</p>

²⁴ Regulation (EU) 2017/1004 of the European Parliament and of the Council of 17 May 2017 on the establishment of a Union framework for the collection, management and use of data in the fisheries sector and support for scientific advice regarding the common fisheries policy and repealing Council Regulation (EC) No 199/2008 (recast);

Commission Delegated Decision (EU) 2021/1167 of 27 April 2021 establishing the multiannual Union programme for the collection and management of biological, environmental, technical and socioeconomic data in the fisheries and aquaculture sectors from 2022

²⁵ Regulation (EU) 2019/2152 of the European Parliament and of the Council of 27 November 2019 on European business statistics

Social and economic data on aquaculture	
Source	<p>The aquaculture data is annually collected in all MS. The data can be obtained either from the responsible national institute or from JRC / STECF https://stecf.jrc.ec.europa.eu . JRC / STECF publishes two files bi-annually (latest references):</p> <ul style="list-style-type: none"> • STECF 22-17 – EU aquaculture.pdf • STECF 22-17 – Aquaculture economic data table.xlsx <p>These files can be downloaded from https://stecf.jrc.ec.europa.eu/reports/economic .</p> <p>The national data collection programmes are supported by EMFAF.</p>
Contents	The data reflects economic performance (production volume and value by species, costs, earnings, profits, employment) of aquaculture activities. Aquaculture segments are defined by species and used technologies.
Relevance	<ul style="list-style-type: none"> • The aquaculture data allows assessment of the context related to support provided under EMFAF article 26. However, it cannot be linked to individual projects or beneficiaries. • Data on fish processing
Data on fish processing	
Source	<p>Data on fish processing is primarily collected by the national statistical institutes and compiled by Eurostat under SBS (structural business statistics). MS are encouraged to collect further details under DCF.</p> <p>The Eurostat data can be found on https://ec.europa.eu/eurostat/databrowser/view/sbs_na_2a_dade/default/table?lang=en using code DA152 for 'Processing and preserving of fish and fish products'.</p> <ul style="list-style-type: none"> • JRC / STECF publish bi-annually data on fish processing • STECF 21-14 – EU fish processing sector.pdf • STECF 22-14 – EU fish processing sector, Annex data tables.xlsx <p>These files can be downloaded from https://stecf.jrc.ec.europa.eu/reports/economic. The JRC/STECF data is largely based on SBS, although some MS collect additional information.</p>
Contents	The data offers a large number of indicators on the economic performance of the fish processing sector.
Relevance	<ul style="list-style-type: none"> • The fish processing data allows assessment of the context related to support provided under EMFAF article 26. However, it cannot be linked to individual projects or beneficiaries. • Fishing fleet register
Fishing fleet register	
Source	<p>Publicly available EU fishing fleet register can be found on https://webgate.ec.europa.eu/fleet-europa/index_en .</p> <p>National authorities are obliged to maintain a fishing fleet register, which contains also confidential information, not accessible in the above mentioned source.</p>
Contents	<p>The public fleet register contains information on technical characteristics of individual vessels. MS follow somewhat different approaches – in some MS only active vessels are registered, while in other MS also inactive vessels can be in the register.</p> <p>Confidential information regards detail of the owners.</p>
Relevance	<p>The fleet register data may be relevant, particularly when assessing broader implications of support under article 17-21. Access to confidential information allows cross-checking vessel data with information provided by beneficiaries.</p> <p>(International) trade statistics</p>
(International) trade statistics	

Source	Detailed data on international trade is published by Eurostat on https://ec.europa.eu/eurostat/data/database in tables <i>EU trade since 2002 by HS2-4-6 and CN8 (new content) (ds-059322)</i> . Large number of fish products can be found under the code 03. EUMOFA compiles the Eurostat data to a more 'user-friendly' format. (www.eumofa.eu)
Contents	International trade data provides monthly quantities and values traded between EU MS and between EU MS and 3rd countries. In addition, EUMOFA publishes data on fish prices at auctions (weekly) and it prepares reports on a broad variety of fish-product related topics – mainly by species (groups) and markets.
Relevance	Trade statistics allow assessment of the context related to support provided under EMFAF articles 26. Fishery control data
Fishery control data	
Source	The national fishery control agencies maintain databases within information required under the Control Regulation ²⁶ . Data on individual vessels are confidential.
Contents	Two data sets may be of particular relevance to evaluation of the fisheries sector: Logbook data, with information on catches, landings and fishing effort. Aggregations of this data accessible through DCF. Infringements database – records vessels for which (serious) infringements were identified. Depending on the nature of the infringement, the vessel may not be eligible for EMFAF support.
Relevance	The databases may generate aggregations for groups of vessels which are not included in the standard definition of DCF. In specific situations information on individual vessels might be made available confidentially. Infringements database allows for cross-checking whether the EMFAF condition has been applied correctly.

