

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Ex post evaluation on the European Fisheries Fund		
LEAD DG RESPONSIBLE UNIT	– DG MARE - A3 (Structural policy and economic analysis)	DATE OF THIS ROADMAP	06 / 2015
TYPE OF EVALUATION	Ex-post evaluation	PLANNED START DATE	09 / 2015
		PLANNED COMPLETION DATE	11 / 2016
		PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for information purposes only and is subject to change.			

A Purpose
(A.1) Purpose
<p>The <i>ex-post</i> evaluation will examine the degree of utilisation of resources, the effectiveness and efficiency of the Operational programme (hereafter OP) and its impact in relation to the objectives set out in the European Fisheries Fund (hereinafter 'EFF Regulation') as well as the guiding principles. It will identify the factors which contributed to the success or failure of the implementation of the OP, including from the point of view of sustainability, and best practice. The evaluation results will be used to provide the basis for a possible future IA of the possible programming period after 2020. Apart from the Commission, the results may also be used by Member States and their Managing Authorities, other EU institutions (European Parliament, Council, European Court of Auditors) and other stakeholders. Finally, the evaluation results will feed into the annual "Evaluation Report on the Union's finances based on the results achieved", which is required under Article 318 of the Treaty on the Functioning of the European Union (TFEU)ⁱ.</p>
(A.2) Justification
<p>Article 50 of Council Regulation (EC) No 1198/2006 of 27 July 2006 on the EFF Regulationⁱⁱ foresees this <i>ex-post</i> evaluation. The <i>ex-post</i> evaluation shall be completed no later than 31 December 2016ⁱⁱⁱ.</p> <p>In addition, according to Article 30(4) of the Financial Regulation^{iv} in connection with Article 18 of the Rules of Applications^v of that regulation Commission departments have to ensure that the spending activities they manage and where the resources mobilised exceed EUR 5 000 000 are "<i>subject of an interim and/or ex-post evaluation in terms of the human and financial resources allocated and the results obtained in order to verify that they were consistent with the objectives set</i>".</p>

B. Content and subject of the evaluation
(B.1) Subject area
<p>European fisheries Fund (EFF) that was designed in order to address the needs of the fisheries, aquaculture and processing sectors and marketing of the products, including the transformation and marketing of the products, inland fishing as well as those of areas dependent on fisheries.</p> <p>Projects are funded on the basis of strategic plans and operational programmes drawn up by national authorities. There are five priority areas (axes) for EFF funding:</p> <ul style="list-style-type: none"> • adjustment of the fleet (e.g. to support scrapping of fishing vessels) • aquaculture, processing and marketing, and inland fishing (e.g. to support the shift to more environmentally friendly production methods) • measures of common interest (e.g. to improve product traceability or labelling)

- sustainable development of fisheries areas (e.g. to support diversification of the local economy)
- technical assistance to finance the administration of the fund.

(B.2) Original objectives of the intervention

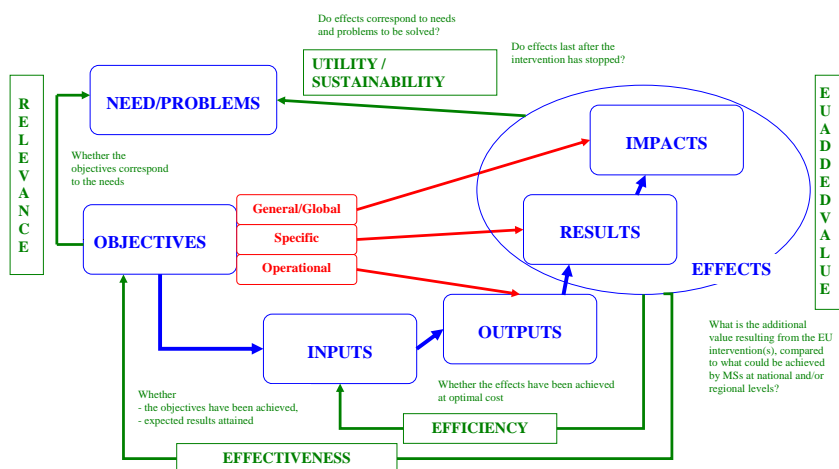
The objectives of the EFF Regulation (Article 4) were to:

- support the common fisheries policy so as to ensure exploitation of living aquatic resources and support aquaculture in order to provide sustainability in economic, environmental and social terms;
 - promote a sustainable balance between resources and the fishing capacity of the Community fishing fleet;
 - promote a sustainable development of inland fishing;
 - strengthen the competitiveness of the operating structures and the development of economically viable enterprises in the fisheries sector;
 - foster the protection and the enhancement of the environment and natural resources where related to the fisheries sector;
 - encourage sustainable development and the improvement of the quality of life in areas with activities in the fisheries sector;
- (g) Promote equality between men and women in the development of the fisheries sector and fisheries areas.

(B.3) How the objectives were to be achieved

The intervention logic below starts with the description of the change that the programme intended to bring in the Member States (the objectives of the EFF chosen by the MS to focus on). The change (or intended result) should be achieved through operations delivering outputs.

Overview of intervention logic of policy objectives



C. Scope of the evaluation/FC

(C.1) Topics covered

The EFF was designed in order to address the needs of the fisheries, aquaculture and processing sectors and marketing of the products, including the transformation and marketing of the products, inland fishing as well as those of areas dependent on fisheries of 27 Member States (Luxembourg is the only MS excluded from the analysis as they do not have an operational programme) for the programming period 2007-2013.

Funding is delivered through a series of measures and actions that are established and defined in Regulations (EC) No 1198/2006 and (EC) No 498/2007. These measures/actions are organised in the following six **spending categories**:

- Fisheries (including small scale and inland),
- Aquaculture,
- Processing,

- Common interest,
- Community development,
- Technical assistance.

(C.2) Questions/issues to be examined

The contractor will be requested to address a set of general and specific questions for each of the 6 spending categories (technical assistance is not included in this table as only specific questions are relevant). Apart from these, the following evaluation questions will also be answered:

The 6 evaluation criteria	Evaluation questions
<p>1. Effectiveness considers how successful an intervention has been in achieving or progressing towards its objectives. Since Better Regulation normally involves a hierarchy of objectives for a given intervention, analysis of effectiveness should look at changes to outputs, results and impacts as appropriate, separately identifying these elements and clearly stating how each is covered.</p>	<ol style="list-style-type: none"> 1) To what extent were the EFF objectives achieved? 2) To what extent were the OP objectives and indicators of the MS achieved? 3) To what extent do the observed effects (results and impact) correspond to the original objectives? 4) What factors influenced the achievement observed (both successes and failures)? 5) To what extent did the global economic crisis which began in 2008 and the policy response (including the top-up regulation^{vi}) contribute to accelerating or decelerating EFF programme implementation? 6) How have the horizontal principles of environmental sustainability, gender mainstreaming and gender promotion integrated into the programme and into the different phases of the programme life cycle?
<p>2. Efficiency considers the relationship between the resources used by an intervention and the changes generated by the intervention. Typical efficiency analysis will include analysis of administrative and regulatory burden and look at aspects of simplification.</p>	<p>The questions on efficiency should be divided up in two sections, one on substance and programme objectives, and the other on the delivery system.</p> <p>Programme objectives</p> <ol style="list-style-type: none"> 1) What were the estimated costs of maintaining and creating additional jobs in the fisheries sector and in the fisheries communities? 2) What were the estimated costs of increasing the volume and value of production in the fisheries, aquaculture, and fish processing sectors as a result of the EFF intervention? 3) What was the estimated cost for softer (non-investment) measures as a result of EFF intervention? 4) What was the leverage effect per measure per Member State? <p>Delivery system</p> <ol style="list-style-type: none"> 1) What were the average costs to the beneficiary and to the MS to apply and receive funding from the EFF (feasibility studies, application forms, etc.)? 2) What was the average length of time in each Member State between for the following: <ul style="list-style-type: none"> - Selecting an operation (from the date of submission up until the decision made by the Managing Authority)? - concluding a contract (from the decision on a project up until signing the financing contract) - payment to the beneficiary (from the submission of a payment claim until payment has been transferred to beneficiary's account) 3) What difficulties were encountered by the Managing Authorities in delivering the EFF programmes? Examples could include a) lack of administrative capacity have on the implementation (delegation, monitoring, computerised system, links between AA, CA, MA etc.) of the EFF; b) lack of public or private funding (or access to financing) and

