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EuropeAid

Results Oriented Monitoring

ROM

Handbook

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Acronyms

ABM	Activity-Based Management
ACP	Africa, Caribbean and Pacific
AF	Action Fiche
AIS	Africa, Indian Ocean and South Africa
ALA	Asia / Latin America
BCS	Background Conclusion Sheet
CMTP	Centrally Managed Thematic Programmes
CPO	Caribbean and Pacific Ocean
CRIS	Common RELEX Information System
CSP	Country Strategy Paper
DAC-OECD	Development Aid Committee – Organisation for Economic Co-operation and Development
DCI	Development Cooperation Instrument
DG	Directorate General
EDF	European Development Fund
EIDHR	European Instrument for Democracy and Human Rights
ENPI	European Neighbourhood and Partnership Instrument
ER	Evaluation Report/Review
GBS	General Budget Support
IF	Identification Fiche
IfS	Instrument for Stability
IPA	Instrument for Pre-accession Assistance
LFA	Logical Framework Approach
LogFrame	Logical Framework
M & E	Monitoring and Evaluation
MEDA	Mediterranean partner countries
MN	Monitoring Note
MR	Monitoring Report
MTR	Midterm Review
NIP	National Indicative Programme
NSCI	Nuclear Safety Co-operation Instrument
OCT	Overseas countries and territories
ODA	Official Development Aid
OO	Overall Objective
oQSG	office Quality Support Group
OVI	Objectively Verifiable Indicator
P/P	Project/Programme
PCM	Project Cycle Management
PG	Partner Government
PIA	Project Implementation Arrangement
PIU	Project Implementation Unit
PM	Project Manager
PP	Project Purpose (Specific Objective)
PRSP	Poverty Reduction Strategy Paper
PS	Project Synopsis
QA	Quality Assurance
ROM	Results-Oriented Monitoring
RP	Regional Programme

RS	Response Sheet
SBS	Sector Budget Support
SMART	Specific, Measurable, Achievable, Realistic and Time-bound
SP	Sector Programme
SPSP	Sector Policy Support Programme
SWAp	Sector Wide Approach
TA	Technical Assistance
TACIS	Technical Aid to the Commonwealth of Independent States
TAP	Technical and Administrative Provisions
TC	Technical Cooperation
TL	(Monitoring) Team Leader
TM	Task Manager
WBT	Western Balkans and Turkey

1 Introduction to ROM

1.1 ROM basics

The Results-Oriented Monitoring (ROM) system provides the European Commission (EC) with a wide range of quantitative and qualitative data on the performance of the development projects and programmes which receive EC financial support. ROM was launched in response to the recommendation of the Council of the European Union (EU) of May 1999, which aimed at strengthening monitoring, evaluation and transparency of Community development aid.

ROM serves not only as a tool for day-to-day project management by informing stakeholders about the performance of a specific project, but it also contributes to general EuropeAid policy articulation, implementation and review. With the monitoring data collected in EuropeAid's Common RELEX Information System (CRIS) database, ROM provides an overview of the performance of the EC development aid portfolio. Quantitative and qualitative studies based on the ROM database contribute lessons learned which feed into the project cycle.

The ROM data is collected by independent experts through regular onsite assessments of projects and programmes in virtually all EC partner countries. A consistent, highly structured methodology ensures the quality and the comparability of the collected data. Projects and programmes are given simple scores against internationally agreed criteria (relevance, efficiency, effectiveness, impact, and sustainability) substantiated by concise explanatory texts. Based on these observations, ROM monitors give recommendations on how to improve the performance of the development aid.

> In the past few years, ROM has covered all regions and virtually all countries that fall under the Commission's external co-operation activities, annually providing approximately 1 600 reports on 1 400 ongoing projects and programmes. In 2007 an estimated 43% of the overall EC development aid portfolio was monitored through ROM.