Source: FAMENET compilation, sources indicated above, 2023

²⁶ Council Regulation (EC) No 1224/2009 of 20 November 2009 establishing a Community control system for ensuring compliance with the rules of the common fisheries policy

6.3 Annex 3, evaluation methodologies

Table 19: examples of data collection methods

Method	Purpose	Tools	Advantage	Disadvantage
Surveys	Gathering information on opinions, attitudes, preferences - find out more about a certain group of people or topics	in person online EU Survey; Mentimeter; Google forms; interviews; combination of collection methods	<ul style="list-style-type: none"> • data from large number of respondents • standardisation • data easily analysed 	<ul style="list-style-type: none"> • limited depth • low response rates • survey design challenges
Questionnaires	collect information from groups, individuals	paper based or electronic (-EU Survey; Mentimeter; Google forms)	<ul style="list-style-type: none"> • efficient and cost-effective • standardization possible • anonymity possible • scalable for large groups 	<ul style="list-style-type: none"> • limited depth • language and literacy barriers • complex questionnaire design • validity of questions • low response rate
Interviews	detailed qualitative data - structured, semi-structured, unstructured	In person Online - Microsoft Teams; Zoom; Skype	<ul style="list-style-type: none"> • in depth data • provision of clarification, flexibility in collection process • tailored follow-up 	<ul style="list-style-type: none"> • time-consuming • resource-intensive • subjectivity • limited sample size • hesitancy to provide honest answers
Case study	in-depth examination of a single entity	mostly combination of research tools	<ul style="list-style-type: none"> • in depth understanding • theory development • practical applications to inform decision-making • contextual insight 	<ul style="list-style-type: none"> • limited generalizability • subjectivity of researcher • resource-intensive • time sensitive • limited quantitative data
Focus group	qualitative analysis of variety of perspectives on specific topic / set of topics	online; in person	<ul style="list-style-type: none"> • participant engagement • visual and non-verbal data • faster data collection compared to individual interviews 	<ul style="list-style-type: none"> • limited generalizability • group thinking • costs

Method	Purpose	Tools	Advantage	Disadvantage
			<ul style="list-style-type: none"> rich data 	<ul style="list-style-type: none"> dominant participants moderator bias
Document analysis	most common, taking advantage of existing data	Word; Excell; MAXQDA	<ul style="list-style-type: none"> rich data cost-effective can serve as a complementary method diverse datasets no direct interaction needed 	<ul style="list-style-type: none"> interpretation challenges bias in document selection limited control over the content accuracy and reliability of content can be time consuming
Observations	direct observation of programme activities, process, behaviours	checklists; field notes; structured observation forms; scoring systems; audio-visual tools	<ul style="list-style-type: none"> behavioural insights in-depth understanding objective data- minimizing the influence of bias contextual data 	<ul style="list-style-type: none"> observer bias subjectivity resource intensive potential intrusiveness
Delphi method	e.g. improve decision making process; expert opinion gathering	Google forms; edelphi software	<ul style="list-style-type: none"> geographic diversity efficient - can be done online; anonymity expert consensus 	<ul style="list-style-type: none"> expert selection expert over-simplify particular issues; resource-intensive response rate no guarantee of consensus
Expert panel	to assess a programme or intervention	it is a tool itself	<ul style="list-style-type: none"> particularly helpful in arriving a judgements relating to quality and relevance relatively inexpensive and rapid 	Must have extensive experience in the field, and are at risk of bias, unwillingness to criticise the relevance of the objectives or to focus on any undesirable effects. The comparison of opinions often leads to the under-evaluation of minority points of view.

Table 20: Example of assessment methods

Method	Purpose	Advantage	Disadvantage
Cluster analysis	groups similar data points or cases together based on their similarities or dissimilarities.	<ul style="list-style-type: none"> • identify patterns data, hypothesis generation • data reduction complexity • data visualization 	<ul style="list-style-type: none"> • data quality
Content analysis	analyses the content, coding to extract insights, patterns	<ul style="list-style-type: none"> • systematic and structured approach • allowing qualitative and quantitative insight of data • versatility • hypothesis generation 	<ul style="list-style-type: none"> • resource-intensive • limited to available data • assumptions • subjectivity
Contribution analysis	analyses how a given intervention and/or set of it, is expected to lead to specific development change, drawing on a causal analysis based on available evidence	<ul style="list-style-type: none"> • clarity and structure of the ToC • holistic understanding of programme context • accountability • flexibility in adaption • not a static document • encourages a comprehensive understanding of the programmes context 	<ul style="list-style-type: none"> • can be complex • assumptions-based • subjectivity • resource-intensive
Panel data analysis	tracking of changes or trends over time. collect data at multiple time points to assess how programmes, interventions are evolving	<ul style="list-style-type: none"> • tracking the trends • increased statistical power • improvement of the analysis 	
Network analysis	analysis of the relationships and connections between various entities or elements in a network, such as individuals, organizations, or components of a system.	<ul style="list-style-type: none"> • identifying key actors • visual representation • holistic view of relationship, stakeholders 	<ul style="list-style-type: none"> • complexity and data requirements
Counterfactual analysis	based on control groups, which evaluates the impact of the programme or intervention by	<ul style="list-style-type: none"> • causality assessment 	<ul style="list-style-type: none"> • Some interventions may have long-term effects that

