

Toolbox

Tools for developing the
content of the evaluation plan



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Acronyms

AKIS	Agricultural and Knowledge Innovation System
AWU	Annual Work Unit
CSP	CAP Strategic Plan
CRF	Common Reporting Format
DG AGRI	Directorate-General for Agriculture and Rural Development
EAA	Eurostat, Economic Accounts for Agriculture (EAA)
EC	European Commission
EU-SILC	EU Statistics on Income and Living Condition (EU-SILC)
FADN	Farm Accountancy Data Network
FI	Financial Instrument
FNVA/AWU	Farm Net Value Added per Annual Work
FSDN	Farm Sustainability Data Network
GAEC	Good Agricultural and Environmental Condition
GHG	Greenhouse Gas
LAG	Local Action Group
LULUCF	Land Use, Land-Use Change and Forestry
M&E	Monitoring & Evaluation
MA	Managing Authority
MC	Monitoring Committee
MS	Member State
PMEF	Performance and Monitoring and Evaluation Framework
SCO	Standard Cost Option
SFC2021	System for Fund Management
SO	Specific Objective
UNFCCC	United Nations Framework Convention on Climate Change





Introduction

The toolbox contains a detailed description of the proposed working steps for developing each section of the evaluation plan including checklists, guiding principles, decision trees, templates, and various examples of the specific content for each section. It also identifies key challenges for developing the content of each section and how these can be addressed in the evaluation plan. Annexes provide more detailed examples for some of the tools proposed in each section.

The toolbox complements the guidelines for the design of evaluation plans which include a description of the key elements of the evaluation plan, considering the minimum legal requirements, while they also suggest additional content, key terms to consider, examples of key questions to ask when drafting each part of the evaluation plan as well as the links between the different sections.



Tool 1: Objective and evaluation needs

Proposed working steps for drafting this section of the evaluation plan



Step 1. Identify evaluation and information needs related to the CAP Strategic Plan intervention logic

The most important evaluation needs and the expected focus of the evaluation should be identified and explained. Evaluation needs may include amongst others:

- › assessment of the contribution to the achievement of Specific Objectives, including the Cross-Cutting Objective;
- › assessment of the achievements of specific interventions;
- › assessment of the delivery and efficiency of implementation;
- › any other information needs of CAP Strategic Plan's stakeholders.

For identifying the evaluation needs, the following sub steps can be considered:

a) Take into account the priority needs and expected outcomes of the CAP Strategic Plan intervention logic.

b) Collect feedback from the Monitoring Committee (MC) members on evaluation needs.

c) Collect feedback on the evaluation and other information needs of different stakeholders. This can be done through mini workshops/working groups organised by the Managing Authority team responsible for the elaboration of the evaluation plan and/or combined with the interviews proposed in the section on stakeholder mapping.

d) In order to collect feedback, it is recommended to organise a brainstorming session or a workshop to collect information and evaluation needs from the relevant stakeholders and prioritise the needs by their importance and urgency. A needs identification matrix can help map evaluation needs with input from different stakeholders.

e) Incorporate newly emerging evaluation needs during the implementation period. This can be done by systematising the process following a, b and c above, to establish a regular consultation process with stakeholders. Another option is to have a specific workshop during the MC meetings to identify emerging needs taking into account criticism (from media, interest groups

etc.), opinions of MC members, opinions of an advisory group (if any) or other signals (i.e. low adoption rates) and rethink the underlying assumptions of the intervention logic and the delivery mechanism.

Step 2. Define the overall and specific objectives of the evaluation plan

The level of detail of the evaluation plan should be aligned to the objectives as well as the audience. It can be an overall plan at a more strategic level or a more detailed operational plan. The options can be:

- › A strategic level evaluation plan followed by a multi-annual work plan and yearly action plans detailing every year the specific number and types of evaluations and support studies.
- › A detailed evaluation plan offering all anticipated evaluation activities as well as topics and anticipated support studies. In this case, as evaluation needs may change depending on the evolution of programme implementation and changes in the context, multi-annual or annual revisions may be needed to update the content and timeline of planned evaluations and/or add new ones.

According to the minimum requirements¹, the evaluation plan objectives are to:

- › ensure that sufficient and appropriate evaluation activities are undertaken;
- › provide information needed for programme steering;
- › inform the next policy programme period, and ;
- › ensure that data needed for CAP Strategic Plan evaluation are available.

Member States may choose to include more objectives or specify further the objectives listed in the Regulation.

The following checklist can help Member States define the objectives of the evaluation plan.



Step 3. Identify evaluation activities

Well-structured evaluation activities from the start of the policy period are a precondition for cost-effective and high-quality evaluations during the policy period and ensure a solid base for the ex post evaluation.

Evaluation activities may be related to the different stages of the policy cycle and reflect different evaluation phases:

Preparing and planning phases:

- › revising/updating or setting up data and information systems;
- › preparing and tendering out evaluations, evaluation support studies and research/analytical work if they are conducted by external evaluators.

Structuring phase:

- › the development of an evaluation framework, consisting of evaluation criteria, key elements to assess, evaluation questions, factors of success and indicators - a more detailed evaluation framework may also be included in the annual action plans of the evaluation plan;
- › the identification of data and information to be collected in line with the evaluation framework;

- › the identification of data gaps and solutions to address them;
- › agreements with data providers to ensure data availability;
- › planning technical support to LAGs for evaluating local development strategies;
- › design of capacity building activities for stakeholders.

Observing and analysing phases:

- › the implementation of evaluations, including the collection of relevant data and information and their analyses;
- › the implementation of evaluation support studies and research/analytical work;
- › offering technical support to LAGs for evaluating local development strategies;
- › implementation of capacity building for evaluation stakeholders.

Judging phase:

- › the development of conclusions and recommendations and reporting on evaluations and evaluation support studies;
- › the communication of evaluation results and follow up of recommendations.

Box 1 - Checklist for defining the objectives of the evaluation plan

- › The minimum regulatory requirements (Basic Act and Implementing Regulation).
- › The specific evaluation needs identified when drawing the evaluation plan.
- › The target audience of the evaluation plan, so its objectives address also the needs/expectations of the target audience.
- › The resources available for evaluations. If these are known from the start, they may determine the level of ambition of evaluations and reflect this in the objectives of the evaluation plan.
- › The state of play of information and data collection systems. For instance, the objective to ensure that data needed are available may be further detailed by specifying whether the evaluation plan aims to improve these systems or introduce any new functions or tools for information and data collection.

Box 2 - Proposed guiding principles for the identification of evaluation activities

- › Good understanding of the CAP Strategic Plan's intervention logic and of the intervention logics of each Specific Objective and Cross-cutting Objective.
- › Taking into account the evaluation criteria that must be assessed (relevance, coherence, effectiveness, efficiency, EU added value).
- › Starting early: the earlier the evaluation activities are identified and planned, the more effective their implementation will be.
- › Close collaboration with relevant stakeholders who may have a role in the different activities.

¹ Annex II (1) of Regulation (EU) 2022/1475



Step 4. Identify evaluation topics

The table below offers examples of evaluation topics, while **Annex 1** provides an example of how to derive evaluation topics from the CAP Strategic Plan's intervention logic.

Table 1 - Examples of evaluation topics activities

Evaluation topics
<p>The 17 key elements to assess (at least one per Specific Objective) listed in Annex I of Regulation (EU) 2022/1475 can be considered evaluation topics. They include for instance:</p> <ul style="list-style-type: none">> viable farm income (SO1)> resilience (SO1)> enhanced market orientation (SO2)> farm competitiveness (SO2)> specific Objectives could also be disaggregated, leading to more focused topics, especially if they address many different topics. One example is SO8 which covers employment, growth, gender equality, social inclusion, local development, circular bio-economy and sustainable forestry.> specific interventions or topics², notably:<ul style="list-style-type: none">> environment and climate architecture> LEADER value added> the CAP Network> AKIS> simplification for beneficiaries and administration, focusing on administrative costs and on the use of digital tools and satellites> gender equality³ <p>Any other topics that stem from the CAP Strategic Plan's intervention logic. Some ideas include:</p> <ul style="list-style-type: none">> CAP Strategic Plan effects on income, considering all relevant interventions but with a focus on direct payments that correspond to a large percentage of CAP Strategic Plan budgets.> new / young farmers. <p>Evaluation support studies on specific topics. Some ideas include:</p> <ul style="list-style-type: none">> assessing management, coordination and governance within the CAP Strategic Plan and how it can contribute to better implementation;> specific and comparative analysis of different forms of support: Simplified Cost Options (SCOs), financial instruments, subsidies, etc.;> assessment of the complementarity of the CAP with other ongoing policies aimed at the rural environment (other European and Investment Funds, next Generation, etc.) Alignment of the CAP with the major policies and challenges at European level, such as the European Green Deal;> specific analysis of the new features included in the new CAP to ensure learning and better implementation, such as, for example, social conditionality.

² Articles 1(3) and 2(d) of Regulation (EU) 2022/1475

³ Gender equality must be an integral part of the evaluation of CAP interventions and Member States must also strengthen their capacity to integrate gender perspective and the collection of gender-disaggregated data (paragraph 33 of Regulation 2021/2115)

Box 3 - Proposed guiding principles for the selection of evaluation topics

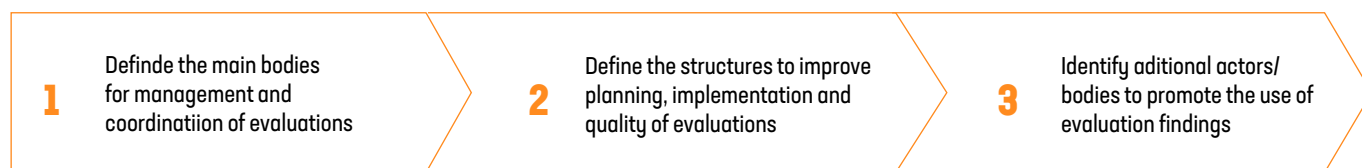
- › The minimum requirements set out in Regulation (EU) 2022/1475, for instance the requirement to assess all Specific Objectives that are addressed by the CAP Strategic Plan concerned, separately or in bundles and with a justification if any SO is not evaluated⁴.
- › The Member State's evaluation needs (identified above under Step 1).
- › The CAP Strategic Plan's intervention logic, including the number and relative importance of needs of the CAP Strategic Plan and the number and size (budget) of interventions included in the CAP Strategic Plan.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Resources and time available in the evaluation process may be limited.	It may be necessary to prioritise the different topics and to analyse the degree of depth in which each topic is analysed.
Actors' needs may differ from one another.	The evaluation topics chosen will have to adequately integrate the different actor's needs and some kind of collective prioritisation exercise may be possible.
New evaluation needs may emerge during the programming period.	Amendments to the evaluation plan should be foreseen.



Tool 2: Governance and coordination

Proposed working steps for drafting this section of the evaluation plan



The following steps offer an overview of potential bodies involved in monitoring and evaluation and propose what kind of structures can accommodate the interactive processes between the main stakeholders in order to achieve the collectively negotiated objectives.

Annex 2 offers an example of the governance and coordination provisions from Sweden.

Step 1. Define the main bodies for management and coordination of evaluations

Structures for the core management and coordination of evaluation activities are already in place in the Member States. Since these management teams are more familiar with rural

development types of interventions, there might be a need to include people in the management team with expertise in the interventions funded by the European Agricultural Guarantee Fund (EAGF), that is, direct payments and sectoral interventions.

The evaluation plan should describe the main bodies, their responsibilities and the specific tasks they will undertake in the area of monitoring and evaluation (M&E). To this end, a table can be used to list these bodies, for instance:

Table 2 - Example of a table for listing the main bodies involved in monitoring and evaluation

M&E body	Unit/department involved (if relevant)	Responsibilities	Task
Managing Authority			
Monitoring Committee			
National CAP Network			
Other actors			

Other actors include the Paying Agency, statistical units, beneficiaries, Local Action Group (LAGs), relevant ministries, evaluation team, etc. As far as possible, the list of actors and their tasks should be translated into a flow chart. In the same way that the table describes the tasks of the different actors, a flowchart will try to visualise the relationships between them.

To elaborate the list of bodies involved in monitoring and evaluation, the following table provides the main roles/responsibilities as depicted in the relevant regulations⁴ as well as some additional (recommended) responsibilities they may have.

⁴ Minimum in this table refers to Regulation (EU) 2021/2115 and Regulation (EU) 2022/1475



Table 3 - List of roles and responsibilities of potential M&E governance bodies

M&E body	Roles/responsibilities
<p>Managing Authority</p>	<p><u>Minimum (as depicted in regulations)⁵:</u></p> <ul style="list-style-type: none"> › ensure that there is an electronic system where key information that is needed for monitoring and evaluation is stored - Art. 123(2)(a); › ensure the evaluation plan is in place - Art. 123(2)(e); › ensure the ex post evaluation is conducted - Art. 123(2)(e); › ensure coordination with regional authorities if relevant for evaluation - Art. 123(3); › report to the Commission and the Monitoring Committee, including the progress of the evaluation activities⁶. › ensuring capacity building activities to stakeholders and administrations involved in the implementation and evaluation of the CAP Strategic Plans at national, regional and local level, including LAGs through or in collaboration with the National CAP Network⁷ (Art. 7(4) of IR). <p><u>Additional (recommended):</u></p> <ul style="list-style-type: none"> › ensure that lessons learned and recommendations from evaluations are used in the design and implementation of current and future programmes; › promote evaluation-related knowledge and skills among relevant actors.
<p>Monitoring Committee</p>	<p><u>Minimum⁸:</u></p> <ul style="list-style-type: none"> › examine progress in relation to evaluations, synthesis of evaluations and follow-up of findings Art. 124(3). › give opinion on the evaluation plan and any amendments to it - Art. 124(4)(c). <p><u>Additional (recommended):</u></p> <ul style="list-style-type: none"> › give opinion on relevant evaluation topics or questions, be involved in the discussion of evaluation recommendations and follow up activities.
<p>National CAP Network</p>	<p><u>Minimum⁹:</u></p> <ul style="list-style-type: none"> › contribute to monitoring and evaluation capacity and activities - Art. 126(2)(f). <p><u>Additional (recommended):</u></p> <ul style="list-style-type: none"> › participates in the evaluation activities in connection with the dissemination of information and the handling of results and recommendations. › identifies evaluation topics that are important to beneficiaries. › disseminates information on evaluations to and from various stakeholders through the CAP network's established channels.

⁵ Article 123 of Regulation (EU) 2021/2115

⁶ Article 5 of Regulation (EU) 2022/1475

⁷ Article 7(3) and 7(4) of Regulation (EU) 2022/1475

⁸ Article 124 of Regulation (EU) 2021/2115

⁹ Article 126 of Regulation (EU) 2021/211



<p>Other actors/ stakeholders</p>	<p><u>Additional (recommended):</u></p> <ul style="list-style-type: none"> > these are different in every Member State and may include environmental authorities, forestry and agricultural authorities, data collection authorities, etc. > responsibilities may include the provision of data and information to the databases used in the evaluation activities.
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Step 2. Define the structures to improve planning, implementation and quality of evaluations

To improve planning, implementation and quality of evaluations, interactions between main public and private stakeholders can be structured either as **Evaluation Steering Groups or as Evaluation Advisory Groups**, although Managing Authorities may also choose to create additional working groups for each evaluation.

