



## TOOL 1.2

# INDICATIVE OUTLINE OF TERMS OF REFERENCE FOR THE EX-ANTE EVALUATION OF THE CAP STRATEGIC PLAN

THEMATIC WORKING GROUP No 7  
'PREPARING FOR THE EX-ANTE EVALUATION OF THE CAP  
STRATEGIC PLAN'

12 JUNE 2019

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The Evaluation Helpdesk is responsible for the evaluation function within the European Network for Rural Development (ENRD) by providing guidance on the evaluation of RDPs and policies falling under the remit and guidance of DG AGRI's Unit C.4 'Monitoring and Evaluation' of the European Commission (EC). In order to improve the evaluation of EU rural development policy the Evaluation Helpdesk supports all evaluation stakeholders, in particular DG AGRI, national authorities, RDP managing authorities and evaluators, through the development and dissemination of appropriate methodologies and tools; the collection and exchange of good practices; capacity building, and communicating with network members on evaluation related topics.

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## ACRONYMS

CAP	Common Agricultural Policy
CPR	Proposal for Common Provisions Regulation, COM/2018/375 final
CSP	CAP Strategic Plan
EAFRD	European Agricultural Fund for Rural Development
EAGF	European Agricultural Guarantee Fund
EC	European Commission
EU	European Union
FADN	Farm Accountancy Data Network
RDP	Rural Development Programme
SEA	Strategic Environmental Assessment
SPR	Proposal for CAP Strategic Plan Regulation, COM/2018/392 final
SWOT	Strengths Weaknesses Opportunities Threats Analysis
ToR	Terms of Reference

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## 1 INTRODUCTION

### About this document

The present document aims to **build capacity on drafting Terms of Reference (ToR)** for the ex-ante evaluation of the CAP Strategic Plan (CSP) in the programming period 2021 – 2027. It also contains an indicative outline example of possible Terms of Reference to further specify the tasks and cornerstones of the ex-ante evaluation. This example has the purpose to

- Foster the discussion between actors involved in drafting the terms of reference
- Identify issues that need further consideration and/or clarification
- Share lessons on drafting the ToR in the current programming period
- Build capacity among stakeholders newly involved in ex-ante evaluation

### Working process

This draft document has been prepared by evaluation experts by taking into account the legal proposal *COM(2018) 392 final (hereafter referred to as SPR)* and by collecting the lessons learnt from tendering the ex-ante evaluation and Strategic Environmental Assessment (SEA) in the current programming period. The drafting work has been carried out in the context of the Evaluation Helpdesk's Thematic Working Group No 7. The suggestions and comments of evaluation stakeholders from the Member States collected through the Sounding Board in April 2019 have been used to further refine the document.

*A tool supporting the preparation of Terms of Reference for the Strategic Environmental Assessment of the CAP Strategic Plan is available in a separate document (see Tool 1.3).*

### Terms of Reference

Terms of Reference serve as a basis for defining the contractual relationships, roles and responsibilities between the contracting authority (i.e. authority responsible for the preparation of the CSP according to Article 94(2) of the SPR proposal) and the contractor (ex-ante evaluator). Moreover, they inform the potential contractors of what is expected with respect to the content, process, deliverables, quality and timing of the evaluation. The ToR can remain an important point of reference throughout the conduction of the evaluation work.

### Relevant legislation

The most relevant information with regard to the ex-ante evaluation of the CSP can be found in the [legal proposal for the CAP Strategic Plan](#) (COM/2018/392 final) in the following articles, or in the equivalent provisions of the finally adopted text, if different:

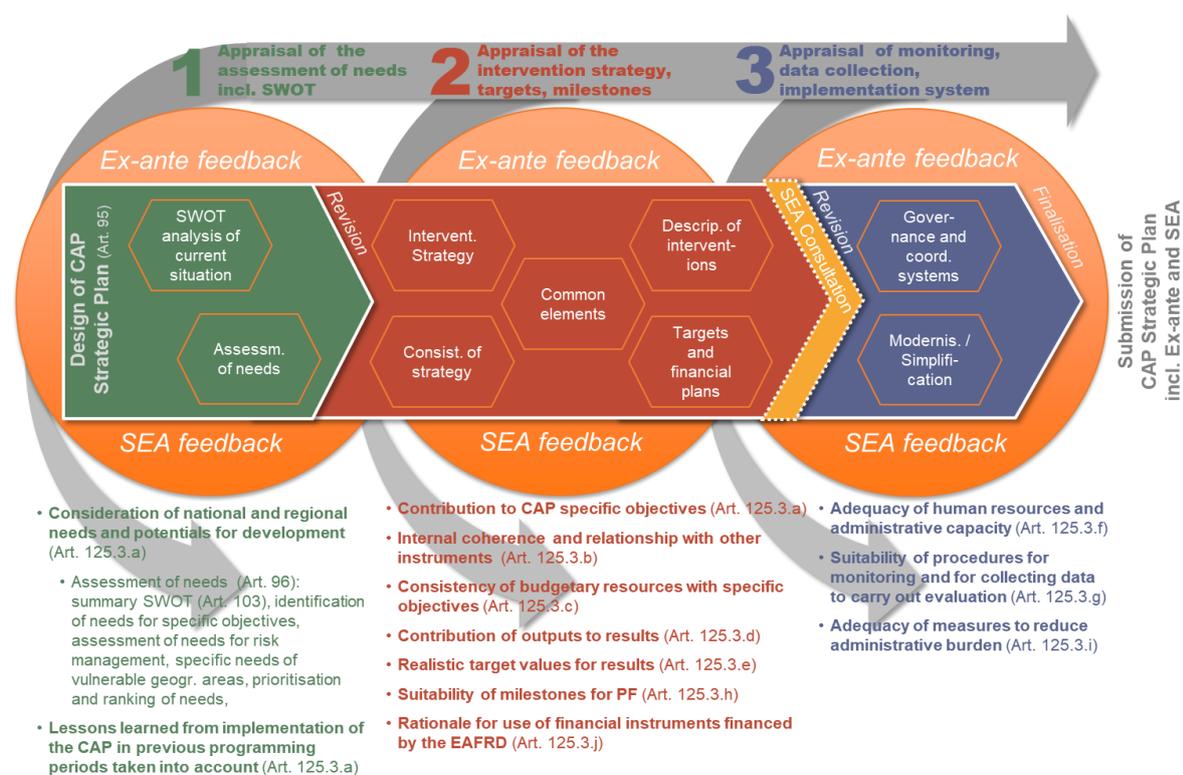
- Article 95(2): Annex I on the ex-ante evaluation and the Strategic Environmental Assessment (SEA)
- Article 96: Assessment of needs
- Article 97(1): CAP Strategic Plan intervention strategy and targets are set up supported by the ex-ante evaluation, SWOT, assessment of needs
- Article 97(2): Consistency and coherence of the intervention strategy across the specific objectives
- Article 103(1): Annex I to the CAP Strategic Plan includes a summary of the ex-ante evaluation, Strategic Environmental Assessment, how recommendations have been followed, link to complete ex-ante evaluation report and SEA report
- Article 106(2): EC assesses CSP on the basis of the SWOT and ex-ante evaluation

- Article 110(2)(d): Managing authority ensures that the ex-ante evaluation conforms to the evaluation and monitoring system and that it is accepted and submitted to the Commission
- Article 115(2)(f): The ex-ante evaluation is part of the performance framework
- Article 116: Objectives of the performance framework
- Article 125: Objectives, responsibilities and scope of ex-ante evaluation.

### How is the ex-ante evaluation linked to the SEA and CSP programming process?

The ex-ante evaluation is strongly linked to the programming of the CAP Strategic Plan and the Strategic Environmental Assessment. This interlinkage can be organized in various possible ways: e.g. by providing a joint ex-ante and SEA feedback in an iterative exchange with the programming authority or by providing input to draft CSP documents at defined stages. In each case, the ex-ante evaluation provides an **independent view** into the preparation of the CSP.

