



TECHNICAL HANDBOOK

ON THE MONITORING AND EVALUATION FRAMEWORK OF THE COMMON AGRICULTURAL POLICY 2014 – 2020

DIRECTORATE-GENERAL FOR AGRICULTURE AND RURAL DEVELOPMENT

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Abbreviations

AEI	Agri-Environmental Indicators
AIR	Annual Implementation Report
AWU	Annual Work Units
BSP	Basic Payment Scheme
CAP	Common Agricultural Policy
CATS	Clearance of Accounts Audit Trail System
CF	Cohesion Fund
CMO	Common Market Organisation
COMEXT	Eurostat's External Trade Database
COMTRADE	United Nations Commodity Trade Statistics Database
CORINE	Coordination of information on the environment
CSF	Common Strategic Framework
DG AGRI	Directorate-General for Agriculture and Rural Development
DG ENV	Directorate-General for the Environment
DOOR	Database for Origin and Registration
EAA	Economic Accounts for Agriculture
EAFRD	European Agricultural Fund for Rural Development
EAGF	European Agricultural Guarantee Fund
EFA	Ecological Focus Area
EGTC	European Grouping of Territorial Cooperation
EIB	European Investment Bank
EIONET	European Environment Information and Observation Network
EIP	European Innovation Partnership
EMFF	European Maritime and Fisheries Funds
ENRD	European Network for Rural Development
E-OBS	Dataset for precipitation, temperature and sea level pressure in Europe
ERDF	European Regional Development Fund
ESA	European System of Accounts
ESF	European Social Fund
ESI	European Structural and Investment Funds
FADN	Farm Accountancy Data Network
FAO	Food and Agriculture Organisation
FAS	Farm Advisory System
FLINT	Farm Level Indicators for New Topics in Policy Evaluation
FSS	Farm Structure Survey
GDP	Gross Domestic Product
GFCF	Gross Fixed Capital Formation
GHG	Greenhouse Gas
GI	Geographical Indications
GVA	Gross Value Added
HNV	High Nature Value
IACS	Integrated Administration and Control System
ICT	Information and Communication Technologies
ISAMM	Information System for Agricultural Market Management and Monitoring
JRC	Joint Research Centre
LAG	Local Action Group
LDS	Local Development Strategies
LPIS	Land Parcel Identification System
LSU	Livestock Units
LUCAS	Land Use/ Cover Area frame statistical Survey

MPP	Management of Promotion Programmes database
NACE	Nomenclature statistique des Activités économiques dans la Communauté Européenne (statistical classification of economic activities in the European Community)
NUTS	Nomenclature of Territorial Units for Statistics
OECD	Organisation for Economic Co-operation and Development
OJ	Official Journal
PDO	Protected Designation of Origin
PGI	Protected Geographical Indication
RDC	Rural Development Committee
RDP	Rural Development Programme
SAPS	Single Area Payment Scheme
SFC	Shared Fund Management Common System
SME	Small and Medium sized Enterprises
SO	Standard Output
TFEU	Treaty on the Functioning of the European Union
TNA	Transitional National Aid
TSG	Traditional Speciality Guaranteed
UAA	Utilised Agricultural Area
UNECE	United Nations Economic Commission for Europe
UNFCCC	United Nations Framework Convention on Climate Change

1. Introduction

The purpose of this guidance document is to provide a detailed overview on the common monitoring and evaluation framework of the Common Agricultural Policy (CAP) 2014 – 2020. While in the past there was already a common monitoring and evaluation framework for rural development (second pillar) of the CAP, evaluations under the first pillar have not been based on CAP-specific legislation. For the first time a monitoring and evaluation framework covering the whole CAP has been set up under Article 110 of Regulation (EU) No 1306/2013¹.

This guidance document may be helpful for various audiences, such as CAP stakeholders in the Member States, Managing Authorities, Monitoring Committees, Paying Agencies, Evaluators and European Commission Desk Officers. It is organized with a common part relevant for both Pillars (Chapters 1, 2, 3, 4, 5, 7 and 8) while Chapter 6 is designed to address the specificities of rural development.

This first chapter provides a brief insight on what has changed with the introduction of Article 110 of Regulation (EU) No 1306/2013 but also presents the outline of this document.

Chapter 2 describes the general ***objectives and purposes of monitoring and evaluation*** and its importance to the European Union and specifically to the Directorate-General for Agriculture and Rural Development (DG AGRI).

Chapter 3, ***framework for monitoring and evaluation***, contains detailed information on the intervention logic and a list of indicators for the common monitoring and evaluation framework of the CAP 2014 – 2020. This list of indicators has been established in order to monitor the progress, effectiveness and efficiency of the new CAP's implementation against its objectives. The total number of these indicators is determined by the policy structure and the intervention logic. However, efforts have been made to reduce this number to the lowest possible while still covering all monitoring and evaluation needs for the first and second pillar of the CAP 2014 - 2020.

In Chapter 4, ***actors and responsibilities in monitoring and evaluation***, Article 110 of Regulation (EU) No 1306/2013, which lays down the provisions for the common monitoring and evaluation framework, is presented. The new CAP puts forward a number of improvements which should help all the involved actors, depending on their responsibility, to maintain a high standard of monitoring and evaluation.

Chapter 5 provides information on the ***data sources*** used regarding the monitoring and evaluation framework. Even though the framework now also covers the first pillar, there are no new data needs resulting from this extension. All proposed impact, result and output indicators for the first pillar are based on information originating from existing data collection mechanisms and data streams, thus reusing to the maximum possible existing data sources. Rural development data requirements have been reduced to the extent possible and the values for result and output indicators are generated from information stored in the operations database.

Chapter 6 provides detailed information on ***rural development (Pillar II) specificities*** that have to be taken into account in order to fulfil the monitoring and evaluation requirements for the rural development programmes (RDPs).

¹ REGULATION (EU) No 1306/2013 of the European Parliament and of the Council of 17 December 2013 on the financing, management and monitoring of the common agricultural policy and repealing Council Regulations (EEC) No 352/78, (EC) No 165/94, (EC) No 2799/98, (EC) No 814/2000, (EC) No 1290/2005 and (EC) No 485/2008 (OJ L 347 of 20.12.2013, p. 579).

Chapter 7, ***use of monitoring and evaluation information***, describes how monitoring and evaluation fits into the policy cycle of the European Commission (hereinafter referred to as 'the Commission'). Furthermore, to ensure accountability and transparency throughout monitoring and evaluation, reporting and dissemination of the results is one of the core elements in the policy cycle.

Chapter 8 addresses the ***future developments*** of the monitoring and evaluation framework and presents a few projects that have been developed to tackle future challenges.

Annexes 1 to 6 present the indicator fiches with specific information on each of the indicators defined for both Pillars, including elements such as definitions, data sources and frequency of data collection.

Finally, a Glossary provides the description and explanations of the technical terms used in this guidance document.

2. Objectives and purposes of monitoring and evaluation

Understanding monitoring and evaluation requires distinguishing monitoring, evaluation and audit as these are complementary but different exercises.

Monitoring is a continuous task of reviewing information, systematic stocktaking of budgetary inputs and financed activities. Monitoring generates quantitative data. It gives feedback on the proper implementation of instruments/measures, facilitating corrections of deviations from operational objectives. Monitoring contributes to making public spending accountable and provides valuable information to be used in the evaluation of instruments/measures.

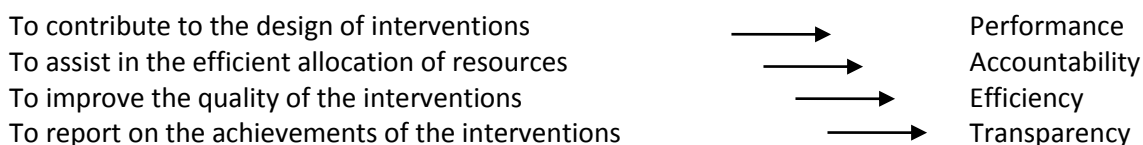
Evaluation, on the other hand, involves a judgment of interventions according to their results and impacts and the needs they aim to satisfy. It is a systematic tool which provides evidence for decision-making and improves effectiveness, usefulness and efficiency. Moreover, evaluation contributes to improve transparency, learning and accountability. Therefore, it allows drawing lessons for the future about what works, in which circumstances and why (or why not).

The focus of audit is the correct administrative and financial management of instruments/measures.

Generally, monitoring and evaluation are carried out to check to what extent policies and initiatives achieve the set objectives and to develop recommendations on what can be improved in the future. Their results play an increasingly important role to contribute to²:

- **Timely and relevant advice to decision-making and providing input to political priority-setting.**
- **Organisational learning:** the results of an evaluation can be used to improve the quality of an on-going intervention and in the development, implementation and design of policies. Moreover they can identify opportunities for simplification and reduction of regulatory burdens for future policies.
- **Improving the legitimacy, transparency, accountability and demonstrating the added value of EU action.**
- **A more efficient allocation** of resources between interventions, between the separate elements of a specific programme or activity, or between activities. Monitoring and evaluations results are key instruments to inform evidence-based decisions about effective spending on policy measures.

Box 2. The purpose for carrying out evaluations



Further specific information on how evaluations are carried out in DG AGRI, the actors and their responsibilities in monitoring and evaluation and the underlying legal framework is presented in Chapter 4.

² COMMISSION STAFF WORKING DOCUMENT COM (2015) 215 final Better Regulation Guidelines (2015, p.51)

3. Framework for monitoring and evaluation

3.1. Intervention logic

Box 3.1. Intervention logic

The intervention logic is the logical link between the problem that needs to be tackled (or the objective that needs to be pursued), the underlying drivers of the problem, and the available policy options (or the EU actions actually taken) to address the problem or achieve the objective. This intervention logic is used in both prospective Impact Assessments and retrospective evaluations.³

The CAP 2014 - 2020 monitoring and evaluation framework is the outcome of common work of DG AGRI and various stakeholders launched in 2010. Each of the elements of the CAP intervention logic was elaborated and agreed within DG AGRI, and also discussed on several occasions with the Member States, e.g. in the Rural Development Committee (RDC), the Expert Committee on Evaluation of Rural Development Programmes and a dedicated Expert Group on Monitoring and Evaluation. Following the approval of the basic legislation for the CAP 2014 - 2020, the mandatory elements of the framework were incorporated into implementing acts⁴, including amongst others a list of the indicators to be used to monitor the performance of the policy.

Overall, the CAP contributes to three general objectives, which together feed into the Europe 2020 objectives of smart, sustainable and inclusive growth. The performance of the CAP shall be measured in relation to the following general objectives⁵:

- **Viable food production** to contribute to food security by enhancing the competitiveness of EU agriculture while providing the means to address the challenges faced by the sector related to market disruptions and the functioning of the food chain.
- **Sustainable management of natural resources and climate action** to ensure the long-term sustainability and potential of EU agriculture by safeguarding the natural resources on which agricultural production depends.
- **Balanced territorial development** to contribute to the socio-economic development of rural areas, while fostering the right conditions for safeguarding structural diversity throughout the EU.

Both CAP pillars contribute to these general objectives. The general objectives are broken down into specific objectives, some of which are common to Pillar I (broadly, agricultural income and market support) and II (rural development), whereas others are linked either to Pillar I or to rural development (see Figure 1). A graphical presentation of these general objectives and their breakdown into specific

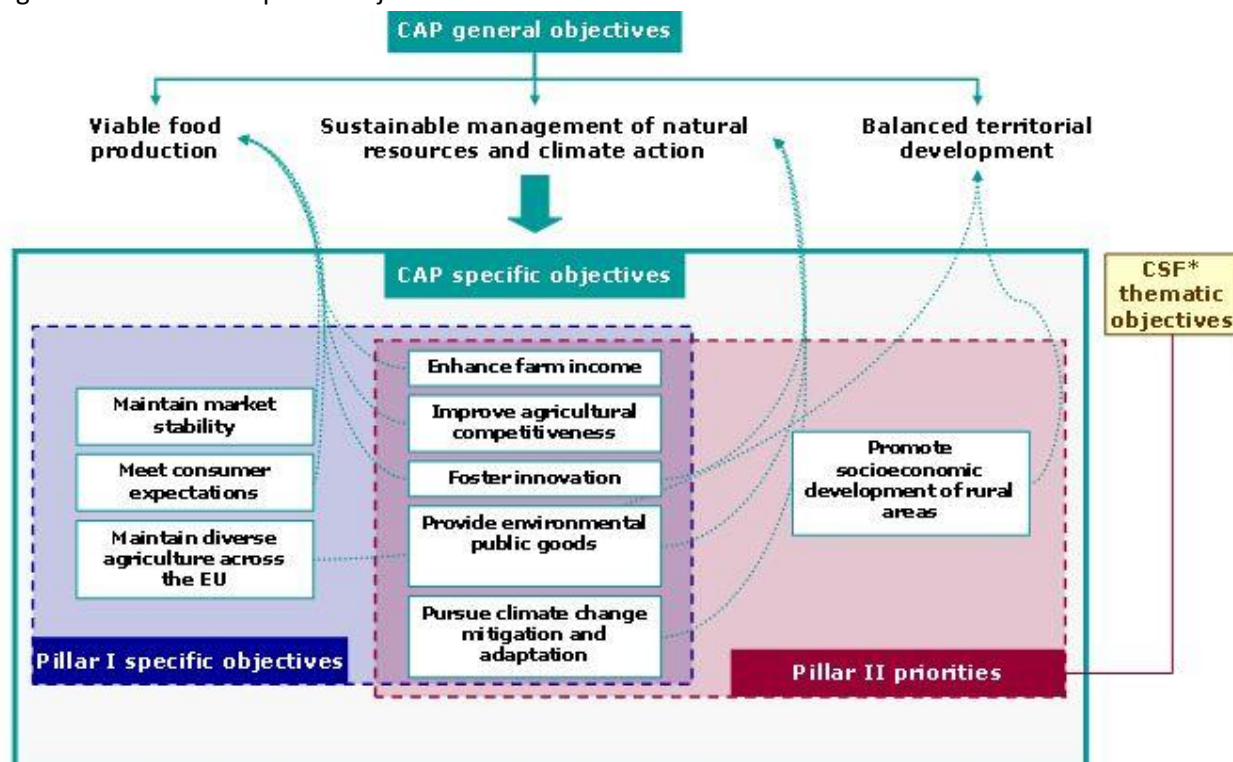
³ COMMISSION STAFF WORKING DOCUMENT COM (2015) 215 final Better Regulation Guidelines (2015, p.90)

⁴ COMMISSION IMPLEMENTING REGULATION (EU) No 834/2014 of 22 July 2014 laying down rules for the application of the common monitoring and evaluation framework of the common agricultural policy and COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014 of 17 July 2014 laying down rules for the application of Regulation (EU) No 1305/2013 of the European Parliament and of the Council on support for rural development by the European Agricultural Fund for Rural Development (EAFRD). See Chapter 4.1 Overview of the legal framework.

⁵ Article 110(2) of REGULATION (EU) No 1306/2013.

objectives (for rural development also known as 'rural development priorities') and how the related Pillar I instruments and rural development focus areas feed into them are presented in Figures 2 to 5.

Figure 1 General and specific objectives of the CAP



* CSF: Common Strategic Framework including the ERDF, ESF, CF, EAFRD and EMFF

Figures 2, 3 and 4 give an overview of the intervention logic of Pillar I. In particular, market measures allow for a safety net in times of market disturbances or crisis, hence maintaining market stability and meet consumer expectations. A number of horizontal instruments support these objectives as well. Overall, these measures help to maintain a diverse agriculture in the EU. The direct payments support and stabilise the farmers' income, improve competitiveness and contribute to the provision of environmental public goods and climate change mitigation and adaptation.

The intervention logics shown in the following figures only reflect an outline of the main elements of the CAP and they can be further specified and adapted over time.