These organisational groups are intended to¹⁰:

- > bring together important actors,
- > work cooperatively (collaborate) to
 - > understand problems and
 - > generate solutions, including clearing obstacles from the pathway to successful evaluations
- > link with the participants parent organisations.

In many cases, the group titles “Steering” or “Advisory” are used interchangeably, creating a confusion on the role and functions of the group. The essential difference between a steering group and an advisory group lays in whether the group makes decisions about the planning of the evaluations or merely provide recommendations¹¹.

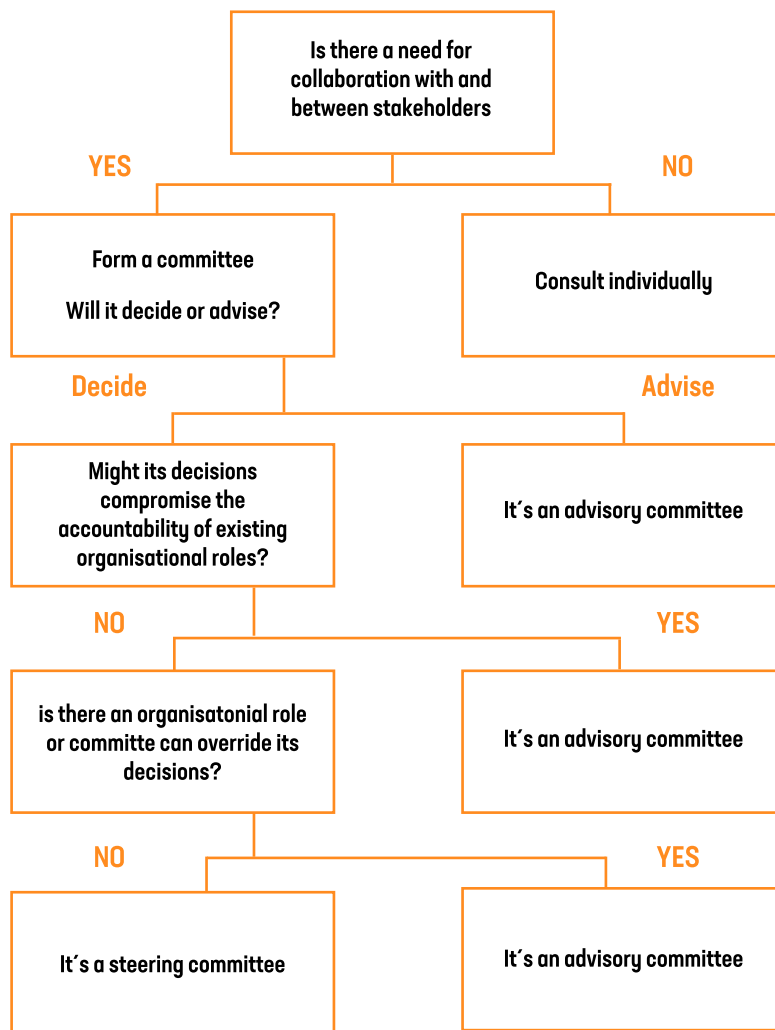
The following decision tree can be used to find out if a steering group or an advisory group should be formed.

¹⁰ McGrath and Whitty, 2013

¹¹ Drury, 1984, Better Evaluation, 2020



Figure 1- Evaluation Steering or Advisory Group decision tree¹²



Source: European Evaluation Helpdesk for the CAP (2023)

Evaluation steering group

When should an Evaluation Steering Group be formed?

Consider forming an Evaluation Steering Group when **there is a need for decision-making** where different stakeholders should be involved. The decisions made by the Evaluation Steering Group should be binding for the team that manages the implementation of the evaluations.

What could be the role(s) of an Evaluation Steering Group?

The role of an Evaluation Steering Group can range from purely administrative to promoting democratic evaluation¹³.

Evaluation Steering Groups can have different roles according to the decisions that they are entitled to make. These roles may include:

- > Coordination between the different administrative bodies or government levels for the division of competences and the determination of the overall timeline of the evaluation activities.

- > More detailed specification of evaluation activities and approval of an annual evaluation work programme.
- > Detailed decisions about the content of the evaluations and how the findings will be communicated.

Who should participate in an Evaluation Steering Group?

Participation depends on the role(s) that the Evaluation Steering Group is going to play. In any case, stakeholders with decision-making powers of ability to significantly influence decision-makers (high power stakeholders) are the best candidates for participation in the Evaluation Steering Group. Similarly, those stakeholders that are directly and heavily affected by the implementation of the CAP Strategic Plan's interventions and corresponding evaluations (high interest stakeholders) should also participate. Other stakeholders with less power or interest may participate if needed and if they bring additional academic or practical expertise. In many cases, stakeholders without a vested interest in the CAP Strategic Plan interventions and their evaluations may bring neutrality and con-

¹² McGrath and Whitty, 2013
¹³ Hanberger, 2004



tribute by challenging the biases of others and helping ensure balanced participation and achieving results. See Tool 3 'Stakeholder mapping' on how to map and classify stakeholders based on their power and interests.

Typically, the team that manages the implementation of the evaluations does not participate in the Evaluation Steering Group. Members of the management team participate in the steering group's meetings but they do not participate in the decision-making process. Their role is limited to updating the Evaluation Steering Group members on the legal framework and obligations, the progress of the evaluations, areas of concern, current issues, and options for addressing these issues.

It might be relevant to setup an Evaluation Steering Group in regionalised Member States, to ensure coordination between the different administrative bodies or government levels for the division of competences and the determination of the overall timeline of the evaluation activities.

Evaluation advisory group

When should an Evaluation Advisory Group be formed?

Consider forming an Evaluation Advisory Group when **there is a need for consultation** with different stakeholders, **either broader consultation** about the planning and implementation of evaluations, quality controlling and dissemination of their findings **or more specific consultation** on certain topics/issues. The recommendations made by the Evaluation Advisory Group are not binding and the team that manages the implementation of the evaluations may adjust them according to its needs.

What could be the role(s) of an Evaluation Advisory Group?

Setting-up an Evaluation Advisory Group can serve three main roles¹⁴:

- **Promote stakeholder engagement** by fostering participation in the development and ongoing modification of evaluation design, including the evaluation questions, the selection of data collection instruments and designing the process for collecting data, the review of findings and interpretation of findings and the review of draft reports, along with input on the format and distribution of reports.
- **Maximise external credibility** by creating a forum for transparency where each participant can observe and discuss all major decisions made by the evaluator and the evaluation management team. This forum sends the message that the best possible thinking went into the evaluation.
- **Promote methodological integrity** in the form of peer review, if the group includes research professionals and/or in the form of operational improvement, as a result of input from members who

have special knowledge on available data or come from organisations that are major data providers.

By fulfilling those roles, the Evaluation Advisory Group also promotes the broader use of the evaluation findings, since they are based on appropriate evaluation questions developed with stakeholder engagement and answered by means of high-quality methods in a transparent way.

Who should participate in an Evaluation Advisory Group?

Stakeholders who are decision-makers or stakeholders that can assert significant influence on decision-makers (high power stakeholders) and stakeholders who are not directly and heavily affected by the CAP Strategic Plan implementation and/or evaluation (low interest stakeholders) are the best candidates for participation in the Evaluation Advisory Group. Similarly, the ones with low power and high interest on the implementation of the CAP Strategic Plan's interventions and corresponding evaluations should be equally considered for participation. Of course, stakeholders with decision-making powers and stakeholders who are strongly affected by the CAP Strategic Plan could also participate, especially if there is no Evaluation Steering Group. Other stakeholders with less decision-making power or less affected by the CAP Strategic Plan may participate if they bring additional academic or practical expertise. See Tool 3 'Stakeholder mapping' on how to map and classify stakeholders based on their power and interests.

What to consider when setting-up an Evaluation Steering or Advisory Group

- Ensure that members of the group have both decision-making power and have a strong interest in the CAP Strategic Plan to make evaluation activities a success. The mapping of the stakeholders can help identify those actors.
- Ensure that the members are willing to participate and collaborate with other group members in a timely manner.
- If you opt for an Evaluation Steering Group, that is a group that makes decisions about the planning of the evaluations, consider how these decisions will be made and what happens between the meetings of the group. Perhaps, you should envisage a decision-making by written procedure, so the team that manages the evaluations is able to continue the work that depends on these decisions without having to wait for the next meeting(s).

¹⁴ Mattessich, 2012



Step 3. Identify relevant additional actors/bodies to promote the use of evaluation findings

Beyond the role that Evaluation Advisory or Steering Groups may play to promote the use of evaluation findings, other arrangements such as working groups can also contribute to evaluations and promote the use of evaluation findings. These guidelines introduce the concept of 'knowledge brokers' for improving the use of evaluation findings in the design and implementation of a policy¹⁵. Knowledge brokers can perform six groups of activities¹⁶: (1) identifying knowledge needs, (2) acquiring knowledge, (3) transferring knowledge to users, (4) building networks with producers and users, (5) accumulating knowledge over time and (6) promoting an evidence-based culture.

This approach could be also transferred to the evaluation of the CAP Strategic Plans. The implementation of the Rural Development Programmes involved many actors from different administrative

bodies, including Managing Authorities both at national and regional level, paying agencies and a number of implementing bodies. The number of these actors is expected to increase in the 2023 - 2027 period by including those responsible for direct payments and sectoral interventions.

Capacity building activities might be required for those new players but also for the "traditional" ones, providing an opportunity for developing an informal network of people in the various administrative bodies that could play the role of knowledge brokers.

The National CAP Network could help form this network of knowledge brokers and support its operation.

In any case, all the proposed structures, Evaluation Steering and Advisory Groups or informal networks of "knowledge brokers" aim at promoting evaluation culture and ensuring useful evaluations for all stakeholders. Member States are, of course, free to use any combinations they find more useful, building on their previous experiences.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Development of too many different structures with the participation of the same people (e.g., in some Member States the same people would participate in an Advisory Group and the Monitoring Committee).	Better to invest in strengthening the capacities and knowledge of Monitoring Committee members. Such a situation can be overcome with cross-checking who is involved where/ overlaps of functions, etc
Coordination of many different structures may be difficult.	Ensure there are sufficient resources and capacity available to coordinate the work of the selected structures and ensure their members are active (a formal group with no real interest in evaluation quality and use of evaluation results would be a waste of time).

¹⁵ Evaluation study on improving evaluation governance conducted by the OECD for the European Commission - DG REGIO

¹⁶ Olejniczak et al., 2016



Tool 3: Stakeholder mapping

Proposed working steps for drafting this section of the evaluation plan



Step 1. Identification and analysis of stakeholders

This is the first step in the process of stakeholder mapping. The goal of this step is to **identify** all the potential people and/or organisations that have a stake in the programme and its evaluation, and to begin to **understand** their perspectives on the programme and its evaluation. This should be a broad and inclusive brainstorming exercise¹⁷.

Annex 3 offers a detailed definition of stakeholders.

In order to ensure relevance, this brainstorming exercise could be based on the SOs and other specific topics that will be included in the evaluation plan. For each SO or topic all relevant stakeholders should be listed, regardless of their interest in or the way they affect or are affected by it. At a subsequent stage, you may record each stakeholder's role and interests and expectations.

The whole procedure is described in detail in Box 4.

Box 4 - A practical approach to identifying relevant stakeholders

- › List all themes and topics that will be evaluated during the implementation of the CAP Strategic Plan and ex-post.
- › Select a theme and start listing all the stakeholders that can be related to it. You don't have to think very much about the extent to which each stakeholder affects or is affected by the corresponding interventions. This can be done in the next step. Here, try to be as inclusive as possible.
- › Continue with the next theme or topic until all of them are discussed. Avoid duplicating stakeholders, by connecting, if relevant, previously identified ones with the theme or topic under discussion.
- › When all stakeholders have been named, explore the main interests and perspectives for each one of them as well as their role, power and attitude.

The following table contains a set of guiding questions that can help identify and understand the various stakeholders. These questions are not to be addressed to the stakeholders directly but to be used by the working group that conducts the stakeholder mapping in order to consider all relevant aspects.

Table 4 - Tool for stakeholder mapping

Identify stakeholders	Understand stakeholders	
	Interest	Power and attitude
Who has been/is going to be involved in the design of the corresponding interventions? Consider here mostly the administrative bodies, as other stakeholders can be identified by other questions below.	How is their everyday work going to be affected by the implementation or the evaluation findings of the corresponding interventions?	<ul style="list-style-type: none"> › Is the stakeholder a major decision-maker? That is, to what extent the stakeholder is in a position to make decisions that will affect planning and implementation of the corresponding interventions and/or the planning and implementation of the corresponding evaluations and the actual use of their findings? How big could be the impact of these decisions? › Has the stakeholder valuable information or expertise necessary to conduct the evaluation of the corresponding interventions?

¹⁷ Trochim, W., Urban, J.B., Hargraves, M., Hebbard, C., Buckley, J., Archibald, T., Johnson, M., and Burgemaster, M. (2016). The Guide to the Systems Evaluation Protocol (V3.1). Ithaca, NY



<p>Who is going to be involved in the delivery mechanism of the corresponding interventions? You may consider here paying agencies and intermediate bodies, as defined in point 16 of Article 3 of Regulation (EU) 2021/2115, but also consultants and farm advisors that assist potential beneficiaries in preparing their application for support. Special attention should be paid to regional authorities in regionalised Member States.</p>	<ul style="list-style-type: none"> > Is the stakeholder influenced by certain other stakeholders? Which ones? > Does the stakeholder influence other stakeholders? Which ones? > Does the stakeholder think positively or negatively about the organisation(s) responsible for the implementation of the corresponding interventions? > What is the level of the stakeholder's trust in the process and the findings of the evaluation of the corresponding interventions? > Does the stakeholder have any reservations about the interests and aspirations of other stakeholders? Which ones? > Does the stakeholder have any specific alignment of interests and aspirations with certain other stakeholders? Which ones?
<p>Who is going to benefit directly or indirectly from the corresponding interventions?</p>	<p>Has the stakeholder already benefitted from similar interventions implemented in the past? How might the stakeholder benefit from the corresponding interventions? Consider both direct and indirect benefits.</p>
<p>Who is going to lose from the successful implementation of the corresponding interventions?</p>	<p>How might the stakeholder lose from the corresponding interventions? Consider both direct and indirect losses.</p>
<p>Who is going to be involved in the process of the evaluation of the corresponding interventions? Consider here stakeholders with an instrumental role in the process, such as data providers, evaluators etc.</p>	<p>What are their main interests/concerns regarding the implementation and evaluation of the policy?</p>
<p>Who is going to use the findings of the evaluation of the corresponding interventions?</p>	<p>How might the stakeholder benefit from the evaluation findings? Consider both direct and indirect benefits.</p> <p>How might the stakeholder lose from the evaluation findings?</p>
<p>Who is going to use information generated by the planning, implementation and evaluation of the corresponding interventions for analysis/review/communication of the policy?</p>	<p>What are their main interests/concerns regarding the implementation and evaluation of the policy? For example, researchers would be the main advocates of as disaggregated data collection as possible, open data and application of robust evaluation methods.</p>

Note: To better approach the concept of benefit or loss for a specific stakeholder, you may consider an adaptation of the PESTLE analysis¹⁸ asking questions like:

- > What political, economic, or social benefit or loss can be experienced by the stakeholder because of the implementation of the corresponding interventions or the findings of the corresponding evaluations?
- > Does the stakeholder possess specific technology that could be promoted or impeded by the implementation of the corresponding interventions or the findings of the corresponding evaluations?

