



## TOOL 2.2

# ANALYTICAL TABLES SUPPORTING THE APPRAISAL OF THE ASSESSMENT OF NEEDS INCLUDING THE SWOT

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

JULY 2019

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## ACRONYMS

AKIS	Agricultural Knowledge and Innovation System
CAP	Common Agricultural Policy
CAP SO	CAP Specific Objective
CCI	Common Context Indicators
CSP	CAP Strategic Plan
EC	European Commission
EU	European Union
FADN	Farms Accountancy Data Network
FAS	Farm Advisory Services
GQ	Guiding Question
MA	Managing Authority
SEA	Strategic Environmental Assessment
SPR	Proposal for CAP Strategic Plan Regulation, COM/2018/392 final
SWOT	Strengths Weaknesses Opportunities Threats Analysis



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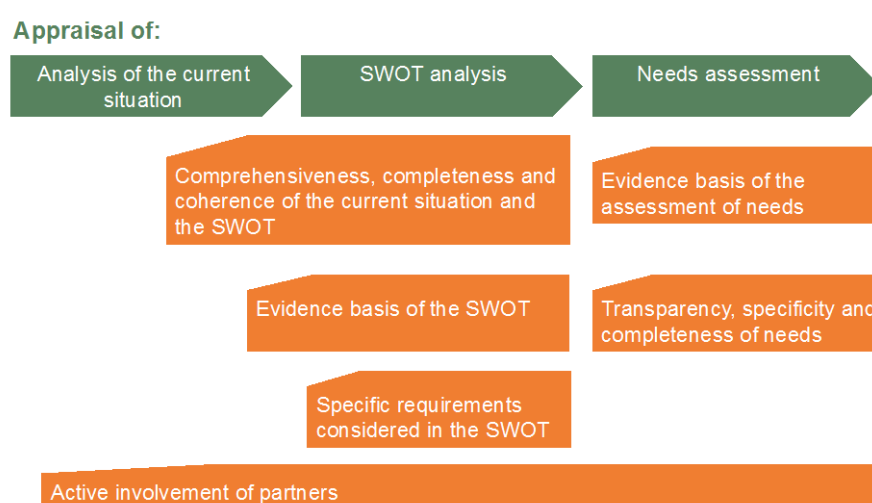


## INTRODUCTION

### About this tool

This tool contains six examples of analytical tables to support the ex-ante evaluators of the CAP Strategic Plans 2021-2027 in their task to appraise the assessment of needs including the SWOT. These tables depict possible ways one might choose to record, and structure relevant information needed for the ex-ante assessment along the logical path from the analysis of the current situation<sup>1</sup> to the SWOT analysis and assessment of needs. The tables provided support the assessment criteria of the Guiding Questions (Tool 2.1) including the completeness, comprehensiveness, evidence basis, specificity, transparency, involvement of partners (see Figure 1).

Figure 1. The logical path of the first stage of the ex-ante evaluation



The tables should be understood as mapping tools, which can serve to aid evaluators in analysis of the information and drawing conclusions and developing recommendations for the SWOT and assessment of needs.

The examples of **analytical tables provided in this tool are not mandatory**. However, they can be very valuable by supporting in:

- identifying issues that need further consideration and/or clarification;
- achieving a common understanding of what makes a good SWOT and assessment of needs;
- building capacity among stakeholders newly involved in the ex-ante evaluation;
- assisting the evaluators in their collection of information for carrying out the appraisal of the SWOT and assessment of needs, while further helping them to adapt to various complexities.

<sup>1</sup> In some Member States available as separate document

## Working process

This tool has been prepared by evaluation experts taking into account the legal proposal for the CAP Strategic Plans *COM(2018) 392 final (hereafter referred to as SPR)*.

The assessment areas covered in this tool include:

- Appraisal of the SWOT analysis of the current situation (Article 103 of SPR proposal).
- Appraisal of the assessment of needs (Article 96 of SPR proposal).
- Appraisal of how lessons learned from the implementation of the CAP in previous programming periods have been taken into account (Article 125(3)(a) of SPR proposal).

Drafting of this tool has been carried out in the context of the Evaluation Helpdesk's [Thematic Working Group no. 7](#). The suggestions of evaluation stakeholders from the Member States have been collected through a written Sounding Board consultation in June 2019 and have been used to refine the tool.