**Box 1. The ex-ante evaluation linked to SEA and programming process (example)**



The Figure above shows **one possible way** of organising the ex-ante evaluation process. The ex-ante evaluation runs along the preparation of the single chapters of the CAP Strategic Plan (orange hexagons), keeping in mind the consistency and living character of the whole CAP Strategic Plan. In this example, both the ex-ante evaluation and SEA start with the SWOT analysis of the current situation<sup>1</sup> and accompany the CSP programming process by providing a step by step feedback to the single chapters of the CSP template (orange hexagons) and the elements to be appraised according to Article 125(3). The SEA process is closely linked to the ex-ante evaluation. It may be contractually integrated into the ex-ante evaluation, or be run as a separate contract. In the latter case, a strong ongoing coordination must be ensured.

*For a more detailed consideration of the various SEA stages please consult the separate Tool 1.3.*

<sup>1</sup> N.B. In some Member States the „Analysis of the current situation“ is done as a separate exercise before the SWOT.

## 2 INDICATIVE OUTLINE OF TERMS OF REFERENCE FOR EX-ANTE EVALUATION OF THE CAP STRATEGIC PLAN 2021-2027

The following example of Terms of Reference for ex-ante evaluation is **indicative and non-prescriptive**. It is designed as a possible help and inspiration for actors concerned with the ex-ante evaluation of the CSP. Due to state of play of the adoption of the legal proposals and the different situations and legislations in the Member States, various adaptations may be needed [as also highlighted in brackets]. Furthermore, the example contains practical considerations and suggestions (in orange text boxes).

### Title:

**Terms of Reference (ToR) for the ex-ante evaluation [and other specified services] of the CAP Strategic Plan 2021-2027 of [Member State].**

### Call for tender:

The [institution publishing the tender] in its function as [add role of the institution, e.g. the designated Managing Authority, contracting authority] invites interested parties to submit a written proposal for performing the ex-ante evaluation [and other specified services] of the [name of the CAP Strategic Plan 2021-2027] in [name of the Member State].

### 2.1 Overall purpose of the contract

The object of procurement is the ex-ante evaluation of the CAP Strategic Plan (CSP) in [Member State] 2021 – 2027 according to Regulation (EU) No xxxx/20xx of the European Parliament and of the Council from xx.xx.20xx<sup>2</sup> (hereafter referred to as CAP Strategic Plan Regulation (SPR)) and national requirements and furthermore includes [specify further contracted services, if any. For possible services see box below].

#### Box 2. Examples of further tasks linked to ex-ante evaluation

Further tasks of the ex-ante evaluation could be added and possibly include:

- The Strategic Environmental Assessment (SEA) as a lot within the ex-ante tender instead of a separate tender (as required by some national legislations).
- Carrying out specific thematic assessments (for example an analysis of farm income distribution, on impact of rules on conditionality, etc.).
- Assessment of regional specificities and/or other aspects (e.g. in regionalised Member States).
- The ex-ante evaluation could also be linked to the ex-ante assessment of financial instruments according to Article 52(3) of the draft Common Provisions Regulation (CPR)<sup>3</sup>, in case ex-ante assessment of financial instruments is carried out before or in parallel to the ex-ante evaluation. However, the assessment of the 'rationale for the use of financial instruments financed by the EAFRD', as outlined in Article 125 (3) (j) of the SPR proposal is in each case part of the ex-ante evaluation of the CSP and focuses on the appraisal of the general needs identified in the CSP to use the financial instruments to address market failure or suboptimal investment situation. By contrast, the CPR requirements covers the ex-ante assessment of an individual financial instrument (amount of programme contribution, leverage effect, proposed financial products, etc.).

<sup>2</sup> Currently present as: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing rules on support for strategic plans to be drawn up by Member States under the Common Agricultural Policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council. COM/2018/392 final – 2018/0216(COD).