Figure 2 Intervention logic Pillar I - Direct payments

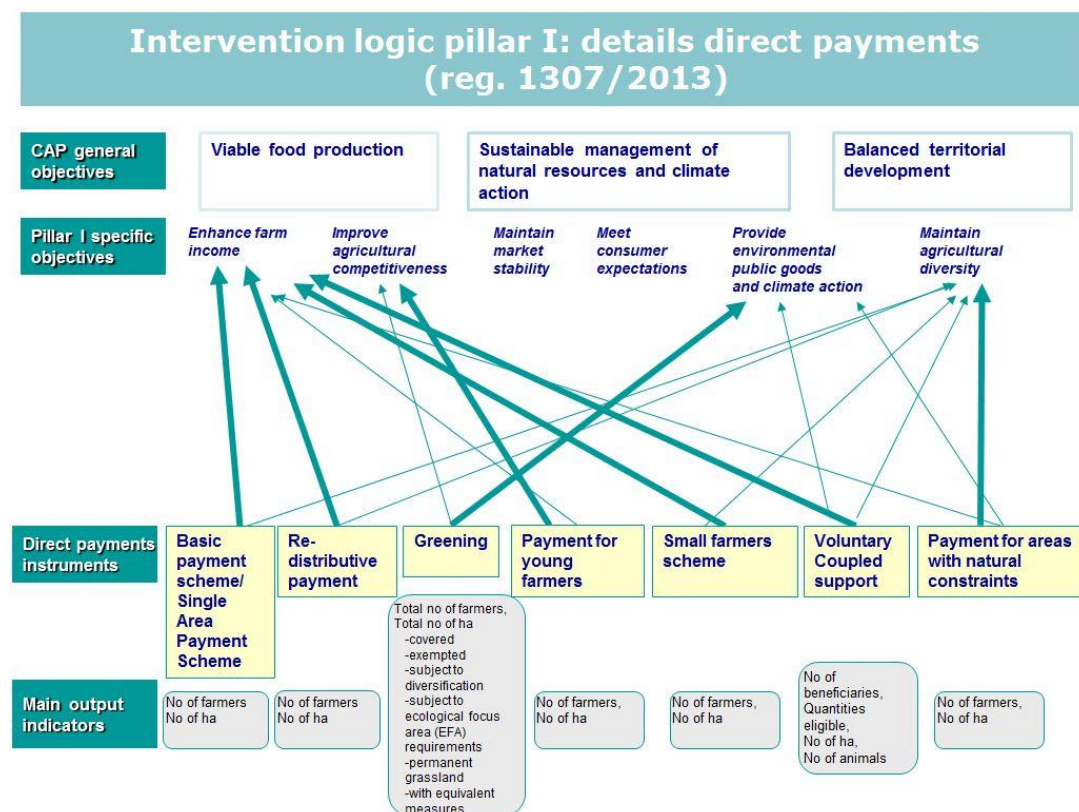


Figure 3 Intervention logic Pillar I - Market measures

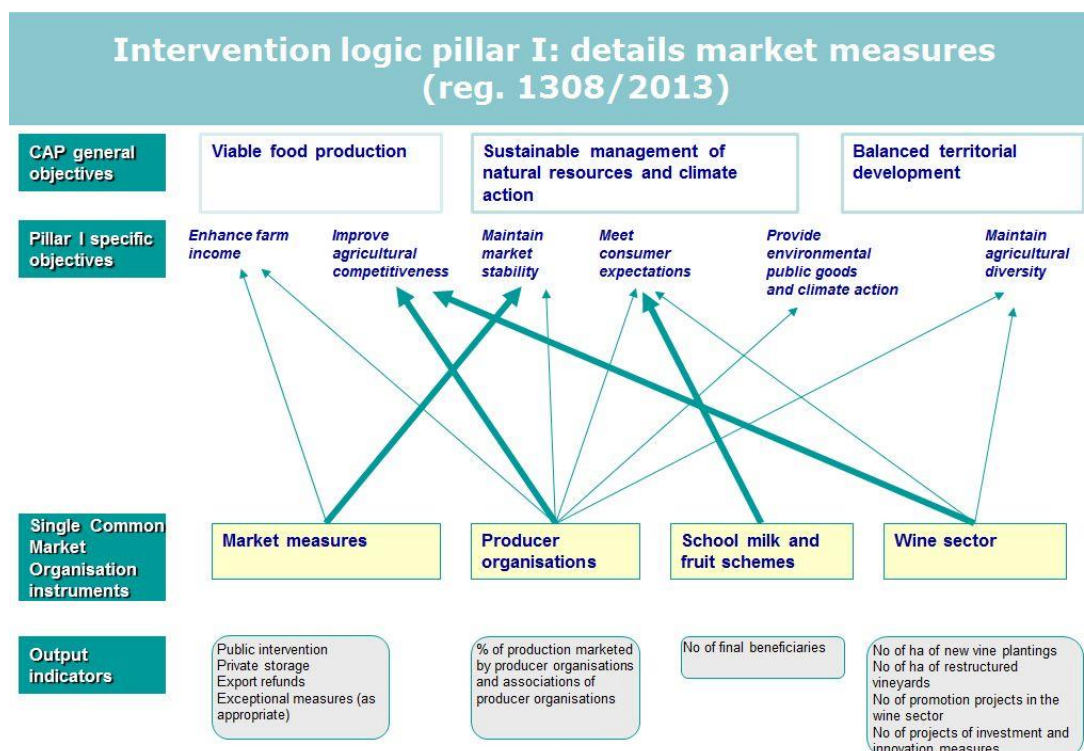


Figure 4 Intervention logic - Horizontal measures

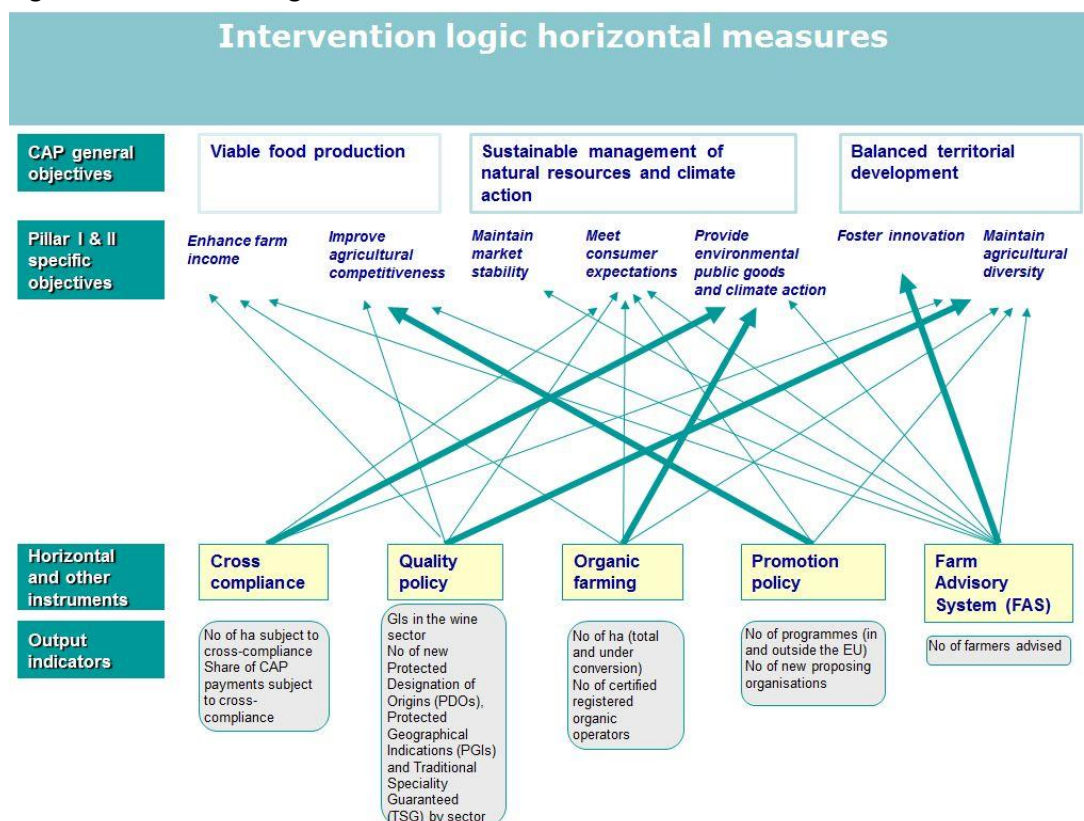
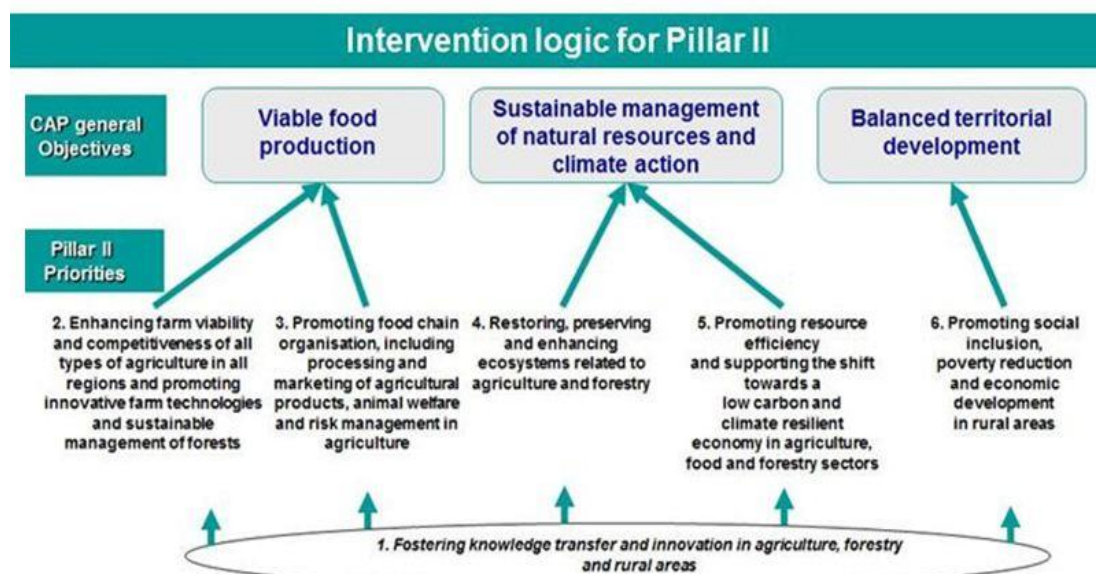


Figure 5 provides an overview of the intervention logic of rural development. Each RDP should be based on an intervention logic showing which rural development priorities and focus areas are included, and which measures are planned to contribute to the selected focus areas. There are six priorities (specific objectives) for rural development, each broken down into a number of focus areas. Five priorities are supported by one overall priority, i.e. knowledge transfer and innovation, which contributes to the general CAP objectives via the five other priorities. However, Managing Authorities have the flexibility to develop a specific intervention logic appropriate to their territory and needs.

Figure 5 Intervention logic for Pillar II (rural development)



3.2. Indicators

In general, an indicator is a tool to measure the achievement of an objective, e.g. a resource mobilised, an output accomplished or an effect obtained, or to describe the context (economic, social or environmental). The information provided by an indicator is a datum used to measure facts or opinions. Indicators are aggregates of data that allow quantification (and simplification) of phenomena.

Moreover, a potential indicator should be in accordance with the so-called **RACER criteria** (see Box 3.2.1.)

Box 3.2.1.	RACER criteria
Relevant	Are indicators closely linked to the objectives to be reached? Are they stated at the right level – are the impact indicators really indicators of impacts and do result indicators refer to results?
Accepted	Are they accepted by stakeholders?
Credible	Are they accepted externally, while being unambiguous and easy to interpret for non-experts?
Easy	Are they easy to monitor?
Robust	Will they continue to be usable and are they such that they cannot be manipulated easily?

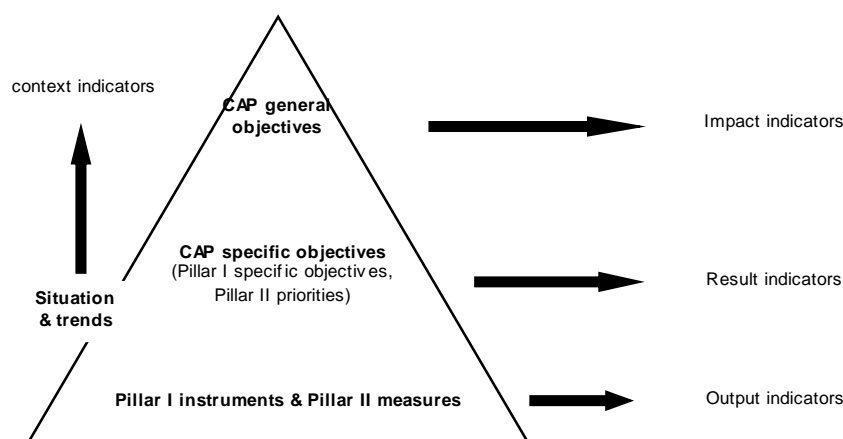
Legal text 1 Regulation (EU) No 1306/2013 - Article 110(3)

The performance of the CAP in achieving its common objectives shall be measured and assessed on the basis of common impact indicators, and the underlying specific objectives on the basis of result indicators. Based on evidence provided in evaluations on the CAP, including evaluations on rural development programmes, as well as other relevant information sources, reports on measuring and assessing the joint performance of all CAP instruments shall be prepared by the Commission.

The performance of the CAP is measured at different levels with the help of different types of indicators. Measurement of impacts is done at the level of the general objectives, measurement of results at the level of specific objectives/priorities and measurement of outputs at the level of instruments/measures. Figure 6 shows how the output, result and impact indicators of the CAP are related to this three level hierarchy.⁶

⁶ Detailed common impact, result, output and context indicator fiches are provided in Annexes 1 to 6.

Figure 6 Indicator hierarchy



It is important to acknowledge that often it is not one single instrument/measure that contributes to reaching an objective, but multiple instruments/measures together contribute to reaching the objectives. Similarly, a single instrument/measure can contribute to different objectives. On the same note, some indicators can be used to describe progress of achieving different (related) objectives.

Moreover, while the performance of the policy can be observed relatively reliably at the level of output, the influence of external factors becomes more important when measuring results and particularly impacts. This implies that the output, result and impact indicators cannot be looked at in isolation, but instead require interpretation within their context. In agriculture, a wide range of factors such as climatological and meteorological circumstances, agronomic conditions, world market prices, economic developments etc. influence the impact of the policy. For this reason, the framework also includes a number of socio-economic, sectorial and environmental indicators that describe this general context in which the CAP operates (context indicators⁷).

Box 3.2.2. Context indicators

The Commission developed a list of 45 context indicators for the monitoring and evaluation framework. The use of context indicators allows aggregation and comparability while providing a comprehensive picture of the situation in which the policy is implemented and a baseline for the overall framework. One of the principles of the context indicators is that data should be available from EU sources at least at national level. For those indicators for which the Commission cannot provide regional data, Managing Authorities are encouraged to use data from their own national and regional sources calculated using the same definition and methodologies as for the proposed context indicator. Where data for a context indicator is not available, neither from EU nor Member State sources, an estimation of the context indicator or a proxy indicator should be used⁸.

⁷ The common context indicator fiches are provided in Annex 6.

⁸ See Working Document Defining Proxy Indicators for rural development programmes, European Evaluation Network for Rural Development, January 2014.

It is important to be aware of the fact that the values of the impact indicators as such do not yet give any insight on the performance of the CAP. In order to establish the real impacts of the CAP or of a particular instrument/measure of the CAP, it is necessary to isolate the policy's (instrument/measure) influence on the values of the impact indicators as opposed to the influence of other factors (contextual factors, other related policies/measures/instruments etc.). Thus, the 'net impacts' need to be calculated. This is one of the main tasks of the evaluator and requires the use of an appropriate theoretical approach and the application of more advanced evaluation methodologies. To the extent possible, evaluations should provide a quantified estimation of the net impacts but where this is not feasible a well-reasoned qualitative assessment can also be useful.

The CAP is implemented in shared management. Member States authorities are involved in all steps of the policy cycle – from design, management, control to monitoring and evaluation. Shared management also implies that the information used is largely obtained from Member States. When designing the monitoring and evaluation framework, particular attention was paid to the issues of proportionality, simplification and reduction of administrative burden. As a result, the total number of indicators has been reduced. Emphasis has been put on the use of indicators based, to the extent possible, on existing, well-established data sources, as well as reuse of information already provided by Member States, e.g. via communications or Eurostat.

3.3. List of indicators

This section lists the common impact, result/target, output and context indicators. These different types of indicators are linked to different levels of objectives.

Types of indicators:

- Output indicators: activities directly realised by interventions
- Result indicators: direct and immediate effect of interventions
- Impact indicators: outcome of intervention beyond immediate effects
- Context indicators: general contextual trends

A coherent system of numbering for the indicators has been set up in the following way:

	Description
Letter	O = Output indicators R = Result / (T = Target) indicators I = Impact indicators C = Context indicators P = Proposed Performance Framework indicators
Number	Indicator number
Pillar	PI = Pillar I PII = Pillar II

IMPACT INDICATORS

The impact indicators for the CAP general objectives are presented in Table 1⁹.

Table 1 Impact indicators for CAP general objectives

Indicator No.	Indicator name
I.01	Agricultural entrepreneurial income
I.02	Agricultural factor income
I.03	Total factor productivity in agriculture
I.04	EU commodity price variability
I.05	Consumer price evolution of food products
I.06	Agricultural trade balance
I.07	Emissions from agriculture
I.08	Farmland bird index
I.09	High nature value (HNV) farming
I.10	Water abstraction in agriculture
I.11	Water quality
I.12	Soil organic matter in arable land
I.13	Soil erosion by water
I.14	Rural employment rate

⁹ Annex to COMMISSION IMPLEMENTING REGULATION (EU) No 834/2014.

I.15	Degree of rural poverty
I.16	Rural GDP per capita

RESULT INDICATORS

Pillar I result indicators¹⁰ are presented in Table 2.

Table 2 Pillar I result indicators

Indicator No.	Indicator name
R.01_PI	Share of direct support in agricultural income
R.02_PI	Variability of farm income
	- By type of farm
	- By economic size
R.03_PI	Value added for primary producers in the food-chain
R.04_PI	EU agricultural exports
	- share of EU agricultural exports in world exports
	- share of final products in EU agricultural exports
R.05_PI	Public intervention: % volume of products bought in intervention storage out of total EU production
R.06_PI	Private storage: % volume of products in private storage out of total EU production
R.07_PI	Export refunds: % volume of products exported with export refunds out of total EU production
R.08_PI	EU commodity prices compared to world prices (broken down by product)
R.09_PI	Value of production under EU quality schemes compared to total value of agricultural and food production
R.10_PI	Importance of organic farming
	- share of organic area in total utilised agricultural area (UAA)
	- share of organic livestock in total livestock
R.11_PI	Crop diversity
	- on farm (number of farms by number of crops and size)
	- in a region
R.12_PI	Share of grassland in total UAA
R.13_PI	Share of ecological focus area (EFA) in agricultural land
R.14_PI	Share of area under greening practices
R.15_PI	Net greenhouse gas emission from agricultural soils
R.16_PI	Structural diversity
	- in absolute terms
	- in relative terms

Result (R), target (T) and complementary result indicators for rural development focus areas¹¹ are presented in Tables 3 and 4¹². Indicators in italics are also target indicators (T) and complementary result indicators are marked with an asterisk (*).

¹⁰ Annex to COMMISSION IMPLEMENTING REGULATION (EU) No 834/2014.

¹¹ Annex IV to COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014.

Table 3 Rural development result and complementary result indicators

Indicator No.	Indicator name
R.01_PII	<i>percentage of agricultural holdings with RDP support for investments in restructuring or modernisation (focus area 2A)</i>
R.02_PII	Change in Agricultural output on supported farms/AWU (Annual Work Unit) (focus area 2A) (*)
R.03_PII	<i>percentage of agricultural holdings with RDP supported business development plan/investments for young farmers (focus area 2B)</i>
R.04_PII	<i>percentage of agricultural holdings receiving support for participating in quality schemes, local markets and short supply circuits, and producer groups/organisations (focus area 3A)</i>
R.05_PII	<i>percentage of farms participating in risk management schemes (focus area 3B)</i>
R.06_PII	<i>percentage forest or other wooded area under management contracts supporting biodiversity (focus area 4A)</i>
R.07_PII	<i>percentage agricultural land under management contracts supporting biodiversity and/or landscapes (focus area 4A)</i>
R.08_PII	<i>percentage of agricultural land under management contracts to improve water management (focus area 4B)</i>
R.09_PII	<i>percentage of forestry land under management contracts to improve water management (focus area 4B)</i>
R.10_PII	<i>percentage of agricultural land under management contracts to improve soil management and/or prevent soil erosion (focus area 4C)</i>
R.11_PII	<i>percentage of forestry land under management contracts to improve soil management and/or prevent soil erosion (focus area 4C)</i>
R.12_PII	<i>percentage of irrigated land switching to more efficient irrigation systems (focus area 5A)</i>
R.13_PII	Increase in efficiency of water use in agriculture in RDP supported projects (focus area 5A) (*)
R.14_PII	Increase in efficiency of energy use in agriculture and food-processing in RDP supported projects (focus area 5B) (*)
R.15_PII	Renewable energy produced from supported projects (focus area 5C) (*)
R.16_PII	<i>percentage of LU (Live-stock Unit) concerned by investments in live-stock management in view of reducing GHG (Green House Gas) and/or ammonia emissions (focus area 5D)</i>
R.17_PII	<i>percentage of agricultural land under management contracts targeting reduction of GHG and/or ammonia emissions (focus area 5D)</i>
R.18_PII	Reduced emissions of methane and nitrous oxide (focus area 5D) (*)
R.19_PII	Reduced ammonia emissions (focus area 5D) (*)
R.20_PII	<i>percentage of agricultural and forest land under management contracts</i>

¹² For rural development, certain indicators are used to set targets at Focus Area level. These indicators are referred to as 'target indicators' and usually correspond to result indicators. However, some targets are not set at result level and therefore are not result indicators. Furthermore, there are result indicators that are not used for target setting; these are referred to as 'complementary result indicators'.

	<i>contributing to carbon sequestration or conservation (focus area 5E)</i>
R.21_PII	<i>Jobs created in supported projects (focus area 6A)</i>
R.22_PII	<i>percentage of rural population covered by local development strategies (focus area 6B)</i>
R.23_PII	<i>percentage of rural population benefiting from improved services/infrastructures (focus area 6B)</i>
R.24_PII	<i>Jobs created in supported projects (Leader) (focus area 6B)</i>
R.25_PII	<i>percentage of rural population benefiting from new or improved services/infrastructures (Information and Communication Technology - ICT) (focus area 6C)</i>

Table 4 Rural development target indicators for rural development

Indicator No.	Indicator name
T.01_PII	percentage of expenditure under Articles 14, 15 and 35 of Regulation (EU) No 1305/2013 in relation to the total expenditure for the RDP (focus area 1A)
T.02_PII	Total number of cooperation operations supported under the cooperation measure (Article 35 of Regulation (EU) No 1305/2013) (groups, networks/clusters, pilot projects...) (focus area 1B)
T.03_PII	Total number of participants trained under Article 14 of Regulation (EU) No 1305/2013 (focus area 1C)
T.04_PII	percentage of agricultural holdings with RDP support for investments in restructuring or modernisation (focus area 2A)
T.05_PII	percentage of agricultural holdings with RDP supported business development plan/investments for young farmers (focus area 2B)
T.06_PII	percentage of agricultural holdings <i>receiving support for participating in</i> quality schemes, local markets and short supply circuits, and producer groups/organisations (focus area 3A)
T.07_PII	percentage of farms participating in risk management schemes (focus area 3B)
T.08_PII	percentage of forest/other wooded areas under management contracts supporting biodiversity (focus area 4A)
T.09_PII	percentage of agricultural land under management contracts supporting biodiversity and/or landscapes (focus area 4A)
T.10_PII	percentage of agricultural land under management contracts improving water management (focus area 4B)
T.11_PII	percentage of forestry land under management contracts to improve water management (focus area 4B)
T.12_PII	percentage of agricultural land under management contracts to improve soil management and/or prevent soil erosion (focus area 4C)
T.13_PII	percentage of forestry land under management contracts to improve soil management and/or prevent soil erosion (focus area 4C)
T.14_PII	percentage of irrigated land switching to more efficient irrigation system (focus area 5A)
T.15_PII	Total investment for energy efficiency (focus area 5B)
T.16_PII	Total investment in renewable energy production (focus area 5C)

T.17_PII	percentage of LU concerned by investments in live-stock management in view of reducing GHG and/or ammonia emissions (focus area 5D)
T.18_PII	percentage of agricultural land under management contracts targeting reduction of GHG and/or ammonia emissions (focus area 5D)
T.19_PII	percentage of agricultural and forest land under management contracts contributing to carbon sequestration or conservation (focus area 5E)
T.20_PII	Jobs created in supported projects (focus area 6A)
T.21_PII	percentage of rural population covered by local development strategies (focus area 6B)
T.22_PII	percentage of rural population benefiting from improved services/infrastructures (focus area 6B)
T.23_PII	Jobs created in supported projects (Leader) (focus area 6B)
T.24_PII	percentage of rural population benefiting from new or improved services/infrastructures (ICT) (focus area 6C)

OUTPUT INDICATORS

The output indicators for Pillar I direct payments are presented in Table 5, for market measures in Table 6 and horizontal measures in Table 7¹³. Output indicators for Pillar II (rural development) are shown in Table 8¹⁴.

