

Evaluation of CAP Strategic Plans

Capacity building event | **Date**
Location

European Evaluation Helpdesk for the CAP



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Capacity building: Evaluation of CAP Strategic Plans

Presentation of the Implementing Regulation (EU) 2022/1475 in relation to evaluation of CAP Strategic Plans (Title I) and Evaluation Plans



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Training modules

- **Module 1:** Key evaluation concepts for 2023-2027 based on Regulation (EU) 2022/1475 in relation to evaluation of CAP Strategic Plans
- **Module 2:** Evaluation Plan - Purpose, structure and content



Key evaluation concepts for 2023-2027 based on Regulation (EU) 2022/1475 in relation to evaluation of CAP Strategic Plans

Module 1





Objectives of the module

- › Increase awareness on the evaluation requirements for the 2023-2027 period
- › Improve understanding and resolve doubts on key evaluations concepts and terms
- › Clarify differences between:
 - › previous and current programming period
 - › EC and MS responsibilities in evaluations
- › Increase evaluation culture amongst CAP stakeholders



Why the Implementing Regulation

MS asked
for:
flexibility,
freedom,
proportiona
lity



And the
same time
MS often
ask for
guidelines
...



Need for a
balanced
evaluation
framework



CMEF (2014-2020)

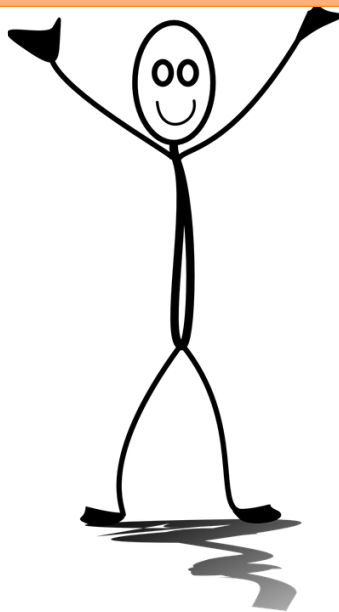
- 2 Pillars
- Evaluations: PI mainly EU - PII in MS
- Compliance
- Analysis by Focus Area / RD priority
- Common Evaluation Questions (CEQs)
- Judgement criteria and indicators
- Interim evaluations (2017, 2019)
- Some quantification

PMEF (2023-2027)

- 1 CAP
- Evaluations: MS + EU
- Performance (Results)
- Analysis by relevant SO or combination
- No CEQs
- Key evaluation elements, factors of success, indicators (Annex I, SPR)
- No obligatory milestones for MS evaluations during the implementation period
- More quantification and net effects



Why, Who, What, How, When



Why evaluate CAP Strategic Plans

Demonstrate
progress and
achievements

Justify the use of
funding

Increase
efficiency of policy

Communication
between MA and
stakeholders, incl. EC

Continuous
learning and
improvement

Evidence for
design of future
policy





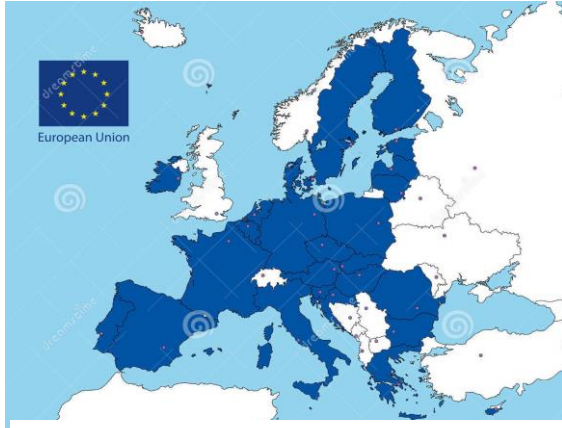
Who evaluates CAP Strategic Plans

MS responsible for:

- › Ex-ante evaluation, evaluation plan, evaluations during implementation and ex-post evaluation of the CSP
- › Covering all relevant SOs
- › Independent experts (Art. 140, Basic Act)

EC responsible for:

- › Evaluations based on multi-annual evaluation plan
- › 2026 interim evaluation of EAGF and the EAFRD (Art. 141, SPR)



What do each MS need to evaluate

➤ Each Specific Objective (9 SOs + CCO)

Art. 2(a)

- Individually or in bundles
- According to CSP intervention logic

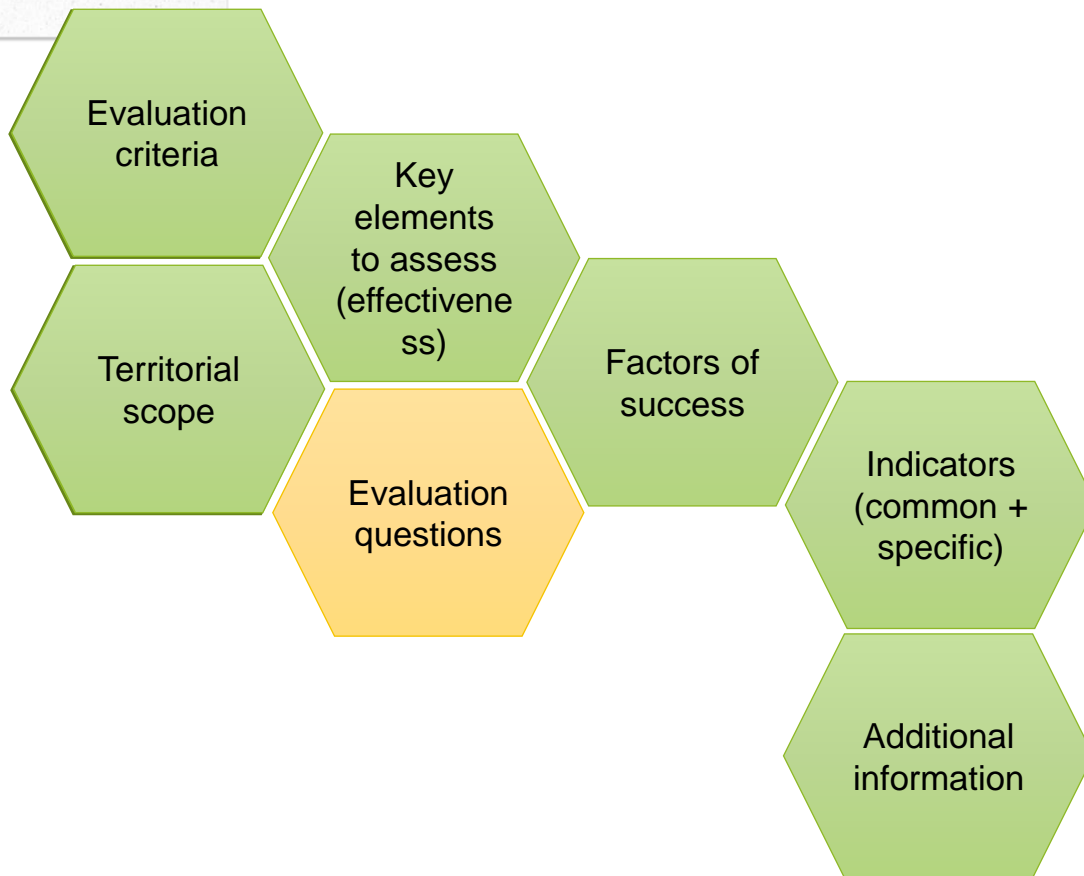
➤ Specific interventions or topics

Art. 2(d)