## ANALYTICAL TABLES SUPPORTING THE APPRAISAL OF THE SWOT AND ASSESSMENT OF NEEDS

### 1.1 Checking the extent to which the SWOT is comprehensive, complete and specific

#### 1.1.1 Focus of the table

Analytical Table 1 maps the information provided in the description of the current situation and the SWOT in relation to all specific aspects analysed that may influence the CAP Strategic Plan (CSP) in the Member State (e.g. economic, social and environmental aspects, specific sectors as well as external aspects and trends). This analytical table can be used to further support the answering of [Guiding Questions 1.1 and 1.2 \(see Tool 2.1\)](#). Among these various aspects, specific attention is paid to the territorial level of the analysis in order to assess whether territorial specificities have been considered and analysed in the SWOT.

The table can be used for each specific objective (since the SWOT is carried out per specific objective) or it can be used per general CAP objective encompassing the specific objectives, e.g. one table for food security covering SO1, SO2 and SO3, another table for environment and climate covering SO3, SO4 and SO5 and another table for socio-economic objectives SO7, SO8 and SO9.

The suggested table can be analysed to identify:


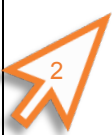


- Whether all potential aspects relevant for the area covered by the CSP have been analysed and whether there are any gaps (e.g. sectors not analysed or poorly analysed).
- Gaps in the territorial coverage of the current situation or in the SWOT (e.g. for those territories which may be specifically targeted by interventions).
- Any territories not addressed, or sectors missed in order to assess the reasons and recommend amendments in the SWOT.

After a careful analysis of a filled table, the evaluators will be in a better position to draw conclusions on whether the SWOT is:

- comprehensive (i.e. includes a description of all elements relevant for the area aspects and sectors),
- complete (i.e. includes a territorial and sectoral analysis under the specific objective or objectives for which it is relevant, based on reliable data),
- specific (i.e. takes into account the specificities of certain territories and sectors).

This will allow for the evaluators to suggest improvements to programme authorities.

Analytical Table 1. The extent to which the SWOT is comprehensive, complete and specific

<p><i>Add the criteria that are important to be assessed.</i></p> 	<p><b>Examples of possible criteria checked by the ex-ante evaluator:</b></p>					
	<p>(1) Elements of the SWOT (strengths (S), weakness (W), opportunities (O), threats (T))</p>	<p>(2) Relevant to SO</p>	<p>(3) Flag if incorrect categorisation of SWOT element</p>	<p>(4) Territorial coverage</p>	<p>(5) Sectoral coverage</p>	<p>(6) ...</p>
<p><i>Fill the table based on a thorough screening of the draft SWOT with a view to identify gaps.</i></p> 	<p><i>Examples:</i></p>					
	<p>Low labour productivity in agriculture (W)</p>	<p>SO2</p>		<p>Region X not analysed</p>	<p>Agricultural sector analysed but fruit and vegetable sectors missing</p>	<p>...</p>
	<p>Increasing investments in R&amp;D (S)</p>	<p>SO2</p>		<p>Region Y and Z not analysed</p>	<p>No sub-sectors analysed</p>	<p>...</p>
	<p>Existence of new products that may constitute new sources of revenue (S)</p>	<p>SO1</p>	<p>Should be an O</p>	<p>All regions analysed</p>	<p>Emphasis on forestry, agrifood sector missing</p>	<p>...</p>
	<p>Primary input prices have risen (T)</p>	<p>SO1 SO2</p>				
	<p>High soil erosion (W)</p>	<p>SO4 SO5</p>		<p>All regions covered</p>	<p>n/a</p>	
	<p>Rich biodiversity (S)</p>	<p>SO6</p>		<p>Region X not covered</p>	<p>n/a</p>	
	<p>High unemployment (T)</p>	<p>SO7 SO8</p>	<p>Should be a W</p>	<p>All regions covered</p>	<p>All sectors analysed</p>	
	<p>Rising business creation by young people (S)</p>	<p>SO7 SO8</p>		<p>Regions X and Y missing</p>		
 	<p><b>Analyse the overall picture of the territorial and sectoral coverage of the SWOT and any possible gaps.</b></p>					
	<p><b>Draw conclusions whether the assessed SWOT is comprehensive, complete and specific. Afterwards check the <u>overall coherence</u> of the SWOT.</b></p>					
	<p><b>Develop detailed recommendations for improving the SWOT.</b></p>					

### 1.1.2 How to fill the analytical table

Filling the table will depend on its specific design in each Member State (e.g. is it used per specific objective or group of objectives, are additional criteria included). An example of how it could be filled follows:

**Column 1-Lists all SWOT elements:** notably all socio-economic or environmental strengths, weaknesses, opportunities and threats.

**Column 2-Relevance for SO:** shows which SO(s) the SWOT element is related to. This column provides the flexibility to the evaluator to list several specific objectives that a particular SWOT element may be associated with (see Analytical Table 1). The analytical table allows evaluators the potential to

group the SWOT elements per SO or create other types of groupings (e.g. per SWOT element to identify how many SOs are affected by the SWOT element or by territorial coverage to identify all similar gaps).