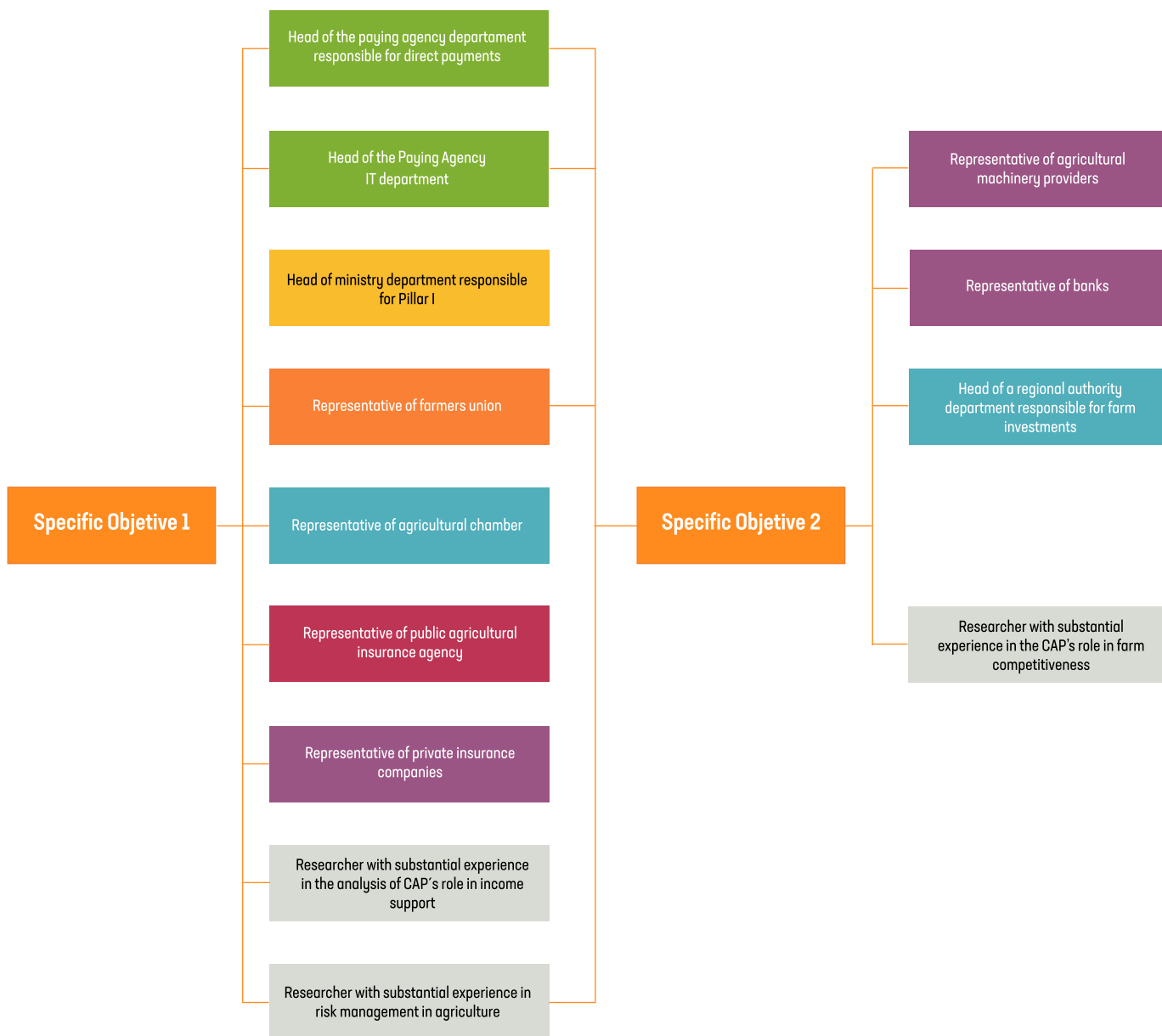
- > Can the evaluation findings drive legal changes that will benefit or hurt the stakeholder?
- > If the main concern of the stakeholder is the environment, what could be her/his interest in the implementation of the corresponding interventions or the findings of the corresponding evaluations?

To avoid duplicating stakeholders, mind maps can be used to relate identified stakeholders with the corresponding Specific Objectives of topics. An example of such a map is shown in the next diagram.

¹⁸ PEST Analysis Ultimate Guide: Definition, Template, Examples (pestleanalysis.com)



Figure 2 - Example of a map for the identification of stakeholders and their relationship with specific objectives



Source: European Evaluation Helpdesk for the CAP (2023)

The main advantages of this approach are that it allows to build a comprehensive list of all stakeholders, ensuring their relevance with the evaluation plan. Moreover, it provides an opportunity to understand the “nature” of each stakeholder and their expectations.

This exercise will result in an inclusive list of all relevant stakeholders and help acquire an initial understanding of their interests, needs and perspectives and, therefore, discover characteristics that could be

used for clustering them in meaningful groups. Equipped with these, you can, in the next step, classify the identified stakeholders in order to engage them accordingly in the context of evaluation planning and implementation.



Step 2. Classification of stakeholders

The next step in stakeholder mapping is the classification of the stakeholders identified in the previous step.

The CAP touches upon a multitudinous and very diverse range of stakeholders: from institutional players (i.e. political staff, paying agencies, administrative bodies, regional authorities, LAGs) to sectoral interest groups (farmers' unions, cooperatives, producers organisations) to beneficiaries of the interventions and rural inhabitants to researchers and academics, NGOs, consumers etc. These stakeholders must be managed in a way that ensures the maximum benefit both for them and for the evaluation process. This means that it is not reasonable to engage all these stakeholders at the same level or at the same point in time and for every evaluation topic. Moreover, the type of information that is provided to each stakeholder must be tailored to the level of their understanding of the details and technicalities of the CAP.

The classification of the stakeholders is done with the purpose of **grouping them together according to their potential to affect or be affected by the CAP Strategic Plan and its evaluation**. This potential will then dictate what is the objective of engaging each stakeholder, at which stage of the evaluation process this engagement would be most effective, what kind of structures must be used to ensure the appropriate level of engagement and finally the amount of effort for proportionally improving each stakeholder's evaluation capacities. More specifically:

> **Stakeholders with high potential** should collaborate closely with the Managing Authority in every stage of the evaluation, so their evaluation needs are always considered, as this would ensure a highly relevant evaluation framework that can produce useful findings for the main actors of the CAP Strategic Plan. To be able to contribute effectively to the evaluation process, these stakeholders can be invited to participate in an Evaluation

Steering Groups and should be the primary target for thorough evaluation capacity building activities.

- > **Stakeholders with medium potential** could be consulted regularly or on an ad hoc basis, through focus groups or interviews, to ensure that all concerns and aspirations are taken on board, the design and methodological approach of each evaluation is appropriate, and the findings are grounded in reality. The capacity building for these stakeholders could focus on clearly communicating the intervention logic of the CAP Strategic Plan and/or on providing basic knowledge of the evaluation process.
- > **Stakeholders with lower potential** to affect or be affected by a CAP Strategic Plan and its evaluation could be simply kept informed about the evaluation process and its findings, through public events and general publications. For this group, the need for specific evaluation capacity building activities would probably be very limited.

These guidelines propose a standard tool for this task, notably the **Power versus Interest matrix**¹⁹. This tool allows classification of the identified stakeholders based on two dimensions:

- > **Power**, that is the ability of the stakeholder to make or influence decisions that affect the planning and implementation of the corresponding interventions and/or the planning and implementation of the corresponding evaluations and the actual use of their findings²⁰.
- > **Interest**, that is the level and directness of the political, economic, social, technological, legal or environmental benefits or losses that can be experienced by the stakeholder because of the implementation of the corresponding interventions or the findings of the corresponding evaluations.

The whole procedure is described in detail in the following box.

Box 5 - A practical approach to classifying stakeholders

1. Draw a matrix where power is measured in the horizontal axis and interest in the vertical one.
2. Start placing the identified stakeholders on the matrix, according to their power and interest, so that high power – high interest stakeholders are placed towards the upper right corner of the matrix, while low power – low interest ones towards the lower left corner.

For both dimensions, use the assessment of the main interests and perspectives done during the identification of the stakeholders. You may also consider the following:

- > The interest of a certain stakeholder will be higher if it is based on a direct benefit that affects personally the stakeholder or the members of the group they represent.
- > The power of a certain stakeholder will be higher if they are a major decision-maker. It will also be high if the stakeholder can have a big influence on major decision-makers, or influences many other stakeholders, regardless of their decision-making power.

¹⁹ Eden and Ackermann, 1998

²⁰ The concept of power is not clearly defined by Eden and Ackermann. Here we provide also a broad definition of the term, focusing on the planning of evaluations of CAP Strategic Plans. For more in-depth analysis of power in the context of evaluation see Hanberger, 2022.



After placing all stakeholders on the matrix, it is often helpful to divide the matrix in four quadrants²¹:

- > In the upper right quadrant are those interested stakeholders who also have a high degree of power to affect the planning and implementation of the corresponding interventions and/or the planning and implementation of the corresponding evaluations and the actual use of their findings.
- > In the upper left quadrant are the stakeholders that, while interested, have less influence or decision-making power.
- > In the lower right quadrant, stakeholders may have a high degree of power but are not (currently) very interested in the corresponding interventions or their evaluation. They can influence the future context within which these interventions or their evaluation will take place.
- > In the lower left quadrant are those stakeholders that exhibit neither interest nor power to influence strategy outcomes.

Figure 3 - Power versus Interest matrix

INTEREST	HIGH	<p style="text-align: center;">LOW POWER - HIGH INTEREST</p> <p>Interest can be positive or negative.</p> <p>Keep well informed. Tailor information to their needs. Try to increase positive interest and build trust.</p> <p>Consult regarding the quality of evaluations and the plausibility of their findings.</p> <p style="text-align: center;">Use as technical advisors</p>	<p style="text-align: center;">HIGH POWER - HIGH INTEREST</p> <p>Interest can be positive or negative.</p> <p>Engage them in evaluation governance.</p> <p>Provide them with regular and detailed information on the evaluation activities and their findings.</p> <p>Assess their needs related to evaluation activities. Improve their capacity for evaluation, where relevant</p>
	LOW	<p style="text-align: center;">LOW POWER - LOW INTEREST</p> <p>Provide them with general information and main findings of the evaluations.</p> <p>Try to increase positive interest and build trust.</p> <p>Consult for specific issues, if relevant.</p>	<p style="text-align: center;">HIGH POWER - LOW INTEREST</p> <p>Interest can be positive or negative.</p> <p>Keep well informed. Tailor information to their needs. Try to increase positive interest.</p> <p>Consult regarding the quality of evaluations and the plausibility of their findings. Use as technical advisors</p>
		LOW	HIGH
			POWER

Source: European Evaluation Helpdesk for the CAP (2023)

Step 3. Making use of the stakeholder mapping

The mapping of the stakeholders, described in detail in the previous sections, can provide valuable information on who are the stakeholders, what is their “nature” and their motivations and which ones are the most important, in terms of their interest in and power to affect the planning and implementation of both the CAP Strategic Plan interventions and the corresponding evaluations.

The results of this analysis can be valuable throughout the evaluation cycle, from establishing evaluation governance structures to planning, tendering and implementing, to quality controlling and to disseminating the findings of the evaluations included in the evaluation plan.

High interest AND high-power stakeholders

Stakeholders located in the upper right quadrant of the power to interest matrix can have a key role in the evaluation of the CAP Strategic Plan. For example, they can be key providers of data and information, or they can have control on the resources and technical support that will be available for the evaluations.

These characteristics make them best candidates to engage in **evaluation governance** structures but, in any case, they should receive regular and detailed information on the evaluation activities and their findings.

In order to be able to better fulfil their potential role in evaluation governance or understand and promote the use of the evaluation findings, their needs related to evaluation activities should be thoroughly identified and their capacity for evaluation should be improved (see next step).

²¹ Ackermann and Eden, 2011



High interest OR high-power stakeholders

Stakeholders found in the upper left and the lower right quadrant, could in many cases be engaged in advisory structures. For example, they can be consulted about the quality of evaluations and the plausibility of their findings. Some of them could be used to provide technical support about specific evaluation approaches and/or in drafting evaluation terms of references.

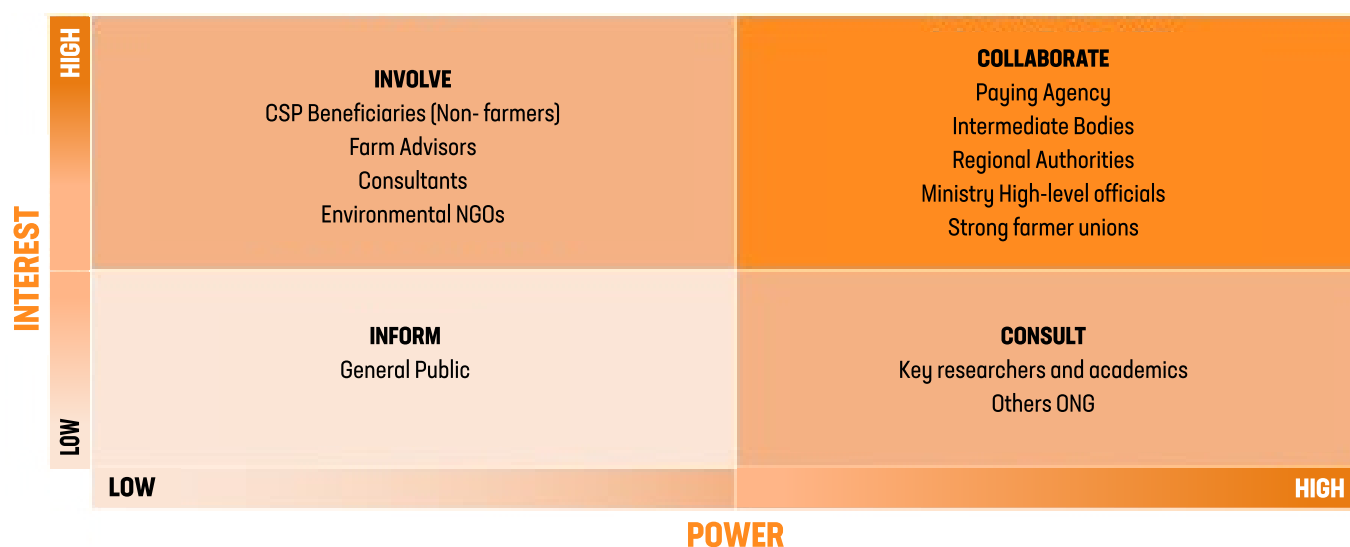
They should have access to information about the evaluation activities and their findings, tailored to their needs (i.e., differentiated communication approaches for beneficiaries of interventions, farm advisors or researchers that might be part of these quadrants). The stakeholders found in these quadrants that are selected to play a more active role in the governance and/or implementation of evaluations might also need improvement of their evaluation capacity.