- LEADER VA
- National CAP Network
- AKIS
- Environment and climate architecture



How do MS evaluate



MS carry out evaluations using relevant evaluation criteria

Art. 1 & 2(b)

Evaluation criteria

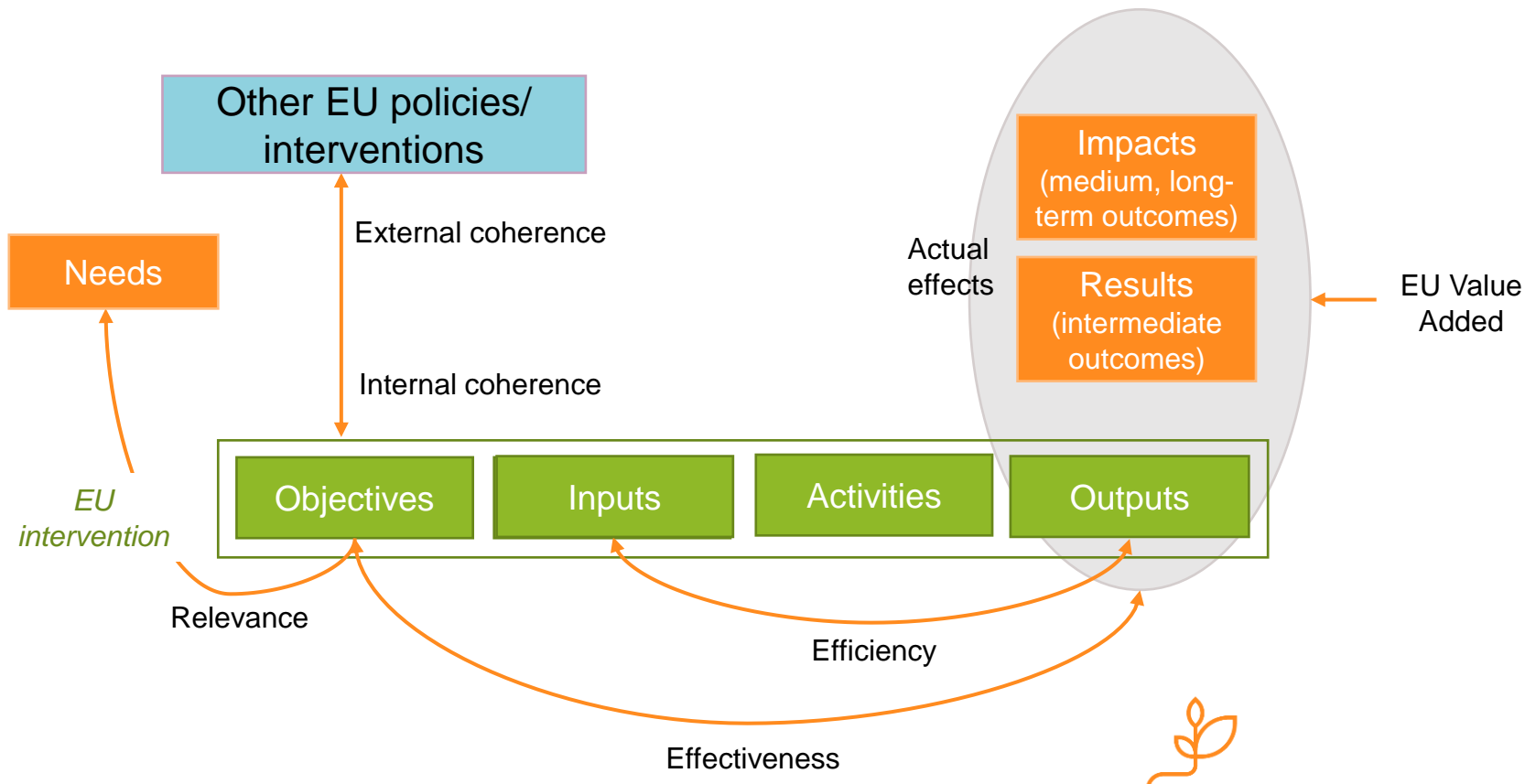
- › Effectiveness (and impacts)
- › Efficiency (and simplification)
- › Relevance
- › Coherence
- › Union Value Added

Art. 1(3)

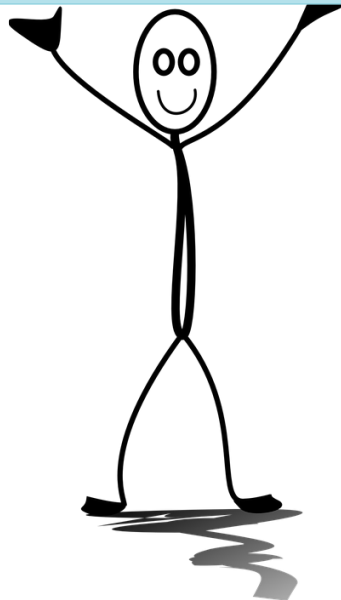
(Better Regulation, Tool #47)



Evaluation criteria help evaluate the whole flow of the CAP from conception to outcomes ...



What do the evaluation criteria mean



Relevance

- › Relationship between the needs and problems at the time of introducing the intervention and during its implementation
- › Relationship between the current and future needs and problems in the EU and the objectives of the intervention



Effectiveness

- › How successful EU action has been in achieving or progressing towards its objectives
- › Progress made to date
- › Role of the EU action in delivering the observed changes
- › Benefits of the EU intervention as they accrue to different stakeholders
- › Assessed with the use of result and impact indicators



Efficiency

Measures the extent to which the effects/benefits are achieved at a reasonable cost (cost effectiveness)

Simplification for beneficiaries and administration



Coherence

Assesses the synergies of CAP Strategic Plan interventions with each other and with other relevant policies and programmes



Union Value Added

Assesses the changes that are due to the EU intervention, over and above what could reasonably have been expected from national actions by the Member States





Impacts

During implementation

Art. 6

- › Impacts in relation to CSP contribution to achieving the CAP general objectives and SOs addressed by the CSP
- › Use O, R, C, I indicators (Annex I) to assess effects
- › Use also
 - › specific indicators
 - › other quantitative & qualitative info
 - › relevant evaluation criteria
- › Quantification of impacts (Annex III)

Ex post

Art. 140 (1)
(Basic Act)

- › CSP overall impact
- › All evaluation criteria



ANNEX III

IMPACT INDICATORS REFERRED TO IN ARTICLE 6(5)

Indicator code ⁽¹⁾	Indicator name
I.2	Reducing income disparities: Evolution of agricultural income compared to the general economy
I.3	Reducing farm income variability: Evolution of agricultural income
I.4	Supporting viable farm income: Evolution of agricultural income level by type of farming (compared to the average in agriculture)
I.5	Contributing to territorial balance: Evolution of agricultural income in areas with natural constraints (compared to the average)
I.10	Contributing to climate change mitigation: Greenhouse gas emissions from agriculture
I.12	Increasing sustainable energy in agriculture: Sustainable production of renewable energy from agriculture and forestry
I.14	Improving air quality: Ammonia emissions from agriculture
I.15	Improving water quality: Gross nutrient balance on agricultural land
I.26	A fairer CAP: Distribution of CAP support

⁽¹⁾ Annex I to Regulation (EU) 2021/2115.