**Column 3-Flagging:** allows the evaluator to flag a SWOT element that has not been correctly categorised (e.g. an opportunity depicted as a strength or a weakness depicted as a threat).

**Column 4-Territorial coverage:** this aims to document whether the element analysed in the situational analysis and the SWOT refers to the national territory and where relevant also takes into account the local/regional levels.

**Column 5-Sectoral coverage:** This aims to document whether all relevant sectors and sub-sectors have been analysed with a view to assess completeness and identify gaps.

**Column 6:** Further columns may be added if more criteria are to be assessed by the evaluator. It could even lead to a macro table depicting the evidence basis for the SWOT (see Analytical Table 2).

## 1.2 Mapping the specific requirements for certain objectives

### 1.2.1 Focus of the table

The SWOT is expected to take into account and analyse specific requirements for certain objectives stemming from the SPR<sup>2</sup> (see [Guiding Question 1.3](#)). These specific requirements include:


- For supporting viable farm income and resilience (SO1), the SWOT should include an analysis of issues related to agricultural income (e.g. the risks of income or price volatility).
- For environment and climate objectives (SO4, SO5, SO6), the SWOT should make reference to the national plans emanating from the legislative instruments listed in Annex XI of the SPR.
- For young farmers (SO7), the SWOT should analyse the share of young farmers' access to land, land mobility and land restructuring, access to finance and credits, and access to knowledge and advice.
- For the cross-cutting objective on knowledge and innovation, the SWOT should consider relevant information about the functioning of the Farm Advisory Services (FAS), AKIS and related structures as well as existing initiatives on innovation and digitisation in the agricultural sector.

Analytical Table 2 maps all the necessary information related to the above specific requirements. The table can not only serve as a checklist for evaluators for ensuring all the requirements are covered, but also for assessing how comprehensive the analysis of the related specific objectives has been carried out. For instance, in addition to the requirements mentioned above for young farmers, the SWOT would be even more comprehensive by analysing their revenues and income and the level of their training and skills.

**Analytical Table 2. Mapping the specific requirements for certain objectives**

Specific requirements for certain objectives	
List of specific requirements	Referred to or taken into account in the SWOT (Yes/No and explanation)
<i>Examples:</i>	
<b>Farm income and resilience (SO1)</b>	
<i>Comparison of agricultural income compared to average economy (average and distribution)</i>	
<i>Analysis of the factors driving farm income (notably by farm size (physical and economic), sector, region, etc.) (including distribution analysis)</i>	
<i>Distribution of direct payments</i>	
<i>Risks of income volatility</i>	Yes

<sup>2</sup> Article 103 (2) of the SPR

<i>Risks of price volatility</i>	Yes
<b>Environment /climate objectives (SO4, SO5, SO6)</b>	
<i>National River Basin Management Plan</i>	Yes, refers to Directive 2000/60/EC
<i>National Action Plan for the Use of Renewable Energy</i>	Yes, refers to Directive 2009/28/EC
<i>National Action Plan for Energy Efficiency</i>	Yes, refers to Directive XXX
<i>etc .....</i>	
	 <b>Include further requirements stemming from Annex XI of the SPR in relation to EU legislation concerning the environment and climate to whose objectives the CAP Strategic Plans should contribute.</b>
<b>Young farmers (SO7)</b>	
<i>Analysis of access to land</i>	Yes
<i>Analysis of access to finance</i>	Yes, problems facing young farmers, especially due to ...
<i>Analysis of the share of young farmers to the total</i>	No
<i>Analysis of the skill level of young farmers</i>	Yes, especially concerning the lack of skills related to modern irrigation technologies
<b>Cross-cutting objective on knowledge and innovation</b>	
<i>Organisation of AKIS</i>	Yes, description of flows between people, organisations and institutions
<i>Structures working together</i>	Yes, offers information on how advisory services, research and rural networks will work together

### 1.2.2 How to fill the analytical table

**Column 1-Lists specific requirements expected to be analysed in the SWOT:** this is the minimum extra required in addition to the common context indicators (CCI) analysis and it should be found in the SWOT. There is however more additional information that can be included in the SWOT to provide a more comprehensive picture (see example mentioned above for young farmers).

For environmental objectives in particular the assessment should pay attention to fulfilling specific requirements related to the EU legislation listed in Annex XI of the SPR.

**Column 2-Whether specific requirements have been taken into account and analysed or not:** A 'Yes' or 'No' answer can be provided together with a short explanation. The table can be expanded to include a further description (e.g. how was the requirement analysed, with what data or information and from which sources).