1.2 EC external aid

1.2.1 Basic facts

The European Union is a major source of development aid in the world. In 2007, the European Commission provided € 8.5 billion of official development assistance (ODA). Taken together, the development aid of the EC and the bilateral aid of the member states amount to more than half of all ODA reported to the OECD. Over 160 countries benefit from this aid.

Development cooperation is a shared competence between the European Community and the Member States. Community policy in this sphere therefore is to be complementary to the policies pursued by the Member States.

1.2.2 Objectives and focus areas

The primary and overarching objective of EU development policy is the **eradication of poverty** in the context of sustainable development, including the achievement of the

Millennium Development Goals [www]. The EU takes into account the multi-dimensional aspects of poverty including limitations of economic, human, political, socio-cultural and protective capabilities. The development policy seeks to promote common values such as respect for human rights, democracy, the rule of law, justice and freedom.

The European Consensus on Development [www] identifies nine thematic areas in which the EU has a particular role and comparative advantage. These will be its main areas of activity with expertise and capacity to be developed further:

- trade and regional integration;

- the environment and the sustainable management of natural resources;

- infrastructure, communications and transport;

- water and energy;

- rural development, territorial planning, agriculture and food security;

- governance, democracy, human rights and support for economic and institutional reforms;

- conflict prevention and fragile states;

- human development, social cohesion and employment.

1.2.3   Documents defining EC aid delivery

Monterrey Consensus 2002

The issue of aid effectiveness has gained international attention especially since the 2002 International Conference on Financing for Development in Monterrey. The Monterey Consensus [www] promised to increase the funding for development—but it acknowledged that more money alone was not enough. Rather measures have to be taken to ensure that the resources are used in the most efficient and effective way possible to meet targets such as the Millennium Development Goals.

The Monterrey Consensus emphasized the need to:

- harmonize development approaches among donors;

- reduce transaction costs for recipient countries by aligning donor resources;

- increase country-level absorptive capacity and improve financial management systems through capacity building;

- increase local ownership in the design and implementation of poverty reduction frameworks at the country level.

Rome Declaration on Harmonisation 2003

During the High Level Forum on Harmonization held in February 2003 in Rome, major international organizations, donor and recipient countries committed to take action to improve the management and effectiveness of aid and to take stock of concrete progress before the subsequent meeting in Paris in 2005.

The Forum's concluding statement commits to:

- ensure that harmonization efforts are adapted to the receiving country's context, and that donor assistance is aligned with the development recipient's priorities;

- expand country-led efforts to streamline donor procedures and practices;

- review and identify ways to adapt institutions' and countries' policies, procedures, and practices to facilitate harmonization;
- implement the good practices principles and standards formulated by the development community as the foundation for harmonization.

Paris Declaration on Aid Effectiveness 2005

During the 2005 High Level Forum on Aid Effectiveness in Paris, the follow-up to HLF Rome, representatives of 91 countries and 26 donor organisations committed to substantive and monitorable actions [www]. These include:

- developing countries will exercise effective leadership over their development policies, strategies, and coordinate development actions (Ownership);

- donor countries will base their overall support on the receiving countries' national development strategies, institutions, and procedures (Alignment);

- donor countries will work so that their actions are more harmonized, transparent, and collectively effective (Harmonization);

- all countries will manage resources and improve decision-making for results (Managing for Results);

- Donor and developing countries pledge that they will be mutually accountable for development results (Mutual Accountability).

The 12 Paris indicators [www] of aid effectiveness were developed as a definitive prescription and a road map guiding and tracking progress against a set of partnership commitments with clear targets to be met by the year 2010 and a system to monitor progress towards the targets to be put in place.

The development of the ROM system is thus in line with the fourth commitment of the Paris Declaration – Managing for Results.