<sup>3</sup> [COM/2018/375 final](#).

## 2.2 Context

According to Article 93 of the SPR proposal, [Member State] will establish a single CSP 2021 – 2027 for its entire territory. The main aim of the CAP 2021-2027 is to further improve the sustainable development of farming, food and rural areas and to contribute to achieving three **general objectives** (Article 5 of SPR proposal): namely, (a) to foster a smart, resilient and diversified agricultural sector ensuring food security; (b) to bolster environmental care and climate action and to contribute to the environmental and climate related objectives of the Union; (c) to strengthen the socio-economic fabric of rural areas. Those objectives are to be complemented by the cross-cutting objective of modernising the sector by fostering and sharing of knowledge, innovation and digitalisation in agriculture and rural areas, and encouraging their uptake.

The achievement of the general objectives shall be pursued through the following **nine specific objectives** (Article 6 of SPR proposal):

1. support viable farm income and resilience across the Union to enhance food security;
2. enhance market orientation and increase competitiveness, including greater focus on research, technology and digitalisation;
3. improve the farmers' position in the value chain;
4. contribute to climate change mitigation and adaptation, as well as sustainable energy;
5. foster sustainable development and efficient management of natural resources such as water, soil and air;
6. contribute to the protection of biodiversity, enhance ecosystem services and preserve habitats and landscapes;
7. attract young farmers and facilitate business development in rural areas;
8. promote employment, growth, social inclusion and local development in rural areas, including bio-economy and sustainable forestry;
9. improve the response of EU agriculture to societal demands on food and health, including safe, nutritious and sustainable food, food waste, as well as animal welfare.

The '**new delivery model**', proposed in the SPR, requires Member States to cover in their CSP interventions carried out under the European Agriculture Guarantee Fund (EAGF) and the European Agriculture Fund for Rural Development (EAFRD), also known as Pillar I and Pillar II funding. Accordingly, the scope of the ex-ante evaluation encompasses now all CAP Pillar I and II interventions that are covered by the CSP. Furthermore, the new delivery model shifts the policy focus from compliance to performance and rebalances responsibilities between the EU and the Member State level with more subsidiarity. The new model aims at better achieving EU objectives based on strategic planning, broad policy interventions and common performance indicators, thus improving policy coherence across the future CAP and with other EU objectives.

Member States draft their CSPs, involving the partnership of public authorities, competent authorities for the environment and climate, economic and social partners, civil society bodies, including an analysis of Strengths, Weaknesses, Opportunities and Threats, an assessment of the needs, a Strategic Environmental Assessment of the geographic area to be covered by the draft CSP, and an ex-ante evaluation of the draft CSP.

The current status of the programming of the CSP in [Member State] can be summarized as follows [insert further detail on current/planned programming status].

**Box 3. Informing the applicants about the programming status**

The programming of the CSP is on the one hand influenced by the progressive specification of the EU level framework conditions, i.e. the multiannual financial framework, regulations, implementing acts. On the other hand, in the Member State, the political decision-makers, the administration, economic and social partners and the ex-ante evaluation itself will influence the planning of the CSP. The final design of the CSP can only be decided after both the legal framework and the financial resources are known.

The description of the current/planned programming status could include further information in the following areas:

- ( ) EU-level: general architecture of the programming process, objectives and priorities of the CAP according to initial reference documents;
- ( ) Member State level: previous programmes and evaluations, status of the preparation of the CSP.

**2.3 Specific objectives of the ex-ante evaluations**

The ex-ante evaluation is carried out to [support the preparation and to] improve the quality of the design of the CSP (Article 125(1) of the SPR proposal) and thus to ensure that the CSP is in line with the needs identified during the SWOT-analysis and needs assessment. It also ensures that the CSP is in line with the EU general and specific objectives as outlined in Articles 6 and 7 of the SPR proposal.