## 1.3 Checking the evidence basis of the SWOT

### 1.3.1 Focus of the table

Analytical Table 3 aids in the examination of to what extent the SWOT is based on evidence, including evidence from the common context indicators and other quantitative and qualitative data and information. Analytical Table 3 can serve as a basis to gather information for answering [Guiding Question 1.4 \(see Tool 2.1\)](#). Analytical Table 3 aligns each SWOT element in relation with the evidence that has been mentioned in the description of the current situation of the area covered by the CSP, which in some Member States may be in a separate document. The table distinguishes between the different types of evidence (i.e. quantitative, qualitative and other). The table can be developed for each specific objective in accordance also with the SWOT analysis.

The information in the completed table can be analysed with a view to identify:

- Gaps in substantiating all the elements of the SWOT (e.g. are there any strengths, weaknesses, opportunities or threats that do not arise from the analysis of the current situation, or are there strengths, weaknesses, opportunities or threats that have been overlooked?).
- Gaps in the evidence (e.g. whether all common context indicators were used and if not why?).
- Non-plausible evidence (e.g. too much reliance on qualitative evidence or very old data may reduce the validity of the evidence).
- The reliability of the evidence by looking at whether official and reliable sources were used.
- The relevance of the evidence (e.g. by ensuring that evidence is clearly related or accepted as relevant to the identified strength, weakness, opportunity or threat).
- The completeness of the evidence (e.g. by looking at whether a combination of quantitative and qualitative information as well as lessons from the past were used).

As a result of analysing the information in Analytical Table 3, the evaluator may undertake further research and/or consult the programme authorities. For instance, to explain any gaps and to advise programme authorities to take corrective actions if needed.

Analytical Table 3. The evidence basis of the SWOT

<p><b>Specify the SO for which you carry out the appraisal.</b></p>	Specific Objective covered:						
	<i>Examples of possible criteria checked by ex-ante evaluator:</i>						
<p><b>Criteria listed here are comprehensive but more could be added if considered pertinent.</b></p>	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	<p><b>Element of the SWOT</b> (strengths (S), weakness (W), opportunities (O), threats (T))</p>	<p><b>Does the SWOT element clearly arise from the current situation?</b> (Yes/No Or needs further elaboration)</p>	<p><b>Common Context Indicator (CCI) referenced in situation analysis or SWOT</b></p>	<p><b>Other quantitative evidence mentioned in the current situation or SWOT (other than CCI), including source and date</b></p>	<p><b>Qualitative evidence mentioned in the current situation or SWOT, including source</b></p>	<p><b>Evidence from previous experiences and lessons learned, including source and date</b></p>	<p><b>Evidence on access to finance (where relevant), including source</b></p>
<p><b>Fill the table based on a thorough screening of the draft SWOT with a view to identify gaps in the evidence basis of the SWOT.</b></p>	<i>Examples:</i>						
	<i>Important weight of employment generated in the agri-food sector with high labour productivity (S)</i>	<i>Yes</i>	<i>C13 - Employment by economic activity</i>	<i>No</i>	<i>Stakeholder opinions confirm this strength (focus group)</i>	<i>Importance of the agri-food sector in several regions of the country (ex-post evaluation 2007-2013)</i>	<i>Not relevant</i>
	<i>High importance of training measures in RDPs (S)</i>	<i>Needs further elaboration (only the ex-post evaluation mentioned)</i>	<i>No</i>	<i>No</i>	<i>No</i>	<i>Lesson from the ex-post evaluation 2007-2013</i>	<i>Not relevant</i>
	<i>Reduced business activity (T)</i>	<i>Yes</i>	<i>No</i>	<i>Yes, net enterprise creation (source Eurostat)</i>	<i>Stakeholder opinions (interviews)</i>	<i>No</i>	<i>Difficulties for young people to access finance (reported in focus groups)</i>
	<i>Low labour productivity in agriculture (W)</i>	<i>Yes</i>	<i>CCI No - GVA</i>	<i>No</i>	<i>Survey to stakeholders</i>	<i>Yes, from the ex-post evaluation</i>	<i>Not relevant</i>
	<i>High soil erosion (W)</i>	<i>Needs further elaboration</i>	<i>No</i>	<i>No data used</i>	<i>Only stakeholder perceptions</i>	<i>Yes, from stakeholder interviews</i>	<i>Not relevant</i>
	<i>Increasing investments in R&amp;D (S)</i>	<i>Yes</i>	<i>No</i>	<i>% of expenditure on R&amp;D (Eurostat data)</i>	<i>No</i>	<i>No</i>	<i>Not relevant</i>
	<p><b>Analyse the overall picture of the evidence used for the SWOT and any possible gaps.</b></p>						
<p><b>Draw your conclusions whether the assessed SWOT is based on evidence.</b></p>							
<p><b>Develop detailed recommendations for improving the evidence basis of the SWOT.</b></p>							



### 1.3.2 How to fill the analytical table

Filling Analytical Table 3 will depend on its specific design in each Member State (e.g. is it used per specific objective, will additional criteria be included?). An example of how it could be filled follows:

**Column 1:** Lists each element mentioned in the SWOT (e.g. depopulation (weakness), risk of poverty (threat), difficulties for SMEs to access finance (weakness)).