Annex III

Impact indicators



MS should not forget the territorial dimension, where relevant

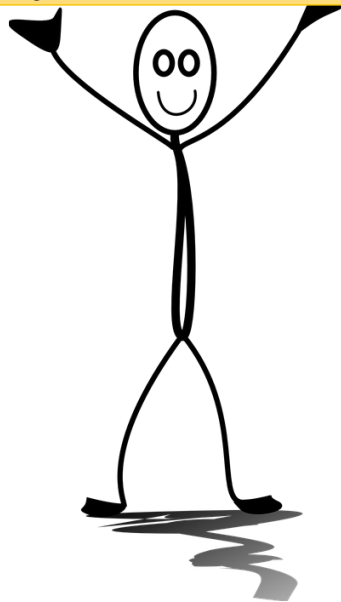
Territorial scope of interventions

Art. 2(c)

- › Regional evaluations that feed into national ones
- › National evaluations with input from / collaboration with regions
- › or both



When assessing effectiveness, MS will
use key evaluation elements



Key evaluation elements enable a focus of evaluations

Annex I

SO1
Viable farm income
+
Resilience

SO6
Reversing
biodiversity loss
+
Ecosystem services

SO8
Rural sustainable
economy
+
Local development
+
Gender equality and
social inclusion

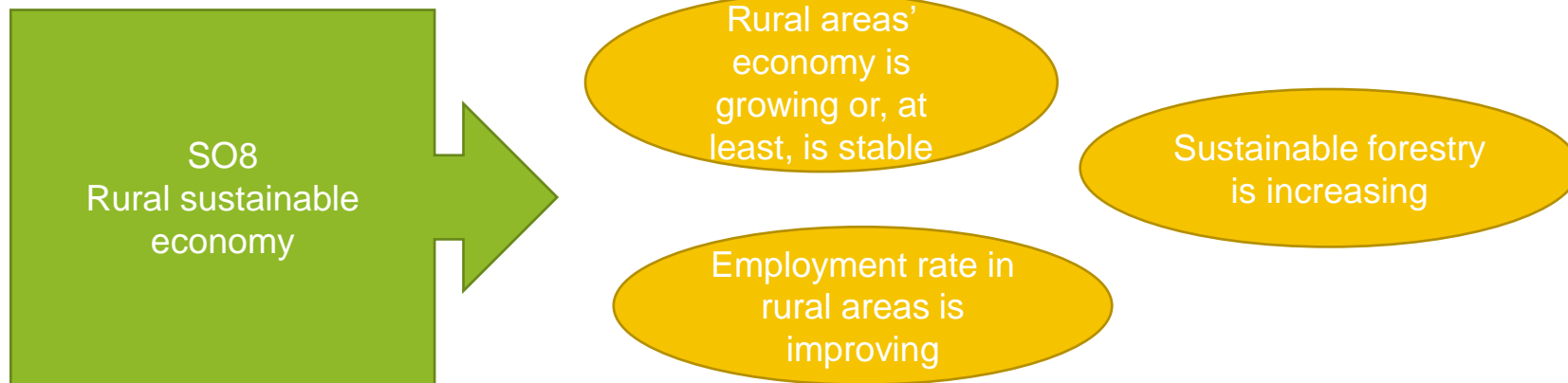
SO4
Climate change
mitigation
+
adaptation

XCO
AKIS and digital
strategy



The key elements are accompanied (where relevant)
by recommended factors of success

Annex I



- › Enable judgment of whether an objective was achieved
- › Help assess effectiveness and impacts



Elements and factors of success (example 1)

SO1	Key element to assess	Success factors
To support viable farm income and resilience of the agricultural sector across the Union in order to enhance long-term food security and agricultural diversity as well as to ensure the economic sustainability of agricultural production in the Union	<u>Viable farm income</u> Viable farm income means not only stable income but also fairly distributed income	Agricultural income level in farms supported is increasing or, at least, is stable and disparities between farms and to other economic sectors are decreasing, taking into account general economy trends
	<u>Resilience</u> Resilience encompasses supporting farmers facing potential risks and specific limitations which can force them to stop agricultural activity	Income support is distributed to farmers most in need



Elements and factors of success (example 2)

SO4	Key element to assess	Success factors
To contribute to climate change mitigation and adaptation, including by reducing greenhouse gas emissions and enhancing carbon sequestration, as well as promote sustainable energy	<u>Climate change mitigation</u> Based on greenhouse gas emissions (GHG) and carbon sequestration	<ul style="list-style-type: none"> • GHG emissions in agriculture are decreasing • Soil organic carbon sequestration is increasing or maintained • Renewal energy production capacity is increasing
	<u>Climate change adaptation</u> Based on the resilience of agriculture to climate change	Resilience of agriculture to climate change is increasing



Elements and factors of success (example 3)

SO8	Key element to assess	Success factors
To promote employment, growth, gender equality, including the participation of women in farming, social inclusion and local development in rural areas, including circular bio-economy and sustainable forestry	<u>Rural sustainable economy</u> Based on economic growth and promoting employment	<ul style="list-style-type: none"> Rural areas' economy is growing or, at least, is stable and urban-rural gap is decreasing Employment rate in rural areas is improving Bio-economy related business are increasing Sustainable forestry is increasing
	<u>Local development</u> Provision of local services and infrastructure	Local services and infrastructures are improving
	<u>Gender equality and social inclusion</u> Promotion of participation of women in farming and the economy, income equity and poverty reduction	<ul style="list-style-type: none"> Women employment and participation in farming is improving CAP Strategic Plan support is more fairly distributed Rural poverty is decreasing

Exercise on factors of success (optional)

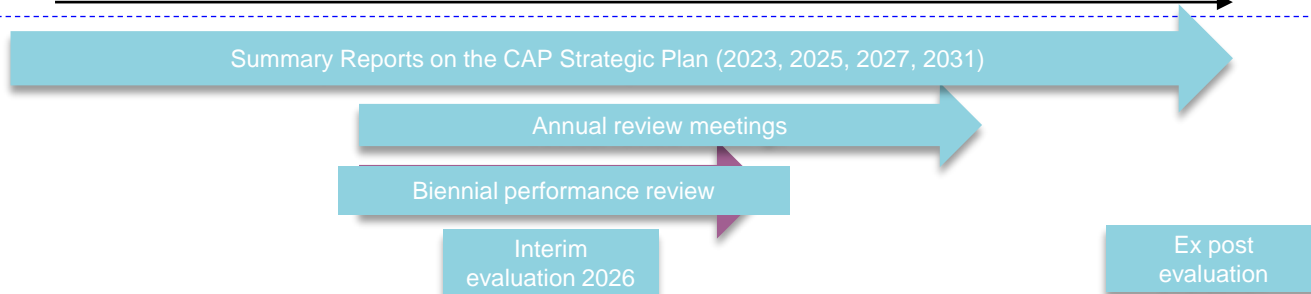
- › Develop an indicative list of factors of success for other evaluation criteria:
 - › Efficiency
 - › Relevance
 - › Coherence
 - › Define whether they would be per SO or common to all SOs
-
- Work in groups
 - Choose one evaluation criterion and if there is time go to the next