Low interest AND low power stakeholders

Stakeholders in the lower left part of the matrix are the ones that require minimum management efforts. They have to be able to find general information (i.e., a citizens summary) about the evaluations and, in some cases, they may be consulted for specific issues.

An example of how to make use of the stakeholder mapping is presented below based on power vs interest matrix.

Figure 4 - Example of types of stakeholders based on the Power versus Interest matrix



Source: European Evaluation Helpdesk for the CAP 2023

Step 4. Making use of the stakeholder mapping

As shown in the previous step, different stakeholders may have different evaluation needs and, in many cases, they should have their evaluation capacity improved to be able to fulfil their roles in evaluation governance and implementation.

It is proposed to interview the stakeholders that are selected to play a more active role in the evaluation, to gather insights of what are their needs and assess their capacity. In particular, interviews may cover:

- > the context in which those stakeholders operate and the outcomes or impacts they expect from the implementation of the CAP Strategic Plan;
- > possible key assumptions that underpin the successful implementation of the CAP Strategic Plan;
- > their priorities regarding the evaluations;
- > their capacity building needs in relation to evaluations.



Table 5 - Indicative template for stakeholder interviews

<p>Purpose</p>	<p>To gather insights of what is the stakeholders' understanding of the corresponding interventions and their evaluations and in particular:</p> <ul style="list-style-type: none"> › the context in which they operate and their expected outcomes or impacts; › possible key assumptions that underpin their successful implementation; › their priorities regarding the evaluations including the timing when they should be implemented.
<p>Use</p>	<p>This input can be used in several ways:</p> <ul style="list-style-type: none"> › to refine your understanding of the key stakeholders; › to refine your evaluation needs; › to improve the list of themes and topics included in the evaluation plan and timing for evaluations.
<p>Steps</p>	<p>Step 1: Contact the stakeholders to explain what you are interested in, why you selected them, why you value their input and how it will be used, and how you will be capturing the information (if you are planning to record the conversation, get permission to do so). Set up time for a brief interview.</p> <p>Step 2: Review the indicative questions below and select the ones you will use, adapting as needed for this particular stakeholder, your relationship with them, etc. Keep a record of the questions you ask.</p> <p>Step 3: Prepare for how you will capture their comments (if you intend to quote them, ask permission).</p>
<p>Indicative list of questions</p>	<p>Remind the interviewees about the interventions that are of relevance to them, based on the rationale for including them in the stakeholders list. Questions to ask may include:</p> <ul style="list-style-type: none"> › How familiar are you with the interventions of the CAP Strategic Plan? › What do you think motivates/will motivate potential beneficiaries to participate in the interventions? › How does the mechanism for delivering these interventions work/how would you imagine it working? › What do you see as the main value or contribution of these interventions? › What are the desired outcomes for beneficiaries? › What other outcomes do you see or expect? › What do you think are the most important outcomes? › What are key elements of context that influence success or failure of the interventions? › Why do you consider important to evaluate CAP Strategic Plans and their interventions? › What are key elements that influence success or failure of their evaluation? › How do you perceive your role to such an evaluation? › What do you think will be the most important questions to explore under the evaluation?



Indicative list of questions

- > When would be the best timing for conducting the evaluation?
- > How would you describe your organisation's evaluation capacity?
- > What capacity building needs are most important to address?

How to address anticipated challenges

Challenges	How to address them in the evaluation plan
The main challenge is that the whole exercise of stakeholder mapping is strongly dependent on the topics that will eventually be evaluated and are part of the evaluation plan.	The working group that undertakes this exercise has to make sure that this section of the evaluation plan is revisited once these themes and topics are finalised and check if any adjustments are needed in the list of identified stakeholders.
The ability of stakeholders to participate and fulfil their role in the evaluation plan.	Take into account that the availability of stakeholders and resources are important (e.g., NGOs might not have resources to travel and participate in meetings).
There may be difficulties in balancing conflicting interests of stakeholders, e.g., conventional farmers and environmental NGOs.	When naming stakeholders, always try to find the “voice” of each identified stakeholder, be it an actual individual or representative of the group ²² . Otherwise, you may end up including “phantom” stakeholders ²³ , in which members are linked into a social category by similarity of profession or function but which are not organised self-cognizant groups that could actually be interacted with. For example, “farmers” can be a “phantom” stakeholder group since you cannot identify an individual or representative that could participate in the planning of the evaluations or consulted during their implementation. You may consider using the CAP Network to help you identify the “voices” for each identified stakeholder group and add these individuals or representatives in the list of identified stakeholders.

²² Bryson et al., 2011

²³ Beech and Huxham, 2003



Tool 4: Timeline

Proposed working steps for drafting this section of the evaluation plan



Step 1. Analyse the overall timeframe at EU and Member State level and define milestones

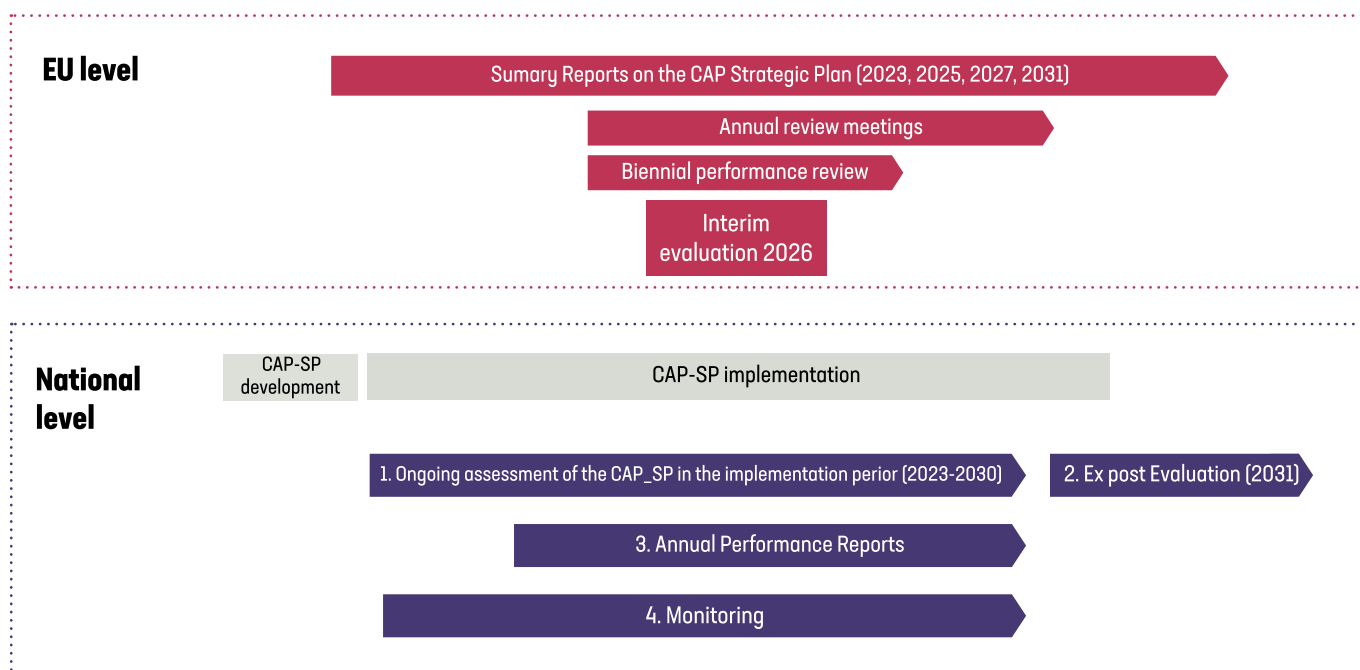
The first step for developing the timeline has a twofold aim

- > to obtain an understanding of where Member States' evaluations stand in the overall evaluation framework of the CAP;
- > to obtain an understanding of what are the obligations of Member States in terms of timing of evaluations and reporting.

The outcome of this step would be a picture of the mandatory elements and deadlines at EU and Member State level.

The following figure gives an overview of the timeframe for evaluations at EU and Member State levels.

Figure 5 - Timeframe for reporting and evaluation and EU and Member State levels



Source: European Evaluation Helpdesk for the CAP (2023)

More specifically, the obligations of Member States in relation to the timeline are listed in the table below (the numbers correspond to the numbers in the figure above).



Table 6 - Obligations of Member States in relation to the timeline

Obligations of Member States	What is not specified/not obligatory
<p>1. Undertake evaluations during the implementation period²⁴.</p> <p>The evaluations during the implementation period to produce results available for discussion of the next CAP²⁵</p> <p>Use relevant evaluation criteria and assess impacts.</p>	<p>No precise dates specified. This implies that Member States can choose when to carry out evaluations.</p> <p>No input from Member States to the interim evaluation of the Commission in 2026.</p>
<p>2. Carry out an ex post evaluation by 31 December 2031.</p>	
<p>3. Produce Annual Performance Reports (APR)²⁶</p> <p>APRs shall contain information (qualitative and quantitative) on the implementation of the CAP Strategic Plan, using financial data and output and result indicators²⁷</p> <p>The last APR should contain a summary of evaluations carried out during the programming period²⁸</p>	<p>Reporting on evaluations is not required in the APRs (except for the last one, and there, only a summary).</p>
<p>4. Provide data to the Commission for monitoring and evaluation purposes²⁹. Some of the data will be provided annually, but specific provisions on the frequency of data provision are included in Art. 15 of Regulation (EU) 2022/1475.</p>	<p>No precise dates for data collection at Member State level.</p> <p>This implies that Member States can organise their data collection activities based on the requirements of Article 15 but also based on their own evaluation needs and activities.</p>

The main obligatory milestone in terms of evaluation for Member States is therefore the ex post evaluation by 31 December 2031. For the rest, Member States can set their own evaluation milestones taking into account the information provided in the table above.

Member States are advised to be concrete in terms of dates for data/information collection, implementation of evaluations and reporting on them, even if these are not specified in the regulations.

Step 2. Develop a timeline and roadmap for evaluations

Member States should **develop a timeline** depicting an indicative planning of evaluations and evaluation support studies to be implemented during the programming cycle³⁰. Key issues to consider for developing the timeline are:

- › Evaluations that will be carried out during implementation, taking into account:
 - › the evaluations of each SO (either individually or through comprehensive evaluations covering several objectives) at least once during implementation³¹, i.e. the contribution of the CAP Strategic Plan to the CAP objectives;
 - › the evaluations of specific topics³², where relevant, e.g., environment, LEADER, CAP Networks, AKIS, simplification;
 - › evaluation support studies and other research and analytical activities for evaluations.
- › The ex post evaluation to be completed by 31 December 2031.

²⁴ Article 140 of Regulation (EU) 2021/2115

²⁵ Article 2(e) of Regulation (EU) 2022/1475

²⁶ Article 134(1) of Regulation (EU) 2021/2115

²⁷ Article 134(4) of Regulation (EU) 2021/2115

²⁸ Article 134(2) of Regulation (EU) 2021/2115

²⁹ Article 8 of Regulation (EU) 2022/1475

³⁰ This is the minimum required according to Regulation (EU) 2022/1475

³¹ Providing a justification if a Specific Objective is not evaluated, in line with Article 2(a) of Regulation (EU) 2022/1475

³² Article 2(d) of Regulation (EU) 2022/1475 and Article 1(3) for simplification



- › A reasoning for the choices made, for instance, why a SO, a specific topic or a support study is planned at a specific point in time, considering:
 - › The CAP Strategic Plan intervention logic, e.g., the relation of the selected evaluation topic to identified needs in the inter-velogic, the expected intermediate results and the expected effects towards the achievement of a SO.
 - › The planned implementation of the interventions corresponding to the different SO. More specifically, in order to identify the point in time at which certain topics can be evaluated, it is necessary to consider the implementation time of various interventions and the time required for them to have an effect. For some interventions, the effects take time to manifest, for example those aimed at the biodiversity objective and do not make sense to analyse early on. For investments, it is necessary to take into account the time needed to implement these investments. Others, such as training, can be analysed from the beginning and their effect is the people trained, which can be measured every year.
- › The stage of implementation, so that only interventions with sufficient implementation should be subject to assessment.

The **outcome of Step 2 will be a timeline** listing indicatively all the evaluations to be carried out during implementation. The timeline can be revised annually, based on more detailed actions plans for implementing the evaluation plan. An example of a timeline is provided below.



Figure 6 - Example of a simple timeline for evaluations (by quarter)

Links to Regulation (EC) 2022/1475	List of evaluations	Quarters																												Reasoning Explain if SOs combined Links to CSP intervention logic, e.g. links to the needs, expected results, etc.			
		Q1 2023	Q2 2023	Q3 2023	Q4 2023	Q1 2024	Q2 2024	Q3 2024	Q4 2024	Q1 2025	Q2 2025	Q3 2025	Q4 2025	Q1 2026	Q2 2026	Q3 2026	Q4 2026	Q1 2027	Q2 2027	Q3 2027	Q4 2027	Q1 2028	Q2 2028	Q3 2028	Q4 2028	Q4 2031				
Article 2(a) & Annex II (4) (a)	Evaluation S01																																
	Evaluation S02																																
	Evaluation S03																																
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	Evaluation S07																																
	Evaluation S08																																
	Evaluation S09																																
	Evaluation XCO																																
	Ex post evaluation (all SOs)																																
Annex II (4) (c)	Evaluation study A																																
	Evaluation study B																																
	...																																
Article 2(d) & Annex II (4) (b)	Evaluation of LEADER added value																																
	Evaluation of AKIS																																
	Evaluation of the national CAP Network																																
	Evaluation of the environment/climate (further specify the topic)																																
Article 1(3)	Simplification																																
	Other relevant topic																																

Planning and Structuring of evaluations (terms of reference, development of methodological approach)
 Implementation of evaluations (data and information collection, analysis, conclusions and recommendations)

Source: European Evaluation Helpdesk for the CAP (2023)



This timeline can be **further developed into a roadmap** depicting the planned evaluation activities across the implementation timeline, taking into account the focus and types of evaluations to be assessed at each point in time.

Further issues to consider for developing the roadmap are:

- › Deadlines/milestones: it is proposed to carry out a retro-planning exercise, i.e. starting from the milestone or moment established by the Member State in which certain information must be provided and moving backwards.
- › The focus of evaluations on certain evaluation criteria taking into account that some are more pertinent to use in the early stages of the implementation cycle, some others can be used throughout and others at the end or ex post.
- › The detailed evaluation activities, such as the design of evaluations, preparation and launching of tenders, data preparation and data collection activities, capacity building activities, etc.
- › The last Annual Implementation Report to be produced in 2030, comprising a summary of the evaluations carried out during the implementation period³³.
- › The types of evaluations, as different types are relevant at different points in time (see next table).