	how this was addressed (through advances, financial instruments, etc.); c) or the impact of management verifications (administrative verification and controls on the spot) have on the implementation of the programme and detection of irregularities.
3. Relevance looks at the relationship between the needs and problems in society and the objectives of the intervention. As such it considers how the situation has changed over time and what the current needs are and whether the intervention remains relevant.	<ol style="list-style-type: none"> 1) To what extent have EFF programmes and the implemented measures achieved the original social, economic and environmental objectives of the programmes? 2) To what extent do the original objectives of the EFF (and the EFF programmes) still correspond to the needs of the fishing, aquaculture and processing sectors, as well as coastal communities across the EU? 3) To what extent have EFF programmes contributed to achieving the objectives of the Common Fisheries Policy, in particular fisheries management, aquaculture and processing/market?
4. Coherence considers how well interventions which share common objectives work together. Depending on the scope set, it can look at coherence within the intervention; coherence within interventions of the same policy area (e.g. water policy, health and safety); within a wide area including possibly international agreements/declarations (e.g. all EU environmental activities including international treaties, all EU activities related to consumer protection)	<ol style="list-style-type: none"> 1) To what extent were there complementarities, synergies, overlaps, demarcation issues, etc. with other EU funding instruments with similar objectives, e.g. EAFRD, ESF and EMFF?
5. EU-added value^{vii} looks for changes which it can reasonably be argued are due to EU intervention, rather than any other influences at work. In many ways, the evaluation of EU added value brings together the findings of the other criteria, presenting the arguments on causality and drawing conclusions, based on the evidence to hand, about the performance of the EU intervention	<ol style="list-style-type: none"> 1) What is the additional value resulting from the EFF, compared to what could be achieved by member States at national and/or regional level without any EU action? 2) To what extent do the underlying needs of the sector(s)viii addressed by the EFF continue to require action at the EU level? 3) What would be the most likely consequences of stopping or withdrawing EU funding for the fisheries, aquaculture and processing sectors?
6. Sustainability	Has the EFF contributed to the environmental and sustainability claims that it set out to achieve?

(C.3) Other tasks

Task 1: Detailed description of the state-of-play of implementation of the EFF across all Member States

Task 2: Analysis by category of spending

Task 3: Case studies

Task 4: Answer evaluation questions

Task 5: Analyse the results of the stakeholder consultation

Task 6: Formulate conclusions and recommendations

D. Evidence base

(D.1) Evidence from monitoring

For this evaluation data will be used from the 27 MS's monitoring data bases and financial information as well as the results from EU and national reports and evaluations. In addition multilingual e-mail surveys to all Managing Authorities and a representative sample of beneficiaries for each spending category will also feed into the results of the evaluation. In addition structured interviews with all the Managing Authorities, at least 2 per Member State will be conducted. For ES, UK, IT, FR, PL and DE, there should at least 4 interviews as these represent the largest operational programs. In decentralized MS, interviews will be divided between representatives from the Managing Authority and from the region or autonomous community. The list of selected interviews will be discussed and agreed with the Commission.