Table 5 Pillar I output indicators - Direct payments

Indicator No.	Indicator name
Basic payment scheme	
O.01_PI	Number of farmers
O.02_PI	Number of hectares
Single area payment scheme	
O.03_PI	Number of farmers
O.04_PI	Number of hectares
Transitional national aid (TNA)	
O.05_PI	Number of farmers
O.06_PI	Number of units for which TNA is granted (hectares / animals / other)
Redistributive payment	
O.07_PI	Number of farmers
O.08_PI	Number of hectares
Greening	
O.09_PI	Total number of farmers who have to apply at least one greening obligation
O.10_PI	Total number of hectares declared by those farmers
Greening exemptions	
O.11_PI	Number of farmers exempted by: organic farmers / exempted from crop diversification / exempted from EFA obligation
O.12_PI	Number of hectares declared by these farmers (organic farmers, exempted from crop diversification, exempted from EFA obligation)

¹³ Annex to COMMISSION IMPLEMENTING REGULATION (EU) No 834/2014.

¹⁴ Annex IV to COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014.

Crop diversification	
O.13_PI	Number of farmers subject to crop diversification (with 2 crops; with 3 crops)
O.14_PI	Number of hectares of arable land declared by farmers subject to crop diversification (with 2 crops; with 3 crops)
Permanent grassland	
O.15_PI	Number of farmers with permanent grassland counting for the ratio
O.16_PI	Number of hectares covered by permanent grassland declared by the farmers counting for the ratio
O.17_PI	Number of farmers with permanent grassland in designated environmentally sensitive areas
O.18_PI	Number of hectares covered by environmentally sensitive permanent grassland declared by these farmers
O.19_PI	Number of hectares of designated as environmentally sensitive permanent grassland (total)
Environmental Focus Area	
O.20_PI	Number of farmers subject to EFA requirements
O.21_PI	Number of hectares of arable land declared by farmers subject to EFA
O.22_PI	Number of hectares declared by farmers as EFA, broken down by EFA type
Equivalence	
O.23_PI	Number of farmers applying equivalent measures (certification schemes or agri-environment-climate measures)
O.24_PI	Number of hectares declared by farmers implementing equivalent measures (certification schemes or agri-environment-climate measures)
Payment for young farmers	
O.25_PI	Number of farmers
O.26_PI	Number of hectares
Small farmers' scheme	
O.27_PI	Number of farmers
O.28_PI	Number of hectares
Voluntary coupled support	
O.29_PI	Number of beneficiaries of voluntary coupled support (broken down by sector)
O.30_PI	Quantities eligible (number of hectares/ number of animals broken down by sector)
O.31_PI	Number of hectares
O.32_PI	Number of animals
Payment for areas with natural constraints	
O.33_PI	Number of farmers
O.34_PI	Number of hectares
National programmes for the cotton sector	
O.35_PI	Number of farmers
O.36_PI	Number of hectares

Table 6 Pillar I output indicators - Market measures

Indicator No.	Indicator name
Public intervention	

O.37_PI	Volume
O.38_PI	Duration
Private storage	
O.39_PI	Volume
O.40_PI	Duration
Export refunds	
O.41_PI	Volume of products exported with export refunds
Exceptional measure	
O.42_PI	[as appropriate]
Producer organisations	
O.43_PI	% of production marketed by producer organisations and associations of producer organisations
School schemes	
O.44_PI	Number of final beneficiaries of school milk scheme
O.45_PI	Number of final beneficiaries of school fruit scheme
Wine sector	
O.46_PI	Number of hectares of new vine plantings
O.47_PI	Number of hectares of restructured vineyards
O.48_PI	Number of promotion projects in the wine sector
O.49_PI	Number of projects of investment and innovation measures

Table 7 Pillar I output indicators - Horizontal aspects

Indicator No.	Indicator name
Cross compliance	
O.50_PI	Number of hectares subject to cross-compliance
O.51_PI	Share of CAP payments subject to cross-compliance
Quality policy	
O.52_PI	Geographical indications in the wine sector
O.53_PI	Number of new protected designations of origin, protected geographical indication and traditional speciality guaranteed by sector
Organic farming	
O.54_PI	Number of hectares (total and under conversion)
O.55_PI	Number of certified registered organic operators
Promotion policy	
O.56_PI	Number of programmes (in and outside the EU)
O.57_PI	Number of new proposing organisations
Farm Advisory system	
O.58_PI	Number of farmers advised

Table 8 Pillar II output indicators

Indicator No.	Output indicator	Measure codes (Articles of Regulation (EU) No 1305/2013 or Regulation (EU) No 1303/2013)
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O.01_PII	Total public expenditure ¹⁵	All measures
O.02_PII	Total investment	4 (Article 17), 5 (Article 18), 6.4 (Article 19), 7.2 to 7.8 (Article 20), 8.5 and 8.6 (Article 21) (Regulation (EU) No 1305/2013)
O.03_PII	Number of actions/operations supported	1 (Article 14), 2 (Article 15), 4 (Article 17), 7 (Article 20), 8.5 and 8.6 (Article 21), 9 (Article 27), 17.2 and 17.3 (Article 36) (Regulation (EU) No 1305/2013)
O.04_PII	Number of holdings/beneficiaries supported	3 (Article 16), 4.1 (Article 17), 5 (Article 18), 6 (Article 19), 8.1 to 8.4 (Article 21), 11 (Article 29), 12 (Article 30), 13 (Article 31), 14 (Article 33), 17.1 (Article 36) (Regulation (EU) No 1305/2013)
O.05_PII	Total area (ha)	4 (Article 17), 8.1 to 8.5 (Article 21), 10 (Article 28), 11 (Article 29), 12 (Article 30), 13 (Article 31), 15 (Article 34) (Regulation (EU) No 1305/2013)
O.06_PII	Physical area supported (ha)	10 (Article 28) (Regulation (EU) No 1305/2013)
O.07_PII	Number of contracts supported	10 (Article 28), 15 (Article 34) (Regulation (EU) No 1305/2013)
O.08_PII	Number of Livestock Units supported (LU)	14 (Article 33), 4 (Article 17) (Regulation (EU) No 1305/2013)
O.09_PII	Number holdings participating in supported schemes	9 (Article 27), 16.4 (Article 35), 17.2 and 17.3 (Article 36) (Regulation (EU) No 1305/2013)
O.10_PII	Number of farmers benefiting from pay-outs	17.2 and 17.3 (Article 36) (Regulation (EU) No 1305/2013)
O.11_PII	Number of training days given	1 (Article 14 of Regulation (EU) No 1305/2013)
O.12_PII	Number of participants in training	1 (Article 14 of Regulation (EU) No 1305/2013)
O.13_PII	Number of beneficiaries advised	2 (Article 15 of Regulation (EU) No 1305/2013)
O.14_PII	Number of advisors trained	2 (Article 15 of Regulation (EU) No 1305/2013)
O.15_PII	Population benefiting from improved services/infrastructures (IT or others)	7 (Article 20 of Regulation (EU) No 1305/2013)
O.16_PII	Number of EIP groups supported, number of EIP operations supported and number and type of partners in EIP groups	16 (Article 35 of Regulation (EU) No 1305/2013)
O.17_PII	Number of cooperation	16 (Article 35 of Regulation (EU) No 1305/2013)

¹⁵This indicator corresponds to the Performance Framework indicator established in Article 5(2) of Commission Implementing Regulation (EU) No 215/2014 of 7 March 2014 laying down rules for implementing Regulation (EU) No 1303/2013 of the European Parliament and of the Council laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund with regard to methodologies for climate change support, the determination of milestones and targets in the performance framework and the nomenclature of categories of intervention for the European Structural and Investment Funds (OJ L 69, 8.3.2014, p. 65).

	operations supported (other than EIP)	
O.18_PII	Population covered by LAG	19 (Article 32 of Regulation (EU) No 1303/2013)
O.19_PII	Number of LAGs selected	19 (Article 32 of Regulation (EU) No 1303/2013)
O.20_PII	Number of LEADER projects supported	19 (Article 35(1)(b) of Regulation (EU) No 1303/2013)
O.21_PII	Number of cooperation project supported	19 (Article 35(1)(c) of Regulation (EU) No 1303/2013)
O.22_PII	Number and type of project promoters	19 (Article 35(1)(b) of Regulation (EU) No 1303/2013)
O.23_PII	Unique identification number of LAG involved in cooperation project	19 (Article 35(1)(c) of Regulation (EU) No 1303/2013)
O.24_PII	Number of thematic and analytical exchanges set up with the support of NRN	Networking (Article 54 of Regulation (EU) No 1305/2013)
O.25_PII	Number of NRN communication tools	Networking (Article 54 of Regulation (EU) No 1305/2013)
O.26_PII	Number of ENRD activities in which the NRN has participated	Networking (Article 54 of Regulation (EU) No 1305/2013)

CONTEXT INDICATORS

The context indicators¹⁶ are presented in Table 9. Context indicators which incorporate CAP impact indicators are marked with an asterisk (*).

Table 9 Context indicators

Indicator No.	Indicator name
Socio-economic indicators	
C.01	Population
C.02	Age structure
C.03	Territory
C.04	Population density
C.05	Employment rate (*)
C.06	Self-employment rate
C.07	Unemployment rate
C.08	GDP per capita (*)
C.09	Poverty rate (*)
C.10	Structure of the economy
C.11	Structure of the employment
C.12	Labour productivity by economic sector
Sectorial indicators	
C.13	Employment by economic activity

¹⁶ Annex IV to COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014.

C.14	Labour productivity in agriculture
C.15	Labour productivity in forestry
C.16	Labour productivity in the food industry
C.17	Agricultural holdings (farms)
C.18	Agricultural area
C.19	Agricultural area under organic farming
C.20	Irrigated land
C.21	Livestock units
C.22	Farm labour force
C.23	Age structure of farm managers
C.24	Agricultural training of farm managers
C.25	Agricultural factor income (*)
C.26	Agricultural entrepreneurial income (*)
C.27	Total factor productivity in agriculture (*)
C.28	Gross fixed capital formation in agriculture
C.29	Forest and other wooded land (FOWL)
C.30	Tourism infrastructure
Environment indicators	
C.31	Land cover
C.32	Areas facing natural and other specific constraints (ANCs) ¹⁷
C.33	Farming intensity
C.34	Natura 2000 areas
C.35	Farmland birds index (FBI) (*)
C.36	Conservation status of agricultural habitats (grassland)
C.37	HNV (high nature value) farming (*)
C.38	Protected forest
C.39	Water abstraction in agriculture (*)
C.40	Water quality (*)
C.41	Soil organic matter in arable land (*)
C.42	Soil erosion by water (*)
C.43	Production of renewable energy from agriculture and forestry
C.44	Energy use in agriculture, forestry and food industry
C.45	Emissions from agriculture (*)

¹⁷ According to the COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014 this indicator is called "Less-favoured areas"

PROPOSED PERFORMANCE FRAMEWORK INDICATORS¹⁸

Table 10 Proposed performance framework indicators

Indicator No.	Indicators	Related Output Indicator
Priority 2 (P2)		
	Total Public Expenditure P2 (EUR)	O.1
	Number of agricultural holdings with RDP support for investment in restructuring or modernisation (focus area 2A) + holdings with RDP supported business development plan/investment for young farmers (focus area 2B)	O.4
Priority 3 (P3)		
	Total Public Expenditure P3 (EUR)	O.1
	Number of supported agricultural holdings receiving support for participating in quality schemes, local markets/short supply circuits, and producer groups (focus area 3A)	O.4, O.9
	Number of agricultural holdings participating in risk management schemes (focus area 3B)	O.4, O.9
Priority 4 (P4)		
	Total Public Expenditure P4 (EUR)	O.1
	Agricultural land under management contracts contributing to biodiversity (focus area 4A) + improving water management (focus area 4B) + improving soil management and/preventing soil erosion (focus area 4C)	O.5
Priority 5 (P5)		
	Total Public Expenditure P5 (EUR)	O.1
	Number of investment operations in energy savings and efficiency (focus area 5B) + in renewable energy production (focus area 5C)	O.3
	Agricultural and forest land under management to foster carbon sequestration/ conservation (focus area 5E) + Agricultural land under management contracts targeting reduction of GHG and/or ammonia emissions (focus area 5D) + Irrigated land switching to more efficient irrigation system (focus area 5A)	O.5
Priority 6 (P6)		
	Total Public Expenditure P6 (EUR)	O.1
	Number of operations supported to improve basic services and infrastructures in rural areas (focus areas 6B and 6C)	O.3
	Population covered by LAG (focus area 6B)	O.18

¹⁸ Annex IV to COMMISSION IMPLEMENTING REGULATION (EU) No 808/2014.

4. Actors and responsibilities in monitoring and evaluation

4.1. Overview of the legal framework

The monitoring and evaluation framework of the CAP 2014 -2020 is set out at different levels. Table 11 provides an overview of the relevant regulations for the monitoring and evaluation framework of the CAP 2014 -2020.

Table 11 Regulations relevant for the monitoring and evaluation framework of the CAP 2014 – 2020

Regulation No	Name/Description	Commission Implementing Regulation	Commission Delegated Regulation
Regulation (EU) No 1303/2013 ¹⁹	Common Provisions Regulation		
Regulation (EU) No 1305/2013 ²⁰	Rural Development Regulation	Commission Implementing Regulation (EU) No 808/2014	Commission Delegated Regulation (EU) No 807/2014 ²¹
Regulation (EU) No 1306/2013	Horizontal Regulation	Commission Implementing Regulation (EU) No 834/2014	
Regulation (EU) No 1307/2013 ²²	Establishes rules for direct payments to farmers under support schemes within the	Commission Implementing Regulation (EU) No 641/2014 ²³	Commission Delegated Regulation (EU) No 639/2014 ²⁴

¹⁹ REGULATION (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006.

²⁰ REGULATION (EU) No 1305/2013 of the European Parliament and of the Council of 17 December 2013 on support for rural development by the European Agricultural Fund for Rural Development (EAFRD) and repealing Council Regulation (EC) No 1698/2005 (OJ L 347, 20.12.2013, p. 487.).

²¹ COMMISSION DELEGATED REGULATION (EU) No 807/2014 of 11 March 2014 supplementing Regulation (EU) No 1305/2013 of the European Parliament and of the Council on support for rural development by the European Agricultural Fund for Rural Development (EAFRD) and introducing transitional provisions.

²² REGULATION (EU) No 1307/2013 of the European Parliament and of the Council of 17 December 2013 establishing rules for direct payments to farmers under support schemes within the framework of the common agricultural policy and repealing Council Regulation (EC) No 637/2008 and Council Regulation (EC) No 73/2009.

²³ COMMISSION IMPLEMENTING REGULATION (EU) No 641/2014 of 16 June 2014 laying down rules for the application of Regulation (EU) No 1307/2013 of the European Parliament and of the Council establishing rules for direct payments to farmers under support schemes within the framework of the common agricultural policy.

²⁴ COMMISSION DELEGATED REGULATION (EU) No 639/2014 of 11 March 2014 supplementing Regulation (EU) No 1307/2013 of the European Parliament and of the Council establishing rules for direct payments to farmers under support schemes within the framework of the common agricultural policy and amending Annex X to that Regulation.

framework of the CAP.	
Regulation (EU) No 1308/2013 ²⁵	Establishes a common organisation of the markets in agricultural products.

Actors and their responsibilities in the monitoring and evaluation framework 2014 – 2020 are laid out under Article 110 of Regulation (EU) No 1306/2013. In addition, for rural development there are two regulations providing a more in-depth description of the actors and their responsibilities, namely Regulation (EU) No 1303/2013 (Common Provisions Regulation) and Regulation (EU) No 1305/2013 (Rural Development Regulation). More detailed information on the rural development specificities is presented in Chapter 6.

Article 110 of Regulation (EU) No 1306/2013 establishes a common monitoring and evaluation framework with a view to measuring the performance of the CAP (see Legal text 2). It covers all instruments related to the monitoring and evaluation of CAP measures, in particular the direct payments, the market measures, rural development measures and the application of the cross compliance provided for in Regulation (EU) No 1306/2013. The performance of the CAP measures shall be assessed in relation to the three general objectives of the CAP. Although a new framework was introduced, the general structure of the allocation of responsibilities between the Commission and Member States is maintained. However, the monitoring and evaluation framework for the CAP 2014 – 2020 provides a more simplified and coherent system covering both pillars of the CAP.

Legal text 2 Regulation (EU) No 1306/2013 - Article 110

<p style="text-align: center;"><i>Article 110</i></p> <p style="text-align: center;"><i>Monitoring and evaluation of the CAP</i></p> <p><i>1. A common monitoring and evaluation framework shall be established with a view to measuring the performance of the CAP, and in particular of:</i></p> <p><i>(a) the direct payments provided for in Regulation (EU) No 1307/2013;</i></p> <p><i>(b) the market measures provided for in Regulation (EU) No 1308/2013;</i></p> <p><i>(c) the rural development measures provided for in Regulation (EU) No 1305/2013 and of,</i></p> <p><i>(d) the provisions of this Regulation.</i></p> <p><i>The Commission shall monitor these policy measures based on reporting by Member States in accordance with the rules laid down in the Regulations referred to in the first subparagraph. The Commission shall establish a multiannual evaluation plan including periodic evaluations of specific instruments which it will carry out. In order to ensure an effective performance measurement, the Commission shall be empowered to adopt delegated acts in accordance with Article 115 regarding the content and construction of that framework.</i></p>	
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<p><i>2. The performance of the CAP measures referred to in paragraph 1 shall be measured in relation to the following objectives:</i></p> <p><i>(a) viable food production, with a focus on agricultural income, agricultural productivity and price stability;</i></p>
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²⁵ REGULATION (EU) No 1308/2013 of the European Parliament and of the Council of 17 December 2013 establishing a common organisation of the markets in agricultural products and repealing Council Regulations (EEC) No 922/72, (EEC) No 234/79, (EC) No 1037/2001 and (EC) No 1234/2007.

(b) sustainable management of natural resources and climate action, with a focus on greenhouse gas emissions, biodiversity, soil and water;

(c) balanced territorial development, with a focus on rural employment, growth and poverty in rural areas.

The Commission shall adopt implementing acts, laying down the set of indicators specific to the objectives referred to in the first subparagraph. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 116(3).

The indicators shall be linked to the structure and objectives of the policy and shall allow for the assessment of the progress, effectiveness and efficiency of the policy against objectives.

3. The monitoring and evaluation framework shall reflect the structure of the CAP in the following way:

(a) for the direct payments provided for in Regulation (EU) No 1307/2013, the market measures provided for in Regulation (EU) No 1308/2013 and the provisions of this Regulation, the Commission shall monitor these instruments based on reporting by Member States in accordance with the rules laid down in these regulations. The Commission shall establish a multi-annual evaluation plan with periodic evaluations of specific instruments to be carried out under Commission responsibility. Evaluations shall be carried out timely and by independent evaluators.

(b) the monitoring and evaluation of rural development policy intervention will be carried out according to Articles 67 to 79 of Regulation (EU) No 1305/2013.

The Commission shall ensure that the combined impact of all CAP instruments referred to in paragraph 1 is measured and assessed in relation to the common objectives referred to in paragraph 2. The performance of the CAP in achieving its common objectives shall be measured and assessed on the basis of common impact indicators, and the underlying specific objectives on the basis of result indicators. Based on evidence provided in evaluations on the CAP, including evaluations on rural development programmes, as well as other relevant information sources, reports on measuring and assessing the joint performance of all CAP instruments shall be prepared by the Commission.

4. Member States shall provide the Commission with all the information necessary to permit the monitoring and evaluation of the measures concerned. As far as possible, such information shall be based on established sources of data, such as the Farm Accountancy Data Network and Eurostat. The Commission shall take into account the data needs and synergies between potential data sources, in particular their use for statistical purposes when appropriate.

The Commission shall adopt implementing acts, laying down rules on the information to be sent by the Member States, taking into account the need to avoid any undue administrative burden, as well as rules on the data needs and synergies between potential data sources. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 116(3).

5. The Commission shall present an initial report on the implementation of this Article, including first results on the performance of the CAP, to the European Parliament and the Council by 31 December 2018. A second report including an assessment of the performance of the CAP shall be presented by 31 December 2021.

4.2. Actors and responsibilities

Monitoring and evaluation are carried out by a variety of actors. This requires coordination and communication at various stages between the different actors and institutions concerned. Most importantly the allocation of the responsibilities needs to be clarified at the very beginning of the process to ensure continuity and coherence throughout the process.

Generally, before the EU takes action, the Commission publishes roadmaps and inception impact assessments²⁶ describing planned new initiatives and evaluations of existing legislation. Right from the very start of an initiative, stakeholders have the possibility to provide feed-back on the roadmaps and inception impact assessments.

Once implemented for a sufficient period of time, initiatives are evaluated to check their performance against standard criteria. As part of the evaluation the Staff Working Document prepared by the Commission draws together all the different steps of the evaluation process.²⁷

In DG AGRI **evaluations under Pillar I** are carried out by independent external contractors selected after a tendering procedure under the responsibility of the Commission services. The Commission established evaluation standards in order to ensure relevant, timely and high quality evaluations. The evaluations done under the responsibility of the Commission are carried out on the basis of a multi-annual evaluation plan.