Table 7 - Examples of the types of evaluations

Types of evaluations	Brief overview
Process evaluations	<ul style="list-style-type: none"> › Can assess the effectiveness of implementation procedures and steps. › Need to take place early so there is time to improve the delivery mechanisms.
Interim or ongoing evaluations	<ul style="list-style-type: none"> › Can assess achievements and contribution in relation to Specific Objectives (financial implementation, interventions, achievements based on output and result indicators). › Can also assess impacts taking into account the uptake of CAP Strategic Plan interventions³⁴. › Can take place throughout the implementation period.
Impact evaluations (ex post)	<ul style="list-style-type: none"> › Assess achievements and contribution to the achievement of CAP objectives (using impact indicators). › Need time and sufficient uptake for impacts to be visible.
Support studies, research and analytical activities	<ul style="list-style-type: none"> › These are not evaluations but are needed to better understand the context and provide rationale/justifications in relation to evaluation findings. › They may also be used to provide the methodological background for certain evaluations.

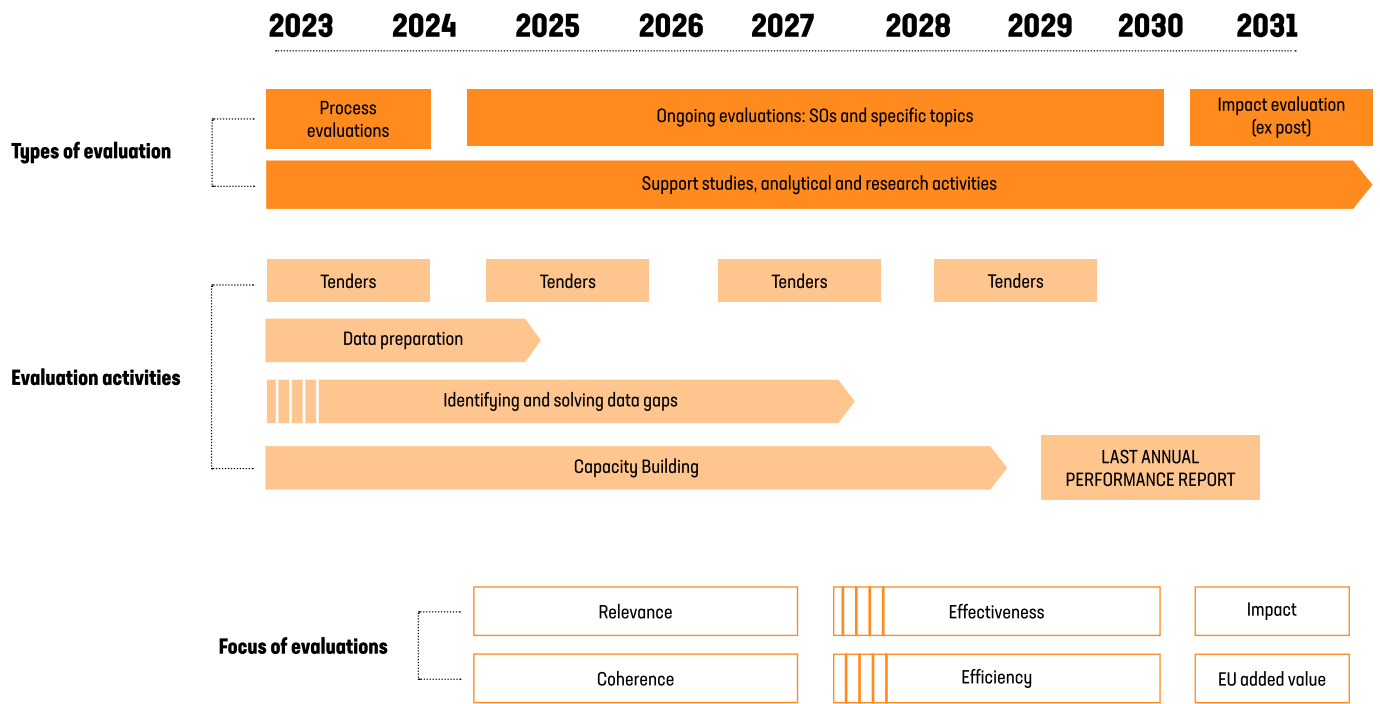
Step 2 may also produce a roadmap. The figure below offers an overview of what to consider in the roadmap, as an example.

³³ Article 134(2) of Regulation (EU) 2021/2115

³⁴ Article 2(b) of Regulation (EU) 2022/1475



Figure 7 - Overview of what to consider in the roadmap



Source: European Evaluation Helpdesk for the CAP (2023)

Step 3. Fine tune the timing of activities depicted in the roadmap and identify timing risks

- > The overall multi-annual timeline of the evaluation plan.
- > The annual timeline relating to periodic and continuous evaluation activities that can be interlinked with annual reports.
- > The detailed timeline for each specific evaluation exercise (which may be more/less than one year).

On the other hand, depending on the **evaluation topic/objective**, the timeline needs to consider:

- > One-off assessment exercises, e.g., where a specific topic is analysed at a specific point in time;

- > Continuous exercises, e.g., where a topic is analysed throughout the whole period and progressively evaluated in more depth.
- > In all cases, it may be relevant to analyse how these exercises will feed into the ex-post evaluation.

Finally, it is recommended to **anticipate the risks** that certain parts of the process (e.g., necessary information) will not be produced in time and foresee mechanisms to:

- > Reformulate the evaluation exercise;
- > Modify the evaluation plan if necessary.

Box 6 - Practical tips

- > Make a visual timeline spanning the whole programming period for the evaluations, using retro planning. Visualisation of the timeline helps to see the interconnections between the evaluations.
- > The timeline should base the indicative lengths of processes on experiences from the previous programming period.
- > Be specific with regard to the required preparatory working steps, but include sufficient buffers in timing.
- > Do not forget to plan for the ex post and consider activities that need to be included in the evaluation plan, such as data collection activities to prepare for the ex post.
- > Planning should be flexible and able to adapt quickly to changes in the context, new issues and needs.



- › Use lessons from previous programming periods: a) in relation to timeline development and the approaches followed (more generic vs more detailed timelines), and b) for anticipating risks.
- › Cross-check timing of other evaluations planned outside the CAP Strategic Plan. For example, environment monitoring that can provide useful data for the CAP Strategic Plan as well.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Ambition of evaluation plans vs available resources.	To address this, consider combining some evaluations; or combine some data collection activities (e.g., surveys) that can feed several evaluations.
Any unanticipated delays may lead to challenges in the implementation of the evaluation plan.	Sufficient flexibility should also be factored into the timing of the evaluation plan. For instance, check if there is any overlap with regard to the timing of major evaluations especially in cases where there is a small market of evaluators who could carry out the respective evaluations.



Tool 5: Data and information

Proposed working steps for drafting this section of the evaluation plan



Step 1. Initiate a process to set up arrangements for data collection and management

The process to set up arrangements for data collection and management starts with two sub-steps, related to institutional and IT arrangements.

- › **Set up a working group.** The first step is to initiate the process to identify and bring together the different administrative bodies that play a role in the collection and management of data. This could lead to the formation of a working group in which representatives from the Managing Authority, regional authorities, implementing bodies for sectoral interventions and rural development, Paying Agency etc. collaborate to analyse and understand the data needs and how these data should be managed.
- › **Set up the monitoring system.** The next step is to clarify how the data collected at the operations level is transformed to useful information to monitor implementation and measure contribution to results.

Member States already have in place monitoring systems (electronic information systems) from the previous programming period record and store the necessary data for monitoring and evaluation. These may need to be adapted to the new requirements and needs for evaluations in the 2023-2027 period and ex post.

Therefore, a clear understanding of how the data collected at the lower level, i.e., from applications for support and payment claims, can be linked to types of interventions, result indicators and specific objectives is necessary for appropriately structuring the corresponding IT systems. This is most critical in case one operation contributes to more than one result indicators and/or specific objectives.

Step 2. Identify data needs sources

Member States will need to identify what data is needed for evaluations and the data sources for it. The basis for this can be the development of a **general evaluation framework**, which is a tool that brings all the required and potential indicators and the data sources together in a systematic way. The key components of such an evaluation framework and a template are presented below.

Table 8 - Key components of a general evaluation framework to help identify data needs

Indicative evaluation questions
<p>Each element to assess³⁵ can be transformed into an evaluation question, for instance:</p> <ul style="list-style-type: none">› for assessing effectiveness in relation to SO1, the key element to assess being 'viable farm income', an evaluation question can be: 'To what extent have CAP Strategic Plan interventions ensured viable farm income?'› For assessing effectiveness in relation to SO7, the key element to assess being 'farmers renewal', an evaluation question can be: "To what extent have CAP Strategic Plan interventions contributed to farm takeovers and supported new entrants in the sector?"› for assessing efficiency (for any SO), one evaluation question may be: "To what extent were the benefits/effects achieved with the lowest cost?"› for assessing relevance (for any SO), an evaluation question may be: "To what extent were the results achieved by the CAP Strategic Plan relevant to the initial needs identified during the programming phase and did it deliver effective solutions?"› for assessing value added (for any SO), an evaluation question may be: "To what extent could agriculture and rural areas have been supported without EU support?"



Factors of success

For each evaluation question, several factors of success³⁶ are recommended to enable the assessment of the interventions.

For assessing effectiveness, the recommended factors of success listed in Annex I of Regulation (EU) 2022/1475 should be taken into consideration in accordance with the intervention logic of a CAP Strategic Plan³⁷.

For the other evaluation criteria, there are no recommended factors of success in the Regulation, but it is proposed to include them in the evaluation framework (see example for efficiency in **Annex 4**).

Indicators

Each factor of success should be assigned indicators ('output', 'result', 'impact' and in some cases 'context') that will be used to measure success³⁸. This approach ensures that sufficient data can be collected to support the evaluation of CAP Strategic Plans.

Indicators can provide what data is needed. Based on the CAP Strategic Plan intervention logic, data needs should be identified at least for the PMEF indicators and for netting out the impact indicators listed in Annex III of Regulation (EU) 2022/1475.

Apart from the PMEF indicators, specific indicators may also be included³⁹ to help address the data gaps for evaluations of CAP Strategic Plans. The proposal of using specific indicators is grounded in three main factors:

- Having additional indicators complement the existing PMEF indicators and ensures that sufficient and appropriate data on outputs, results and impacts can be collected to support the evaluation of CAP Strategic Plans.
- It provides insights into how CAP Strategic Plans will generate certain outputs that will likely lead to results, including potential impacts, in case this is not clear from the PMEF indicators.
- It allows a coherent approach for SOs (all factors of success are measured using a full set of outputs, results and impacts), especially in cases in which the list of PMEF indicators does not cover all the expected outputs, results or impacts.

Table 9 - Template for the evaluation framework

Evaluation questions (key elements to assess)	Factors of success	Indicators	Data sources

Annex 4 includes some examples of such an evaluation framework to identify data needs.

The following table analyses the implications stemming from Regulation (EU) 2022/1475 in relation to data and information. It can be used to identify data needed to complete the above evaluation framework.

³⁵ Annex I of Regulation (EU) 2022/1475

³⁶ Reminder: 'factors of success' replace the term 'judgment criteria' that was used in the 2014-2020 period

³⁷ Article 1(2) of Regulation (EU) 2022/1475

³⁸ Article 6(1) of Regulation (EU) 2022/1475

³⁹ Article 6(2) of Regulation (EU) 2022/1475



Table 10 - Implementing Regulation and implications for data needs and data sources

Relevant content from Regulation (EU) 2022/1475 on indicators	Implications for identifying data needed and sources for it
<p>Evaluations of the CAP Strategic Plan shall be based on relevant common output, result, impact and context indicators - Art. 6(1)</p> <p>Where common result indicators are expressed as a share or as a number of relevant units for certain interventions, Member States shall use the potential effects of these interventions to estimate the outcomes of their CAP Strategic Plan - Art. 6(3)</p>	<p>Annex I of Regulation (EU) 2021/2115 includes the following list of indicators for which data will need to be collected:</p> <ul style="list-style-type: none"> > 37 output indicators > 44 result indicators > 29 impact indicators > 49 context indicators <p>The total number of indicators may be different for each Member State, as it depends on their CAP Strategic Plan and its intervention logic. Therefore, not all indicators may be of relevance to all Member States.</p> <p>The PMEF indicator fiches⁴⁰ provide detailed information that is relevant for data collection, including amongst others:</p> <ul style="list-style-type: none"> > unit of measurement > methodology/formula for calculation > data sources > references for the location of the data <p>Annex 5 of these guidelines offers a non-exhaustive list of data sources for assessing the different evaluation criteria of effectiveness, efficiency, relevance, coherence, while Annex 6 offers the data sources for the impact indicators of Annex III of Regulation (EU) 2022/1475, i.e., those that need to be netted out.</p>
<p>Member States may use specific indicators other than those in Annex I of Regulation (EU) 2021/2115 as well as other relevant quantitative and qualitative information to draw conclusions on the impact of their CAP Strategic Plan - Art. 6(2)</p>	<p>Specific indicators may be identified for each factor or success, and additional information to be collected.</p> <p>Data and information sources for these specific indicators will need to be identified.</p> <p>Annex 4 of these guidelines proposes some specific indicators (see examples of the evaluation framework, they are only optional, i.e. Member States are not required to use them).</p>
<p>The assessment of the contribution of CAP Strategic Plans shall be based on the impact indicators (Annex I of Regulation (EU) 2021/2115).</p> <p>Member States shall quantify the contribution of their CAP Strategic Plan to at least the impact indicators of Annex III of Regulation (EU) 2022/1475 - Art. 6(5)</p>	<p>Although Member States should calculate all the 29 impact indicators, net impacts will need to be provided for at least 9 indicators that are listed in Regulation (EU) 2022/1475.</p> <p>Bear in mind that most of the impact indicators are already collected via other channels ((European statistics, Joint Research Centre, European Environment Agency, etc.), while some are still under development or data collection at EU level is ongoing. However, the data collection frequency is not always annual and there might be two- or three-years delay⁴¹.</p> <p>Annex 6 of these guidelines offers the list of units of measurement and data sources for the 9 impact indicators.</p>

⁴¹ Annex I of Regulation (EU) 2021/2115

⁴⁰ https://agriculture.ec.europa.eu/common-agricultural-policy/cap-overview/cmef_en#towardsthepmez



Step 3. Define the data arrangements

The evaluation plan needs to describe the arrangements for data provision and data quality control⁴². These data arrangements will enable the collection of data identified in the previous step and its recording in the monitoring system, including its quality check.

The following table analyses the implications stemming from the Implementing Regulation (EU) 2022/1475 in relation to the arrangements for data provision and quality control.