The ex-ante evaluation is carried out by functionally independent experts in close cooperation with the authority responsible for the drafting of the CSP [and bodies/contractors working on e.g. the SWOT analysis, SEA, programme planning documents, etc.].

[The ex-ante evaluation accompanies as a formative evaluation the progressive development of the CSP in an iterative manner: from the SWOT analysis of the current situation, through the assessment of needs, the development of the intervention strategy, the definition of targets and milestones, to the design of interventions and allocation of budgetary resources, etc.]

At the same time, the ex-ante evaluation is one of the elements of the performance framework as outlined in Article 115(2)(f) of the SPR proposal. As such it sets the basis for effective monitoring and evaluation during the implementation of the CSP.

All in all, the ex-ante evaluation shall contribute to a better targeted support through the CAP and to support a common learning process related to monitoring and evaluation.

**2.4 Legal basis and documents to be considered**

All the relevant regulations, directives, documents, working papers have to be taken into account in the course of the ex-ante evaluation in their latest available version. The following documents should be considered [list of documents]:

**Box 4. What background documents could be listed in the ToR for the ex-ante evaluation?**

The ToR should list all relevant documents that have to be taken into account, even if not yet available or not yet in force.

- [list already existing documents at EU-level including drafts]
- [list future / expected documents at EU-level]
- [list relevant Member State documents] (e.g. current RDP(s), evaluation reports, implementation reports on CAP, including Pillar 1, etc.).

## 2.5 Specific tasks / scope of the ex-ante evaluation

### A. Elements to be covered by the ex-ante evaluation

The ex-ante evaluation shall appraise all elements covered by Article 125 (3)(a-j) of the legal proposal for the SPR, or the equivalent provisions of the finally adopted text, if different:

- a) the contribution of the CAP Strategic Plan to the CAP specific objectives, taking into account national and regional needs and potential for development as well as lessons drawn from implementation of the CAP in previous programming periods;
- b) the internal coherence of the proposed CAP Strategic Plan and its relationship with other relevant instruments;
- c) the consistency of the allocation of budgetary resources with the specific objectives of the CAP Strategic Plan;
- d) how the expected outputs will contribute to results;
- e) whether the quantified target values for results are realistic, having regard to the support envisaged from the EAGF and EAFRD;
- f) the adequacy of human resources and administrative capacity for management of the CAP Strategic Plan;
- g) the suitability of the procedures for monitoring the CAP Strategic Plan and for collecting the data necessary to carry out evaluations;
- h) the suitability of the milestones selected for the performance framework;
- i) measures planned to reduce the administrative burden on beneficiaries;
- j) the rationale for the use of financial instruments financed by the EAFRD.

### B. [CSP-specific ex-ante evaluation questions and tasks, if applicable]

#### Box 5. Defining CSP-specific evaluation questions already in the ToR?

The Managing Authority may develop specific ex-ante evaluation questions alone or in cooperation with the contractor during the inception phase of the contract. This helps to further focus the ex-ante evaluation on specific evaluation needs of the Member State. In case a list of specific Evaluation Questions/tasks is included in the ToR, they should be reviewed/fine-tuned in the inception phase of the ex-ante evaluation. It is not mandatory to define and use evaluation-questions for the ex-ante. (Examples of guiding questions to support the ex-ante assessment of the various elements listed in Art. 125 of the SPR proposal are provided in separate tools of [Thematic Working Group no. 7](#))

## 2.6 Methods

While the ex-ante evaluation has a strong component of a “formative evaluation” that basis itself on iterative feedback-loops with the actors involved in programming the CSP, it also requires sound and well-tested methods in order to arrive to robust and reliable conclusions based on sound evidence.

The description of the methods and used information sources will be a part of the final ex-ante evaluation report, as well as their implications for the quality of the results. This should allow an assessment of the reliability of the findings of the ex-ante evaluation and facilitate the provision of useful and sound conclusions and recommendations.