For **rural development**, evaluations are carried out by/on behalf of the Member States. Under the responsibility of the Commission independent external contractors produce syntheses of the ex ante and ex post evaluations of the RDPs prepared by the Member States. Furthermore, the Commission may require additional evaluations on rural development topics. The shared ownership implies that all stakeholders in the monitoring and evaluation system feel responsible for it and are motivated to contribute to reliable and credible outputs. Monitoring and evaluation of rural development should allow assessing the progress and impact of rural development policy interventions against their objectives at EU, Member State and RDP level. Scope has been left for adjustments of the RDPs and the policy framework to increase the effectiveness throughout the programming cycle.

The evaluation results of both pillars are communicated to decision-makers and other relevant stakeholders encouraging active discussion and debate on the findings. Finally, appropriate follow-up actions are identified to put into practice the lessons learned and feed the evaluation findings into the next step of the decision-making cycle (**see Chapter 7** 'Use of monitoring and evaluation information' for more information on how monitoring and evaluation information feeds into the policy and decision-making cycle).

Regarding the distribution of responsibilities between the Commission and the Member States this largely corresponds to the practice of the previous period (2007 – 2013), with the exception of the novelty of measuring the impact of the CAP as a whole (i.e. both pillars combined), which falls under the responsibility of the Commission services.

²⁶ An inception impact assessment is a Roadmap for initiatives subject to an Impact Assessment that sets out in greater detail the description of the problem, issues related to subsidiarity, the policy objectives and options as well as the likely impacts of each option.

²⁷ The Regulatory Scrutiny Board provides a central quality control and support function for Commission impact assessment and evaluation work. The Board examines and issues opinions on all the Commission's draft impact assessments and major evaluations.

4.3. Evaluations under the reformed CAP

Over the last decades, policy evaluations have become well established and well organized in DG AGRI. However, due to the changes in the legal and organizational context in which these evaluations were carried out, a reflection was needed on the most efficient ways to organize future evaluations. In order to be able to synthesise the results of individual evaluations, the evaluations carried out by DG AGRI are structured thematically according to the general objectives of the CAP (as laid down in Article 110 of Regulation (EU) No 1306/2013).

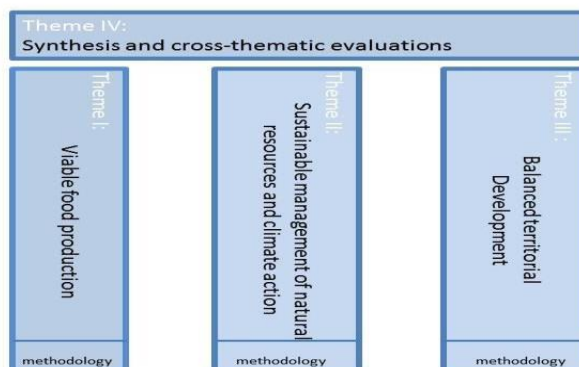
- **Theme I** relates to the general objective 'viable food production' and covers instruments/focus areas linked to this objective.
- **Theme II** relates to the general objective 'sustainable management of natural resources and climate action' and covers instruments/focus areas linked to this objective.
- **Theme III** relates to the general objective 'balanced territorial development' and covers instruments/focus areas linked to this objective.

This approach means that some instruments/measures appear in more than one theme. It also implies that the joint impact of instruments/measures in reaching the defined objectives is studied.

In addition, **theme IV** covers the preparation of synthesis report(s) on the basis of prior evaluations and the carrying out of evaluations that cover (elements of) more than one of the themes mentioned above.

A graphical representation of this structure can be found in Figure 7.

Figure 7 Specific evaluation projects to be undertaken



4.4. Expert Group on Monitoring and Evaluating the CAP

The Expert Group on Monitoring and Evaluating the CAP provides a forum for evaluation experts from the Member States and from the Commission to exchange experiences, 'good practices' and information on all evaluation-related issues.

The Expert Group covers evaluation issues regarding both pillars of the CAP in accordance with Article 110 of Regulation (EU) No 1306/2013. Bringing together evaluation experts for both pillars, the Expert Group allows exchanging and building up expertise on a wider array of evaluation topics. Specific rural development evaluation issues are discussed with a focus on technical aspects and with the aim to provide guidance and support to Member States on how to organise and implement their evaluations. Pillar I evaluations, which are under the responsibility of the Commission, can be presented and discussed within this group. Furthermore, the Expert Group is an important forum to discuss future evaluations, covering the two pillars of the CAP.

5. Data sources

Legal text 3 Regulation (EU) No 1306/2013 - Article 110(4)

Member States shall provide the Commission with all the information necessary to permit the monitoring and evaluation of the measures concerned. As far as possible, such information shall be based on established sources of data, such as the Farm Accountancy Data Network and Eurostat. The Commission shall take into account the data needs and synergies between potential data sources, in particular their use for statistical purposes when appropriate.

As part of the monitoring and evaluation framework of the CAP 2014 - 2020, a set of common output, result, impact and context indicators has been defined to support the assessment of the performance of the CAP. The information used for these indicators is (to the extent possible) collected through existing channels, to avoid creating additional administrative burden for beneficiaries and Member States. This entails that there is a wide range of data sources used for the overall CAP monitoring and evaluation framework, e.g. communications and notifications from Member States, Eurostat statistics, data collected by the European Environmental Agency, World Bank data, etc.

For each of the indicators, a detailed information sheet/fiche has been produced explaining the exact data definition, data source, level of geographical detail, reporting frequency and time-lag, etc.²⁸. However, the indicator fiches reflect the state of play at the moment they were prepared. This implies that the availability of data sources, their frequency, time-lag, etc. may change and further evolution of the indicator fiches is possible throughout the period 2014 – 2020.

Most of the information is available at least annually. Yet, a few data items, e.g. those based on Eurostat's Farm Structure Survey (FSS), some environmental information collected from different sources or those reported only in the enhanced annual implementation report (AIR) and ex post evaluations, are collected with a larger interval. It is envisaged that DG AGRI will regularly publish indicator information on the state of the CAP.

Box 5.1. Overview of the data sources used for impact, context and Pillar I result indicators

- Eurostat (European Statistics, Agri-environmental indicators, Agricultural Labour Input Statistics, External Trade database (COMEXT), Data on final EU production for respective products, Economic Accounts for Agriculture, Economic Accounts for Agriculture and Structural Business Statistics, Economy and finance, Environment, Energy, Environment and Biodiversity Statistics, FSS and Survey on Agricultural Production Methods (SAPM), Labour Force Survey, Land Use/Cover Area frame Statistical Survey (LUCAS), National Accounts, data sent voluntarily by Member States to Eurostat (e.g. Joint Organisation for Economic Co-operation and Development (OECD)/Eurostat Questionnaire on Gross Nutrient Balances, OECD/Eurostat Joint Questionnaire - Inland Waters),
- Sources managed by other Commission services (AGRIVIEW, European Soil Database of the Joint Research Centre (JRC), Farm Accountancy Data Network (FADN), Integrated Administration and Control System (IACS), Land Parcel Identification System (LPIS), Natura 2000, data made available from different Directorate-Generals,

²⁸ Detailed information about the data sources, reference and location where the data can be found is provided in the indicator fiches in Annexes 1 to 6.

- Sources related to the EU (European Environmental Agency e.g. Coordination of information on the environment (CORINE), European Environment Information and Observation Network (EIONET), Daily gridded observational dataset for precipitation, temperature and sea level pressure in Europe (E-OBS)),
- International organisations (e.g. Food and Agriculture Organization Statistics (FAOSTAT), United Nations (UN),
- United Nations Commodity Trade Statistics Database (COMTRADE), World Bank Pink Sheet, United Nations Convention on Climate Change- United Nations Framework Convention on Climate Change (UNFCCC)),
- National Statistical Offices,
- Independent organisations (e.g. BirdLife International, The European Bird Census Council).

Box 5.2. Overview of the different databases used for Pillar I output indicators

- Information System for Agricultural Market Management and Monitoring (ISAMM)
- Clearance of Accounts Audit Trail System (CATS-database)
- Database for Origin and Registration (DOOR),
- Management of Promotion Programmes database (MPP database),
- Wine sector (E-Bacchus).

For rural development, the general approach is that monitoring data (output indicators and target indicators) are compiled from data items recorded at operation (project) level by the Managing Authority / Paying Agency / Local Action Group in their operations database (see Annex 7 Data item list for Pillar II Operations database). Notably, the establishment of operations databases and the electronic transmission of monitoring data for rural development using standard templates should reduce the time needed for data validation and correction.

In the previous period (2007 – 2013) RDPs were submitted as whole files. For the current period a more structured approach was adopted, with text sections and tables to be completed. This allows some automated checking and validation of the completeness of submissions and of figures provided. This structured Fund Management System (SFC)²⁹ input helps among other things to improve the completeness and accuracy of monitoring data, and facilitate data extraction and use.

Each approved operation is included in the operations database containing key information about the project and beneficiary. This database is used to generate aggregate information for the AIRs. It allows the monitoring data necessary to measure progress in implementation to be extracted and simplifies data handling and reporting. Further simplification is achieved by reducing significantly the number of monitoring tables compared to the previous period (2007 – 2013). A detailed description of the monitoring data and the indicator fiches can be found in Annex 3 (rural development result / target indicator fiches) and Annex 5 (rural development output indicator fiches).

Information on the complementary result indicators is collected through evaluation. The evaluation plan (see Chapter 6 for detailed information) should allow assessing the results of the RDP using these

²⁹ SFC is the electronic communication channel between Member States and the Commission for official documents related to RDPs (and other ESI Funds).

indicators and appropriate methodology. This will eventually ensure input for the standard and enhanced AIRs in 2017 and 2019 and provide a final assessment at the end of the programming period.

6. Rural development (Pillar II) specificities

6.1. Introduction

This chapter provides detailed information on the rural development specificities of the monitoring and evaluation framework of the CAP 2014 - 2020. It is divided into the following four sections: overview of the legal framework, monitoring, evaluation and information on further guidance documents. This chapter was designed in such a way that it pools the provisions of all the relevant regulations together for each subject.

For the period 2014 – 2020 there is one monitoring and evaluation framework for the CAP as a whole (see Article 110 of Regulation (EU) No 1306/2013³⁰). This includes a continuation of the common monitoring and evaluation system specifically for rural development. The system covers all monitoring and evaluation activities, including the governance of the system itself. It aims to demonstrate progress and achievements, assess the impact, effectiveness, efficiency and relevance of rural development policy interventions. In order to justify the resources required to establish and implement the rural development monitoring and evaluation system, the output of the monitoring and evaluation information needs to be credible, timely and should be used effectively to improve policy and programme design and implementation. The monitoring and evaluation information should be used as a tool for programme management and steering, improving the targeting and allocation of financial resources and allowing comparison of performance. Therefore, effective follow-up of monitoring information and evaluation results is foreseen in the monitoring and evaluation system of the CAP 2014 - 2020. Results are communicated widely to increase visibility and understanding of the rural development policy interventions and impacts. Besides, as one of the European Structural and Investment (ESI) funds, the European Agricultural Fund for Rural Development (EAFRD) should follow the requirements on monitoring and evaluation laid down in Title V of Regulation (EU) No 1303/2013. The most relevant elements according to this regulation concerning monitoring and evaluation are the ex ante conditionalities (prerequisites that have to be fulfilled in the programming area in order to ensure an efficient implementation of the RDP) and the establishment of a performance framework (performance reserve to be used for those priorities where the milestones set in the programmes have been reached).

Legal text 4 Regulation (EU) No 1305/2013 - Monitoring and evaluation system

Article 67

Monitoring and evaluation system

In accordance with this Title, a common monitoring and evaluation system shall be drawn up in co-operation between the Commission and the Member States and shall be adopted by the Commission by means of implementing acts. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 84.

Article 68

Objectives

The monitoring and evaluation system shall aim to:

- (a) demonstrate the progress and achievements of rural development policy and assess the impact, effectiveness, efficiency and relevance of rural development policy interventions;*
- (b) contribute to better targeted support for rural development;*
- (c) support a common learning process related to monitoring and evaluation.*

³⁰ In chapter four 'actors and responsibilities' the complete Article 110 of the Regulation (EU) No 1306/2013 is presented.

Article 14

Monitoring and evaluation system

1. The common monitoring and evaluation system referred to in Article 67 of Regulation (EU) No 1305/2013 includes the following elements:

- (a) an intervention logic showing the interactions between priorities, focus areas and measures;
- (b) a set of common context, result and output indicators, including indicators to be used for the establishment of quantified targets in relation to rural development focus areas and a set of pre-defined indicators for the performance review;
- (c) common evaluation questions, as set out in Annex V;
- (d) data collection, storage and transmission;
- (e) regular reporting on monitoring and evaluation activities;
- (f) the evaluation plan;
- (g) the ex ante and ex post evaluations and all other evaluation activities linked to the rural development programme, including those required to fulfil the increased requirements of the 2017 and 2019 annual implementation reports referred to in Article 50(4) and (5) of Regulation (EU) No 1303/2013 and Article 75(3) and (4) of Regulation (EU) No 1305/2013;
- (h) support to enable all actors responsible for monitoring and evaluation to fulfil their obligations.

2. The common set of context, result and output indicators for rural development policy is set out in Annex IV. That Annex also identifies the indicators which are to be used for the establishment of quantified targets in relation to rural development focus areas. For the purpose of the setting of the performance framework milestones and targets referred to in point 2 of Annex II to Regulation (EU) No 1303/2013, the Member State shall either use the pre-defined performance framework indicators set out in point 5 of Annex IV to this Regulation or replace and/or complete these indicators by other relevant output indicators defined in the rural development programme.

3. The technical support documents set out in Annex VI shall form part of the monitoring and evaluation system.

4. For types of operations where a potential contribution to focus areas referred to in Article 5, first paragraph, point (2)(a), Article 5, first paragraph, points (5)(a) to (d), and Article 5, first paragraph, point(6)(a) of Regulation (EU) No 1305/2013 is identified in the table referred to in point 11(c) of Part 1 of Annex I to this Regulation, the electronic record of the operations referred to in Article 70 of Regulation (EU) No 1305/2013 shall include flag(s) to identify those cases where the operation has a component contributing to one or more of those focus areas.

Having a common monitoring and evaluation system contributes to ensuring the comparability of results. One of the core objectives of the monitoring and evaluation system is to compare and aggregate at EU level monitoring information and evaluation results. However, to make it a more useful management tool to guide programme implementation, the system also provides flexibility for the Member States/regions to complement the common framework in order to take account of the specificities of each programme. They are, for example, encouraged to develop programme specific indicators in addition to the common indicators in the monitoring and evaluation system, in order to reflect reality more accurately.

The monitoring and evaluation activities in the Member States/regions are coordinated by the Managing Authorities. However, the system provides common guidance on monitoring and evaluation for the Member States, thus developing a shared understanding of purpose and processes. This implies that the system serves as a common reference point for rural development managers and evaluation stakeholders throughout Europe, setting common standards and enabling exchange and learning across programmes and countries. As in the previous programming period, a European Evaluation Helpdesk for Rural Development operating under the responsibility of DG AGRI provides support for improving the

quality and efficiency of evaluation of RDPs in the Member States/regions in the period 2014 - 2020. This support is targeted at the evaluation functions established by national authorities, evaluation experts and other stakeholders dealing with evaluation of RDPs. It includes the development of evaluation methods and tools, guidance on evaluation processes, establishing best practice, aspects of data collection and management, and assistance to the Commission and Member States/regions in dealing with evaluation requirements.

Finally, the revised monitoring and evaluation system was designed with the aim of reducing the administrative burden for the Member States, programme authorities, beneficiaries and the Commission. Learning from the common monitoring and evaluation framework of the previous period, the successful elements were kept and improved, while the system was adapted to the new policy framework. Simplification was based on a careful assessment of what information is needed by whom, for what purpose and at what time, taking into account the requirements of the overall policy framework and the most appropriate level for action. The elements of the system such as the monitoring requirements, evaluation concepts and methodologies allow consistent interpretation. While the system itself is stable during the implementing period, scope for improvement where problems are identified, or where external conditions change significantly, has been left.

6.2. Overview of the legal framework

The monitoring and evaluation system for RDPs is set out by EU regulations at different levels.

- **Regulation (EU) No 1306/2013** (Horizontal Regulation) presented in Chapter 4 describes the common monitoring and evaluation framework for the CAP in Article 110. This article establishes a common monitoring and evaluation framework with a view to measuring the performance of the CAP. It covers all instruments related to the monitoring and evaluation of CAP measures and in particular the direct payments, the market measures and rural development measures.
 - **Commission Implementing Regulation (EU) No 834/2014** lays down the rules for the application of the common monitoring and evaluation framework for the common agricultural policy.
- **Regulation (EU) No 1305/2013** (Rural Development Regulation) addresses the specificities for the rural development programmes.
 - **Commission Implementing Regulation (EU) No 808/2014** lays down the rules of application for Regulation (EU) No 1305/2013.
 - **Commission Delegated Regulation (EU) No 807/ 2014** supplementing Regulation (EU) No 1305/2013 of the European Parliament and of the Council on support for rural development by the European Agricultural Fund for Rural Development (EAFRD) and introducing transitional provisions.
- **Regulation (EU) No 1303/2013** (Common Provisions Regulation) which defines the common monitoring and evaluation elements for the ESI Funds.

Generally, these regulations shall be taken into consideration together since the respective provisions complement each other.

6.3. Monitoring

The general approach of the implementation report tables for monitoring under the CAP 2014 – 2020 is that the monitoring data (output indicators and target indicators) are compiled from data items recorded at operation (project) level by the Managing Authority / Paying Agency in the operations database. The establishment of operations databases and the electronic transmission of monitoring data for rural development using standard templates should reduce the time needed for data validation and correction.

Legal text 6 Regulation (EU) No 1305/2013 - Electronic Information System

Article 70

Electronic Information System

Key information on the implementation of the programme, on each operation selected for funding, as well as on completed operations, needed for monitoring and evaluation, including key information on each beneficiary and project, shall be recorded and maintained electronically.

Further simplification is achieved by reducing significantly the number of monitoring tables compared to the previous period (2007 – 2013). A detailed description of the implementation report tables can be found in Annex 5 Pillar II (rural development) output indicator fiches. Annex 3 lists the result/target indicator fiches for rural development. A set of common result and target indicators has been established and for each focus area targets are required. Some focus areas have two target indicators (e.g. one relating to forestry and one to agriculture). With output indicators obtained from monitoring data, the target indicators are reported on annually in the AIR (see section 6.3.2.).

6.3.1. Monitoring committee

The Member States set up a committee to monitor implementation of the programme, in agreement with the Managing Authority (the 'Monitoring committee').

Legal text 7 Regulation (EU) No 1303/2013 - Monitoring committee

Article 47

Monitoring committee

1. Within three months of the date of notification to the Member State of the Commission decision adopting a programme, the Member State shall set up a committee, in accordance with its institutional, legal and financial framework, to monitor implementation of the programme, in agreement with the managing authority (the "monitoring committee").

A Member State may set up a single monitoring committee to cover more than one programme co-financed by the ESI Funds.

2. Each monitoring committee shall draw up and adopt its rules of procedure in accordance with the institutional, legal and financial framework of the Member State concerned.

3. The monitoring committee of a programme under the European territorial cooperation goal shall be set up by the Member States participating in the cooperation programme and by third countries, in the event that they have accepted the invitation to participate in the cooperation programme, in agreement with the managing authority within three months of the date of notification of the decision adopting the cooperation programme to the Member States. That monitoring committee shall draw up and adopt its rules of procedure.

Article 48

Composition of the monitoring committee

1. The composition of the monitoring committee shall be decided by the Member State, provided that the monitoring committee is composed of representatives of the relevant Member State authorities and intermediate bodies and of representatives of the partners referred to in Article 5. Representatives of the partners shall be

delegated to be part of the monitoring committee by the respective partners through transparent processes. Each member of the monitoring committee may have a voting right.

The composition of the monitoring committee of a programme under the European territorial goal shall be agreed by the Member States participating in the programme and by third countries in the event that they have accepted the invitation to participate in the cooperation programme. The monitoring committee shall include relevant representatives of those Member States and third countries. The monitoring committee may include representatives of the EGTC carrying out activities related to the programme within the programme area.

2. The list of the members of the monitoring committee shall be published.
3. The Commission shall participate in the work of the monitoring committee in an advisory capacity.
4. If the EIB contributes to a programme, it may participate in the work of the monitoring committee in an advisory capacity.
5. The monitoring committee shall be chaired by a representative of the Member State or of the managing authority.