Table 11 - Implementing Regulation and implications for data provision and quality control

Relevant content from Regulation (EU) 2022/1475 on data arrangements	Implications for data provision and quality control arrangements
<p>Ensure the availability of data for evaluators so they can fulfil their monitoring and evaluation obligations. Art. 7(1).</p>	<p>This implies that a system needs to be in place for the collection of the necessary data on time.</p> <p>This is the electronic information system (Art. 130 of Regulation (EU) 2021/2115) which Member States already have in place (operations database) and will need to be revised to accommodate data in relation to the new PMEF indicators. Alternatively, a new such system can be set up to record and keep key data and information on the implementation of the CAP Strategic Plan for monitoring and evaluation purposes.</p>
<p>Make arrangements with national (and regional where relevant) statistical units, research centres, undertakings and data providers to ensure data availability. Art. 7(2)</p> <p>These arrangements should take into account the territorial scope of evaluations and include statistical use of data from administrative registers (e.g., the identification system for agricultural parcels, animal and vineyard registers) in cooperation with relevant statistical authorities. Art. 7(2)</p>	<p>This implies that the evaluation plan needs to identify the relevant data providers and set up agreements with them.</p> <p>Relevant data providers are those managing the data sources identified for each indicator in the evaluation framework and include national and regional level ones.</p> <p>The beneficiaries should not be forgotten as key data providers as well (see next point).</p>

Data arrangements concern the following sub-steps:

- > **Collecting data from applications for support and payment claims.** The ability to collect all necessary data from applications and payment claims is crucial and should be well designed through the involvement of all actors concerned. These data, in most cases, are stored in separate IT systems based on whether they concern rural development, sectoral interventions or direct payments. Interoperability arrangements might be necessary to ensure communication between these IT systems.
- > **Validation of data through administrative or other controls.** Once applications for support or payment claims are submitted by beneficiaries, they are subject to administrative or other controls to ensure their validity. Arrangements might be required on how these data are stored and who is responsible for their registration.

Data quality control may involve: i) regular computer-based checks to determine the completeness and consistency of the data; ii) controls by data providers to ensure their data complies with the required units of measurement for the different indicators.

- > **Compilation of data for evaluation purposes,** including, if relevant, any data collected by the Member State to be transmitted to the Commission⁴³. Arrangements will be required to properly compile and anonymise validated data from the different sources as needed for the calculation of the relevant indicators for each Member State.
- > **Aggregation of data and avoidance of double counting.** Arrangements should be put in place for the proper aggregation of the validated data and the avoidance of double counting, so they can be used for the calculation of result indicators. Special interoperability arrangements should be ensured in case these data come from separate IT systems.

⁴² Annex II (5) of Regulation (EU) 2022/1475



- › **Additional data sources and agreements with relevant data providers.** The availability of data stored in data sources outside the IT system(s) referred to in Article 130 of Regulation (EU) 2021/2115 (i.e. Farms Structure Survey, Farm Accountancy Data Network (FADN) etc.) should be ensured by specific arrangements between the Managing Authority, Paying Agency and administrators of these additional data sources. This is necessary to safeguard an effective calculation of result indicators. It will also contribute towards setting up a system for measuring change through impact indicators and attributing (part of) this change to CAP instruments and interventions. In addition, when data gaps have been found (see Step 4) and new sources identified to fill these gaps, the agreements should include the provision of additional data and/or information for filling the gaps.

Step 4. Identify data gaps and solutions to address them

While concluding arrangements for ensuring data collection and availability, it might be necessary to consider to what extent the available data have the potential to accommodate effective implementation, measurement of change and attribution to CAP instruments and interventions.

The identification of data gaps is an activity that needs to take place at an early stage so that relevant actions can be taken on time to address these gaps and collect the necessary data and information for quality evaluations.

Data gaps may relate to the measurement of change and to the attribution of this change to the CAP Strategic Plan. For example, it is not possible to measure change if baseline data, that describe the situation before the implementation of the CAP Strategic Plan, are not available. At the same time, even if baseline data are available, the attribution of the observed change to the CAP Strategic Plan might need data from control groups that are not direct beneficiaries. If these data are not available, then attribution cannot be assessed.

The identification of data gaps should cover at least the PME indicators⁴⁴ selected to measure the factors of success in the general evaluation framework developed in Step 2, including the impact indicators that need to be netted out⁴⁵.

The following approach is proposed for **identifying data gaps** for measuring change:

- › For each indicator of the evaluation framework, identify the method used to calculate the indicator and measure change through time (i.e., the evolution of the indicator in comparison to a baseline or to a target).
- › For each of the data sources identified in the previous Step 2 and listed in the evaluation framework for each indicator, explore its

capacity to measure change by asking questions such as the following:

- › What is the length of the timeseries? Are there arrangements for storing old data to ensure comparisons in the future?
- › Does it allow a robust measurement of change?
- › What is the reporting time lag of the data source? (for instance, impact indicators are not collected annually and there may be a two-three year delay⁴⁶)
- › Does this time lag create implications for measuring change that could be attributed to the CAP Strategic Plans?
- › Other characteristics hindering robust measurement of change?
- › For each of the data sources, also consider the ownership. There might be some private data sources (e.g., collected by NGOs) and permissions to access this data may take time.
- › Based on the analysis of the above questions, identify and describe the data gap(s) per data source.

In case of identified data gaps, arrangements should be put in place to close the most critical of those data gaps. These include obtaining additional data from relevant data providers.

A similar approach can be used for **identifying attribution gaps**:

- › Identify an attribution method that can be applied using the data that are currently available. You can get inspiration from the interactive decision tools prepared by the Evaluation Helpdesk⁴⁷.
- › Identify, if relevant, a more robust attribution method that can be reasonably applied. For example, if a data source does not allow for the construction of comparison groups, then maybe a modelling approach with policy on/policy off can be applied but is not reasonable to try to apply a counterfactual approach.
- › Identify the data needed to apply the more robust attribution method. Check the characteristics of each corresponding data source for possible data gaps, by asking questions such as:
 - › Does the data source allow construction of panel data?
 - › Does the data source allow construction of control groups?
 - › Has the data source been used with modelling techniques? Which ones?
 - › Other characteristics affecting the ability of the data sources to be used for any kind of attribution methods?
- › Based on the analysis of the above questions, identify and describe the attribution gap(s) per data source.

⁴³ Data for Monitoring and Evaluation (DME) as described in Title II of Regulation (EU) 2022/1475

⁴⁴ Article 6 of Regulation (EU) 2022/1475

⁴⁵ Annex III of Regulation (EU) 2022/1475

⁴⁶ Annex I of the CAP STRATEGIC PLAN Regulation

⁴⁷ https://enrd.ec.europa.eu/evaluation/publications/_en?f%5B0%5D=im_field_enrd_publ_ehd_content_t%3A20711



Step 5. Raising awareness and training of actors on data collection and data management

Data collection and management will require the involvement of many actors from different administrations. Arrangements should be considered to make these actors aware of the importance in

collecting and managing these data and clearly define their role in this process. Specific sessions to train and build capacity for those actors might be necessary.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Access to the required data may be difficult especially for external data sources.	<ul style="list-style-type: none"> > Check if the required data are not already collected by other institutions and ensure that the same data is not collected twice (administrative burden). > Implement or envisage activities that can support interoperability of various data bases significant for CAP evaluations (i.e., invest in data interoperability). > Include a question on data availability and quality in each future evaluation of the CAP Strategic Plan. Ask your evaluators to provide recommendations for the improvements related to data quality and availability. > Involve data providers in the evaluation advisory body or steering committee or other evaluation structure from early on.
There may be constraints for the collection of robust data stemming from limited experience or capacity.	<ul style="list-style-type: none"> > Be as specific and detailed as possible with regard to different data types required. > Build on past experiences, e.g. issues experienced in previous evaluations in relation to data bottlenecks and potential data related issues when assessing impacts. > Invite evaluators/researchers to check data collection methodologies for new indicators so that you can ensure collection of relevant robust data.



Tool 6: Communication and follow up

Proposed working steps for drafting this section of the evaluation plan



Step 1. Briefly analyse the information channels used for communicating evaluation results in the previous programming period

Useful lessons can be drawn from information channels used in the past. Issues to consider for analysing these channels include:

- > previous/current target audiences for communicating evaluation results;
- > when target audiences were approached (e.g. while drafting terms of references for each evaluation, for the review of an inception report, interim report or (draft) final report of an evaluation, for presentation of final results and recommendations, etc.);
- > what information channels were used to communicate evaluations results (e.g. publication of an evaluation report, special event to present evaluation results, dissemination of an evaluation report to different stakeholders via e-mail or other channels, such as newsletters, presentation of the evaluation results to the Monitoring Committee, preparation and dissemination of executive summaries, press releases, info-graphics, podcasts, briefs, blogs, etc.);
- > input or feedback expected from target audiences;
- > resources used for communicating evaluation results (e.g. internal resources of the Managing Authority, the budget foreseen for every external evaluation);
- > assessments used to assess the effectiveness of communication activities (the satisfaction and feedback of target audiences for communicating evaluation results);
- > follow-up mechanism set up (if any) to ensure implementation of evaluation recommendations and use of evaluation results;
- > role of the NRN in the previous period in communicating evaluation results.

Step 2. Set the goals for communicating and using the evaluation results of the CAP Strategic Plan

While setting the goals try to be as specific as possible in terms of:

- > (new) target audiences to reach;
- > (new) information channels to use;
- > the actors/structures that will participate in communication, including the role of the CAP Network;
- > the purposes of engaging with different target audiences and the timing of their involvement into an evaluation process;
- > resources that will be available for communication and follow-up activities, including using the CAP Network for these activities;
- > how the needs and expectations of the target audiences will be analysed in term of communicating evaluation results;
- > how the effectiveness of communication activities will be assessed (numbers of stakeholders attracted, the feedback received by the target audiences, etc.).

Step 3. Define a communication plan and set minimum standards

Based on lessons from the previous period (Step 1) and the goals set for communication (Step 2), define the overall communication plan, i.e., the communication strategy for the evaluation results, who will be responsible for its development, what other bodies/actors will be involved in its implementation and what will be the follow-up actions.

This section of the evaluation plan should not overlap or duplicate the publicity made for the CAP Strategic Plan by the MA or the National CAP Network⁴⁶, but should refer exclusively to the communication of evaluation results.

The communication plan would also include the target actors for dissemination and information needs. Each type of actor (managers, PA, beneficiaries, general public, etc.) will have different information needs and this information should be produced at specific times.

It is proposed to generate a summary table:

⁴⁶ Article 123(2)(k) of Regulation 2021/2115



Table 12- Example of a Tool for providing an overview of the communication plan

Who	To whom	What information	When	How
Who is responsible for communication	Target audience of communication	Type of information to be disseminated	Process timing (not detailed, approximate)	Channel or mechanism

In relation to 'Who', identify the body/actor responsible for communication, taking into account the role that the National CAP Network can play.

In relation 'To whom' analyse the needs and preferences of your target audiences in advance to better target messages.

In relation to 'How', consider different types of communication of evaluation results, with the objective to maximise the effectiveness of communication. Minimum standards may include:

- > publication of an evaluation report on the website of the Managing Authority;
- > special event to present evaluation results;
- > dissemination of an evaluation report to different stakeholders via e-mail;
- > preparation and dissemination of an executive (or citizens) summary;
- > an info-graphic for social networks and wider public.

Furthermore, in relation to 'How', consider communication channels that may increase the effectiveness of the communication plan. For instance, describe what communication channels and means could be an "extra mile" that every evaluation manager or evaluator could go to increase the effectiveness of communication activities and spread the knowledge gathered during the evaluation (e.g., targeted presentations to different stakeholders, use of social media, info-graphics, press releases, podcasts).

There are different types of written communication of evaluation results that could be considered. The **Capacity4dev** recently published a report on EU evaluation dissemination which suggests that the most innovative ways to communicate evaluation results, besides organising seminars or webinars, include infographics, briefs, videos, blogs and podcasts, among others. While developing a communication strategy for an evaluation result you should analyse the needs and preferences of your target audiences and choose the right messages and medium (communication means and channels) to convey the message.

Step 4. Define a follow-up approach to ensure implementation of evaluation recommendations and use of evaluation findings

One of the benefits of the evaluation plan is to improve the use of evaluation results, their usefulness and their effective integration. To this end, the communication plan can also include a follow up approach. The ultimate outcome of this step is to ensure recommendations are followed up and evaluation findings are used, where and when relevant, to ensure that evaluations feed the policy cycle.

The following sub-steps are recommended:

- > It is advisable to use a standard form for the submission of evaluation recommendations. This can then be used for follow-up of the implementation of evaluation recommendations. The standard form could include the following information:
 - > the Specific Objective or topic that the recommendation is linked to;
 - > description of an issue or problem (evaluation conclusion);
 - > measures proposed by an evaluator to the problem (evaluation recommendation);
 - > who should implement an evaluation recommendation (an addressee for a recommendation);
 - > deadline for the implementation.



Table 13 - Example form for the submission of evaluation recommendations

No.	SO or topic related to the recommendation	Problem (conclusion)	Proposed solution (recommendation)	Who should implement recommendation	By when the recommendation should be implemented

- › Develop an action plan for the implementation of recommendations of each evaluation to ensure a structured approach for follow-up. For each recommendation received define:
 - › The type of recommendation. There might be two main types of recommendations: strategic recommendations (the “know it” type of recommendation) and operational recommendations (the “do it” type of recommendation). Operational recommendations are relatively easy to implement, the actions to be taken for their implementation are clear and obvious. Strategic recommendations are less detailed, there might be different ways to implement them, they could be taken into account while taking decisions of the content and (or) implementation of the policy but have no obvious action plan for the implementation.
 - › The decision regarding the implementation of each recommendation. There might be three types of decisions: 1) to accept and implement the recommendation, 2) to partially accept and implement and 3) to decline the recommendation.
 - › Action to be taken to implement the recommendation.
 - › Person or unit responsible for the implementation of recommendations. The role of the Monitoring Committee in examining progress made in relation to the follow-up of recommendations is important and should be considered.
- › The agreed deadline for the implementation of recommendation.
- › Identify the follow-up mechanisms for the implementation of evaluation recommendations and use of evaluation findings. These may include:
 - › discussions with relevant stakeholders of the implementation of evaluation recommendations;
 - › regular monitoring of the implementation of evaluation recommendations to define the number of accepted (at the end of an evaluation) and implemented (e.g. a year after the end of an evaluation) recommendations and the Monitoring Committee plays an important role here;
 - › meta-evaluations to assess the quality and use of evaluation findings, the knowledge, expectations and satisfaction of different target audiences in relation to evaluation and their involvement in the evaluation processes.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Insufficient capacity and resources for communication and follow-up activities at the level of the Managing Authority.	<ul style="list-style-type: none"> › It might be necessary to increase the number of employees and review the functions of existing personnel to prepare for better communication and follow-up activities. › Targeted capacity building activities to increase the effectiveness of communication and follow-up might be useful.
Insufficient resources (time and money) for external evaluations to include additional communication activities.	The main task of an external evaluation is to collect and analyse data to answer your evaluation questions. If you are going to extend the requirements related to communicating evaluation results during the evaluation, you should increase the budget of an evaluation and extend the deadlines for the completion of an evaluation accordingly. You should add one or two months to the standard duration of an evaluation to ensure more inclusive process of an evaluation and to implement additional communication activities.