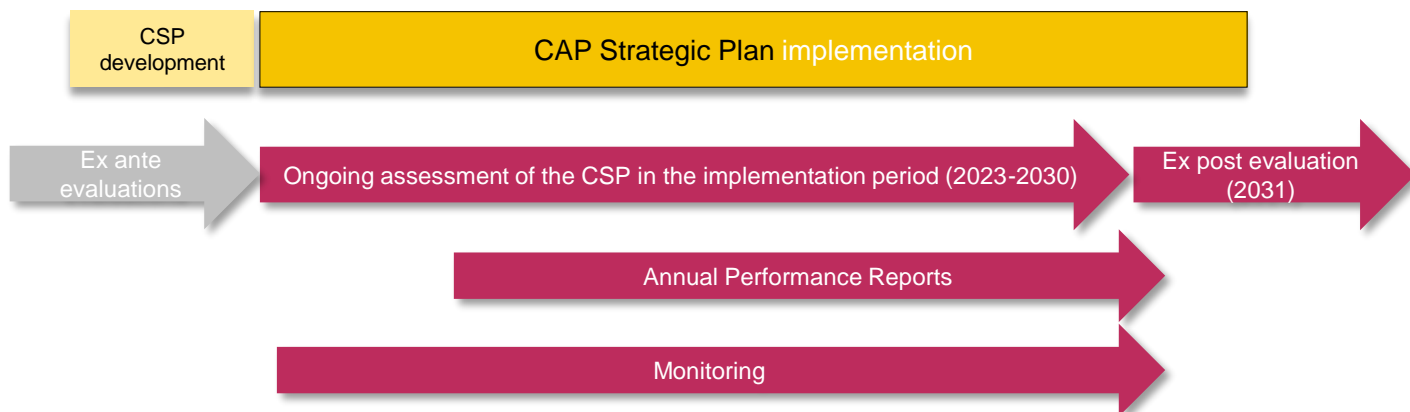
When do MS evaluate

2023 2024 2025 2026 2027 2028 2029 2030 2031

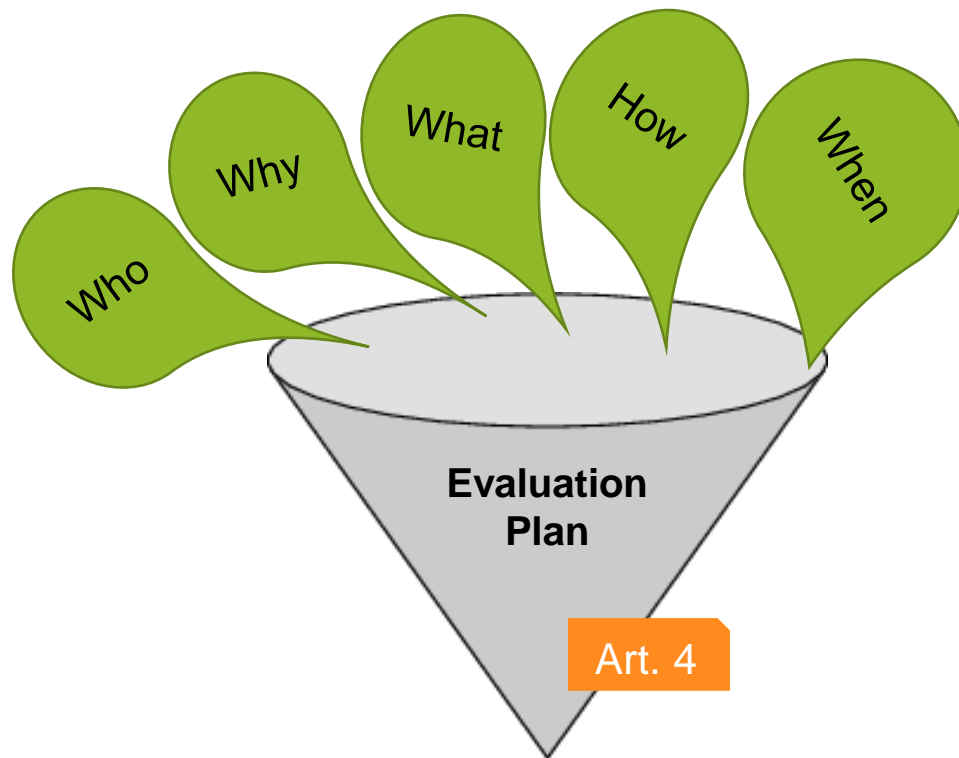
EU level



national level



Where does it all come together?



Evaluation Plan: purpose, structure and content

Module 2



Objectives of the module

- Increase awareness on the benefits of evaluation planning
- Improve understanding of the requirements for evaluation planning
- Obtain practical support for better evaluation planning (e.g. tools and approaches for specific sections of the EP)
- Resolve doubts in relation to evaluation plan design and content



What is the purpose of the Evaluation Plan?



Evaluation plan: purpose

- › Helps meet evaluation requirements
- › Offers info on planned evaluations and ex post
- › Makes possible that all appropriate evaluation activities will take place
- › Ensures sufficient resources available for evaluation
- › Ensure required data available on time and with quality



What is the role of MS and what is the role of the EC in evaluation planning?



Evaluation Plan: role of MS

- › Draw an EP according to the CSP intervention logic

Art. 4

- › MS share info with EC:

Art. 5

- › progress made in carrying out evaluations, syntheses of evaluations and follow-up given to findings
- › amendments to the EP



Evaluation Plan: role of EC

› Submitted to Monitoring Committee one year after CSP approval

Basic Act,
Art. 140 (5)

› NO need for EC approval

Understand

Use

Give
opinion



ANNEX II

MINIMUM REQUIREMENTS FOR THE STRUCTURE AND CONTENT OF THE EVALUATION PLAN REFERRED TO IN ARTICLE 4(1)

1. Objectives and needs

A statement of the objectives of the evaluation plan and evaluation related needs, aimed to ensure that sufficient and appropriate evaluation activities are undertaken, in particular to provide information needed for programme steering, to inform next policy programme period, and to ensure that data needed for CAP Strategic Plan evaluation are available.

2. Governance and coordination

Brief description of the monitoring and evaluation arrangements for the CAP Strategic Plan, identifying the main bodies involved and their responsibilities.

3. Stakeholder mapping

Brief description of the relevant stakeholders referred to in Article 4(2) and their needs related to evaluation activities and, where relevant, capacity building.

4. Timeline

Indicative planning of evaluations and evaluation support studies to be carried out during the programming cycle, as well as the reasoning for the choices made, including:

- (a) evaluations to assess the contribution of the CAP Strategic Plans to the CAP objectives, to be carried out during the implementation of the CAP Strategic Plan;
- (b) where relevant, the evaluations to assess specific topics referred to in Article 2, point (e);
- (c) support studies and other research and analytical activities for evaluations.

5. Data and information

Brief description of the arrangements referred to in Article 7(2) to ensure data availability for monitoring and evaluation, including the identification of main data sources to be used, institutional arrangements for data provision and data quality control arrangements. This section should also include identification of data gaps and actions to address them, including having data systems operational in time.

6. Communication and follow-up

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

7. Resources, technical support and capacity building

Description of the resources needed and foreseen to implement the evaluation plan, including an indication of the administrative capacity, data, financial resources and IT needs.

Description of the implementation of the programme support referred to in Article 7(3) and (4), including technical support and capacity building activities carried out to ensure that the evaluation plan can be fully implemented and planned support to LAGs for evaluating the Local Development Strategies.