In the proposal the applicant should suggest, describe and explain the intended methodological approaches for the ex-ante evaluation. The ex-ante evaluation is expected to utilize already existing evidence as far as possible. The Managing Authority will support the evaluator in retrieving relevant data and information from other institutions.

The Managing Authority will work closely with the ex-ante evaluation team and is to be kept informed about the status of the progress of work [possibly add further specifications]. The contractor may be asked by the contracting authority to participate in events and to give presentations.

[The assessment of the quality of the final ex-ante evaluation report will be based on the following criteria: fulfilment of the tasks described in the ToR, adequate length, adequate methods, robustness of the data, well-founded analysis, clarity of conclusions and feasibility of recommendations...]

**Box 6. Evaluation methods for the ex-ante**

**Are there any legal requirements on methodologies for ex-ante evaluation?**

No, but there is good practice that can be followed in terms of methods to apply. Possible methods depend on the objectives and tasks of the ex-ante evaluation and include for example,

- Cost-benefit analysis, modelling techniques, statistical analysis, etc.
- For check of Intervention strategy: Focus group, theory of change, etc.
- ...

**What types of methods are most appropriate?**

The lesson from the 2014-2020 periods was, that a mix of quantitative and qualitative methods is most fruitful for the ex-ante evaluation. When considering Pillar I, which represents the biggest share of the CAP funding, it should be recalled that income support (the first of the 9 CAP specific objectives) is the main purpose of granting Pillar I payments. Therefore, in assessing this first specific objective, the ex-ante evaluation could focus particularly on how the income support element has been incorporated in the CSP and the expected effects on farm incomes of the policy choices made. Specific data-sets and information, as well as quantitative methods may be important to analyse the potential effects. As for the data needs on income support, it is reminded that some useful data and analysis can be obtained through *inter alia* the FADN database, which contains accountancy data for farms for the determination of incomes and business analysis of agricultural holdings. Such database also presents the advantage of being EU-wide harmonised, which allows some possible comparisons.

In relation to the analysis of potential effects, different policy scenarios could be conducted. These could be pre-set in the ToR where appropriate.

Further information on possible ex-ante evaluation methods can be found in the [Guidelines for the ex-ante evaluation of 2014-2020 RDPs](#) (June 2014).

**How can the methods applied ensure the quality of the final ex-ante evaluation?**

First of all, where appropriate, quality requirements may be defined already in the ToR in relation to the applied methods (e.g. prescribing quantitative methods for certain indicators); alternatively, preferred methods could be explicitly defined. Secondly, good quality context data contributes to the quality of the ex-ante evaluation. The availability of context data has generally improved and this can therefore feed into the chosen methods and raise the standards for the ex-ante evaluation.

## 2.7 Timing, workplan and interactive procedures

The ex-ante evaluation and SEA accompany the development process of the CSP [insert other relevant processes, if any]. It is therefore essential that these parallel processes, their timetables and the relevant actors are well coordinated. The minimum requirements for the partners to be included in the development of the CSP are listed in Article 94 of the SPR proposal.

[The aim is to establish an iterative ex-ante evaluation-process which is characterized by mutual exchange and feedback loops between the CSP designers and the evaluators, who should work together to achieve a high-quality design of the CSP. This process needs to be well managed and documented by the contractor.]

It is important to note that the discussions between EU Member States, the European Commission and the European Parliament on legal proposals are ongoing. The legal proposals are subject to change at any time, up to their adoption by the European Council and the European Parliament. Tenderers should be aware that the timeline for the preparation of the CSP may change and have implications on the timelines and the work carried out under this tender.

The provisional timetable of the ex-ante evaluation of the CSP in [Member State] is as follows and will be adapted according to changes in the planning process. [The provisional timetable including draft deliverables for the Member State.]

The presence of the final ex-ante evaluation report is a prerequisite for the submission of the CSP to the European Commission.

[The evaluator's contractual obligations expire only after the approval of the CSP by the European Commission. Necessary adjustments of the ex-ante evaluation until the final approval of the CSP are carried out by the contractor as required.]