Method	Purpose	Advantage	Disadvantage
	comparing the actual achievements to what would have happened if the programme or intervention had not been implemented, using control groups. The control or comparison group represents a group of people who are similar to the programme or intervention beneficiaries, but who did not receive programme support. The outcomes of the control group are then used to assess what would have happened to the programme or intervention beneficiaries if they had not participated/supported by the programme or intervention.	<ul style="list-style-type: none"> • basis for making direct comparisons and understanding the intervention's impact 	<ul style="list-style-type: none"> • are not immediately observable within the timeframe of an evaluation • resource intensive
Attribution analysis	helps determine whether observed changes can be attributed to the program itself or if other external factors played a role.	<ul style="list-style-type: none"> • Attribution analysis allows for a deeper understanding of causality 	<ul style="list-style-type: none"> • It often relies on high-quality, comprehensive data, which may not always be available • complexity
Descriptive analysis	data summarization; data communication and comparison	<ul style="list-style-type: none"> • data summarization • comparison • good for communication 	<ul style="list-style-type: none"> • simplification of data • sample dependence versus insufficient representation
Inferential analysis	differences between the treatments groups - make generalization about the larger population	<ul style="list-style-type: none"> • generalization based on sample • hypothesis testing • data reduction • comparisons 	<ul style="list-style-type: none"> • interpretation challenges • risk of sampling error
SWOT analysis	framework for organizing and analysing data and insight collected through various data collection methods	<ul style="list-style-type: none"> • structured assessment • relatively easy to understand • strategic planning 	<ul style="list-style-type: none"> • may oversimplify complexity • subjectivity in assessment

Method	Purpose	Advantage	Disadvantage
Regression analysis	modelling, analysing relationship between variables	<ul style="list-style-type: none"> hypothesis testing quantifies relationships easy to communicate results 	<ul style="list-style-type: none"> relies on assumptions relies on data quality limited causality
Expenditure analysis	analyses financial data related to expenditures, spending patterns, and financial transactions.	<ul style="list-style-type: none"> financial accountability budget compliance performance measurements resource allocation 	<ul style="list-style-type: none"> data quality costly potential for manipulation
Correlation analysis	assesses the strength and direction of a relationship between two or more variables	<ul style="list-style-type: none"> identifying relationships data reduction hypothesis testing data visualization 	<ul style="list-style-type: none"> does not establish causation exclusion of relevant variables
Discontinuity identification strategy	some units are made eligible for the intervention and others ineligible by some well defined rules, typically some administrative rules.	<ul style="list-style-type: none"> allows to identify the programme's causal effect without imposing arbitrary exclusion restrictions, assumptions on the selection process, functional forms, or distributional assumptions on errors 	<ul style="list-style-type: none"> its feasibility is by definition confined to instances in which selection takes place on an observable pre-intervention measure data limitations generalizability
instrumental variables identification strategy	This method is relevant when the exposure to a policy is not determined only by the decisions of the individuals involved, but also, to a significant degree, by events and processes outside their control.	<ul style="list-style-type: none"> policy relevance allows for stronger causal inference 	<ul style="list-style-type: none"> can be difficult to find an instrument that is both relevant and exogenous The assessment of instrument exogeneity can be highly subjective; complexity of method

Method	Purpose	Advantage	Disadvantage
Matching strategy	creates comparable groups for the purpose of conducting comparisons and evaluating the impact of a treatment, intervention, or variable.	<ul style="list-style-type: none"> • reduce selection bias • can strengthen causal inference 	<ul style="list-style-type: none"> • relies on the assumption all relevant variables are observed, included • may be challenging to find suitable matches for all participants, leading to smaller sample sizes and less precise estimates • data availability
Geospatial analysis	to analyse and visualize spatial data, helping to understand spatial patterns and relationships	<ul style="list-style-type: none"> • provides a spatial context for data • visualization • identify inequities in programme outcomes 	<ul style="list-style-type: none"> • data complexity • required skills • data availability
Cost-effectiveness analysis	resource allocation by comparing the costs with its outcomes, impacts	<ul style="list-style-type: none"> • evidence-based decision-making • efficient allocation of resources • allowing comparison of interventions • transparency by showing the trade-offs 	<ul style="list-style-type: none"> • may overlook non-monetizable outcomes • resource constraints • data requirements
Cost-benefit analysis	economic efficiency, comparing costs to its benefits - do the benefits outweigh the costs	<ul style="list-style-type: none"> • efficient resource allocation • transparency; comparisons 	<ul style="list-style-type: none"> • time and resource constraints
Data mining	extract meaningful information from data and make predictions or informed decisions based on the patterns and insights discovered.	<ul style="list-style-type: none"> • pattern discovery • more objective insight/evidence 	<ul style="list-style-type: none"> • complexity of techniques and interpretation



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