Article 49

Functions of the monitoring committee

1. The monitoring committee shall meet at least once a year and shall review implementation of the programme and progress made towards achieving its objectives. In doing so, it shall have regard to the financial data, common and programme-specific indicators, including changes in the value of result indicators and progress towards quantified target values, and the milestones defined in the performance framework referred to in Article 21(1), and, where relevant, the results of qualitative analyses.
2. The monitoring committee shall examine all issues that affect the performance of the programme, including the conclusions of the performance reviews.
3. The monitoring committee shall be consulted and shall, if it considers it to be appropriate, give an opinion on any amendment of the programme proposed by the managing authority.
4. The monitoring committee may make observations to the managing authority regarding implementation and evaluation of the programme including actions related to the reduction of the administrative burden on beneficiaries. The monitoring committee shall monitor actions taken as a result of its observations.

Legal text 8 Regulation (EU) No 1305/2013 - Monitoring Committee

Article 72

Monitoring procedures

1. The Managing Authority and the Monitoring Committee referred to in Article 47 of Regulation (EU) No 1303/2013 shall monitor the quality of the implementation of the programme.
2. The Managing Authority and the Monitoring Committee shall carry out monitoring of each rural development programme by means of financial, output and target indicators.

Article 73

Monitoring Committee

Member States with regional programmes may establish a national Monitoring Committee to coordinate the implementation of these programmes in relation to the National Framework and the uptake of financial resources.

Article 74

Responsibilities of the Monitoring Committee

The Monitoring Committee shall satisfy itself as to the performance of the rural development programme and the effectiveness of its implementation. To that end, in addition to the functions referred to in Article 49 of Regulation (EU) No 1303/2013 the Monitoring Committee shall:

- (a) be consulted and shall issue an opinion, within four months of the decision approving the programme, on the selection criteria for financed operations, which shall be revised according to programming needs;
- (b) examine the activities and outputs related to the progress in the implementation of the evaluation plan of the programme;
- (c) examine, in particular, actions in the programme relating to the fulfilment of ex ante conditionalities, which fall within the responsibilities of the Managing Authority, and be informed of actions relating to the fulfilment of other ex ante conditionalities;

(d) participate in the national rural network to exchange information on programme implementation; and
(e) consider and approve the annual implementation reports before they are sent to the Commission.

6.3.2. Annual implementation report

Each year, starting from 2016³¹ and until 2024, Member States submit an AIR on the RDP implementation of the previous calendar year (see Legal texts 9, 10 and see Legal text 11 for the structure and content of an AIR). The AIRs are drafted and submitted by Member States and are subject to admissibility and approval procedures.

In the years 2017 and 2019, enhanced AIRs are to be submitted, containing additional elements to those requested in the reports of other years.

The enhanced AIR submitted in 2017 shall, among other elements, include a description of the implementation of any sub-programme included in the RDP and, if appropriate evidence is available, an assessment of the progress made towards achieving the objectives of the programme. Thus, this report is designed to provide a first overview in terms of quantification of all result indicators, including the complementary result indicators. Moreover, it should also include information on the achievements towards the milestones set in the performance framework. The enhanced AIR submitted in 2019 shall additionally include a further assessment of progress made towards the objectives of the programme and its contribution to the Europe 2020 strategy. Much of this information comes from evaluation activities undertaken in line with the evaluation plan (see section 6.4.1.).

In consequence, these enhanced AIRs provide an assessment of programme results and, when possible, a first assessment of impacts, which means that appropriate analytical methods must be applied to establish these. The AIR submitted in 2016 may set out, where relevant, actions taken to fulfil ex ante conditionalities (see Article 50(2) of Regulation (EU) No 1303/2013).

Legal text 9 Regulation (EU) No 1303/2013 - Implementation reports

Article 50

Implementation reports

1. From 2016 until and including 2023, each Member State shall submit to the Commission an annual report on implementation of the programme in the previous financial year. Each Member State shall submit to the Commission a final report on implementation of the programme for the ERDF, the ESF and the Cohesion Fund and an annual implementation report for the EAFRD and the EMFF by the deadline established in the Fund-specific rules.

2. Annual implementation reports shall set out key information on implementation of the programme and its priorities by reference to the financial data, common and programme-specific indicators and quantified target values, including changes in the value of result indicators where appropriate, and, beginning from the annual implementation report to be submitted in 2017, the milestones defined in the performance framework. The data transmitted shall relate to values for indicators for fully implemented operations and also, where possible, having regard to the stage of implementation, for selected operations. They shall also set out a synthesis of the findings of all evaluations of the programme that have become available during the previous financial year, any issues which affect the performance of the programme, and the measures taken. The annual implementation report to be submitted in 2016 may also set out, where relevant, actions taken to fulfil ex ante conditionalities.

3. By way of derogation from paragraph 2, specific rules on the data to be transmitted for the ESF may be established in the ESF Regulation.

³¹ The report submitted in 2016 shall cover the calendar years 2014 and 2015.

4. The annual implementation report to be submitted in 2017 shall set out and assess the information referred to in paragraph 2 and progress made towards achieving the objectives of the programme, including the contribution of the ESI Funds to changes in the value of result indicators, when evidence is available from relevant evaluations. That annual implementation report shall set out the actions taken to fulfil the ex-ante conditionalities not fulfilled at the time of adoption of the programmes. It shall also assess the implementation of actions to take into account the principles set out in Articles 7 and 8, the role of the partners referred to in Article 5 in the implementation of the programme and report on support used for climate change objectives.
5. The annual implementation report to be submitted in 2019 and the final implementation report for the ESI Funds shall, in addition to the information and assessment referred to in paragraphs 2 and 3, include information on, and assess progress towards, achieving the objectives of the programme and its contribution to achieving the Union strategy for smart, sustainable and inclusive growth.
6. In order to be deemed admissible, the annual implementation reports referred to in paragraphs 1 to 5 shall contain all the information required in those paragraphs and in the Fund-specific rules.
- The Commission shall inform the Member State within 15 working days of the date of receipt of the annual implementation report if it is not admissible, failing which it shall be deemed admissible.
7. The Commission shall examine the annual and final implementation report and inform the Member State of its observations within two months of the date of receipt of the annual implementation report and within five months of the date of receipt of the final implementation report. Where the Commission does not provide observations within those deadlines, the reports shall be deemed to be accepted.
8. The Commission may make observations to the managing authority concerning issues which significantly affect the implementation of the programme. Where such observations are made, the managing authority shall provide all necessary information with regard to those observations and, where appropriate, inform the Commission, within three months, of measures taken.
9. The annual and final implementation reports, as well as a summary for citizens of their content, shall be made available to the public.

Legal text 10 Regulation (EU) No 1305/2013 - Annual implementation report

Article 75

Annual implementation report

1. By 30 June 2016 and by 30 June of each subsequent year until and including 2024, the Member State shall submit to the Commission an annual implementation report on implementation of the rural development programme in the previous calendar year. The report submitted in 2016 shall cover the calendar years 2014 and 2015.
2. In addition to complying with the requirements of Article 50 of Regulation (EU) No 1303/2013 annual implementation reports shall include information inter alia on financial commitments and expenditure by measure, and a summary of the activities undertaken in relation to the evaluation plan.
3. In addition to complying with the requirements of Article 50 of Regulation (EU) No 1303/2013, the annual implementation report submitted in 2017 shall also cover a description of the implementation of any sub-programmes included within the programme.
4. In addition to complying with the requirements of Article 50 of Regulation (EU) No 1303/2013, the annual implementation report submitted in 2019 shall also cover, a description of the implementation of any sub-programmes included within the programme and an assessment of progress made in ensuring an integrated approach to use of the EAFRD and other EU financial instruments to support the territorial development of rural areas, including through local development strategies.

Legal text 11 Commission Implementing Regulation (EU) No 808/2014 - Annual implementation report

Annex VII

Structure and content of annual implementation reports (referred to in Article 50 of Regulation (EU) No 1303/2013 and Article 75 of Regulation (EU) No 1305/2013)

1. **Key information on implementation of the programme and its priorities**

a) Financial data

Financial implementation data giving, for each measure and focus area, a statement of the expenditure incurred and declared in the declarations of expenditure. It shall cover the total incurred public expenditure as well as the financial recoveries and corrections brought by the Member States during the previous calendar year.

b) Common and programme-specific indicators and quantified target values

Information on RDP implementation as measured by common and specific indicators, including the progress achieved in relation to the targets set for each focus area and on realised output compared to planned output as set out in the indicator plan. Beginning from the annual implementation report to be submitted in 2017, the achievements towards the milestones set in the performance framework (table F). Additional information on the stage of RDP implementation is provided through data on financial commitments by measure and focus area, and the related expected progress towards targets.

Tables:

- Table A: Committed expenditure by measure and focus area
- Table B: Realised output indicators by measure and focus area
- Table C: Breakdown for relevant outputs and measures by type of area, gender and/or age
- Table D: Progress towards targets
- Table E: Monitoring of transitional measures
- Table F: Achievement of the performance framework indicators

2. The progress in implementing the evaluation plan shall be presented as follows:

- (a) Description of any modifications made to the evaluation plan in the RDP during the year, with their justification.
- (b) A description of the evaluation activities undertaken during the year (in relation to section 3 of the evaluation plan).*
- (c) A description of activities undertaken in relation to the provision and management of data (in relation to section 4 of the evaluation plan).*
- (d) A list of completed evaluations, including references to where they have been published on-line.
- (e) A summary of completed evaluations, focussing on evaluation findings.
- (f) A description of communication activities undertaken in relation to publicising evaluation findings (in relation to section 6 of the evaluation plan).*
- (g) Description of the follow-up given to evaluation results (in relation to section 6 of the evaluation plan).*

* Reference shall be made to the evaluation plan, any difficulties encountered in implementation shall be described, together with solutions adopted or proposed.

3. Issues which affect the performance of the programme and the measures taken

Description of the steps taken by the Managing Authority and the Monitoring Committee to ensure the quality and effectiveness of programme implementation and in particular as regards issues encountered in managing the programme and any corrective measures taken, notably in response to comments made by the Commission.

4. Steps taken to implement technical assistance and programme publicity requirements

- a) In case of coverage under the technical assistance of the establishment and functioning of NRN, the report shall describe actions taken and state of play as regards the establishment of the NRN and the implementation of its action plan;
- b) Steps taken to ensure that the programme is publicised (Article 13 of this Regulation).

5. Actions taken to fulfil ex ante conditionalities (in 2017 and in 2016 where relevant)

Descriptions of actions taken by priority/focus area/measure to fulfil the applicable priority-linked and general ex-ante conditionalities not fulfilled or partially fulfilled at the time of the adoption of the RDP. Reference shall be made to the criteria which were not or only partially fulfilled, to any strategy, legal act or other relevant document

including references to the relevant sections and articles, to the bodies responsible for fulfilment. Where necessary, Member States can provide explanations or additional information to complement that description.

6. Description of implementation of sub-programmes

The AIRs submitted in 2017 and 2019 shall also include the information on the implementation as measured by common and specific indicators including on the progress achieved in relation to the targets set in the indicator plan of the sub-programme as well as on realised output and expenditure compared to planned output and expenditure set in the sub-programme.

7. Assessment of the information and progress towards achieving the objectives of the programme

The AIRs submitted in 2017 and 2019 shall also include the following information resulting from evaluation activities:

Reporting and quantification of programme achievements, in particular through assessment of the complementary result indicators, and relevant evaluation questions.

The AIRs submitted in 2019 shall also include the following information resulting from evaluation activities:

Reporting on the progress towards the objectives of the programme and its contribution to achieving the Union strategy for smart, sustainable and inclusive growth through, inter alia, assessment of the programme's net contribution to changes in CAP impact indicator values, and relevant evaluation questions.

8. Implementation of actions to take into account the principles set out in Articles 6, 7 and 8 of Regulation (EU) No 1303/2013

The AIRs submitted in 2017 and 2019 shall also include the following information:

(a) Promotion of equality between men and women and non-discrimination (Article 7 of Regulation (EU) No 1303/2013)

Assessment of actions taken to ensure that equality between men and women and the integration of gender perspective are taken into account and promoted throughout the preparation and implementation of programmes, including in relation to monitoring, reporting and evaluation.

(b) Sustainable development (Article 8 of Regulation (EU) No 1303/2013)

Assessment of actions taken to ensure that the objectives and implementation of EAFRD is in line with the principle of sustainable development and with the Union's promotion of the aim of preserving, protecting and improving the environment, as set out in Article 11 and Article 91(1) of the Treaty, taking into account the polluter pays principle.

In addition, information is provided on the support for climate change objectives (Climate change tracking).

(c) The role of the partners referred to in Article 5 of Regulation (EU) No 1303/2013 in the implementation of the programme

Assessment of actions taken to ensure that the partners referred to in Article 5(1) of Regulation (EU) No 1303/2013 are involved in the preparation of progress reports and throughout the implementation of programmes, including through participation in the monitoring committees for programmes in accordance with Article 48 of that Regulation and in the activities of the NRN.

9. Progress made in ensuring integrated approach

The AIRs submitted in 2019 shall also include the following information:

Description of progress made in ensuring an integrated approach to use the EAFRD and other Union financial instruments to support the territorial development of rural areas, including through local development strategies.

10. Report on Implementation of Financial Instruments (Article 46 of Regulation (EU) No 1303/2013)

The AIRs shall also include as an annex:

a specific report covering the operations comprising financial instruments. The content of this report is set out in Article 46(2) of Regulation (EU) No 1303/2013 and this submission shall be done through the ESI Funds template.

6.3.3. Performance framework

The performance framework is one of the tools to achieve the result-orientation of the ESI Funds, including the EAFRD. A set of milestones and targets is defined for each priority in a programme. The achievements of milestones are assessed in 2019 (performance review). This assessment forms the basis for the allocation of the performance reserve and may possibly lead to the suspension of interim payments. The achievement of targets is assessed in 2024 for EAFRD and may give rise to financial corrections. The performance framework consists mostly for EAFRD of a set of financial and output indicators mainly issued from the rural development monitoring.

Finally, the RDPs are an element included in the Partnership Agreements drawn up at Member State level, with the intention of showing how the different ESI Funds contribute to EU2020 objectives³² and complement each other to develop synergies. The monitoring and evaluation system provides information, through the ex ante evaluations, on whether the RDP design is likely to make the expected impact and assesses its consistency with other Funds and instruments.

Legal text 12 Commission Implementing Regulation (EU) No 808/2014 - Performance framework

Annex I

Part I

7. Description of the performance framework

Not applicable to national programmes dedicated to joint instruments implemented by the EIB referred to in Article 28 of Regulation (EU) No 1303/2013

(a) Where relevant, information on the selection of the indicators as referred to in Article 14(2), of milestones, of key implementation steps, as well as of the allocation of the performance reserve. The target-setting shall be justified under the strategy, in accordance with point 5(a).

(b) A table setting out for each priority the allocation of the performance reserve, and for each indicator:

(i) targets for 2023. Targets shall not take into account additional national financing as referred to in points 12, and state aid in the form of additional national funding as referred to in point 13;

(ii) milestones for 2018 based on the targets.

In case the total EAFRD amount allocated to the performance reserve differs from the pro-rata distribution () of the total national EAFRD performance reserve allocation in the partnership agreement to all national and regional programmes, with the exception of national programmes dedicated to joint instruments implemented by the EIB referred to in Article 28 of Regulation (EU) No 1303/2013 and specific programmes for the establishment and the operation of the national rural network referred to in the second subparagraph of Article 54(1) of Regulation (EU) No 1305/2013, justification of the amount of the performance reserve allocation.*

() Using the total EAFRD contribution to each of the programmes concerned.*

³² Europe 2020 is the EU's growth strategy for the coming decade. In a changing world, the EU shall become a smart, sustainable and inclusive economy. These three mutually reinforcing priorities should help the EU and the Member States deliver high levels of employment, productivity and social cohesion.

6.4. Evaluation

Evaluations under rural development are carried out at programme level by/on behalf of the Member States/regions while the syntheses of these evaluations are done under the responsibility of the Commission services. In this section, five core elements of the evaluation system for rural development are presented, namely the evaluation plan, the ex-ante evaluation, the common evaluation questions, the ex-post evaluation and the syntheses of evaluations.

Contrary to the 2007 – 2013 programming period, there is no Mid-Term Evaluation. Experience showed that the timing of the Mid-Term Evaluations was too late to lead to changes in programme design since most of the resources were already committed while it was too early to be able to identify concrete achievements or impacts. The enhanced AIRs submitted in 2017 and 2019 replace the information function of the Mid-Term Evaluations and their timing is better adjusted to the type of information available at different stages during the programming period.

Legal text 13 Regulation (EU) No 1303/2013 - General provisions

Article 54

General Provisions

- 1. Evaluations shall be carried out to improve the quality of the design and implementation of programmes, as well as to assess their effectiveness, efficiency and impact. The impact of programmes shall be evaluated, in the light of the mission of each ESI Fund, in relation to the targets under the Union strategy for smart, sustainable and inclusive growth and, having regard to the size of the programme, in relation to GDP and unemployment in the programme area concerned, where appropriate.*
- 2. Member States shall provide the resources necessary for carrying out evaluations, and shall ensure that procedures are in place to produce and collect the data necessary for evaluations, including data related to common and where appropriate programme-specific indicators.*
- 3. Evaluations shall be carried out by internal or external experts that are functionally independent of the authorities responsible for programme implementation. The Commission shall provide guidance on how to carry out evaluations, immediately following the entry into force of this Regulation.*
- 4. All evaluations shall be made available to the public.*

Article 56

Evaluation during the programming period

- 1. An evaluation plan shall be drawn up by the managing authority or Member State and may cover more than one programme. It shall be submitted in accordance with the Fund-specific rules.*
- 2. Member States shall ensure that appropriate evaluation capacity is available.*
- 3. During the programming period, the managing authority shall ensure that evaluations, including evaluations to assess effectiveness, efficiency and impact, are carried out for each programme on the basis of the evaluation plan and that each evaluation is subject to appropriate follow-up in accordance with the Fund-specific rules. At least once during the programming period, an evaluation shall assess how support from the ESI Funds has contributed to the objectives for each priority. All evaluations shall be examined by the monitoring committee and sent to the Commission.*
- 4. The Commission may carry out, at its own initiative, evaluations of programmes. It shall inform the managing authority and the results shall be sent to the managing authority and provided to the monitoring committee concerned.*
- 5. Paragraphs 1, 2 and 3 of this Article shall not apply to the dedicated programmes referred to in point (b) of the first subparagraph of Article 39(4).*

Article 76

General provisions

- 1. The Commission may adopt implementing acts, specifying the elements to be contained in the ex ante and ex post evaluations referred to in Articles 55 and 57 of Regulation (EU) No 1303/2013 and establishing the minimum requirements for the evaluation plan referred to in Article 56 of Regulation (EU) No 1303/2013. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 84.*
- 2. Member States shall ensure that the evaluations are in accordance with the common evaluation approach agreed in accordance with Article 67, shall organise the production and gathering of the requisite data, and shall supply the various pieces of information provided by the monitoring system to the evaluators.*
- 3. The evaluation reports shall be made available by the Member States on the internet and by the Commission on its website.*

6.4.1. Evaluation Plan

Under the monitoring and evaluation framework 2014 – 2020 for rural development a new element has been introduced into the monitoring and evaluation system, namely the evaluation plan. The evaluation plan is a mandatory component of the RDPs and in principle follows-up on the concept of 'ongoing' evaluation from the 2007-2013 period. The evaluation plan is designed as a tool for Managing Authorities to plan their evaluation activities during the programming period in order to specify how monitoring and evaluation activities are going to be conducted. This includes specifically ensuring input for the enhanced AIRs submitted in 2017 and 2019, in order for these reports to be able to give information on the progress towards achieving the objectives of the programme, and providing elements contributing to the ex post evaluation report at the end of the programming period. The responsibility of drafting the evaluation plan lies with the Managing Authority.

Legal text 15 Commission Implementing Regulation (EU) No 808/2014 - Evaluation plan

Annex I

Part I

9. Evaluation plan, containing the following sections

Not applicable to national programmes dedicated to joint instruments implemented by the EIB referred to in Article 28 of Regulation (EU) No 1303/2013

(1) Objectives and purpose

A statement of the objectives and purpose of the evaluation plan, based on ensuring that sufficient and appropriate evaluation activities are undertaken, in particular to provide information needed for programme steering, for the annual implementation reports in 2017 and 2019 and the ex-post evaluation, and to ensure that data needed for RDP evaluation are available.

(2) Governance and coordination

Brief description of the monitoring and evaluation arrangements for the RDP, identifying the main bodies involved and their responsibilities. Explanation of how evaluation activities are linked with RDP implementation in terms of content and timing.

(3) Evaluation topics and activities

Indicative description of evaluation topics and activities anticipated, including, but not limited to, fulfilment of evaluation requirements provided for in Regulation (EU) No 1303/2013 and Regulation (EU) No 1305/2013. It shall cover:

(a) activities needed to evaluate the contribution of each RDP Union priority as referred to in Article 5 of Regulation (EU) No 1305/2013 to the rural development objectives laid down in Article 4 of that Regulation, assessment of result and impact indicator values, analysis of net effects, thematic issues, including sub-programmes, cross-cutting issues, national rural network, contribution of CLLD strategies;

(b) planned support for evaluation at LAG level;

(c) programme specific elements such as work needed to develop methodologies or to address specific policy areas.