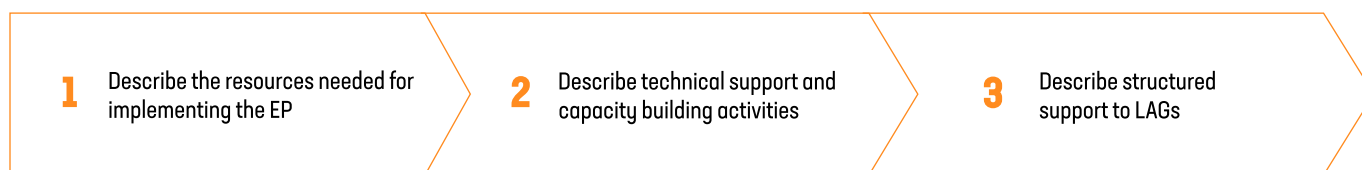


<p>Lack of interest and insufficient capacity of the target audiences to effectively participate, respond and contribute to an evaluation.</p>	<ul style="list-style-type: none"> > Active communication with the target audiences during the preparation of the evaluation plan and terms of references for each evaluation. > Use any evaluation structures set up for management and coordination of evaluations to ensure participation of target audiences in the evaluation process, their contribution to data collection and quality control of evaluation results. > Regular presentation of evaluation results to the members of Monitoring Committee, involvement of the members of the Monitoring Committee to the preparation of the evaluation plan (definition of relevant evaluation topics and questions). > Targeted capacity building activities to the representatives of the target audiences to ensure they understand what an evaluation is, what are the main evaluation types (e.g., process evaluations and impact evaluations), what are the main evaluation criteria (e.g. relevance, efficiency, effectiveness, impact and to build a network of external knowledge brokers.
<p>Capacity and involvement of managers and beneficiaries of the Pillar I interventions (direct payments and sectoral interventions).</p>	<p>Evaluation of rural development programmes was an obligatory part of their implementation for many programming periods. As Pillar I interventions and rural development interventions are now part of single CAP Strategic Plan, it is necessary to ensure that managers and beneficiaries of these interventions have the necessary capacity and understanding about the evaluation, the CAP goals and indicators used to monitor and evaluate these interventions. This knowledge is essential for them to be effectively involved in evaluation planning and communication of evaluation results.</p>
<p>The difficulty to infer causality between a recommendation in an evaluation and a (future) policy change. Policy changes can occur because of many confounding factors where the evaluation recommendation could be just one (major or minor) issue.</p>	<p>A detailed follow up approach, including the possibility to contact and obtain feedback from policy makers at different points in time, may help identify causality between recommendations and future policy changes.</p>



Tool 7: Resources, technical support and capacity building

Proposed working steps for drafting this section of the evaluation plan



Step 1. Describe the resources needed for implementing the evaluation plan

The quality of monitoring and evaluation (M&E) depends on the resources allocated to it, so it is critical to budget adequate financial and human resources. The Member States should also consider other resources fundamental to monitoring and evaluation, such as IT and data systems. As these resources may be included in

the budgets of different institutions (mainly Managing Authorities and paying agencies) it is important to gather relevant information from separate budgets into one, in order to get a picture of all the resources allocated to the CAP Strategic Plan monitoring and evaluation activities.

Table 14 - What to consider in the description of resources

Types of resources to describe in this chapter	What to consider in the description of resources
Administrative capacity (human resources)	<ul style="list-style-type: none"> ➤ Number of staff and time devoted to M&E activities. ➤ Adequacy of expertise in M&E. ➤ For sub-contracted evaluations and evaluation studies, ensure sufficient capacity for coordination within the Managing Authority. ➤ Availability of required skills and procedures and tools for managing M&E.
Data	<ul style="list-style-type: none"> ➤ Ensure the existence of the necessary statistical system (the electronic information system⁴⁹) to record and store data and information for M&E. ➤ Ensure the different sources of data into the above system are well coordinated. For instance, data may come from beneficiary applications, IACS, the Paying Agency and other IT applications. It is important to consider unique identifiers (considering data protection issues) if there are different databases managed by different authorities. ➤ Ensure early arrangements with data providers, e.g. when data comes from national/regional statistical offices, research institutes, etc. ➤ Costs for collection, quality control, storage and management of data can also be identified and taken into account in the financial resources.
IT	<ul style="list-style-type: none"> ➤ Costs to ensure a secure electronic information system for collecting, storing and managing data. ➤ If the IT system is developed by external contractors, costs to consider are those of the contractors and of the internal staff who develop the specifications of the system. ➤ Any capacity building costs for the users of the IT system.

⁴⁹ Art. 130 of the CPR



Financial resources	<p>Financial resources would consider costs from all the above resources (human resources, data, IT):</p> <ul style="list-style-type: none"> > Staff involved in M&E; > Administrative capacity building; > Evaluations and evaluation studies, considering their scope and duration; > Collection, storage and management of data and information; > Setting up or revising IT systems (e.g., the electronic information system); > Costs stemming from undertaking actions to close data gaps; > Governance costs and those stemming from liaising with stakeholders; > Communication costs (linked to communication and follow up activities).
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Step 2. Describe technical support and capacity building activities

Technical support and capacity building keep together the resources required for the implementation of the evaluation plan. The objective of support is to ensure the necessary capacity is in place to fulfil monitoring and evaluation obligations and needs.

The following sub-steps are proposed:

a) Identify technical and capacity building needs of stakeholders and administrations. Administrations include national, regional and local level (LAGs are addressed in the third step below). A needs identification matrix (see proposed template below) can be used to map the capacity building needs of the different stakeholders at different levels. The diversity of stakeholders and capacities should be considered.

b) Identify technical support and capacity building activities based on the identified needs. These may include: trainings, workshops, thematic working groups, guidelines, etc.

c) Identify actors/structures that may collaborate or deliver the above activities, for instance specific departments in the Managing Authority, the National CAP Network or other relevant actors.

d) Provide an indicative plan of capacity building activities, prioritising the urgency/importance of capacity building needs identified above, where possible.

Table 15 - Template of needs identification matrix

Stakeholder and role in M&E	Needs / skills / capacity required					
	> IT skills	key evaluation concepts	collecting environmental data	evaluation methods	identifying data gaps	...
Managing Authority staff responsible for IT systems		1			3	
Regional authority involved in the implementation of environmental interventions	1	1	3	2	2	
...						

Scale 1-3: 1 good to know, 2 important for my job, 3 necessary for my job



Step 3. Describe structured support to LAGs

LAGs are responsible for the evaluation of their local development strategies either as external evaluations or as self-assessments. Experience from the 2014-2020 period shows that although LAGs have progressed a lot in terms of building evaluation culture (e.g., an increasing number of LAGs have undertaken self-evaluations), there are still potential needs in relation to understanding some evaluation concepts, building and implementing evaluation frameworks and particularly identifying and applying evaluation methods.

For these reasons, it is proposed to plan a thorough capacity building needs analysis for LAGs with the objectives to:

- > identify specific evaluation needs of LAGs;
- > target capacity building to those needs, taking into account differences between LAGs, therefore potentially grouping LAGs for certain capacity building topics;

- > identify evaluation needs that can be addressed by other means, for instance, guidelines, participation in wider training events at national or EU level, etc.

Based on this analysis, the Managing Authority may develop a structured activity or capacity building programme, consisting of modules and implemented across a period of time. This could be delivered in collaboration with or by the CAP Network. The involvement of the CAP Network in the identification and delivery of capacity building support to LAGs is therefore strongly recommended.

This analysis can take place during the preparation of the evaluation plan and included there, or it can be planned to take place during its implementation. The latter may give more time for a deeper understanding of the specific needs of LAGs and the design of a dedicated capacity building programme for them.

How to address anticipated challenges	
Challenges	How to address them in the evaluation plan
Limited interest or capacity of the National CAP Network to be involved in a structured training programme for LAGs.	This can be overcome if planning starts early and a close collaboration is established between the Managing Authority and the National CAP Network. Examples from other Member States that have implemented structured technical support to LAGs can be used as a reference.
There may be insufficient resources to implement the evaluation plan.	To address this, it is proposed to: <ul style="list-style-type: none"> > establish an indicative breakdown of the financial resources required for monitoring and evaluation; > establish an indicative outline of the staff responsible for the implementation of the evaluation plan; > calculate estimated costs based on previous experiences; > make sure to reserve resources for ad hoc evaluations and unforeseeable costs.



Annex 1 (Tool 1) - How to derive evaluation topics from the CAP Strategic Plan intervention logic (example from Austria)⁵⁰

Specific Objective	Needs (based on prioritisation)	Evaluation topics	Reference to Regulation (EC) 2022/1475 (Annex 1, Art. 1 (3), Art. 2 (d))
S08	B30 Strengthening cooperation and innovation capacities in rural areas (medium)	Local Development: Rural Innovation Systems and SME Development	Sustainable economy in rural areas
S08	B29 Strengthening of local development based on a bottom-up approach and making town centres more attractive (high)	Local development: revitalization of town and city centres, smart villages	Local development
S08	B34 Increasing the culture of cooperation and innovation and improving infrastructure in tourism (medium)	Local Development: Tourism	Local development
S08	B33 Strengthening equality, compatibility, social political participation and social diversity (high)	Local development: social services and infrastructure	Local development
S08	B31 Securing and expanding rural transport infrastructure and climate-friendly mobility solutions	Local development: climate protection and climateW: climate protection and climate change adaptation including clean mobility	Sustainable economy in rural areas

⁵⁰ Based on a draft document presented at the EvalPlatform meeting on 14 December 2022



Annex 2 (Tool 2) – Example of governance and coordination arrangements from Sweden⁵¹

Table 16 - Example of governance and coordination arrangements from Sweden

Actor/body	Roles and responsibilities
The Swedish Agency for Agriculture (Managing Authority of the CAP Strategic Plan 2023-2027)	<ul style="list-style-type: none"> ➤ Report to the Commission and the Monitoring Committee, including the progress of the evaluation activities according to Article 5 EU 2022/1475. ➤ Provide information for evaluation by maintaining and building decision-making and information systems for processing and disbursing aid and the official statistics collected. ➤ Responsible for ensuring that lessons and recommendations from evaluations are used in the design and implementation of current and future programmes. ➤ Promote evaluation-related knowledge and skills among relevant actors, including Managing Authority and LAGs. The responsibility for promoting evaluation-related knowledge and skills among relevant actors is shared between the CAP network and the Evaluation Secretariat in accordance with Article 7(4) EU 2022/1475.
Evaluation Secretariat	<ul style="list-style-type: none"> ➤ Functionally independent and responsible for the evaluations established by Regulation (EU) 2021/2115 and Regulation (EU) 2022/1475. ➤ The evaluation process managed by the Secretariat shall ensure functionally independent evaluations, in accordance with Article 140(2) Regulation (EU) 2021/2115. ➤ Manages a one-year operational plan to carry out evaluations in good time. The work plan is updated and specified every six months and details when evaluations are to be started, which aspects are to be evaluated and who is to coordinate the activities. ➤ Participates annually in the Monitoring Committee meetings to present new evaluation results and report on the progress of the evaluation activities, in accordance with Articles 124 (3)(d) and 124 (4)(c) of Regulation (EU) 2021/2115.
Advisory research group	Tied to the Evaluation Secretariat is a group of researchers from universities and colleges and research institutes. The researchers have special scientific method and subject competencies. The researchers' task is to assist with method and subject expertise needed in the evaluation activities. The group also assists the Swedish Board of Agriculture with analyses of current trends and developments in society.
External reviewers	Each evaluation is reviewed and quality assured by a functionally independent expert. Generally, two examiners follow the evaluation from planning to finished evaluation report. For each evaluation report, the examiners write an examination statement, which is published together with the report
Administrative authorities	The country's county administrations, the Forestry Agency, and the Sami Parliament are, together with the Swedish Agency for Agriculture, handling authorities. These authorities are also identified as control bodies and are thus responsible for providing information about support management to the databases used in the evaluation activities.

⁵¹ Based on a draft document provided by Sweden



The National CAP Network	The CAP network participates in the evaluation activities in connection with the dissemination of information and the handling of results and recommendations. The CAP network is also a support for capturing evaluation topics that are important to beneficiaries. Primarily, the network contributes by spreading the information to and from various stakeholders through the network's established channels.
LAG groups	As administrative bodies, the LAG groups are responsible for providing information about support management to the databases used in the evaluation activities. As beneficiaries, the LAG groups also have an obligation to provide the information needed for evaluation activities that is not available in any other way.
The government (through the government office)	Responsible for design for the CAP 2023-2027 and decides on the CAP Strategic Plan. The government is responsible for ensuring that the plan achieves the set goals in the best possible way. The government is also responsible for the plan being revised when relevant, based on, for example, evaluation results.
Authorities responsible for statistics	Authorities such as Statistics Sweden, the Swedish Forestry Agency, the Swedish Environmental Protection Agency, the Swedish Agricultural University, the Swedish Agency for Economic and Regional Growth and the Swedish Board of Agriculture are responsible for statistics and therefore contribute relevant statistics for the evaluation activities.
The beneficiaries	A large part of the data needed for evaluation comes from the beneficiaries of CAP support. The beneficiaries are also indirectly involved in the evaluation because several interest organisations will be represented in the programme's Monitoring Committee. In addition, the beneficiaries are expected to answer questionnaires and attend interviews in connection with supplementary data collection for specific evaluation purposes.
Monitoring Committee	The Monitoring Committee has the overall responsibility for monitoring the implementation and achievement of the CAP Strategic Plan, including the evaluation activities (Article 124, Regulation (EU) 2021/2115). The Monitoring Committee must give an opinion on the evaluation plan and any changes to it (Article 124(4c) EU 2021/2115). The Monitoring Committee also has the opportunity to comment on planned future evaluations.
Cooperation of authorities for sustainable agriculture (JSAM)	Agriculture cooperates within jSam with the Swedish National Antiquities Authority, the Swedish Environmental Protection Agency and the Swedish Sea and Water Authority. The collaboration also includes representatives from the county administrative boards. jSam has the opportunity to comment on planned future evaluations.



Annex 3 (Tool 3) – Definition of stakeholders

The way stakeholders are defined is crucial, because it dictates who is important and for what reason their participation in the development and implementation of the evaluation plan is important.

Stakeholder management and analysis emerged mostly in the 1980s, where stakeholder was defined as “*any group or individual who is affected by or can affect the achievement of an organisation's objectives*”⁵².

In recent years, stakeholders have been clustered into four groups⁵³:

- > people who have decision authority over the programme, including other policy makers, funders, and advisory boards;
- > people who have direct responsibility for the programme, including programme developers, administrators in the organisation implementing the programme, programme managers, and direct service staff;
- > people who are the intended beneficiaries of the programme, their families and their communities;
- > people disadvantaged by the programme, as in lost funding opportunities.

But others with a direct or indirect interest in programme effectiveness may be considered stakeholders, including journalists, taxpayers, participants in “civil society,” and members of the general public⁵⁴. Thus, we can conclude that **stakeholders can include anyone who makes decisions or desires information about a programme (or other evaluand) or is affected by the programme or its evaluation.**

Such an inclusive definition of the stakeholder calls for some process to narrow down the list of stakeholders by identifying the most important ones that can effectively and efficiently support the development and implementation of the evaluation plan. To this end, we can first identify all relevant stakeholders and then classify them on the basis of their power to affect and their interest in the planning and implementation of both the CAP Strategic Plan and the corresponding evaluations.