**Column 2:** Checks the analysis of the current situation to assess whether the element mentioned in the SWOT is analysed there. The answer can be 'Yes' or 'No' or needs further elaboration.

**Column 3:** Lists the CCIs mentioned in the situation analysis or in the SWOT for each respective SWOT element. If no CCI was referenced, this should be stated (e.g. 'no CCI was used') and a justification/explanation provided. It is expected that Member States will use the latest available CCIs (currently [CAP Context Indicators - 2018 update](#)). Filling this column will allow the evaluator to identify if all relevant CCIs have been used and if some are missing. The data sources may also be depicted with a view to identify gaps.

**Column 4:** Checks if the SWOT elements are backed up (in addition or instead of the CCIs) by other quantitative evidence (e.g. Eurostat, FADN, [DG AGRI Dashboards](#) (an overview of recent developments in main agricultural markets), [national](#) or regional databases). It is not the specific number that is important in this column but whether the data used to back up the SWOT element comes from a reliable source that has been properly analysed. The data sources may also be depicted with a view to identify gaps.

*Example:*

*The evaluator may state in Column 4 that the strength 'high agricultural income in the territory for field crop producers and horticulture' (associated with Specific Objective 1) is 'backed by evidence based on agricultural income trends (compared to the total economy) by farm size and by sector, FADN – 2018'.*

**Column 5:** Checks if qualitative evidence backs up the SWOT element (in addition or instead of the CCIs and/or quantitative evidence). This can be achieved through interviews, focus groups and other opinion/view gathering processes of programme stakeholders.

*Example:*

*The qualitative evidence for the weakness 'lack of available high skilled labour in the agricultural sector' (associated with Specific Objective 1) may be that 'agricultural professional organisations and cooperatives have witnessed difficulties in finding high skilled labour due to limited capacity building opportunities/trend of high skilled moving to urban areas'. This evidence could be based on interviews with representatives of agricultural professional organisations.*

**Column 6:** Checks if there is other solid evidence from Pillar 1 and Pillar 2 of previous CAP studies, evaluations, sectoral analysis, lessons learned from previous experiences. The column may include a brief reference to the type of evidence (e.g. 'lack of access to credit' and the source). The sources may include [evaluations](#), reports and [external studies](#) (e.g. [study on risk management](#)).

**Column 7:** Checks if the access to finance has been analysed for each respective SWOT element (if relevant) by taking into account all available information on financial instruments.

*Example:*

*Evaluator may identify a threat 'number of farms in decline as there are no successors' in the SWOT which is related to Specific Objective 7. In this case, he/she can check if analysis of figures on the market gap or other information that analyses whether young farmers have difficulties accessing finance is provided. The source of the information should also be included.*

**Additional columns:** can be added to provide further criteria for assessing the evidence basis of the SWOT (e.g. trends of the data used, the latest available year for provided data).

## 1.4 Checking the evidence basis of the assessment of needs

### 1.4.1 Focus of the table

Analytical Table 4 helps to examine the extent to which the assessment of needs is based on evidence and on the SWOT analysis (see also [Guiding Question 1.5](#)). Analytical Table 4 serves to assess whether there is a rational and clear link from the SWOT to the assessment of needs and if this link is well justified.

The completed analytical table can help evaluators identify:

- Any unjustified needs (i.e. needs that are not linked logically to the SWOT or those which are repetitions from the SWOT without further explanations.
- Any needs that require a clearer or a more detailed description in order to be plausible.
- Gaps in considering the access to finance when it is relevant for the identified need.

Through this analysis evaluators may develop suggestions to the Managing Authorities for better alignment of needs with the evidence provided by the SWOT.