Annex II



Content of the
Evaluation Plan



Evaluation Plan: structure

Objectives
and needs

Governance
and
coordination

Stakeholder
mapping

Timeline

Data and
information

Communication
and
follow up

Resources,
technical
support,
capacity
building





Evaluation Plan: what is new

Evaluation activities

- No separate EP section required
- Objectives and needs to ensure sufficient and appropriate activities are undertaken
- Evaluation framework → PMEF (performance oriented evaluations), factors of success

Evaluation topics

- Contribution to SOs
- Specific topics (Leader, national CAP Network, AKIS, environment/climate)
- Simplification
- Consider previous Pillar 1

Stakeholder mapping

- New this period
- New tools → mind map for identification, power vs interest diagram for prioritisation
- Capacity building needs



Evaluation Plan: Sections 1-3

EP section	Minimum content (Regulation)	Additional content (recommended)
1. Objectives and needs	<ul style="list-style-type: none"> Evaluation objectives and needs Ensure sufficient activities undertaken 	<ul style="list-style-type: none"> Evaluation activities Evaluation topics
2. Governance and coordination	<ul style="list-style-type: none"> Monitoring and evaluation (M&E) arrangements Main bodies and responsibilities 	<ul style="list-style-type: none"> Structures to effectively manage the planning, implementation and quality of evaluations Additional structures to promote the use of evaluation findings
3. Stakeholder mapping	<ul style="list-style-type: none"> Description of relevant stakeholders Stakeholder needs Capacity building needs (to be implemented under section 7) 	<ul style="list-style-type: none"> Stakeholder map Classification of stakeholders How to use the stakeholder mapping



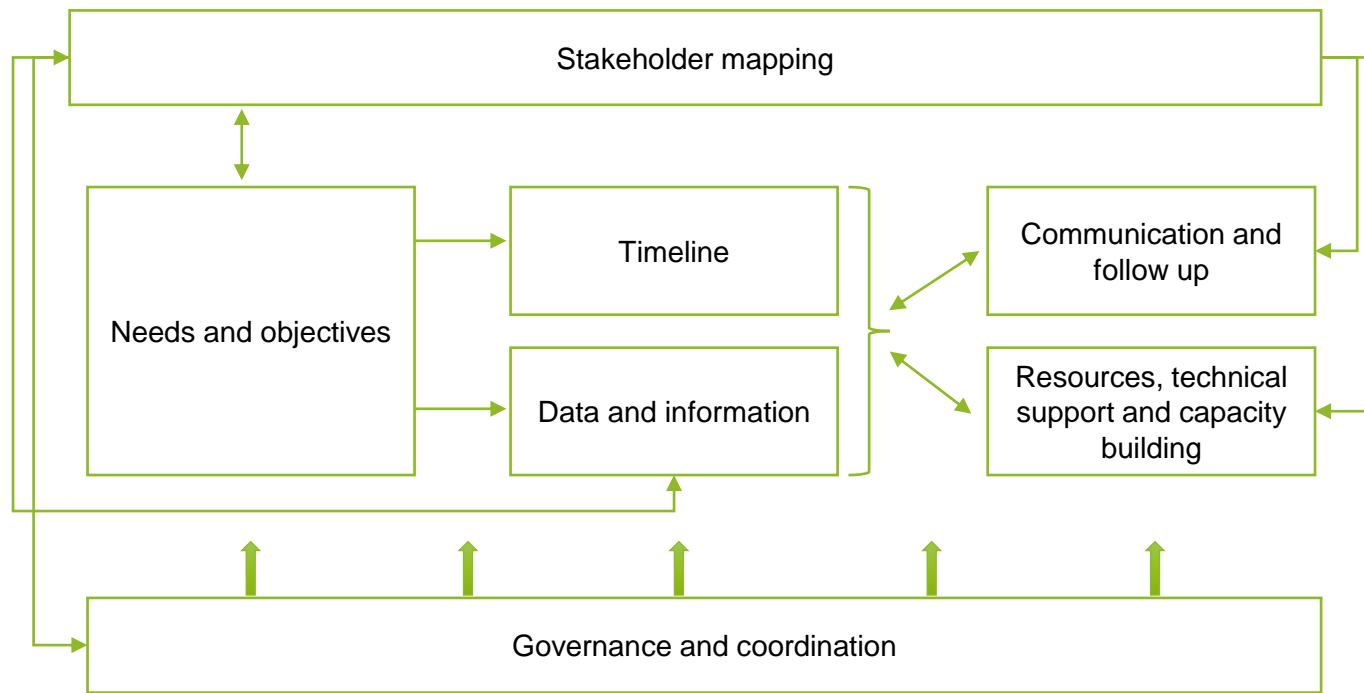
Evaluation Plan: Sections 4-5

EP section	Minimum content (Regulation)	Additional content (recommended)
4. Timeline	<ul style="list-style-type: none"> Planning of evaluations: <ul style="list-style-type: none"> contribution to CAP objectives during the implementation period evaluation of specific topics (e.g. environmental and climate architecture, CAP Networks, LEADER, AKIS) Accompanying studies and other research and analysis activities 	<p>Roadmap for evaluations, including all types of evaluation activities: evaluations/evaluation support studies, capacity building activities, development of monitoring systems</p>
5. Data and information	<ul style="list-style-type: none"> Arrangements for data availability Data sources Institutional arrangements for data provision and data quality Identification of data gaps and remedy actions Data systems operational on time 	<ul style="list-style-type: none"> A general evaluation framework (including indicative evaluation questions, factors of success, indicators and data sources) for identifying data gaps. Training of actors on data management systems, if needed.

EP section	Minimum content (Regulation)	Additional content (recommended)
6. Communication and follow-up	<ul style="list-style-type: none">• Approach to disseminate evaluation findings to target recipients• Mechanisms for follow up and use of evaluation results	<ul style="list-style-type: none">• Description of the communication plan• Goals for communicating evaluation findings• Role of National CAP networks
7. Resources, technical support and capacity building	<ul style="list-style-type: none">• Description of resources needed to implement the evaluation plan (administrative capacity, data, financial resources and IT needs)• Description of the implementation of programme support (incl. technical support, capacity building activities and evaluation support for LAGs)	<ul style="list-style-type: none">• Structured capacity building plan for LAGs for evaluating the local development strategies



Links between EP sections



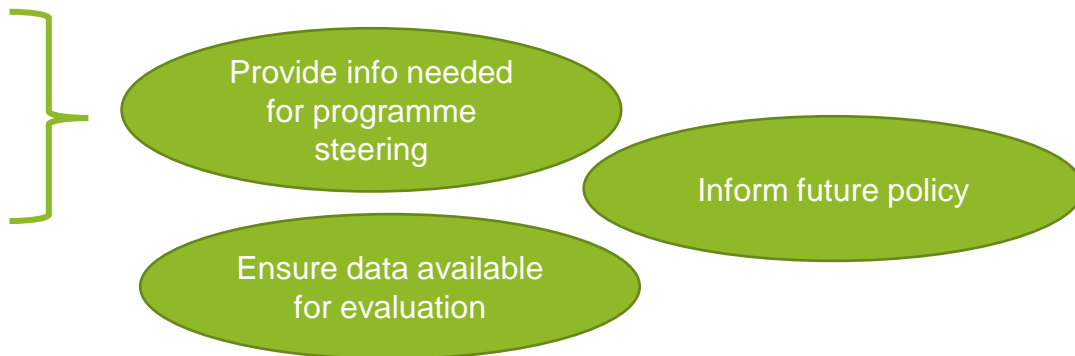
Evaluation plan section by section



Objectives and needs

- 3 levels of objectives: national, regional, thematic
- Needs: CSP intervention logic + stakeholders
- Evaluation activities:

- a) Monitoring and evaluation systems
- b) Evaluations
- c) Capacity building





Objective and needs: Examples of guiding questions

- › **What kind of evaluation needs related to the CAP Strategic Plan exist?**
 - › What are the main needs that drive the CAP Strategic Plan intervention logic?
 - › How do the evaluation plan activities take into account the needs of the different evaluation stakeholders
- › **What are the objectives of the evaluation plan?**
 - › How can the evaluation plan address the identified evaluation needs?
 - › Which SOs and topics will be evaluated during the implementation period, including a justification for any SOs that may not be evaluated?
- › **What evaluation activities should the evaluation plan include?**
 - › What level of detail shall the evaluation plan contain?
- › **Are the evaluation needs, the objectives of the evaluation plan and the foreseen evaluation activities consistent with each other?**
 - › To what extent is there a logical flow from the evaluation needs to the objectives and to the planned activities?