Accra Agenda for Action 2008

The third High Level Forum on Aid Effectiveness in 2008 in Accra, reiterated the commitments of the Paris Declaration, and concluded with the Accra Agenda for Action (AAA) [www]. This provides for an agreement on increased predictability of aid, a preference for partner country systems over donor systems, transparency about aid plans and aid use, reduction of conditionality and untying of restrictions. Taking stock of developments since the Paris Declaration, the AAA points out that progress needs to be made especially regarding country ownership and accounting for results. In addition, the AAA recognizes the increasing role of civil society, global funds and middle-income countries' contribution to development aid and calls for an inclusive partnership reflecting the diversity of actors in development cooperation.

Development Aid Committee-Organisation for Economic Co-operation and Development (DAC-OECD) guidelines

The Working Party on Aid Effectiveness and Donor Practices (WP-EFF) created in 2003 by DAC-OECD assesses and supports the harmonization of donor practices, notably with the publication of guidelines on "Harmonising Donor Practices for Effective Aid Delivery". The objectives of these guidelines are to:

- Harmonise donors' operational procedures to the highest standard so as to reduce transaction costs and make ODA disbursement and delivery more flexible, taking into

account national development needs and objectives under the ownership of the recipient country;

- Establish good practice on how donors can enhance their operational procedures with a view to strengthening partner country ownership;

- Suggest changes donors can make to their own systems and culture in order to strengthen the ownership of partners and reduce the cost of managing aid.

The European Consensus on Development of 2005

The European Consensus on Development (ECD) [www] is currently the major policy statement for European development aid and has been jointly adopted by the Council and the Member States, the European Commission and the European Parliament. It spells out the common vision guiding the development cooperation of both the EC and the member states and specifies the policy to implement this vision on the community level.

Following DAC-OECD guidelines, the EU works towards coordination, harmonisation and alignment of development aid activities. It promotes better donor complementarity by working towards joint multi-annual programming based on partner countries' strategies and processes, common implementation mechanisms, joint donor missions and the use of co-financing arrangements.

The Consensus on Development reaffirms the principle of ownership of development strategies and programmes by partner countries.

The ECD makes four additional commitments which are in addition to the Paris Indicators:

- to provide all capacity-building assistance through coordinated programmes with an increasing use of multi-donor arrangements;

- to channel 50% of government-to-government assistance through country systems, including increasing the percentage of EU assistance provided through budget support or SWAp arrangements;

- to avoid setting up any new project implementation units (PIUs) for Technical Assistance/Technical Cooperation (TA/TC);

- to reduce the number of uncoordinated missions by 50% .

1.2.4   Guiding principles to improve EC development aid

EC development aid is guided by the principles defined in the Paris Declaration and reiterated in the ECD in order to improve the delivery of development aid. Responsibility for aid effectiveness is shared between the EC's external assistance policy-making Directorates-General (DG) Development and External Relations and the DG responsible for implementing external assistance, EuropeAid.

National Ownership

One key idea that emerged from the High Level Forums on Aid Effectiveness is that countries should "own" the goals and objectives of any development project or programme. Without ownership and commitment by the partner country, development may not be sustainable in the long term. The EU respects the right of the partner country to establish its development agenda, setting out its own strategies for poverty reduction and growth. This entails that, as a primary responsibility, the partner governments create a supporting environment for development, especially by improving their institutions.

Partnership

Development aid is not to be considered as a one way relationship, but a partnership encompassing a shared responsibility and accountability for joint efforts between donor and recipient. The EC promises to support the partner countries' poverty reduction, development and reform strategies.

> *Partnership is a collaborative relationship between entities to work toward shared objectives through a mutually agreed division of labour.*

Alignment

Donors align their development assistance with the development priorities and strategies set out by the partner country. In delivering this assistance, donors progressively rely on partner countries' own systems, providing capacity-building support to improve these systems, rather than establishing parallel systems of their own. Partner countries undertake the necessary reforms that would enable donors to rely on their country systems.