#### **Box 7. How to structure the ex-ante evaluation process?**

One of the lessons learned from previous experience of carrying out the ex-ante evaluation in an iterative manner was that the evaluators have to be well aware that several updates of the SWOT, intervention strategy and other CSP elements may become available or are even triggered through the ex-ante evaluation, and will need to be considered as part of the ongoing ex-ante appraisal. The provisional timetable of the ex-ante evaluation could be structured in stages, e.g.:

- Stage 1: Appraisal of the assessment of needs including SWOT analysis of the current situation (N.B. The analysis of the current situation may be a separate document in some Member States)
- Stage 2: Appraisal of the intervention strategy, targets and milestones
- Stage 3: Appraisal of monitoring, data collection, implementation system
- Stage 4: Drafting of Final ex-ante evaluation report (and revision if necessary)

Ideally each stage finishes with a draft report. If the SEA is included in the ex-ante evaluation, the SEA feedback may be integrated throughout the relevant ex-ante stages (The specific SEA reporting and public consultation requirements need however to be respected and should be built in from an early stage).

Overall, the timelines and requirements will probably result in a significantly longer duration of the ex-ante evaluation for the CSP compared to that for the 2014-2020 RDPs.

The way in which Managing Authorities deal with the uncertainties inherent to the fact that the ex-ante evaluation will, in many countries, be contracted before the legal provisions are finalised, depends on the respective juridical and institutional rules and normal practice governing the Member State. The proposed clause to ask contractors to reserve resources for possible adjustments/revisions is one possibility. Another possibility is to foresee additional assignments for the ex-ante evaluators, if needed.

## **2.8 Reporting**

[The deliverables have to be defined according to the specific timetable and workplan of the ex-ante evaluation and could include:

- draft reports according to ex-ante stages and tasks as specified in the ToR;

- a final report according to a defined structure;
- [documentation of potential meetings with Managing Authority/partnership].

The elements of the ex-ante evaluation shall be presented in a final report bringing together all findings of the evaluation. This report should reflect the applied methods, the evaluation process, the changes and improvements to the CSP which have been recommended throughout the evaluation process and the final assessment of the draft CSP. The report must be clearly structured and formulated and include an executive summary.

**Box 8. Specifying the reporting requirements in the ToR**

The ToR can furthermore specify

- Description of deliverables according to the stages of the ex-ante evaluation.
- The number of copies, electronic version, CD ROM etc. should also be defined in the ToR.
- Maximum pages for the ex-ante evaluation (e.g. 150 pages, 5 pages for the executive summary (e.g. an additional English translation of the summary)) may be defined.
- The ex-ante evaluation report structure should feature in the Annex of the ToR.

## 2.9 Budget, expertise required, selection procedure

For the following three areas of the indicative example of the ToR only general considerations are given, as they will be very different for each Member State.

### Budget

The "[Guidelines for the Ex-ante Evaluation of 2014 – 2020](#)" include some hints concerning resource requirements for typical ex-ante evaluation tasks in the programming period 2014-2020 (Part III Toolbox: 4. Indicative number of man-days for ex-ante and SEA). Due to the changes in the policy framework, notably the extended scope of the ex-ante evaluation of the CSP (covering both Pillar I and II) and the 'new delivery model', the planned budget will need to be adapted accordingly<sup>4</sup>.

Furthermore, the following should be considered:

- Reserve some work days for the evaluators to undertake additional analysis during the negotiations of the CSP with the Commission.
- The budget size of the ex-ante evaluation is also closely linked to the methodological requirements and applied methods which shall be taken into consideration during the assessment of the proposals.
- In regionalised Member States, the cost of the ex-ante evaluation will depend particularly on the manner in which regional aspects and elements are addressed in the CSP.
- The cost of the ex-ante evaluation undertaken externally may be covered by the Technical Assistance budgets from the 2014-2020 RDPs. Current rules and procedures concerning eligibility and rates of contribution are applicable.