Exercise 1 on section 1 (optional)

Develop a list guiding questions to consider when drafting this section of the EP – what would you ask yourself to ensure the section is complete and of good quality?

- Develop questions in groups
- Discuss and prioritise these questions
- Compare afterwards with the handout (list of key questions to consider from the Guidelines)



Exercise 2 on section 1 (optional)

Develop a list of links of this section of the EP with other sections:
how are objectives and needs linked to other sections of the EP? –
justify the links

- Work in groups
- Develop a graphic representation of the links
- Discuss the justification of the links



Governance and coordination

- **Monitoring and evaluation arrangements:** the system of actors, activities and mechanisms that is set up to monitor and assess the implementation of CSPs
- **Bodies involved** may include:
 - MA
 - MC
 - National CAP Network
 - PA
 - Regional authorities, where relevant
 - other relevant bodies, e.g. evaluation unit, advisory institutes, evaluation steering group, technical working groups





Governance and coordination: Examples of guiding questions

- › Which are the main bodies to be involved in monitoring and evaluation and what are their responsibilities?
- › What lessons can be drawn from the previous programming period and incorporated in the new governance and coordination arrangements?
- › What is the role of governance and coordination bodies in reviewing or validating any modifications of the evaluation plan?
- › How should the governance arrangements be enforced? options may include for e.g. (a) networking, b) legally binding arrangements?



Exercise on section 2 (optional)

Develop a list guiding questions to consider when drafting this section of the EP – what would you ask yourself to ensure the section is complete and of good quality?

- Develop questions in groups
- Discuss and prioritise these questions
- Compare afterwards with the handout (list of key questions to consider from the Guidelines)



Stakeholder mapping

Art. 4b

- › Who is important and for what reason
- › Relevant stakeholders:
 - up to the MS
 - for specific activities
 - outside MC, where relevant
- › Capacity building needs
- › First identify, then prioritise (power vs interest)



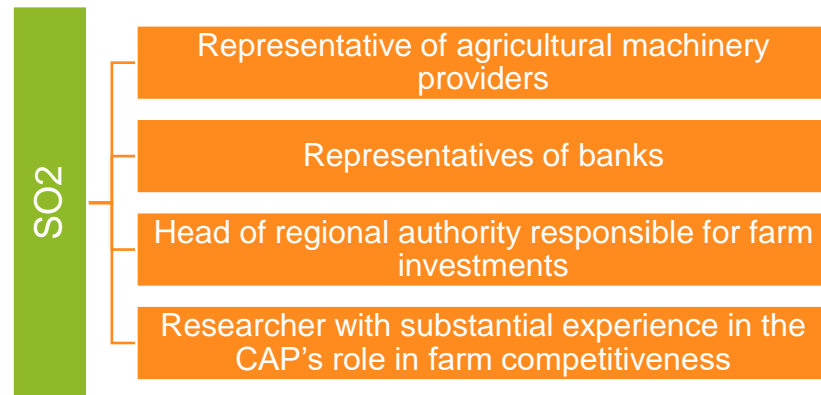
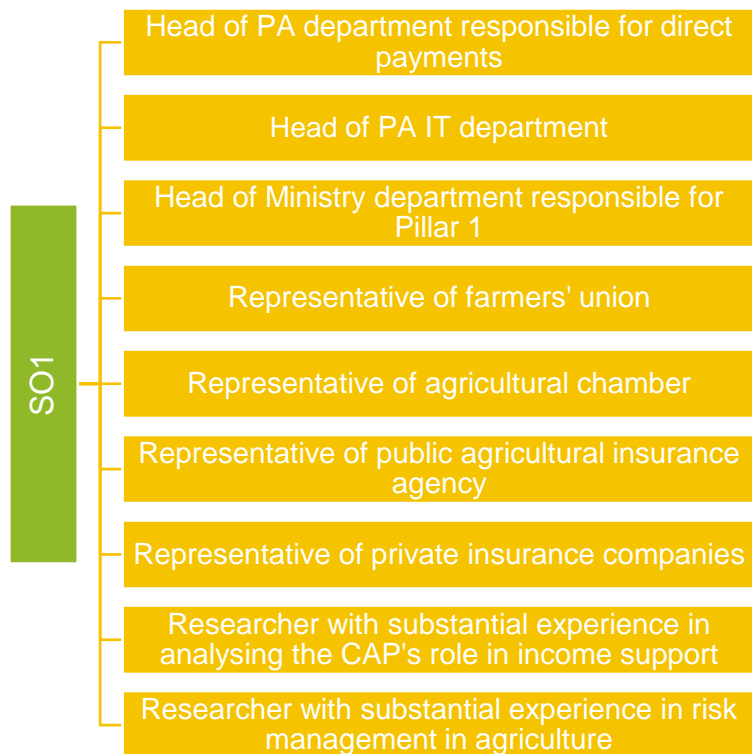


Stakeholder mapping: Examples of guiding questions

- › Are any of the stakeholders consulted in the context of the CAP Strategic Plan relevant for the evaluation plan?
- › What are their interests and characteristics (e.g., organisation where they come from and role)?
- › Which stakeholders are involved in the governance and coordination arrangements of the evaluation plan and in what role? (links with section 2 of the evaluation plan)
- › What are their needs in relation to evaluation activities? (feeds into section 1 of the evaluation plan)
- › What capacity building needs do they have? (links to section 7 of the evaluation plan)



Examples of stakeholders per SO



Mapping vs Engagement

Mapping



Engagement



How to engage them?

Level of engagement	Engagement tools
Collaborate	Set-up an Evaluation Steering Group. Managing Authority should also participate
Involve	Set-up an Evaluation Advisory Group. Managing Authority's role better limited to setting the legal context and clarifying the areas of concern and current issues for which advice is sought
Consult	Set-up <i>ad hoc</i> focus groups or Sounding Board consultations
Inform	Regularly publish information at every stage of the evaluations: planning, progress, findings and recommendations, follow-up



Exercise on Section 3 (optional)

Option 1:

- › Propose a tool for identifying and classifying stakeholders
- › Compare to the tools proposed in the Guidelines

Option 2:

- › Propose a tool for identifying stakeholder needs

Option 3:

- › Discuss how you could use the stakeholder mapping:
 - › For planning evaluations
 - › For implementing evaluations
 - › For data collection
 - › For other purposes



Timeline



- Indicative
- Programming cycle
- Evaluations and evaluation support studies
- Reasoning of choices made



Timeline

Take into account evaluation needs and CSP intervention logic

- Each SO
- SO in bundles
- Justify if not assessed

Art. 2a

Where relevant:

- Environment and climate architecture
- Added value of LEADER
- CAP networks
- AKIS

Art. 2d

- Studies
(e.g. methodologies,
data)