(4) Data and information

Brief description of the system to record, maintain, manage and report statistical information on RDP implementation and provision of monitoring data for evaluation. Identification of data sources to be used, data gaps, potential institutional issues related to data provision, and proposed solutions. This section shall demonstrate that appropriate data management systems will be operational in due time.

(5) Timeline

Major milestones of the programming period, and indicative outline of the timing needed to ensure that results are available at the appropriate time.

(6) Communication

Description of how evaluation findings will be disseminated to target recipients, including a description of the mechanisms established to follow-up on the use of evaluation results.

(7) Resources

Description of the resources needed and foreseen to implement the evaluation plan, including an indication of administrative capacity, data, financial resources, IT needs. Description of capacity building activities foreseen to ensure that the evaluation plan can be fully implemented.

6.4.2. Ex ante evaluation

The ex ante evaluation is performed before policy implementation. For rural development, the ex ante evaluation has to be submitted as part of the programme. Its purpose is to gather information and to carry out analyses which help to ensure that an intervention is as relevant and coherent as possible. The objective of the ex ante evaluation is to improve the quality of the design of the programme, thus helping to ensure that the RDP is designed to meet the needs of the area it serves and that best use is made of the resources available. Moreover, ex ante evaluation supports the programme by providing a clear baseline and objectives, constructing an intervention logic and assessing the targets. Its conclusions are meant to be integrated at the time decisions are made. Ex ante evaluation mainly concerns an analysis of context, though it also provides an opportunity for specifying the intervention mechanisms in terms of what already exists.

Article 55 of Regulation (EU) No 1303/2013 provides for the general elements to be contained in the ex ante evaluations while Article 77 of Regulation (EU) No 1305/2013 further specifies for the rural development policy that the ex ante evaluator is to be involved from an early stage in the development of the programme.

Legal text 16 Regulation (EU) No 1303/2013 - Ex ante evaluation

Article 55

Ex ante evaluation

1. Member States shall carry out ex ante evaluations to improve the quality of the design of each programme.
2. Ex ante evaluations shall be carried out under the responsibility of the authority responsible for the preparation of the programmes. They shall be submitted to the Commission at the same time as the programme, together with an executive summary. The Fund-specific rules may establish thresholds below which the ex ante evaluation may be combined with the evaluation for another programme.
3. Ex ante evaluations shall appraise:
 - (a) the contribution to the Union strategy for smart, sustainable and inclusive growth, having regard to the selected thematic objectives and priorities, taking into account national and regional needs and potential for development as well as lessons drawn from previous programming periods;

(b) the internal coherence of the proposed programme or activity and its relationship with other relevant instruments;

(c) the consistency of the allocation of budgetary resources with the objectives of the programme;

(d) the consistency of the selected thematic objectives, the priorities and corresponding objectives of the programmes with the CSF, the Partnership Agreement and the relevant country specific recommendations adopted in accordance with Article 121(2) TFEU and where appropriate at national level, the National Reform Programme;

(e) the relevance and clarity of the proposed programme indicators;

(f) how the expected outputs will contribute to results;

(g) whether the quantified target values for indicators are realistic, having regard to the support envisaged from the ESI Funds;

(h) the rationale for the form of support proposed;

(i) the adequacy of human resources and administrative capacity for management of the programme;

(j) the suitability of the procedures for monitoring the programme and for collecting the data necessary to carry out evaluations;

(k) the suitability of the milestones selected for the performance framework;

(l) the adequacy of planned measures to promote equal opportunities between men and women and to prevent any discrimination, in particular as regards accessibility for persons with disabilities;

(m) the adequacy of planned measures to promote sustainable development;

(n) measures planned to reduce the administrative burden on beneficiaries.

4. Ex ante evaluations shall incorporate, where appropriate, the requirements for strategic environmental assessment set out in Directive 2001/42/EC of the European Parliament and of the Council (1) taking into account climate change mitigation needs.

Legal text 17 Regulation (EU) No 1305/2013 - Ex ante evaluation

Article 77

Ex ante evaluation

Member States shall ensure that the ex ante evaluator is involved from an early stage in the process of development of the rural development programme, including in the development of the analysis referred to in Article 8(1)(b), in the design of the programme's intervention logic and in the establishment of the programme's targets.

Legal text 18 Commission Implementing Regulation (EU) No 808/2014 - Ex ante evaluation

Annex I

Part I

3. Ex ante evaluation

Not applicable to national programmes dedicated to joint instruments implemented by the EIB referred to in Article 28 of Regulation (EU) No 1303/2013

(a) Description of the process, including timing of main events, intermediate reports, in relation to the key stages of RDP development.

(b) Structured table containing the recommendations of the ex ante evaluation and how they have been addressed.

(c) The complete ex ante evaluation report (including the Strategic Environmental Assessment (SEA) requirements) shall be annexed to the RDP.

6.4.3. Common evaluation questions

The common evaluation questions for the RDPs 2014 – 2020 are detailed in three subcategories, namely, focus area-related, related to other aspects of the RDP and related to Union level objectives.

Annex V

Common evaluation questions for rural development

Focus area-related evaluation questions

For each focus area included in the RDP, the related question shall be answered in the enhanced annual implementation reports (hereafter 'AIRs') submitted in 2017 and 2019, and in the ex-post evaluation report.

- 1. Focus area 1A: To what extent have RDP interventions supported innovation, cooperation and the development of the knowledge base in rural areas?*
- 2. Focus area 1B: To what extent have RDP interventions supported the strengthening of links between agriculture, food production and forestry and research and innovation, including for the purpose of improved environmental management and performance?*
- 3. Focus area 1C: To what extent have RDP interventions supported lifelong learning and vocational training in the agriculture and forestry sectors?*
- 4. Focus area 2A: To what extent have RDP interventions contributed to improving the economic performance, restructuring and modernization of supported farms in particular through increasing their market participation and agricultural diversification?*
- 5. Focus area 2B: To what extent have RDP interventions supported the entry of adequately skilled farmers into the agricultural sector and in particular, generational renewal?*
- 6. Focus area 3A: To what extent have RDP interventions contributed to improving the competitiveness of supported primary producers by better integrating them into the agri-food chain through quality schemes, adding value to the agricultural products, promoting local markets and short supply circuits, producer groups and inter-branch organization?*
- 7. Focus area 3B: To what extent have RDP interventions supported farm risk prevention and management?*
- 8. Focus area 4A: To what extent have RDP interventions supported the restoration, preservation and enhancement of biodiversity including in Natura 2000 areas, areas facing natural or other specific constraints and HNV farming, and the state of European landscape?*
- 9. Focus area 4B: To what extent have RDP interventions supported the improvement of water management, including fertilizer and pesticide management?*
- 10. Focus area 4C: To what extent have RDP interventions supported the prevention of soil erosion and improvement of soil management?*
- 11. Focus area 5A: To what extent have RDP interventions contributed to increasing efficiency in water use by agriculture?*
- 12. Focus area 5B: To what extent have RDP interventions contributed to increasing efficiency in energy use in agriculture and food processing?*
- 13. Focus area 5C: To what extent have RDP interventions contributed to the supply and use of renewable sources of energy, of by-products, wastes, residues and other non-food raw material for purposes of the bio-economy?*
- 14. Focus area 5D: To what extent have RDP interventions contributed to reducing GHG and ammonia emissions from agriculture?*
- 15. Focus area 5E: To what extent have RDP interventions supported carbon conservation and sequestration in agriculture and forestry?*
- 16. Focus area 6A: To what extent have RDP interventions supported the diversification, creation and development of small enterprises and job creation?*
- 17. Focus area 6B: To what extent have RDP interventions supported local development in rural areas?*
- 18. Focus area 6C: To what extent have RDP interventions enhanced the accessibility, use and quality of information and communication technologies (ICT) in rural areas?*

Evaluation questions related to other aspects of the RDP

The following questions shall be answered in the enhanced AIRs submitted in 2017 and 2019, and in the ex-post evaluation report.

- 19. To what extent have the synergies among priorities and focus areas enhanced the effectiveness of the RDP?*
- 20. To what extent has technical assistance contributed to achieving the objectives laid down in Article 59 of Regulation (EU) No 1303/2013 and Article 51(2) of Regulation (EU) No 1305/2013?*

21. To what extent has the NRR contributed to achieving the objectives laid down in Article 54(2) of Regulation (EU) No 1305/2013?

Evaluation questions related to Union level objectives

The following questions shall be answered in the enhanced AIR submitted in 2019, and in the ex-post evaluation report.

22. To what extent has the RDP contributed to achieving the EU 2020 headline target of raising the employment rate of the population aged 20 to 64 to at least 75 %?

23. To what extent has the RDP contributed to achieving the EU2020 headline target of investing 3 % of EU's GDP in research and development and innovation?

24. To what extent has the RDP contributed to climate change mitigation and adaptation and to achieving the EU 2020 headline target of reducing greenhouse gas emissions by at least 20 % compared to 1990 levels, or by 30 % if the conditions are right, to increasing the share of renewable energy in final energy consumption to 20 %, and achieving 20 % increase in energy efficiency?

25. To what extent has the RDP contributed to achieving the EU 2020 headline target of reducing the number of Europeans living below the national poverty line?

26. To what extent has the RDP contributed to improving the environment and to achieving the EU biodiversity strategy target of halting the loss of biodiversity and the degradation of ecosystem services, and to restore them?

27. To what extent has the RDP contributed to the CAP objective of fostering the competitiveness of agriculture?

28. To what extent has the RDP contributed to the CAP objective of ensuring sustainable management of natural resources and climate action?

29. To what extent has the RDP contributed to the CAP objective of achieving a balanced territorial development of rural economies and communities including the creation and maintenance of employment?

30. To what extent has the RDP contributed to fostering innovation?

6.4.4. Ex post evaluation

The ex post evaluation summarises and judges an intervention when it is over. It aims at accounting for the use of resources, the achievement of intended and unintended effects. It also tries to draw conclusions which can be generalised to other interventions. For impacts to have the time to materialise, ex post evaluations need to be performed sometime after implementation. The ex post evaluation of the RDPs is to be completed under the responsibility of the Member States and submitted to the Commission by the end of 2024. The ex post evaluation has to provide an assessment of the effectiveness and efficiency of the rural development policy in the 2014-2020 period and its contribution to the Europe 2020 strategy (see Legal text 20).

Further guidance on the ex post evaluation will be provided later on in the programming period.

Legal text 20 Regulation (EU) No 1303/2013 - Ex post evaluation

Article 57

Ex post evaluation

1. The ex post evaluations shall be carried out by the Commission, or by the Member States in close cooperation with the Commission. Ex post evaluations shall examine the effectiveness and efficiency of the ESI Funds and their contribution to the Union strategy for smart, sustainable and inclusive growth taking account of the targets established in that Union strategy and in accordance with specific requirements established in the Fund-specific rules.

2. Ex post evaluations shall be completed by 31 December 2024.

3. The ex-post evaluation of the dedicated programmes referred to in point (b) of the first subparagraph of Article 39(4) shall be carried out by the Commission and completed by 31 December 2019.

4. For each of the ESI Funds, the Commission shall prepare, by 31 December 2025, a synthesis report outlining the main conclusions of ex-post evaluations.

Legal text 21 Regulation (EU) No 1305/2013 - Ex post evaluation

Article 78

Ex post evaluation

In 2024, an ex post evaluation report shall be prepared by the Member States for each of their rural development programmes. That report shall be submitted to the Commission by 31 December 2024.

6.4.5. Syntheses of evaluations

A synthesis of the ex ante and the ex post evaluations, is undertaken by the Commission following the submission of the relevant evaluations.

Legal text 22 Regulation (EU) No 1305/2013 - Syntheses of evaluations

Article 79

Syntheses of evaluations

Syntheses at Union level of the ex ante and ex post evaluation reports shall be undertaken under the responsibility of the Commission.

The syntheses of the evaluation reports shall be completed at the latest by 31 December of the year following the submission of the relevant evaluations.

6.5. Links to guidance documents

Additional support to the Member States is given via guidance documents, which can be found at following websites:

The **European Evaluation Helpdesk for Rural Development** regularly publishes guidance documents and technical support at:

<http://enrd.ec.europa.eu/evaluation>

The following documents are already available on the website:

- Guidelines – “Establishing and implementing the evaluation plan of 2014-2020 RDPs”
- Working Document – “Evaluation-related Queries”
- Working Paper – “Common Evaluation Questions for Rural Development Programmes 2014-2020”
- Guidelines for the ex ante evaluation of 2014-2020 RDPs.
- Rural Evaluation News (Newsletter)

Publications from the **Evaluation Expert Network 2007-2013** can be found at the following website:

http://enrd.ec.europa.eu/enrd-static/evaluation/library/evaluation-helpdesk-publications/en/evaluation-helpdesk-publications_en.html

SFC2014 Shared Fund Management System

SFC2014's main function is the electronic exchange of information concerning shared Fund management between Member States and the Commission as mainly described in Article 74(4) of Regulation (EU) No 1303/2013.

<http://ec.europa.eu/sfc/sites/sfc2014/files/help/pages/PRGEAFRDP/?i=33>

Guidance on Performance Framework Review and Reserve

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/guidance_performance_framework.pdf

7. Use of monitoring and evaluation information

7.1. How monitoring and evaluation information feeds into the policy cycle

To ensure that EU action is effective, the Commission assesses the expected and actual impacts of policies, legislation, and other important measures at every stage of the policy cycle - from planning to implementation subsequent revision. The Commission applies the "**Evaluate First**" principle to make sure that any policy decisions take into account the lessons from past EU action.³³ Monitoring and evaluation are an essential part of the policy cycle and feed back into strategic and practical decision-making. It gathers evidence to assess how well a specific intervention has performed (or is working) and draws conclusions on whether the EU intervention continues to be justified or should be modified. Regarding the proportionality of monitoring, evaluation and reporting requirements, the utility of information collected should be balanced against the resources required to provide it.

7.2. Reporting requirements

In order to monitor the policy's effectiveness against its objectives and to reach accountability and transparency throughout the process, the Commission reports to the European Parliament and to the Council as laid down in **Article 318 of the Treaty on the Functioning of the European Union (TFEU)**.

Legal text 23 Article 318 of the Treaty on the Functioning of the European Union

The Commission shall also submit to the European Parliament and to the Council an evaluation report on the Union's finances based on the results achieved, in particular in relation to the indications given by the European Parliament and the Council pursuant to Article 319.

In 2018, the Commission will present to the European Parliament and to the Council a first report on monitoring and evaluation of the CAP 2014 – 2020. This report will focus on policy implementation and first results. A more complete assessment of the impact of the CAP is expected by 2021 (see Article 110(5) of Regulation (EU) No 1306/2013). Specifically for rural development, Member States will submit each year, starting from 2016³⁴ and until 2024, an AIR on the RDP implementation of the previous calendar year. In 2017 and 2019, Member States will submit enhanced AIRs covering additional information on the RDP.

A timeline with all key steps in the monitoring and evaluation framework is presented in Figure 9. Moreover, Box 7.2.1. provides a more comprehensive overview of the reporting requirements under Regulation (EU) No 1303/2013 relevant for the monitoring and evaluation framework.

³³ COMMISSION STAFF WORKING DOCUMENT COM (2015) 215 final Better Regulation Guidelines (2015, p.51)

³⁴ The report submitted in 2016 shall cover the calendar years 2014 and 2015.

Box 7.2.1. Reporting requirements under Regulation (EU) No 1303/2013 relevant for the monitoring and evaluation framework of the CAP 2014 – 2020

Article 16(3) Partnership Agreement

The Commission shall prepare a report on the outcome of the negotiations concerning the Partnership Agreements and the programmes, including an overview of the key issues, for each Member State, by 31 December 2015. That report shall be submitted to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions simultaneously.

Article 21(1) Performance review

The Commission, in cooperation with the Member States, shall undertake a review of the performance of the programmes in each Member State in 2019 (the 'performance review'), with reference to the performance framework set out in the respective programmes.

Article 46 (1)

The Managing Authority shall send to the Commission a specific report covering the operations comprising financial instruments as an annex to the AIR.

Article 52 Progress report

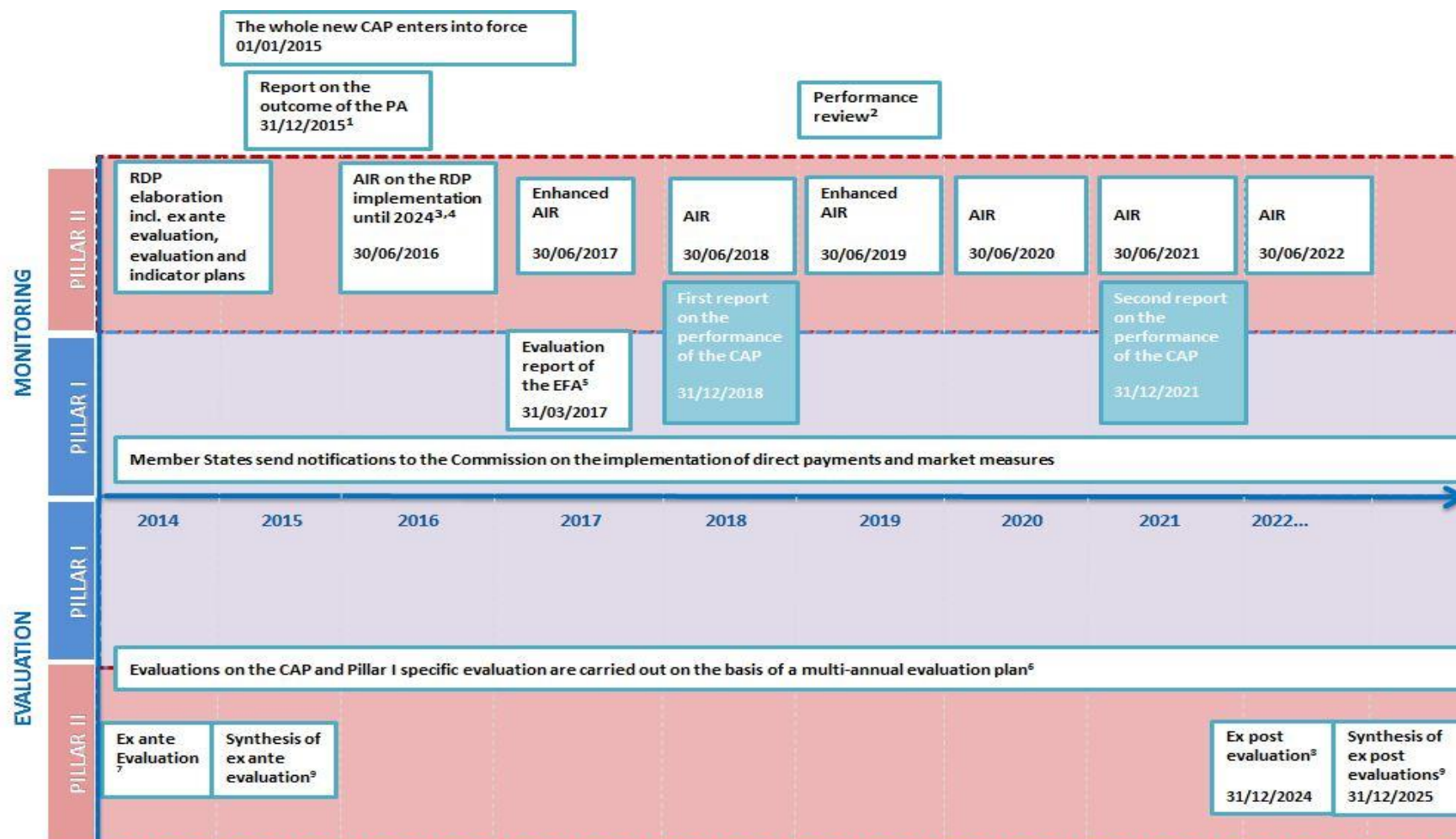
By 31 August 2017 and by 31 August 2019, the Member State shall submit to the Commission a progress report on implementation of the Partnership Agreement as at 31 December 2016 and 31 December 2018 respectively.

Article 53(1) Reporting by the Commission and debate on the ESI Funds

The Commission shall transmit each year from 2016 to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, a summary report in relation to ESI Fund programmes based on the annual implementation reports of the Member States submitted under Article 50 as well as a synthesis of the findings of the available evaluations of programmes. In 2017 and 2019 the summary report shall form a part of the strategic report referred to in the following paragraph.

Art. 53(2) In 2017 and 2019, the Commission shall prepare a strategic report summarising the progress reports of the Member States, which by 31 December 2017 and 31 December 2019, respectively, it shall submit to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions and those institutions shall be invited to hold a debate on it.