The ToR should include also information on:

- which costs can be covered by the contractor;
- how the remuneration is planned along the defined deliverables and the timeline;
- how the deliverables will be approved by the contracting authority;
- if and how supplementary works will be remunerated in terms of time (prolongation of the task) and in terms of justified complexity of applied methods in favour of high quality of the ex-ante evaluation.

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<sup>4</sup> A proper planning of the foreseen budget for the ex-ante evaluation does not automatically mean that the available budget has to be mentioned in the ToR. The available maximum budget for the ex-ante evaluation is indicated just in some cases in the ToR, stimulating a performance instead of a price competition.

In some cases, the available minimum budget for the ex-ante evaluation is indicated in the ToR, stimulating a performance instead of a price competition.

### **Required expertise**

This part of the tender defines the required capacities and the requested evidence and explanations to check the expertise, reliability and capability of the tenderer to perform the task. This might include: formal qualifications of the experts involved, their qualification and experience in the field of the CAP (Pillar I and II) and related EU policies and their evaluation, good communication and collaboration skills, e.g. via proven active participation in international, interregional or other partnership based projects, etc.

### **Presentation of the proposal**

The structure of the proposal should be defined in the ToR. It would typically include

- the methodological approach
- the organisation of the work and time plan
- the cost plan
- the evaluation team and expertise
- formal requirements requested.

### **Selection procedure**

The ToR should indicate how the offers are expected to be submitted and how they are going to be assessed. Generally, a distinction can be made between eligibility criteria (e.g. company status), selection criteria (criteria to assess the competence of the tenderer) and award criteria (quality and price) to assess the offer. The award criteria (e.g. price, methodological quality, quality of content, quality of expertise offered) can be weighted.

### 3 ANNEX

The following box presents an example of a possible structure for the ex-ante evaluation report of the CSP. It must be considered, that this draft is a discussion basis and not prescriptive.

#### Box 9. Possible structure of the ex-ante evaluation report

- **Executive summary in English**
- **Executive summary in national language**
- **Table of contents**
  
- **Section I: Introduction**
  - Purpose and objectives of the ex-ante evaluation
  - The process and methods: description of steps in conducting the ex-ante evaluation of the CSP and interaction of the ex-ante evaluator with the Managing Authority (and SEA evaluator, if separate)
  
- **Section II: The ex-ante evaluation report**
  - **Appraisal of the assessment of needs including SWOT**
    - Appraisal of the SWOT analysis of the current situation (Article 103)
    - Appraisal of assessment of needs (Article 96)
    - Appraisal of lessons learned from the implementation of the CAP in previous programming periods taken into account (Article 125.3.a)
    - Recommendations including follow-up and feedback loop
  
  - **Appraisal of the intervention strategy, targets and milestones**
    - Intervention strategy and intervention logic (Article 97)
    - Contribution to the CAP specific objectives (Article 125.3.a)
    - Internal coherence and relationship with other relevant instruments (Article 125.3.b)
    - Consistency of the allocation of budgetary resources with the specific objectives of the CAP Strategic Plan (Article 125.3.c)
    - Rationale for the use of financial instruments financed by the EAFRD (Article 125.3.j)
    - Contribution of expected outputs to results (Article 125.3.d)
    - Realistic target values for results (Article 125.3.e)
    - Suitability of the milestones selected for the performance framework (Article 125.3.h)
    - Recommendations including follow-up and feedback loop
  
  - **Appraisal of the monitoring, data collection and implementation system**
    - Adequacy of human resources and administrative capacity for management of the CAP Strategic Plan (Article 125.3.f)
    - Suitability of the procedures for monitoring the CAP Strategic Plan and for collecting the data necessary to carry out evaluations (Article 125.3.g)
    - Measures planned to reduce the administrative burden on beneficiaries (Article 125.3.i)
    - Recommendations including follow-up and feedback loop
  
  - **Appraisal of other aspects of the CAP Strategic Plan**

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