Analytical Table 4. The evidence basis of the assessment of needs

<p><b>Specify the SO or for which you carry out the appraisal.</b></p>	<b>Specific Objective covered:</b>				
	<i>Examples of possible criteria checked by ex-ante evaluator:</i>				
<p><b>Add the criteria that are important to be assessed.</b></p>	<b>(1)</b>	<b>(2)</b>	<b>(3)</b>	<b>(4)</b>	<b>(5)</b>
	<b>Needs</b>	<b>SWOT element(s) that the need is linked to</b> (Flag if repetitions from SWOT)	<b>Clear and plausible path from the SWOT to the identified need</b>	<b>Is the access to finance considered in the needs?</b> (where relevant)	<b>.....</b>
<p><b>Fill the table based on a thorough screening of the draft Assessment of Needs with a view to identify gaps.</b></p>	<i>Examples:</i>				
	Need 1: Modernise agricultural holdings to improve their competitiveness and promote key productive systems	Low farm assets value (on average or by type of farm) (W) Low agricultural income (W) Consumer demands require more competitive holdings (O)	Clear and plausible	Not relevant	....
	Need 2: Promote generational renewal in agricultural holdings and attract young people to rural areas	Loss of agricultural surfaces (W) New technologies available for agricultural activities (O) Current socio-economic context has resulted in contraction of credit and makes access to finance difficult (T)	Clear, but too broad. Missing details. Is there a need to facilitate access to training for young farmers, or a need to facilitate access to loans for young farmers, etc.?	Relevant, but not mentioned	....
	Need 3: Promote access to finance especially for SMEs	Regional employment and GVA are falling (W) Current socio-economic context has resulted in contraction of credit and makes access to finance difficult (T)	Clear and plausible	Yes	....
	Need 4: Avoid abandonment of rural areas and low population density	Abandonment of rural areas (W) Low population density (W) The need is a repetition of these two W	Not clear and not plausible, repetition from SWOT and missing link to demographic decline, ageing, abandonment of rural areas especially by young people and other relevant SWOT elements	Not relevant	....
	Need 5: Improve water quality in some river basin districts by reducing the use of nutrients	Poor water quality in some river basins (W) New technologies available for reducing the use of nutrients in water (O)	Clear, detailed and plausible	Not relevant	...
<p><b>Analyse the overall picture of the evidence used for the assessment of needs and any possible gaps.</b></p>					
<p><b>Draw your conclusions whether the assessed needs assessment is based on evidence.</b></p>					
<p><b>Develop detailed recommendations for improving the evidence basis of the assessment of needs.</b></p>					

### 1.4.2 How to fill the analytical table

Filling Analytical Table 4 will depend on its specific design in each Member State (e.g. is it used per specific objective, will additional criteria be included?). An example of how it could be filled follows:

**Column 1:** Lists each need identified.

**Column 2:** Each need should make reference to one or more elements of the SWOT. Frequently a need is associated with a number of strengths, weaknesses, opportunities or threats. This column would therefore list the SWOT elements mentioned in the description of the need. If no SWOT elements are mentioned, then this should be flagged in this column, by stating 'no SWOT elements linked to this need'. This may have implications later on when drafting recommendations to the Managing Authority. Here, the evaluator should also pay attention to whether the need is a repetition of a SWOT item (e.g. a weakness rephrased as a need. If this is the case, this would be flagged in this column).

**Column 3:** The description of each need in the CSP should explain how this need was identified (i.e. what is the rationale for going from certain SWOT elements to this need and what assumptions (if any) were made). The description should be clear (i.e. easy to understand) and plausible (i.e. reasonable and convincing). If the rationale linking the need to the SWOT is missing, an important detail to confirm its authenticity, then the link to the SWOT is not plausible.

**Column 4:** When a need is relevant to the use of financial instruments, the access to finance should have been analysed for the identification of the need. This can be traced back to the SWOT where it is expected that evidence on the market gap would exist.

**Column 5:** Further columns may be added if more criteria are to be assessed by the evaluator.

## 1.5 Checking the extent to which the assessment of needs is transparent, specific, complete and sufficiently prioritised

### 1.5.1 Focus of the table

Analytical Table 5 has three potential areas in which it can support. First, to support the assessment of the transparency of needs by checking whether there is a sound justification of the choices made in terms of prioritisation of needs (i.e. that the prioritisation is properly done and a justification of why the need will or will not be addressed by the CSP is given). Second, to assess that needs are specific in their content description and that generic statements and repetitions are avoided. Third, to assess completeness by checking if all possible territorial, institutional or other specific issues are taken into account in the assessment of needs (see also [Guiding Questions 1.6 and 1.7](#)).

The completed analytical table can help the evaluators identify:

- Inconsistencies in the logic of the prioritisation of needs (e.g. if some needs are given a higher priority than others without sound justification or whether an important regional need is discarded at the national level).
- Gaps in justifications for needs that will not be addressed by the CSP.
- Completeness in addressing specific issues (i.e. whether all relevant specific issues are addressed by the identified needs).

Through this analysis evaluators may develop suggestions to the Managing Authorities for improving the prioritisation and justification of needs.