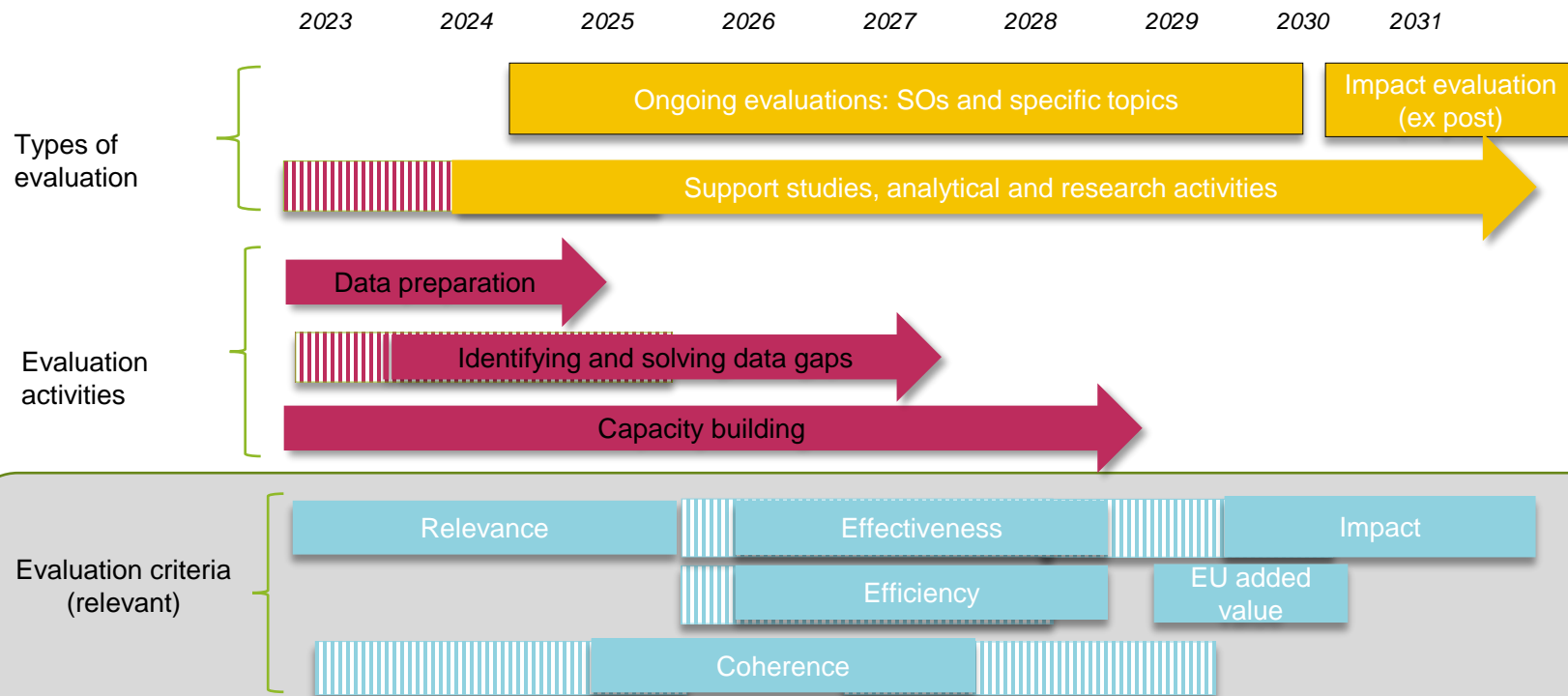


Timeline: Examples of guiding questions

- What are the key evaluation milestones, considering also the future programming period?
- What can be considered for preparing a roadmap of the evaluation plan?
- What kind of preparatory steps (e.g., development of evaluation questions, data preparation, methodology development, launch of tenders) are needed to enable the planned evaluation activities?
- When to start preparing and launching major tenders and other preparatory work?
- How will the indicative outline of timing be fine-tuned (e.g., strategic level evaluation plan, multi-annual work plan, yearly action plan) and followed up during the programming period?
- What are the lessons from the previous period regarding the timing of evaluations?



Timeline (example)



Exercise on section 4 (optional)

- Develop a list of key components for your timeline
- Get inspired by the guiding questions (provided in handout)
- Work in groups
- Place key components along an indicative timeline





Data and information

Art. 7(1)&(2)

- Data sources / data systems
- Data availability/ data gaps
- Institutional arrangements for data provision and quality





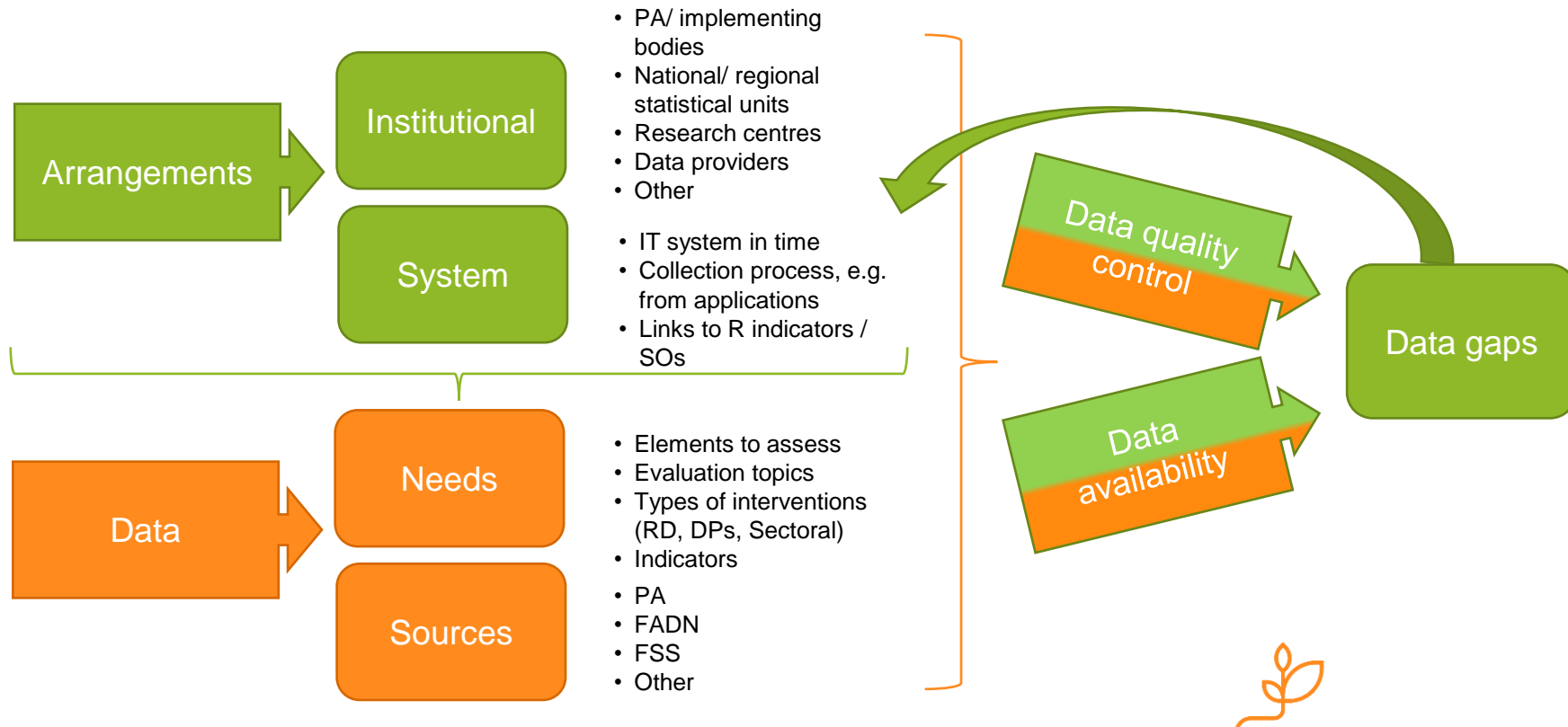
Data and information: Examples of guiding questions

- › What data is needed for different evaluations (data on the values of common and other indicators, other quantitative and qualitative information etc.)?
- › What data sources are available and what further ones are needed?
- › What data gaps need to be taken into account?
- › What are the key methodological issues to address for addressing data gaps?
- › How is data availability assessed, in light of past experiences?
- › What data systems are already in place and how can they be adapted/revised?
- › What are the resources needed (financial, technical, human etc.) for collecting the data?