Harmonisation

Donors implement good practice principles in delivering development assistance, share information and coordinate efforts to avoid duplication and contradictory action. They streamline and harmonise their policies, procedures, and practices; intensify delegated cooperation; increase the flexibility of country-based staff to manage country programmes and projects more effectively; and develop incentives within their agencies to foster management and staff recognition of the benefits of harmonisation.

Managing for Results

Partner countries and donors embrace the principles of managing for results, starting with their own results-oriented strategies and continuing to focus on results at all stages of the development cycle from planning through implementation to evaluation.

1.2.5   Practice of EC development aid

1.2.5.1   Thematic Concentration

The concept of concentration guides the Community in all its country and regional programming. It means, for each country or region of intervention, selecting a strictly limited number of areas of action when Community aid is being programmed, instead of spreading efforts too thinly over too many sectors.

1.2.5.2   Devolution of responsibilities to EC Delegations

The devolution of management responsibilities (often also "deconcentration" as in French) from the EC headquarters to the Delegations is a key element of the reform of management of external assistance. Its main objective is to improve the effectiveness and quality of operations as well as to increase their impact and visibility.

> "Delegations will be increasingly involved in the management of external assistance through the on-going deconcentration [devolution] process which is being implemented according to the principle whereby "anything that can be better managed and decided on the spot, close to what is happening on the ground, should not be managed or decided in Brussels."   *(DG Relex DG Dev Aidco Interservice Agreement June 2001)*

Devolution applies to all projects and programmes (except for those projects and programmes which cannot be devolved for organisational reasons) and also all phases of the project cycle. As a consequence, the role of EC Headquarters is increasingly focussed on coordination, quality supervision, management control, technical support and improvement of working

practices. For more information on the role of the Delegations as a result of the devolution of authority, refer to the section on Delegations.

1.2.5.3 Decentralisation of responsibilities to Partner Governments

In the effort to bring aid delivery closer to the beneficiaries and to reduce transaction costs and increase ownership, the EC aims to increase decentralisation. Responsibility for project and programme management is transferred increasingly to qualified representative of a Partner Government authorized to negotiate with the EC and decide on projects and funding. In Africa, Caribbean and Pacific (ACP) countries for instance, the National Authorising Officer (NAO) is responsible for:

- The preparation and submission of programmes and projects;

- The examination and completion of tenders for approval by the Head of Delegation;

- The coordination, monitoring and assessment of projects and programmes funded by donors;

- Ensuring the proper execution of projects, programmes and disbursements of EC funding in the country.

1.2.5.4 Technical Assistance / Technical Cooperation

Technical cooperation (often also referred to as Technical Assistance) is the provision of know-how in the form of personnel, training and research aimed at augmenting the level of knowledge, skills and productive aptitudes in partner countries. While the primary responsibility for capacity development lies with the developing countries, donors are playing an important supportive role.

Four purposes of Technical Cooperation can be identified:

> *Technical cooperation (TC) is the provision of know-how in the form of short and long-term personnel, training and research, twinning arrangements, peer support and associated costs. Technical Assistance (TA) refers to the personnel involved.*

- capacity development of organisations and individuals;

- providing policy and/or expert advice;

- strengthening implementation (of services, investments, regulatory activities);

- preparation/facilitation of EC cooperation (or broader donor cooperation).

The Paris Declaration on Aid Effectiveness specifies two targets relating specifically to TC:

- Strengthen capacity by co-ordinated support: 50% of technical co-operation flows are to be implemented through coordinated programmes consistent with national development strategies.

- Strengthen capacity by avoiding parallel implementation structures: Reduce by two-thirds the stock of parallel project implementation units (PIUs).

The EC has adopted a new Backbone Strategy, a Work Plan and the Guidelines for Reforming Technical Cooperation and Project Implementation Units in 2008 to achieve the following [WWW]:

- **Provide quality TC** that supports country-led programmes, based on strong partner demand, and which focuses on achieving sustainable development results; and

- **Provide support through partner-owned implementation arrangements**, with a substantial reduction in the use of parallel Project Implementation Units (PIUs).