Analytical Table 5. The extent to which the assessment of needs is transparent, specific and complete

<p><i>Specify the SO for which you carry out the appraisal.</i></p>	<p><b>Specific Objective covered:</b></p>						
<p><i>Add the criteria that are important to be assessed.</i></p>	<p><i>Examples of possible criteria checked by ex-ante evaluator:</i></p>						
	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	<p><b>Needs</b></p>	<p><b>There is a sound justification of the prioritization of the need (Y/N)</b></p>	<p><b>How specific is the need to be acted upon (Specific/Generic)</b></p>	<p><b>To be addressed in the CSP (Y/N)</b></p>	<p><b>If not, why</b></p>	<p><b>Rationale provided for addressing specific issues (as per Article 96 of the SPR)</b></p>	<p><b>.....</b></p>
<p><i>Fill the table based on a thorough screening of the draft assessment of needs with a view to identify gaps.</i></p>	<p><i>Examples:</i></p>						
	<p><i>High Need: Training for the acquisition of skills in the field of environmental protection</i></p>	<p><i>Yes, it is based on multi-criteria analysis.</i></p>	<p><i>Specific</i></p>	<p><i>Yes</i></p>		<p><i>Yes, takes into account different regional needs. Farmers in regions with HNV areas have been identified as having more need for training in the field of environmental protection of HNV areas.</i></p>	<p><i>...</i></p>
	<p><i>Medium Need: Reverse the depopulation of rural areas</i></p>	<p><i>No, the description does not explicitly justify the choice as medium priority.</i></p>	<p><i>Generic</i></p>	<p><i>Yes</i></p>		<p><i>Yes, takes into account this issue in mountainous areas</i></p>	<p><i>...</i></p>
	<p><i>High Need: promote the use of ICTs in SMEs and households in rural areas</i></p>	<p><i>Yes, outcome of working groups (participatory methods)</i></p>	<p><i>Specific</i></p>	<p><i>No</i></p>	<p><i>Coordination meetings between EAFRD and ERDF decided this need should be addressed by ERDF</i></p>	<p><i>No, this need does not take into account regional differences</i></p>	<p><i>...</i></p>
<p><i>Analyse the overall picture of the transparency, specificity and completeness of the assessment of needs and identify any possible gaps.</i></p> <p><i>Draw your conclusions whether the assessed needs assessment is transparent, specific and complete.</i></p> <p><i>Develop detailed recommendations for improving the content of the assessment of needs.</i></p>							

### 1.5.2 How to fill the analytical table

Filling Analytical Table 5 will depend on its specific design in each Member State (e.g. is it used per specific objective, will additional criteria be included?). An example of how it could be filled follows:

**Column 1:** The needs are listed in order of priority. If there is no order of priority one can simply list the items, however, then this should be flagged in Column 2. Note that according to Article 96 (b) of the SPR 'all needs shall be described, regardless whether they will be addressed through the CAP Strategic Plan or not'.

**Column 2:** It is expected that a rationale will be provided in the programme for prioritising needs. Usually programmes apply several criteria that may include the territorial relevance of the need, the specific objectives (as some needs may be more pertinent for certain SOs), the existence of other sources of funding and the justification of the importance of the need by programme/measure managers, etc. Column 2 should report if there is a sound justification for this prioritisation. If there is no prioritisation, list the needs, however, flag it in Column 2. Therefore, Y='Yes' there is a prioritisation and there is a sound justification provided, N='No', there is prioritisation, but there is no justification provided.

*Example:*

*Prioritisations should be properly done based on the use of methods such as multi-criteria analysis (MCA), cost-benefit analysis (CBA) or the use of participatory methods or a combination of these methods.*

**Column 3:** States whether the need is specific enough to be acted upon.

*Example:*

*The need to protect the environment is a generic need while the need to reduce desertification in certain territories that suffer from droughts is a specific need that allows specific action to be taken in the affected territories. Likewise, the need to acquire skills is generic, while the need to acquire skills in a certain field (e.g. environmental protection) is specific and can help design interventions concerning environmental protection skills. The description of the need would give more hints to its specificities.*

**Columns 4 and 5:** Column 4 provides a justification if the need is addressed or not ('Yes' or 'No') by the CSP. Column 5 explains why the need is not addressed in the CSP.

*Example:*

*Although all needs should be described, some needs may not be addressed by the CSP. There may be various reasons for this, such as financial or because other funds may be more pertinent for interventions in the area(s) covered by certain needs.*

**Column 6:** According to Article 96 of the SPR, the assessment of needs should highlight the analysis of certain territorial, institutional and risk management issues. Therefore, the evaluator should check if the description of needs includes a rationale for a) addressing vulnerable geographic areas if they exist

in the programme area, b) addressing institutional capacity building needs (e.g. in relation to AKIS), c) addressing national, regional and local needs, d) addressing needs in relation to risk management (relevant to Specific Objective 1), e) addressing needs stemming from the SWOT analysis in relation to the environment and climate objectives emanating from the legislative instruments referred to in Annex XI. The answer to Column 6 can be a simple 'Yes' or 'No' (i.e. whether the rationale is provided or not or a short description of the rationale provided).