Figure 8 Key steps in the monitoring and evaluation framework of the CAP 2014 – 2020



Box 7.2.2. Footnotes for Figure 9 key steps in monitoring and evaluation of the CAP 2014 – 2020

¹ According to Article 16(3) of Regulation (EU) No 1303/2013, the Commission shall prepare a report on the outcome of the negotiations concerning the Partnership Agreements (PA) and the programmes.

² According to Article 21(1) of Regulation (EU) No 1303/2013, the Commission, in cooperation with the Member States, shall undertake a review of the performance of the programmes, in each Member State in 2019 (the 'performance review').

³ According to Articles 50 and 75 of Regulation (EU) No 1303/2013, Member States will submit each year an AIR, starting from 2016 until 2024 on the RDP implementation of the previous calendar year. The report submitted in 2016 shall cover the calendar years 2014 and 2015.

⁴ According to Article 46 of Regulation (EU) No 1303/2013, the managing authorities shall send to the Commission a specific report covering the operations comprising financial instruments as an annex to the annual implementation report.

⁵ According to Article 46 of Regulation (EU) No 1307/2013, by 31 March 2017, the Commission shall present an evaluation report on the implementation of the ecological focus area.

⁶ These evaluations are carried out by independent external contractors under the responsibility of the Commission, on the basis of a multi-annual evaluation plan.

⁷ According to Article 55(2) of Regulation (EU) No 1303/2013, the ex ante evaluation shall be submitted to the Commission at the same time as the programme.

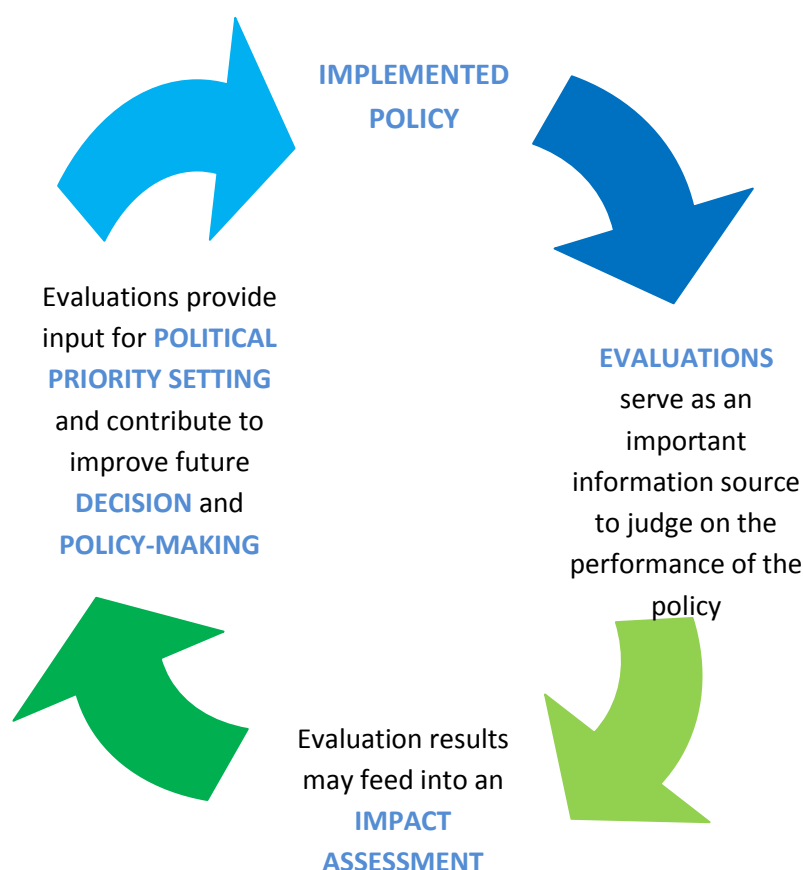
⁸ According to Article 78 of Regulation (EU) No 1305/2013, in 2024, an ex post evaluation report shall be prepared by the Member States for each of their rural development programmes.

⁹ According to Article 79 of Regulation (EU) No 1305/2013, syntheses at Union level of the ex ante and ex post evaluation reports shall be undertaken under the responsibility of the Commission.

7.3. Dissemination and use of monitoring information and evaluation results

Evaluation is an opportunity to assess the performance of an EU intervention and feed any lessons learned into the next round of decision-making in a timely manner. For instance the conclusions and recommendations from evaluations may feed into an impact assessment from the very beginning and contribute to and improve future decision and policy-making (see Figure 10).

Figure 9 Use of evaluation results



Evaluation results are communicated in such a way that they ensure the maximum use of the results and they meet the needs of stakeholders, e.g. the Council, the European Parliament and the European Court of Auditors. Moreover, the evaluation results are also made publicly available³⁵ and targeted summary information facilitates communication to the general public, published on the website site of DG AGRI.

³⁵ Unless a case for confidentiality can be made under one of the exceptions provided for in Article 4 of REGULATION (EC) No 1049/2001 of the European Parliament and the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents.

8. Future developments

The continuous evolution of the objectives of the CAP and the need to check the performance of the policy against the set objectives has led to an adaptation of the monitoring and evaluation framework for the CAP 2014 – 2020. The most important development is that the monitoring and evaluation framework now covers both pillars of the CAP. Elements like simplification, coherence and a more sophisticated methodology have been taken into account for the framework. However, new data needs have emerged, more data has been made available and further adaptation to future challenges is required. The following are four projects how to tackle these challenges in future developments:

- In the context of developing a new strategy for agricultural statistics towards 2020 and beyond, Eurostat is revising all areas of agricultural statistics, with a view to achieving greater coherence, flexibility and simplification. This concerns in particular farm-level data collections, where the FSS could be replaced by a system of farm surveys that will make adaptations easier and should make greater use of data from administrative sources to ease the burden on respondents and administrations.
- LUCAS (land use/cover area frame statistical survey) is a project aiming to improve the availability of information on land use and land cover. LUCAS is a harmonised, in situ land cover and land use data collection exercise that extends over the whole of the EU territory. An in situ survey implies that data are gathered through direct observations made by surveyors on the ground. LUCAS is based on statistical calculations that interpret observations on the field. It is based on a standardised survey methodology in terms of a sampling plan, classifications, data collection processes and statistical estimations that are used to obtain harmonised and unbiased estimates of land use and land cover. More than 250,000 sample points have been collected throughout the EU and the results contribute to evaluate land use/cover changes on the reference periods. In addition, the survey includes a special module to sample and analyse the main properties of topsoil since 2009. This topsoil survey represents the first attempt to build a consistent spatial database of the soil cover across the EU based on standard sampling and analytical procedures, with the analysis of all soil samples being carried out in a single laboratory.
- FLINT defines farm level indicators for new topics in policy evaluation on, amongst others, cross compliance, sustainability and innovation in the CAP. The key objective of FLINT is to establish a tested data-infrastructure with up to date farm level indicators for the monitoring and evaluation of the CAP and to contribute to a better targeting of the CAP and other related policy measures. The data collection on these indicators has ideally to be linked to the current FADN in which data on costs of production and incomes are collected on 75,000 farms over the EU-28 Member States, but alternatives are explored. FLINT does not only review the data and indicators currently used but also identifies gaps and deficiencies in the current data availability. In the project foreseen, harmonized data on the Profit, Planet and People indicators are collected in a pilot-network in several EU Member States. However, other Member States may join. Data is stored in a central database and used to investigate how this data improves policy evaluation.

- Finally, reflection is on-going to improve access to statistical and economic information on EU agriculture on the internet portal of DG AGRI. It is envisaged to ensure comprehensive data coverage and timely updates. Moreover, it shall facilitate exploiting synergies, adding value and avoiding simple reproduction by providing links to other existing data sources.

These are four examples how to approach future developments. However, some issues need further reflection, notably how to organize future evaluations so as to best capture links between instruments, combined results and overall impacts using the relevant indicators. Furthermore, to improve environmental data collection, while relying on established data sources and finding ways to best communicate on policy performance, remains a challenge.

Glossary

This glossary provides descriptions and explanations of most of the terms used in the technical handbook and its annexes.

Annual Work Unit (AWU)	Unit of measurement of labour force in agriculture. An Annual Work Unit is equivalent to a full-time employment. One AWU corresponds to the work performed by a person undertaking fulltime agricultural work on the holding over a 12 month period. The yearly working time of such worker is 1800 hours (225 working days of 8 hours per day), unless national provisions governing contracts of employment are specified. As the volume of agricultural labour is being calculated on the basis of fulltime equivalent jobs, no one person can therefore represent more than one AWU. This constraint holds even if it is known that someone is working on agricultural activities for more than the number of hours defining full-time in the Member State concerned.
Baseline	State of the economic, social or environmental context at a given time (generally at the beginning of the intervention), and against which changes will be measured.
Baseline indicators	Baseline indicators reflect the state of the economic, social or environmental context, at a given time (generally at the beginning of the intervention). Baseline indicators are used in the SWOT analysis and the definition of the policy strategy. They fall into two categories: 1) Objective related baseline indicators. These are directly linked to the wider objectives of the policy. They are used to develop the SWOT analysis in relation to objectives identified in the regulation. They are also used as a baseline (or reference) against which the policies impact will be assessed. 2) Context related baseline indicators. These provide information on relevant aspects of the general contextual trends that are likely to have an influence on the performance of the policy.
Benchmarking	Qualitative and quantitative standard for comparison of the performance of an intervention. Such a standard will often be the best in the same domain of intervention or in a related domain. Benchmarking is facilitated when, at the national or regional level, there is comparative information of good and not so good practice. The term benchmarking is also used to refer to the comparison of contextual conditions between territories.

Beneficiary	Person or organisation directly affected by the intervention whether intended or unintended. Beneficiaries receive support, services and information, and use facilities created with the support of the intervention (e.g. a family which uses a telephone network that has been improved with public intervention support, or a firm which has received assistance or advice). Some people may be beneficiaries without necessarily belonging to the group targeted by the intervention. Similarly, the entire eligible group does not necessarily consist of beneficiaries.
Case study	In-depth study of data on a specific case (e.g. a project). The case study is a detailed description of a case in its context. It is an appropriate tool for the inductive analysis of impacts and particularly of innovative interventions for which there is no prior explanatory theory.
Causality analysis	The study of relations of cause and effect which link a public intervention to its impacts. Causality analysis may be inductive. In this case, it investigates the mechanisms likely to produce impacts, as well as confounding factors likely to have an influence. Causality analysis may also be deductive (or hypothetico-deductive). In this case, it examines whether assumptions about impacts are not contradicted by the facts. It may also supply a quantitative estimation of impacts.
Coherence	The extent to which complementarity or synergy can be found within an intervention and in relation to other interventions.
Comparability	Quality of an indicator which uses the same measurement unit to quantify the needs, objectives or effects of several different interventions. Comparability is useful for establishing norms for judgement. Efforts made to improve comparability involve the harmonisation of measurement units and result, initially, in the definition of standard indicators, i.e. indicators that can be used in several regions with the same definition for the same sector of intervention.
Complementarity	The fact that several public interventions (or several components of an intervention) contribute towards the achievement of the same objective.
Consultation	Consultation describes a process of gathering feedback, comments, evidence or other input on a particular intervention from other entities either from within the Commission

	(interservice consultation) or from outside the Commission (stakeholder consultation).
Consultation Strategy	A Consultation strategy sets out one or more approaches to ascertain the views of stakeholders about a given issue. The strategy identifies relevant stakeholders for a new initiative under preparation by the Commission and defines the appropriate methods, tools and timing of consultation activities. For example, web-based public consultation may be complemented by approaches such as workshops, meetings, letters etc. The Roadmap informs about the Consultation strategy.
Context	The socio-economic environment in which an intervention is implemented.
Counterfactual situation	A situation which would have occurred in the absence of a public intervention, also referred to as "policy-off" situation. By comparing the counterfactual and real situations, it is possible to determine the net effects of the public intervention. Various tools can be used for the construction of the counterfactual situation: shift-share analysis, comparison groups, simulation using econometric models, etc. At the baseline, the real situation and the counterfactual situation are identical. If the intervention is effective, they diverge.
Criterion	Characteristic on which the judgement of an intervention can be based. An evaluation criterion must be explicit, that is, it must clearly show if the intervention will be judged better or worse. An intervention is generally judged in terms of several criteria.
Deadweight	Deadweight is defined as effects, which would have arisen even if the intervention had not taken place. Changes observed in the situation of beneficiaries following the public intervention, or reported by direct addressees as a consequence of the public intervention, that would have occurred, even without the intervention. For example: a farmer received assistance for the building of a self-catering cottage. However, an investigation into the profitability of the investment and the underlying motives suggest that he would have built the cottage, even without support. Thus, there is deadweight since the construction of the cottage cannot be imputed entirely to the intervention.
Displacement effect	Effect obtained in an eligible area at the expense of another area. Displacement effects may be intended (e.g. displacement of a public administration from the capital to a 'lagging' region) or

	unintended (e.g. 10% of the jobs created by a regional development programme resulted in the disappearance of jobs in other eligible regions). When they are not intended, displacement effects must be subtracted from gross effects to obtain net effects.
Economic Size of farms	The economic size of farms is one of the criteria utilised to classify agricultural holdings according to the Community typology for agricultural holdings. With Commission Regulation (EC) No 1242/2008, the economic size of an agricultural holding is measured as the total Standard Output (SO) of the holding expressed in euro. The sum of all the Standard Output per hectare of crop and per head of livestock of each holding is a measure of its overall economic size.
Effectiveness	The extent to which objectives pursued by an intervention are achieved. An effectiveness indicator is calculated by relating an output, result or impact indicator to a quantified objective.
Efficiency	Best relationship between resources employed and results achieved in pursuing a given objective through an intervention. Efficiency addresses the question whether the more effects could have been obtained with the same budget or whether the same effects could have been obtained at a lower cost? An indicator of efficiency is calculated by dividing the budgetary inputs mobilised by the quantity of effects obtained.
Endogenous development	Increase in economic activity based on internal competitive advantages within a region or territory. The main factors of endogenous development are human capital, entrepreneurial spirit, local saving, local innovation networks and natural conditions. By contrast, exogenous development concerns the inward transfer of capital, technology, know-how and skills.
Evaluation	Evaluation is a process of judgement of interventions according to their results, impacts and the needs they aim to satisfy. Evaluation looks at the effectiveness, the efficiency, the coherence and at the relevance of an intervention.
Evaluation Plan	It sets out the evaluation activities including the institutional arrangements (evaluation governance) and management provisions (evaluation management) for a whole programme implementation period.
Evaluation question	A question that need to be answered by evaluators. These are

	usually posed by those commissioning an evaluation. Evaluation questions normally feature in the terms of reference of evaluation projects.
Evaluator	The people who perform the evaluation, usually in a team in complex programmes that require a mix of skills and competencies. Evaluators gather and interpret secondary data, collect primary data, carry out analyses and produce the evaluation report. They must be independent vis à vis the commissioning body or programme managers.
Ex ante evaluation	Evaluation which is performed before policy implementation. Its purpose is to gather information and to carry out analyses which help to ensure that an intervention is as relevant and coherent as possible. Its conclusions are meant to be integrated at the time decisions are made. Ex ante evaluation mainly concerns an analysis of context, though it will also provide an opportunity for specifying the intervention mechanisms in terms of what already exists. Moreover, it provides the necessary basis for monitoring and future evaluations by ensuring that there are explicit and, where possible, quantified objectives.
Ex post evaluation	Evaluation which recapitulates and judges an intervention when it is over. It aims at accounting for the use of resources, the achievement of intended and unintended effects. It also tries to draw conclusions which can be generalised to other interventions. For impacts to have the time to materialise, ex post evaluations need to be performed sometime after implementation of the intervention.
External coherence	Correspondence between the objectives of an intervention and those of other interventions which interact with it.
Farm Accountancy Data Network (FADN)	The FADN is an instrument for evaluating the income of agricultural holdings and the impacts of the CAP. It consists of an annual survey carried out by the Member States of the European Union. The services responsible in the Union for the operation of the FADN collect every year accountancy data from a sample of the agricultural holdings in the European Union. Derived from national surveys, the FADN is the only source of microeconomic data that is harmonised, i.e. the bookkeeping principles are the same in all countries. Holdings are selected to take part in the survey on the basis of sampling plans established at the level of each region in the Union. The survey does not cover all the agricultural holdings in the Union but only those which due to

	<p>their size could be considered commercial. The methodology applied aims to provide representative data along three dimensions: region, economic size and type of farming. While the European Commission is the primary user of analyses based on FADN-data, aggregated data can be found in the Standard Results database.</p>
Full-Time Equivalent Employment (FTE)	<p>Full-time equivalent units are used to improve the comparability of measures of employment. Figures for the number of persons working less than the standard working time of a full-year full-time worker should be converted into full time equivalents, with regard to the working time of a full-time full-year employee in the unit. Included in this category are people working less than a standard working day, less than the standard number of working days in the week, or less than the standard number of weeks/months in the year. The conversion should be carried out on the basis of the number of hours, days, weeks or months worked.</p>
Greenhouse Gases (GHG)	<p>The 'greenhouse effect' is the term commonly used to describe the natural process through which atmosphere gases absorb and reradiate infrared radiation from the earth's surface, and which is largely responsible for life on earth. It is generally accepted that human activities as the combustion of fossil fuels are altering the composition of gases in the atmosphere, which could cause heat that would normally be radiated out to be retained. There is indeed mounting evidence that emissions of greenhouse gases are causing global and European surface air temperature increases, resulting in climate change. Like any other economic sector the agriculture sector produces greenhouse gases, and is a major source of the non-CO₂ greenhouse gases methane and nitrous oxide. Both of these gases are many times more powerful greenhouse gases than CO₂. Greenhouse gases include CO₂, CH₄, N₂O and fluorinated gases (HFCs, PFCs and SF₆).</p>
Gross Domestic Product (GDP)	<p>The concept is used in the European System of Accounts (ESA). GDP at market prices – is the final result of the production activity of resident producer units (ESA 2010, 8.89). GDP is the total market value of all the goods and services produced within the borders of a nation (or region) during a specified period.</p> <p>It can be defined in three ways:</p> <p>(a) production approach: GDP is the sum of gross value added of the various institutional sectors or the various industries plus</p>