⁵² R. Edward Freeman, “Strategic Management - A Stakeholder Approach”, 1984

⁵³ R. Edward Freeman, “Strategic Management - A Stakeholder Approach”, 1984

⁵⁴ Weiss, 1998



Annex 4 (Tool 5) – Examples of evaluation frameworks

Table 17 - Example of an evaluation framework for assessing effectiveness for Specific Objective 1

Evaluation questions (examples)	Factors of success (examples)	Indicators (PMEF indicators and examples of specific indicators ⁵⁵)	Data sources
<p><u>Viable farm income:</u></p> <p>To what extent have the CAP Strategic Plan interventions ensured viable farm income?</p>	<p>Farm incomes were increased due to CAP Strategic Plan interventions.</p>	<p>Output</p> <ul style="list-style-type: none"> > Number of hectares benefitting from basic income support (0.4) > Number of beneficiaries or hectares benefitting from payments for small farmers (0.5) > Number of hectares benefitting from complementary income support for YF (0.6) > Number of hectares benefitting from redistributive income support (0.7) > Number of hectares/Number of heads of livestock benefitting from coupled income support (0.10-0.11) > Number of hectares or head benefitting from ecoschemes (0.8) 	<p>EUROSTAT (EAA⁵⁶)</p> <p>Data for CAP payments (former CATS)</p> <p>SFC2021</p>
<p><u>Viable farm income:</u></p> <p>To what extent have the CAP Strategic Plan interventions ensured viable farm income?</p>	<p>Farm incomes were increased due to CAP Strategic Plan interventions.</p>	<ul style="list-style-type: none"> > Number of hectares benefitting from support for areas facing natural or other specific constraints (0.12) > Number of hectares benefitting from support under Natura2000 or 2000/60/EC (0.13) <p>Result</p> <ul style="list-style-type: none"> > % Share of CAP support in FI/AWU * > Agricultural Factor Income per Annual Work Unit (FI/AWU) * <p>Impact</p> <ul style="list-style-type: none"> > Evolution of agricultural factor income (1.3) 	<p>EUROSTAT (EAA1)</p> <p>Data for CAP payments (former CATS)</p> <p>SFC2021</p>
<p><u>Viable farm income:</u></p> <p>To what extent have the CAP Strategic Plan interventions ensured viable farm income?</p>	<p>Variability of farm incomes was reduced due to CAP Strategic Plan interventions.</p>	<p>Output</p> <ul style="list-style-type: none"> > Number of hectares benefitting from basic income support (0.4) > Number of beneficiaries or hectares benefitting from payments for small farmers (0.5) > Number of hectares benefitting from complementary income support for YF (0.6) > Number of hectares benefitting from redistributive income support (0.7) > Number of hectares/Number of heads of livestock benefitting from coupled income support (0.10-0.11) > Number of hectares or head benefitting from ecoschemes (0.8) > Number of hectares benefitting from support for areas facing natural or other specific constraints (0.12) > Number of hectares benefitting from support under Natura2000 or 2000/60/EC (0.13) 	<p>EUROSTAT (EAA)</p> <p>SFC2021</p>

⁵⁵ Depicted with an asterisk. Specific indicators are optional and Member States are not required to use them

⁵⁶ Economic Accounts for Agriculture.



		<p>Result</p> <ul style="list-style-type: none"> > Evolution of FI/AWU * <p>Impact</p> <ul style="list-style-type: none"> > Evolution of agricultural factor income (I.3) 	
<p><u>Resilience:</u></p> <p>To what extent have the CAP Strategic Plan interventions supported the resilience of the agricultural sector and ensured the economic sustainability of agricultural production?</p>	<p>The resilience of the farming sector was improved due to CAP Strategic Plan interventions.</p>	<p>Output</p> <ul style="list-style-type: none"> > Number of units covered by supported CAP risk management tools (O.9) <p>Result</p> <ul style="list-style-type: none"> > Share of farms with supported CAP risk management tools (R.5) <p>Impact</p> <ul style="list-style-type: none"> > Employment in agriculture * > Assets and liabilities/debts * 	<p>SFC2021</p> <p>EUROSTAT</p> <p>FADN (FSDN)</p>
<p><u>Resilience:</u></p> <p>To what extent have the CAP Strategic Plan interventions supported the resilience of the agricultural sector and ensured the economic sustainability of agricultural production?</p>	<p>Income support was distributed to most vulnerable farmers.</p>	<p>Output</p> <ul style="list-style-type: none"> > Number of hectares benefitting from support for areas facing natural or other specific constraints (breakdown by type of area) (O.12) > Number of hectares benefitting from support under Natura2000 or Directive 2000/60/EC (O.13) <p>Result</p> <ul style="list-style-type: none"> > Percentage of additional support per hectare in areas with higher needs (R.7) <p>Impact</p> <ul style="list-style-type: none"> > Evolution of agricultural income level by type of farming (TF) compared to the average in agriculture (I.4) > Evolution of agricultural income in areas with natural constraints compared to average agricultural income (I.5) > Change in FNVA /AWU between 2014-2022 and 2023-2027 programming periods across sectors (TF) * > Change in the share of CAP support in FNVA/AWU between 2014-2022 and 2023-2027 programming periods across sectors (TF) * > Share of Farm Net Value Added in areas with natural constraints * 	<p>SFC2021</p> <p>FADN (FSDN)</p>



Table 18 Example of the evaluation framework for Efficiency (applicable to any SO)

Evaluation Question: To what extent was the CAP Strategic Plan efficiently managed and implemented in terms of reduced administrative burden for beneficiaries and administrations, and to what extent were the interventions efficiently implemented in terms of the resources used and results achieved?

Evaluation sub-questions (examples)	Factors of success (examples)	Indicators (examples)	Data sources
<p><u>Simplification measures:</u></p> <p>To what extent were simplification measures of the CAP delivery system implemented to lower administrative costs for beneficiaries and for administration?</p>	<p>Simplification measures were successfully implemented along the implementation cycle</p>	<ul style="list-style-type: none"> > Simplified access to information for beneficiaries > Simplification in submission / approval / rejection of project applications > Simplifications in cost accounting (e.g., SCOs) <p>Simplifications in controls</p>	<ul style="list-style-type: none"> > Description of the approach to simplify and reduce the administrative burden in the CSP > Survey
	<p>Simplification measures (e.g., SCOs) responded and mitigated external effects successfully</p>	<ul style="list-style-type: none"> > Simplified delivery mechanisms were used to counteract the crises (economic crisis, energy crisis, COVID pandemic), e.g., through simplified processing of compensation payments 	<ul style="list-style-type: none"> > Survey
<p><u>Cost-effectiveness:</u></p> <p>To what extent were the benefit/impacts achieved with the lowest expense?</p>	<p>In the implementation of the interventions, an adequate cost-effectiveness ratio was achieved between the resources used and the results achieved</p>	<p>Cost-effectiveness ratio calculated by:</p> <ul style="list-style-type: none"> > Impact indicators which could be quantified > Realised investment volume in interventions which are related to the impact indicator <p>(Can only be evaluated once the achievements have been determined)</p>	<ul style="list-style-type: none"> > Data on achievements (results, impacts) > Data on full implementation costs to generate an achievement



Annex 5 (Tool 5) – Data sources for assessing evaluation criteria / specific objectives

The table below offers a non-exhaustive list of potential data sources to be explored for the different evaluation criteria and SOs.

Table 19 - A non-exhaustive list of potential data sources to be explored for the different evaluation criteria and SOs

Evaluation criteria/SO	Data sources
Effectiveness for SO1, SO2, SO3	<ul style="list-style-type: none"> > EUROSTAT (EAA) > Data for CAP payments (former CATS) > FADN (FSDN) > SFC2021 > National statistics > Member State registers > FI Compass
Effectiveness for SO4, SO5, SO6	<ul style="list-style-type: none"> > EUROSTAT > National and EU Implementation Reports (NIR) and Common Reporting Formats (CRF) > SFC2021 > FADN (FSDN) > National Energy and Climate Plan > National estimates of land under GAECs > National/regional estimates of vulnerable grasslands > LUCAS-Soil datasets > EUROSTAT > CORINE Land Cover > Eionet: Floods Directive Reporting, Flood Risk Management Plans > The adaptation preparedness scoreboard country fiches > EEA: WISE WFD protected area spatial data sets > EEA: Water Quality ICM
Effectiveness for CCO	<ul style="list-style-type: none"> > SFC2021 > Surveys and Interviews
Efficiency	<ul style="list-style-type: none"> > Screenings of interventions > Surveys > Data on achievements (results, impacts) > Data on full implementation costs to generate an achievement
Relevance	<ul style="list-style-type: none"> > SFC2021, financial performance of interventions > Shift in the baseline (CAP context indicators) comparing 2019/2020 (programming) and 2025 (interim evaluation) > Provisions in the CAP Strategic Plans



Coherence	<ul style="list-style-type: none">› Provisions in the CAP Strategic Plans› Analysis of selection criteria applied
Union value added	<ul style="list-style-type: none">› Financial performance compared to financial plans› Implementation of ringfencing› Implementation of conditionalities



Annex 6 (Tool 5) – Data sources for impact indicators

An example of how data needs can be identified for the impact indicators that Member States will need to quantify (i.e. those included in Annex III of Regulation EU 2022/1475) is provided in the table below.

Table 20 - Example of how data needs can be identified for impact indicators

Impact indicators (Annex III IR)	Unit of measurement	Data Sources
<p>I.2 (reducing income disparities: Evolution of agricultural income compared to the general economy)</p> <p>consists out of three specific indicators for agricultural income:</p> <ol style="list-style-type: none"> 1. Agricultural entrepreneurial income plus compensation of employees per annual work unit 2. Farm net income plus wages and social security charges by total Annual Work Unit (AWU) 3. Farm net income minus opportunity costs for own production factors (land and capital) by total family work units 	<ul style="list-style-type: none"> > All three specific indicators are expressed in EUR/AWU > The comparison with non-agricultural labour costs is expressed as a percentage. 	<ul style="list-style-type: none"> > Eurostat – Economic Accounts for Agriculture (agricultural entrepreneurial income; compensation of employees) > Eurostat – Agricultural Labour Input Statistics (AWU in agriculture; hours per AWU) > Eurostat – Labour Cost Statistics (labour costs in industry, construction and services) > DG AGRI - FADN (Farm Net Income; wages and social security charges; opportunity costs for land and capital; total labour input; unpaid labour input)
<p>I.3 (reducing farm income variability: Evolution of agricultural income)</p> <p>consists of three specific indicators:</p> <ol style="list-style-type: none"> 1. Agricultural factor income per annual work unit (AWU). 2. The index of agricultural factor income per AWU. 3. I3. % variation of the Index compared to the last 3 year average. 	<ul style="list-style-type: none"> > 1: EUR (in real terms)/ AWU > 2: Index 2010 =100 > 3: % 	<ul style="list-style-type: none"> > 1: Eurostat, Economic Accounts for Agriculture and Agricultural Labour Input Statistics > 2-3: Eurostat, Economic Accounts for Agriculture (EAA)
<p>I.4 (supporting viable farm income: Evolution of agricultural income level by type of farming (compared to the average in agriculture) and I.5 (contributing to territorial balance: evolution of agricultural income in areas with natural constraints (compared to the average)) consists out of specific indicators:</p> <ul style="list-style-type: none"> > Farm net value added by type of farming. > Farm net value added by region. > Farm net value added by economic farm size. 	<ul style="list-style-type: none"> > EUR/AWU 	<ul style="list-style-type: none"> > FADN sample survey of farms.



<ul style="list-style-type: none"> › Farm net value added by physical farm size. <p>Farm net value added in areas facing natural and other specific constraints.</p>		
<p>I.10 (contributing to climate change mitigation: Greenhouse gas emissions (GHG) from agriculture) consists out of seven specific indicators:</p> <ul style="list-style-type: none"> › GHG emissions from agriculture › Share of GHG emissions from agriculture in total GHG emissions › GHG emissions and removals from LULUCF › GHG emissions from agriculture including cropland and grassland › Share of GHG emissions from agriculture including cropland and grassland in total GHG emissions › GHG emissions from livestock › HG emissions from ruminants 	<ul style="list-style-type: none"> › 1, 3, 4: Tonnes (Megatons) of CO2 equivalents per year for the absolute value and % for the change compared to baseline. › 2, 5: % › 6: tonnes of CO2 equivalents/ha › 7: tonnes of CO2 equivalent/LU 	<ul style="list-style-type: none"> › Annual national inventory submissions to the EU. › The inventory is compiled by each Member State, and then collated and quality-assured by the European Environment Agency (EEA) and the European Topic Centre for Air Pollution and Climate Change Mitigation (ETC/ACM).
<p>I. 12 (increasing sustainable energy in agriculture: Sustainable production of renewable energy from agriculture and forestry) consists out of four specific indicators:</p> <ul style="list-style-type: none"> › Production of renewable energy from agricultural biomass › Production of renewable energy from forestry biomass › Production of renewable energy from agriculture and forestry › Share of the combined production of renewable energy from agricultural and forestry biomass over the total primary energy production of renewable energy 	<ul style="list-style-type: none"> › 1-4: Kilotons › 4: % 	<ul style="list-style-type: none"> › Eurostat -Energy statistic Governance of the Energy Union Reporting, especially: <ul style="list-style-type: none"> › Annex IX › Annex VII, Part 1, paragraph (b) and (g) › Annex VII, Part 1, paragraph (m) (1) for forest biomass › Annex VII, Part 1, paragraph (m) (2) for agricultural biomass for heat and power › MS Progress Reports according to Article 22 of Directive 2009/28/EC › Complete energy balances - annual data
<p>I.14 (improving air quality: Ammonia emissions from agriculture) consists out of two specific indicators:</p> <ol style="list-style-type: none"> 1. Total ammonia emissions 2. Change in ammonia emissions compared to 2005 	<ul style="list-style-type: none"> › 1: Kilotons of NH3 per year › 2: % 	<ul style="list-style-type: none"> › Member States national scale emission data (EEA). The reported data is available through the EEA's website



<p>I.15 (improving water quality: Gross nutrient balance on agricultural land) consists out of three specific indicators:</p> <ol style="list-style-type: none"> 1. Gross nutrient balance - nitrogen 2. Gross nutrient balance - phosphorus 3. Nitrates in groundwater 	<ul style="list-style-type: none"> > kg N/ ha/ year > kg P/ ha/ year > % of groundwater stations above the concentration threshold (50 mg NO₃/l) 	<ul style="list-style-type: none"> > Eurostat (currently only available for those countries that report. Compulsory transmission of Gross Nutrient Balance data are planned to be part of the future legislation on agricultural statistics, in the Regulation on Statistics of Agricultural Input and Output (SAIO), planned to be adopted by the Commission by the end of 2020). > For the countries which don't provide data, estimates are calculated and published by Eurostat based on various available data sources, most importantly the Eurostat fertilizers, crop and livestock statistics, National inventory submissions to UNFCCC and CLRTAP, Fertilizers Europe and FAO database.
<p>I.26 (a fairer CAP: Distribution of CAP support) consists out of two specific indicators:</p> <ol style="list-style-type: none"> 1. Share of support received by 20% of the largest beneficiaries of the CAP 2. Interquartile range of CAP support by beneficiary 	<ul style="list-style-type: none"> > 1: % > 2: EUR / beneficiary 	<ul style="list-style-type: none"> > Member States' operations database

Source: [Impact indicator fiches](#)



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