**Column 7:** Further columns may be added if more criteria are to be assessed by the evaluator.

## 1.6 Checking the active involvement of partners in the assessment of needs and SWOT

### 1.6.1 Focus of the table



Analytical Table 6 aims to support the assessment of the quality, intensity and inclusiveness of stakeholder involvement (see also [Guiding Question 1.8](#)). It is expected that all relevant stakeholders should have a say in the SWOT and assessment of needs in a systematic way and that their recommendations may contribute to improve the outcomes of the SWOT and assessment of needs by taking into account all sectoral, regional and other specificities.

The information mapped in Analytical Table 6 can help evaluators analyse and assess the active involvement of all relevant partners as stated in Article 94 of the SPR. More specifically it allows one to identify:

- Whether all relevant stakeholders for each specific objective were consulted.
- Whether stakeholders representing all territories covered by the CSP were consulted.
- The intensity of involvement of stakeholders.
- Whether there was a follow up of the stakeholders consulted (e.g. if the outcomes of their contributions were documented and if recommendations were taken into account).
- The quality of stakeholder involvement, especially if several of their recommendations were taken into account.

Evaluators may, if necessary, make suggestions to Managing Authorities for improving the stakeholder typologies, the methods, the intensity and the follow-up approaches of involving stakeholders in the CSP.

**Analytical Table 6. Active involvement of partners (non-exhaustive examples provided)**

<i>Examples of possible criteria checked by ex-ante evaluator:</i>							
	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Stakeholders consulted	Specific objectives	Territories covered	Method used (workshop, meetings, steering committee, ...)	Frequency	Outcomes documented (Y/N)	Recommendations taken into account (All / Some and why / None and why)
<p><b>Fill the table with a view to identify gaps in the active involvement of partners.</b></p> 	<i>Examples:</i>						
	Ministry of Environment, department of water quality	SO5	National	Workshop	One workshop	Yes	Yes, most of them.  One recommendation about waste water was not taken into account (pertinent for ERDF interventions only)
	The Youth Council	SO7, SO8	National and regional	Meeting	Two meetings	Yes	Yes, all of them
	Centre for Technological Research and Innovation	SO2	Regional	Workshop	Two workshops	Yes	Yes, some of them.  Two recommendations were not taken into account as they did not fall under EAFRD scope.
	Association of agri-food producers	SO1	Regional	Meeting	One meeting	Yes	No, because they were not based on enough evidence.
<p><b>2. Draw your conclusions regarding the active involvement of partners or if some important actors were not consulted.</b></p>  <p><b>3. Develop detailed recommendations for improving the active involvement of partners.</b></p>							



### 1.6.2 How to fill the analytical table

**Column 1:** Lists all stakeholders involved in the SWOT and assessment of needs.

**Column 2:** Lists the CAP specific objective(s) for which each stakeholder was involved. It is expected that some stakeholders may be more pertinent for certain SOs (e.g. environmental stakeholders for SO4, SO5 and SO6 and young farmers associations for SO7).

**Column 3:** The territory or territories covered by each stakeholder.

*Example:*

*In regionalised countries it is important that all regions are represented in the CSP and is therefore desirable that relevant stakeholders from each region are involved in the assessment of needs and the SWOT. Also, in non-regionalised countries there are territorial differences (e.g. mountainous areas, islands, coastal/inland areas, river basins, north-south differences) and it is also desirable that stakeholders with knowledge of these areas are represented in the SWOT and assessment of needs.*

**Column 4-6:** Column 4 lists the ways in which stakeholders were involved, which may be through structures like a Steering Group or specific events like meetings, interviews, workshops and focus groups. Column 5 would list the frequency of these methods (e.g. weekly, monthly, quarterly, ad hoc). Column 6 would indicate if the outcomes of these methods were clearly documented. The combination of the information in these three columns would give an indication of the intensity of stakeholder involvement.

**Column 7:** The use or non-use of stakeholder recommendations gives an indication of the extent to which sectoral and territorial interests and needs are considered thoroughly in the assessment of needs and SWOT. It can also give an indication of the quality of stakeholder involvement. If any recommendations were not taken into account, an explanation should be provided. This column would record if all, some or no recommendations from the respective stakeholders were taken into account.

Further columns may be added if more criteria are to be assessed by the evaluator.



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