	<p>taxes and less subsidies on products (which are not allocated to sectors and industries). It is also the balancing item in the total economy production account;</p> <p>(b) expenditure approach: GDP is the sum of final uses of goods and services by resident institutional units (final consumption and gross capital formation), plus exports and minus imports of goods and services;</p> <p>(c) income approach: GDP is the sum of uses in the total economy generation of income account (compensation of employees, taxes on production and imports less subsidies, gross operating surplus and mixed income of the total economy).</p>
Gross effect	<p>Change observed following a public intervention, or an effect reported by the direct beneficiaries. A gross effect appears to be the consequence of an intervention but usually it cannot be entirely imputed to it. The following example shows that it is not sufficient for an evaluation merely to describe gross effects: Assisted firms claimed to have created 500 jobs owing to the support (gross effect). In reality, they would in any case have created 100 jobs even without the support (deadweight). Thus, only 400 jobs are really imputable to the intervention (net effect).</p>
Gross Fixed Capital Formation (GFCF)	<p>The concept is used in the European System of Accounts (ESA). Gross fixed capital formation consists of resident producers' acquisitions, less disposals, of fixed assets during a given period plus certain additions to the value of non-produced assets realised by the productive activity of producer or institutional units. Fixed assets are produced assets used in production for more than one year.</p>
Gross Value Added (GVA)	<p>The concept is used in the European System of Accounts (ESA). GVA is the net result of output valued at basic prices less intermediate consumption valued at purchasers' prices. Gross value added is calculated before consumption of fixed capital. GVA is equal to the difference between output (ESA 2010, 3.14) and intermediate consumption (ESA 2010, 3.88).</p>
Hierarchy of objectives	<p>This is a tool that helps to analyse and communicate objectives and shows how interventions contribute to global, intermediate and operational objectives. It organizes these objectives into different levels (objectives, sub-objectives) in the form of a hierarchy or tree, thus showing the logical links between the</p>

	objectives and their sub-objectives. It presents in a synthetic manner the various intervention logics, derived from the regulation, that link individual actions to the overall goals of the intervention.
Holder (of an agricultural holding)	<p>Holder of the agricultural holding is the natural person, group of natural persons or legal person on whose account and in whose name the holding is operated and who is legally and economically responsible for the holding, i.e. who takes the economic risks of the holding.</p> <p>Depending on whether the holder is a “natural” or a “legal” person the holdings are classified under following groups:</p> <p>Holdings where the holder is:</p> <ul style="list-style-type: none"> • a natural person and the sole holder of an independent holding, • a group of natural persons being a group of partners on a group holding, • a legal person. <p>Holder who is a natural person and the sole holder of an independent holding is generally, but not necessarily, also the manager. There can be only one manager on the holding.</p>
Impact	In an impact assessment process, the term impact describes all the changes which are expected to happen due to the implementation and application of a given policy option/intervention. Such impacts may occur over different timescales, affect different actors and be relevant at different scales (local, regional, national and EU). In an evaluation context, impact refers to the changes associated with a particular intervention which occur over the longer term.
Impact Assessment / Impact Assessment report	<p>Impact Assessment is an integrated process to assess and to compare the merits of a range of policy options designed to address a welldefined problem. It is an aid to political decision making not a substitute for it. The Roadmap informs whether an impact assessment is planned or justifies why no impact assessment is carried out.</p> <p>An impact assessment report is a SWD prepared by the lead service which presents the findings of the impact assessment</p>

	process. It supports decision making inside of the Commission and is transmitted to the Legislator following adoption by the College of the relevant initiative. The quality of each IA report is checked by the Regulatory Scrutiny Board against the requirements of the relevant guidelines.
Impact indicators	These refer to the outcome of intervention beyond immediate effects. They are normally expressed in "net" terms, which means subtracting effects that cannot be attributed to the intervention (e.g. double counting, deadweight), and taking into account indirect effects (displacement and multipliers).
Implementation	Implementation describes the process of making sure that the provisions of EU legislation can fully enter into application.
Inception Impact Assessment	The inception Impact Assessment is the initial description of the problem, its underlying drivers, the policy objectives, policy options and the economic, social, environmental impacts of those policy options. It provides a comprehensive basis for stakeholders to provide feedback, information and opinions.
Indicator	Tool to measure the achievement of: an objective; a resource mobilised; an output accomplished; an effect obtained; or a context variable (economic, social or environmental). The information provided by an indicator is a datum used to measure facts or opinions. An indicator must, among other things, produce simple information which is communicable and easily understood by both the provider and the user of the information. It must help the managers of public intervention to communicate, negotiate and decide. For that purpose, it should preferably be linked to a criterion on the success of the intervention. It should reflect as precisely as possible whatever it is meant to measure (validity of construction). The indicator and its measurement unit must be sensitive, that is to say, the quantity measured must vary significantly when a change occurs in the variable to be measured.
Input	Financial, human, material, organisational and regulatory means mobilised for the implementation of an intervention.
Input indicators	These refer to the budget or other resources allocated at each level of the assistance. Financial input indicators are used to monitor progress in terms of the (annual) commitment and payment of the funds available for any operation, measure or

	programme in relation to its eligible costs.
Internal coherence	Correspondence between the different objectives of the same intervention. Internal coherence implies that there is a hierarchy of objectives, with those at the bottom logically contributing towards those above.
Interservice (steering) group	An interservice group is a group of Commission representatives from more than one Directorate-General or service who discusses priority cross-cutting issues and steers and monitors elements of the policy making process that require the interaction of more than one Directorate-General or other Commission service. Interservice steering groups are required for the preparation of major initiatives, entailing impact assessments, stakeholder consultations, evaluations and Fitness Checks.
Intervention	Intervention is used as umbrella term to describe a wide range of EU activities including: expenditure and nonexpenditure measures, legislation, action plans, networks.
Intervention logic	The intervention logic is the logical link between the problem that needs to be tackled (or the objective that needs to be pursued), the underlying drivers of the problem, and the available policy options (or the EU actions actually taken) to address the problem or achieve the objective. This intervention logic is used in both prospective Impact Assessments and retrospective evaluations.
Manager (of an agricultural holding)	Manager of the agricultural holding is the natural person responsible for the normal daily financial and production routines of running the holding concerned. In the context of the farm structure survey, a manager is considered to be non-family labour. Holder of the holding who is a natural person and the sole holder of an independent holding is generally, but not necessarily, also the manager. There can be only one manager on the holding.
Measure	Within the framework of European rural development policy, the basic unit of programme management, consisting of a set of similar projects and disposing of a precisely defined budget. Each measure has a particular management apparatus. Measures generally consist of projects. Many measures are implemented through a process of Calls for Proposals and subsequent

	appraisal.
Measurement unit	Used to observe a phenomenon, change or variable, and to place it on a quantitative scale. A measurement unit allows for quantification. An elementary indicator is associated with a measurement unit and has only one dimension (e.g. km of motorway; number of training courses). Some measurement units are divisible and others not (e.g. 20.3km were built; 30 trainees were qualified). Measurement units must be harmonised if indicators are to be comparable.
Method	Methods are families of evaluation techniques and tools that fulfil different purposes. They usually consist of procedures and protocols that ensure systemisation and consistency in the way evaluations are undertaken. Methods may focus on the collection or analysis of information and data; may be quantitative or qualitative; and may attempt to describe, explain, predict or inform action. The choice of methods follows from the evaluation questions being asked and the mode of enquiry - causal, exploratory, normative etc. Understanding a broad range of methods ensures that evaluators will select suitable methods for different purposes.
Methodology	Most broadly, the overall way in which decisions are made to select methods based on different assumptions about what constitutes knowing (ontology) what constitutes knowledge (epistemology) and more narrowly how this can be operationalised i.e., interpreted and analysed (methodology).
Monitoring	An exhaustive and regular examination of the resources, outputs and results of public interventions. Monitoring is based on a system of coherent information including reports, reviews, balance sheets, indicators, etc. Monitoring system information is obtained primarily from operators and is used essentially for steering public interventions. When monitoring includes a judgement, this judgement refers to the achievement of operational objectives. Monitoring is also intended to produce feedback and direct learning. It is generally the responsibility of the actors charged with implementation of an intervention.
Multiplier effect	Secondary effect resulting from increased income and consumption generated by the public intervention. Multiplier effects are cumulative and take into account the fact that part of the income generated is spent again and generates other income, and so on in several successive cycles. In each cycle, the

	multiplier effect diminishes due to purchases outside the territory. The effect decreases much faster when the territory is small and when its economy is open.
National Rural Networks	<p>National rural networks interlink the organisations and administrations involved in rural development. Member States with regional rural development programmes may run a specific programme for the establishment and operation of their national rural network. Networking by the national rural network aims to:</p> <p>(a) increase the involvement of stakeholders in the implementation of rural development;</p> <p>(b) improve the quality of implementation of rural development programmes;</p> <p>(c) inform the broader public and potential beneficiaries on rural development policy and funding opportunities;</p> <p>(d) foster innovation in agriculture, food production, forestry and rural areas.</p>
Natura 2000	Natura 2000 is the centrepiece of EU nature & biodiversity policy. It is an EU wide network of nature protection areas established under the 1992 Habitats Directive. The aim of the network is to assure the long-term survival of Europe's most valuable and threatened species and habitats. It is comprised of Special Areas of Conservation (SAC) designated by Member States under the Habitats Directive (Council Directive 92/43/EEC of 21.05.1992), and also incorporates Special Protection Areas (SPAs) which they designate under the 1979 Birds Directive (Council Directive 79/409/EEC of 2.04.1979).
Net effect	Effect imputable to the public intervention and to it alone, as opposed to apparent changes or gross effects. To evaluate net effects, based on gross effects, it is necessary to subtract the changes which would have occurred in the absence of the public intervention, and which are therefore not imputable to it since they are produced by confounding factors (counterfactual situation). For example, the number of employees in assisted firms appears to be stable (change or gross effect equal to zero). However, it is estimated that without support there would have been 400 redundancies (counterfactual situation). Thus, 400 jobs were maintained (net effect).
Nomenclature of territorial	The NUTS nomenclature serves as a reference for the collection,

units for statistics (NUTS)	<p>development and harmonization of EU regional statistics and for socio-economic analyses of the regions. Legal basis is Regulation (EC) No 1059/2003 of the European Parliament and of the Council of 26 May 2003 on the establishment of a common classification of territorial units for statistics (NUTS).</p> <p>In the farm structure survey (FSS) and in the farm accountancy data network (FADN), specific regions are used, based on different levels of NUTS or recombination of NUTS.</p>
Nomenclature statistique des Activités économiques dans la Communauté Européenne" (NACE)	<p>NACE (Statistical classification of economic activities in the European Community) was adopted in order to establish a common statistical classification of economic activities within the European Community in order to ensure comparability between national and community classifications and hence national and community statistics.</p> <p>NACE is the European standard classification of productive economic activities. NACE presents the universe of economic activities partitioned in such a way that a NACE code can be associated with a statistical unit carrying them out.</p> <p>The structure of NACE is described in the NACE Regulation as follows:</p> <ul style="list-style-type: none"> i. a first level consisting of headings identified by an alphabetical code (sections), ii. a second level consisting of headings identified by a two-digit numerical code (divisions), iii. a third level consisting of headings identified by a three-digit numerical code (groups), iv. a fourth level consisting of headings identified by a four-digit numerical code (classes).
Objective	<p>Clear, explicit and initial statement on the effects to be achieved by a public intervention. A quantitative objective is stated in the form of indicators and a qualitative objective in the form of descriptors. Specific objectives concern the results and impacts of an intervention on direct beneficiaries. A global objective corresponds to the aim of the intervention. The aim of an intervention is to produce an impact expressed in global terms, e.g. reducing regional disparities in development levels. Objectives may also be intermediate. Objectives which specify outputs to be produced are called operational objectives. If the objectives of a public intervention have not been clearly defined</p>

	beforehand, the evaluation can try to clarify them afterwards. In that case, it is preferable to refer to implicit objectives. Objectives should be expressed in SMART terms (Specific, Measurable, Achievable, Realistic, and Time-dependent).
On-going evaluation	Evaluation which extends throughout the period of implementation of a policy. Ongoing evaluation includes all the evaluation activities to be carried out during the whole period. The system of ongoing evaluation shall ensure capacity building early on and continuity of evaluation-related activities.
Output	Action which is financed and accomplished (or concretised) with the money allocated to an intervention. A project promoter undertakes to produce an output in immediate exchange for the support granted. Outputs may take the form of facilities or works (e.g. building of a road, farm investment; tourist accommodation). They may also take the form of immaterial services (e.g. training, consultancy, information).
Output indicators	These measure activities directly realised within programmes. These activities are the first step towards realising the operational objectives of the intervention and are measured in physical or monetary units. Example: number of training sessions organised, number of farms receiving investment support, total volume of investment.
Partnership Agreement	It is the document prepared by the Member State with the involvement of partners in line with the multi-level governance approach, which sets out the Member State's strategy, priorities and arrangements for using the ESI Funds in an effective and efficient way so as to pursue the Union strategy for smart, sustainable and inclusive growth, and which is approved by the Commission following assessment and dialogue with the Member State.
Performance Framework	For each programme under the common strategic framework, a performance framework shall be defined with a view to monitoring progress towards the objectives and targets set for each programme over the course of the programming period. In 2019, the Commission, in cooperation with the Member States, shall undertake a review of the performance of the programmes with reference to the performance framework. On the basis of the performance review, a performance reserve shall be allocated in 2019 to programmes and priorities which have

	achieved the milestones set in the performance framework.
Primary data	In the context of an evaluation, data collected ad hoc directly in the field at the time of the running evaluation.
Programme	Organised set of financial, organisational and human interventions mobilised to achieve an objective or set of objectives in a given period. A programme is delimited in terms of a timescale and budget. Programme objectives are defined beforehand; an effort is then made systematically to strive for coherence among these objectives.
Purchasing Power Standard (PPS)	Purchasing Power Standard (PPS) shall mean the artificial common reference currency unit used in the European Union to express the volume of economic aggregates for the purpose of spatial comparisons in such a way that price level differences between countries are eliminated. Economic volume aggregates in PPS are obtained by dividing their original value in national currency units by the respective purchasing power parity. PPS thus buys the same given volume of goods and services in all countries, whereas different amounts of national currency units are needed to buy this same volume of goods and services in individual countries, depending on the price level.
Qualitative indicator	<p>A description, in the form of a concise, clear and stable statement, of an objective to achieve, or an impact obtained. The organisation of descriptors in the form of a structured grid may constitute the first step in the construction of an indicator. If several descriptors have been established beforehand, they can be used to construct an observation grid. By means of this grid a phenomenon or change can be observed and described in a qualitative and structured way.</p> <p>Evaluation cannot afford to exclude from its scope of analysis an important objective or impact simply because it is difficult to measure quantitatively when in fact it is considered to be important. In that case, it is preferable to collect qualitative data and to structure them by means of descriptors.</p>
Rationale	The fact that an intervention can be justified in relation to needs to satisfy or sectorial and socio-economic problems to solve. Ex ante evaluation verifies the real existence of these needs and problems, and ensures that they cannot be met or solved by

	existing private or public initiatives. Thus, the inadequacy or shortcomings of other initiatives (whether private or public) may be a fundamental element in the programme rationale.
REFIT	REFIT is the European Commission's Regulatory Fitness and Performance programme launched in December 2012. The Commission's REFIT is a rolling programme to keep the entire stock of EU legislation under review and ensure that it is 'fit for purpose' that regulatory burdens are minimised and that all simplification options are identified and applied. REFIT identifies opportunities to reduce regulatory burdens and simplify existing laws in order to ensure that the objectives of the legislation or policy can be reached in a more effective and efficient way.
Regulatory Scrutiny Board	A body set up by the Commission which scrutinises draft impact assessment reports and major retrospective evaluations and issues opinions with a view to improving their quality or providing guidance for the future.
Roadmap	A roadmap is a tool to substantiate the political validation of an initiative the Commission is preparing and, to inform stakeholders about planned consultation work, impact assessments, evaluations, Fitness Checks. It is published at an early stage by the Secretariat General on the Commission's web site and helps stakeholders prepare timely and effective inputs to the policy making process.
Relevance	The extent to which an intervention's objectives are pertinent to needs, problems and issues. Questions of relevance are particularly important in ex ante evaluation because the focus is on the strategy chosen or its justification.
Reliability	Quality of the collection of evaluation data when the protocol used makes it possible to produce similar information during repeated observations in identical conditions. Reliability depends on compliance with the rules of sampling and tools used for the collection and recording of quantitative and qualitative information.
Result	Advantage (or disadvantage) which direct beneficiaries obtain at the end of their participation in a public intervention or as soon as a public facility has been completed. Results can be observed when an operator completes an action and accounts for the way in which allocated funds were spent and managed. At this point s/he may show, for example, that accessibility has been

	improved due to the construction of a road, or that the firms which have received advice claim to be satisfied. The operators may regularly monitor results. They have to adapt the implementation of the intervention according to the results obtained.										
Result indicators	These measure the direct and immediate effects of the intervention. They provide information on changes in, for example, the behaviour, capacity or performance of direct beneficiaries and are measured in physical or monetary terms. Example: gross number of jobs created, successful training outcomes.										
Secondary data	In the context of an evaluation, existing information, e.g. statistics, monitoring data, data from previous evaluations.										
SMART objectives	<p>In addressing the question of effectiveness, detailed consideration needs to be given to the extent to which objectives conform to the SMART criteria.</p> <table> <tr> <td>Specific</td><td>Do they specify the target group and the factors that need to change?</td></tr> <tr> <td>Measurable</td><td>Are they written in a measurable format, e.g. magnitude of effects, number to be reached?</td></tr> <tr> <td>Achievable</td><td>Are they feasible given the available time money, staffing?</td></tr> <tr> <td>Relevant</td><td>Are they relevant for the target group?</td></tr> <tr> <td>Time dependent</td><td>Do they set the time frame within which the objectives must be reached?</td></tr> </table>	Specific	Do they specify the target group and the factors that need to change?	Measurable	Are they written in a measurable format, e.g. magnitude of effects, number to be reached?	Achievable	Are they feasible given the available time money, staffing?	Relevant	Are they relevant for the target group?	Time dependent	Do they set the time frame within which the objectives must be reached?
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Relevant	Are they relevant for the target group?										
Time dependent	Do they set the time frame within which the objectives must be reached?										
Stakeholder	Stakeholder is any individual or entity impacted, addressed or otherwise concerned by an EU intervention.										
Standard Output (SO)	The Standard Output (SO) is the average monetary value of the agricultural output at farm-gate price of each agricultural product (crop or livestock) in a given region. The SO is calculated by Member States per hectare or per head of livestock, by using basic data for a reference period of 5 successive years; for example, SO 2007 covers the calendar years 2005 to 2009, or the agricultural production years 2005/06 to 2009/2010. The SO of the holding is calculated as the sum of the SO of each agricultural product present in the holding multiplied by the relevant number										

	<p>of hectares or heads of livestock of the holding. The SO coefficients are expressed in euros and the economic size of the holding is measured as the total standard output of the holding expressed in Euros. Holdings may be classified in economic size classes, the limits of which are also expressed in euros.</p> <p>The SO coefficients are calculated for more than 90 separate crop and livestock items. This large number of items not only reflects the diversity of agriculture within the European Union, but also indicates the level of detail that is required to ensure that the results of the FADN and of other surveys are comprehensive and reliable.</p>
Strategy	<p>Selection of priority actions according to the urgency of needs to be met, the gravity of problems to be solved, and the chances of actions envisaged being successful. In the formulation of a strategy, objectives are selected and graded, and their levels of ambition determined. Not all territories and groups are concerned by the same development strategy. Ex ante evaluation examines whether the strategy is suited to the context and its probable evolution.</p>
Substitution effect	<p>Effect obtained in favour of direct beneficiaries but at the expense of a person or organisation that does not qualify for the intervention. For example, a person unemployed for a long time found a job owing to the intervention. In reality, this job was obtained because someone else was granted early retirement. If the objective was the redistribution of jobs in favour of disadvantaged groups, the effect can be considered positive. An evaluation determines, with regard to the objectives of the intervention, whether the substitution effect can be considered beneficial or not. When it is not beneficial, the substitution effect must be subtracted from gross effects.</p>
SWOT Analysis	<p>SWOT stands for Strengths, Weaknesses, Opportunities and Threats. The analysis of these four aspects has become the standard method for taking stock of the situation in an area, sector or theme and deciding on strategic priorities, objectives and measures. The SWOT should reflect evidence contained in the baseline and other indicators as well as more qualitative information. Ideally it should take into account stakeholder opinions. The strengths and weaknesses refer to the existing positive and negative attributes whereas the opportunities and</p>

	threats to the future.
Synergy	The fact that several public interventions (or several components of an intervention) together produce an impact which is greater than the sum of the impacts they would produce alone (e.g. an intervention which finances the extension of an airport which, in turn, helps to fill tourist facilities, also financed by the intervention). Synergy generally refers to positive impacts. However, phenomena which reinforce negative effects, negative synergy or anti-synergy may also be referred to (e.g. an intervention subsidises the diversification of enterprises while a regional policy helps to strengthen the dominant activity).
Target indicator	For each focus area chosen among the six rural development priorities, quantifiable target indicators are defined at Community level. Target indicators should be linked, as directly as possible, to rural development programmes interventions, minimising the effect of external factors. They should be indicators which can be simply and regularly monitored, minimising the data requirements for beneficiaries and administrations, as the values of these indicators will be monitored regularly throughout the lifetime of each rural development programmes. Wherever possible established indicators and methods should be used. For the most part, target indicators will be at the result level, with the exception of Priority 1, which is horizontal and whose results are captured through the outcomes of other priorities. For the focus areas under this priority, the target indicators will be established at output level.
Target level	Estimates of an impact in relation to the baseline situation, based on past experience and expert judgement. A standard approach is to use benchmarks established in past programme reporting, evaluation and studies. Evaluators generally play an important role in the context of the ex ante evaluation by verifying quantified targets for outputs and results and in the setting of quantified (and where appropriate qualitative) targets for impact.
Type of farming (TF) of an agricultural holding	The concept has been developed in the Community typology for agricultural holdings (Commission decision 85/377/EEC). The type of farming on a holding is the production system of a holding which is characterised by the relative contribution of different enterprises to the holding's total standard gross margin. Depending on the amount of detail required, there are three

	nested levels of type of farming: 9 general types, 2217 principal types, and 5620 particular types (cf. Annex I of Commission Regulation types.(EC) No 1242/2008
Utilised Agricultural Area (UAA)	<p>Utilised agricultural area (UAA) is the total area taken up by arable land, permanent grassland, permanent crops and kitchen gardens used by the holding regardless of the type of tenure. Common land used by the holding is not included.</p> <p>The term does not include unused agricultural land, woodland and land occupied by buildings, farmyards, tracks, ponds, etc.</p>
Value for money	Term referring to judgement on whether sufficient impact is being achieved for the money spent. It is often calculated by dividing the total project costs by the number of beneficiaries reached, and comparing the cost with alternative comparable measures in relation to the target groups and desired impacts.
Verifiable objective	An objective stated in such a way that it will subsequently be possible to check whether or not it has been achieved. A way of making an objective verifiable is to quantify it by means of an indicator linked to two values (baseline and expected situation). An objective may also be verifiable if it is linked to a descriptor, i.e. a clear and precise qualitative statement on the expected effect.
Windfall profit	Profit that occurs unexpectedly due to extraordinary changes in the market situation/government regulation.