Data and information

Art. 7(1)&(2)



Exercise on section 5 (optional)

Develop an indicative evaluation framework for identifying data needs

- Work in groups
- Choose one topic (e.g. soil, water, employment)
- Identify 1-2 evaluation questions, indicators and data sources
- What data may be missing?
- How would you address these gaps? (list a number of suggestions)



Communication and follow up

At the right time



Target recipients

Evaluation
findings

Mechanisms

Follow-up of evaluation results: feed lessons and recommendations back into implementation

Communication and follow up

- › **Communication**: ensures that **evaluation findings** (WHAT) are transmitted to the **target recipients** (WHO), through the right **mechanisms** (HOW) and at the right time (WHEN)
- › **Follow-up of evaluation results**: feed lessons and recommendations back into implementation



Communication and follow up

- › **Evaluation findings**: results of evaluations, incl. conclusions and recommendations
- › **Target recipients**: evaluation stakeholders at EU, national and regional level
- › **Mechanisms established**: information channels through which evaluation findings are disseminated





Communication and follow-up - Examples of guiding questions

- › What communication needs exist within Member States?
- › How to best communicate evaluation results and reach the relevant stakeholders?
- › What information channels can be considered?
- › What is the role of the Monitoring Committee in the process of communication and follow up?
- › What is the role of the National CAP Network in the process of communication and follow-up?
- › What roles do the Managing Authority, Paying Agency, managers of interventions, regional level administrations, etc. play in this?
- › How to follow up on the use of evaluation results and recommendations?
- › How to ensure that evaluation results improve programme implementation?



Exercise on section 6 (optional)

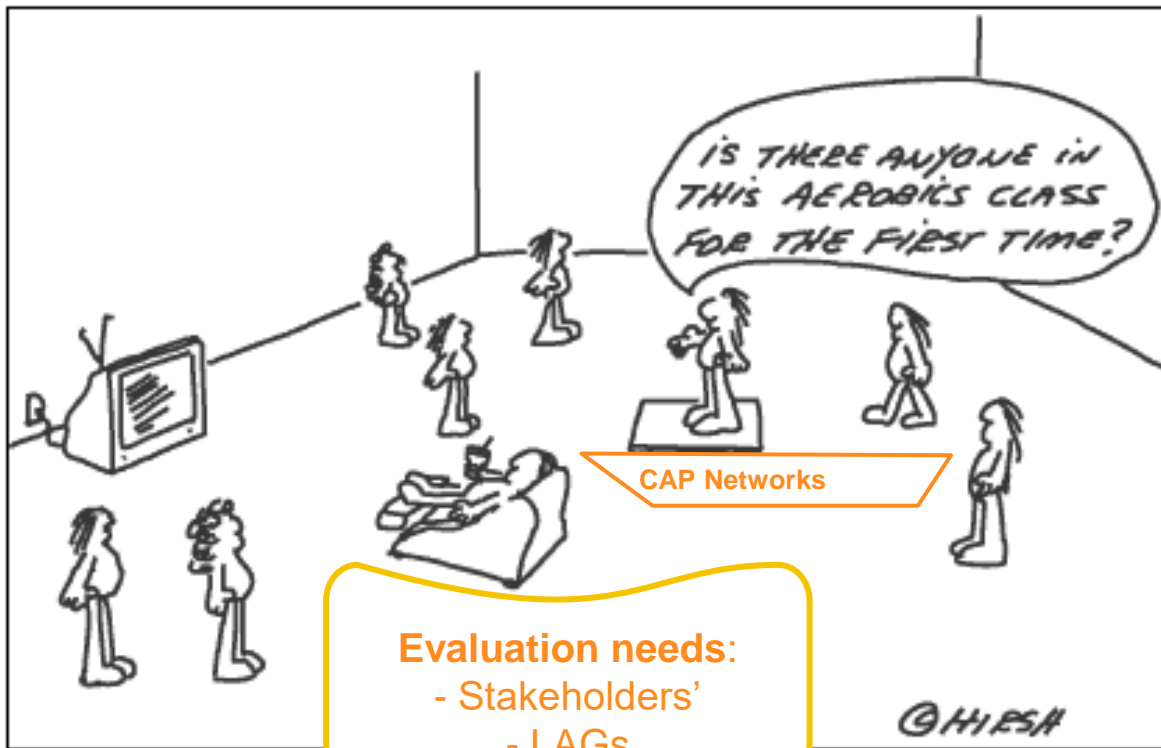
Develop a list guiding questions to consider when drafting this section of the EP – what would you ask yourself to ensure the section is complete and of good quality?

- Develop questions in groups, distinguish between communication and follow up
- Discuss and prioritise these questions
- Compare afterwards with the handout (list of key questions to consider from the Guidelines)



Resources, technical support and capacity building

Art. 7(3),(4),(5)



Evaluation needs:

- Stakeholders'
- LAGs

Resources, technical support and capacity building

Art. 7(3),(4),(5)

- › Stakeholders' evaluation needs → Capacity building plan
- › LAG evaluation needs → training or other capacity building
- › Role of CAP Networks (EU/National)



*EC Annual Work
Programme*





Resources, technical support, capacity building - Examples of guiding questions

- › Are there relevant resources (human, financial and technical) available for the implementation of the evaluation plan?
- › How can relevant resources be obtained if needed?
- › What are the capacity building needs for the evaluation plan implementation and how to identify them throughout the implementation period?
- › How to plan and implement capacity building at national, regional and local level, including for LAGs?
- › What is the budget available for the different evaluation activities?



Exercise on section 7 (optional)

Develop an approach for identifying capacity building needs for LAGs – how would you do this?

- Work in groups
- Discuss ideas for methods, tools for identifying and prioritising capacity building needs of LAGs





Thank you!

Get in touch

European Evaluation Helpdesk for the CAP

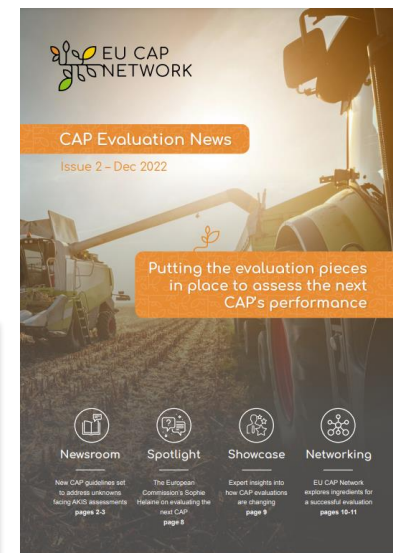
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 #NNMeeting