(D.2) Previous evaluations and other reports

Previous evaluations and other reports are:

- Ex-post FIGG: http://ec.europa.eu/fisheries/documentation/studies/fifg_evaluation/index_en.htm
- EFF indicators: <http://ec.europa.eu> › European Commission › SFC
- Mid-term evaluation EFF: http://ec.europa.eu/health/programme/docs/mthp_final_report_oct2011_en.pdf
- Impact assessment CFP: http://ec.europa.eu/fisheries/reform/impact_assessments_en.htm
- Impact assessment EMFF: http://ec.europa.eu/fisheries/reform/sec_1416_en.pdf
- 27 EFF OPs as well as the yearly AIR of each MS
- Study on EFF - Axis 4: http://ec.europa.eu/fisheries/documentation/studies/axis-4/index_en.htm
- Retrospective Evaluation of Scrapping and Temporary Cessation Measures in the EFF, November 2013: http://ec.europa.eu/fisheries/documentation/studies/cessation/index_en.htm
- Court of auditors report: fleet capacity: http://www.eca.europa.eu/Lists/ECADocuments/SR11_12/SR11_12_EN.PDF
- Court of auditors report: aquaculture: http://www.eca.europa.eu/Lists/ECADocuments/SR14_12/QJAB14012ENC.pdf
- National evaluations
- [The 2014 Annual Economic Report on the EU Fishing Fleet \(STECF 14-16\):](https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/2014-annual-economic-report-eu-fishing-fleet-stecf-14-16-scientific-technical-and-economic)
<https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/2014-annual-economic-report-eu-fishing-fleet-stecf-14-16-scientific-technical-and-economic>
- The Economic Performance of the EU Aquaculture Sector (STECF 14-18):
https://stecf.jrc.ec.europa.eu/documents/43805/839433/2014-11_STECF+14-18+-+EU+Aquaculture+sector_JRCxxx.pdf
- [The 2014 Annual Economic Report on the EU Fish Processing \(STECF 14-21\):](http://stecf.jrc.ec.europa.eu/documents/43805/861045/2014-12_STECF+14-21+-+EU+Fish+Processing+Industry_JRC93340.pdf)
http://stecf.jrc.ec.europa.eu/documents/43805/861045/2014-12_STECF+14-21+-+EU+Fish+Processing+Industry_JRC93340.pdf
- Tracking Biodiversity Expenditure in the EU Budget (IEEP, ICF 2015) – study to be published in end June 2015:

The conclusions from these evaluations will form the starting point (avoid duplication) for the evaluators.

(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)

One EU Pilot case 3321/12 BE.

(D.4) Consultation

An open, internet-based consultation of minimum duration 12 weeks will be part of a wider consultation strategy to target relevant parties and information sources. This consultation will be developed and launched by DG MARE during the autumn of 2015.

(D.5) Further evidence to be gathered

Data on operations of the EFF (call art 40) of 2014, 2015 and 2016 will be provide in excel files to the evaluators by DG MARE for analysis.

E. Other relevant information/ remarks

A workshop will be held on DG MARE premises with colleagues across DG MARE to present the findings and

conclusions of the draft final report and allow for general feedback.

ⁱ Consolidated version of the [Treaty on the Functioning of the European Union](#)

ⁱⁱ Council Regulation (EC) No [1198/2006](#) of 27 July 2006 on the European Fisheries Fund

ⁱⁱⁱ Commission Delegated Regulation (EU) 2015/616 of 13 February 2015 amending Delegated Regulation (EU) No 480/2014 as regards references therein to Regulation (EU) No 508/2014 of the European Parliament and of the Council.

^{iv} Regulation (EU, EURATOM) No [966/2012](#) of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002

^v Commission Delegated Regulation (EU) No [1268/2012](#) of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union

^{vi} Regulation (EU) No 387/2012 of the European Parliament and of the Council of 19 April 2012 amending Council Regulation (EC) No 1198/2006 on the European Fisheries Fund, as regards certain provisions relating to financial management for certain Member States experiencing or threatened with serious difficulties with respect to their financial stability

^{vii} For further information on this criterion see SEC(2011)867 final "The added value of the EU budget"

^{viii} Fisheries, aquaculture and processing.