1.2.5.5   Mainstreaming of cross-cutting issues

Cross-cutting issues cannot be resolved only with specific measures and policies separated from other activities. Rather they have to be mainstreamed, i.e. integrated in the design and implementation of all relevant activities because they touch on general principles applicable to all initiatives and demand a multi-sectoral response.

> *Mainstreaming is the process of incorporating a perspective taking into account the cross-cutting issue in all policies, strategies and interventions, at all levels and at all stages.*

Cross-cutting issues should be taken into account in the planning and implementation of all development operations as they are likely to be affected directly or indirectly by the operations' activities. An analysis from a mainstreaming perspective can help to avoid the risk of a negative impact on the crosscutting issue as well as take advantage of potential positive effects.

The EC addresses four cross-cutting issues of major importance for development under a mainstreaming approach:

- democracy and human rights, including children's rights and the rights of indigenous people;
- environmental sustainability;
- gender equality;
- HIV/AIDS.

1.2.5.6   Policy Coherence for Development

The EU seeks to build synergies and avoid contradictions between its development cooperation policies and policies in other fields that have a strong impact on developing countries such as Trade and Agriculture. In order to achieve its objectives, namely the Millennium Development Goals, the European Union must consider how non-aid policies can assist developing countries.

1.2.6   Financial instruments of EC external aid

European Development Fund (EDF)

Based on the Cotonou Agreement, which provides the bedrock of EU co-operation with African, Caribbean and Pacific countries, the EDF [www] supports assistance to the Union's 78 ACP partner countries and the overseas countries and territories of Member States. The EDF is a bilateral fund separate from the EC budget even though the EC manages it. €3.6bn was committed in 2007.

European Neighbourhood and Partnership Instrument (ENPI)

The ENPI [www] provides EU assistance to 17 countries in North Africa, the Middle East and Eastern Europe. It has a specific cross-border co-operation component covering border regions in the European Union Member States. €1.6bn was committed in 2007.

Development Co-operation Instrument (DCI)

The DCI [www] has three main components. The first is a regional component which provides assistance to South Africa and 47 developing countries in Latin America, Asia and Central Asia, and the Middle East (excluding the countries covered by the ENPI and EDF).

The second component supports the restructuring of sugar production in 18 ACP countries.

The third comprises five thematic programmes: investing in people; environment and sustainable management of natural resources including energy; non-state actors and local authorities in development; food security; and migration and asylum. The five DCI thematic programmes support actions in all developing countries (including those covered by ENPI and the EDF), as well as global actions and the implementation of Commission internal policies. €22bn was committed in 2007.

European Instrument for Democracy & Human Rights (EIDHR)

The EIDHR [www] contributes to the development of democracy, the rule of law, respect for human rights and fundamental freedoms. It complements the various other implementation tools of EU policies in this area as well as the crisis-related interventions of the new Stability instrument. €142m was committed in 2007.

Instrument for Stability (IfS)

The IfS [www] aims to contribute to stabilising countries in crisis by providing an effective response to help preserve, establish or re-establish the conditions essential to the proper implementation of the EU's development and co-operation policies. The IfS is composed of a 'Crisis response and preparedness' component, managed by Directorate General (DG) RELEX, and a 'global and regional trans-border challenges' component, managed by EuropeAid. €27m was committed in 2007.

Nuclear Safety Co-operation Instrument (NSCI)

NSI finances measures to support a higher level of nuclear safety, radiation protection and the application of efficient and effective safeguards of nuclear materials in third countries. €78m was committed in 2007.

Instrument for Pre-accession Assistance (IPA)

EU pre-accession funding is channelled through a single instrument designed to deliver focussed support to both candidate countries (Turkey, Croatia, FYR Macedonia) and potential candidate countries in former Yugoslavia and Albania. The overall objective of pre-accession assistance is to support the country's efforts to comply with the Copenhagen accession criteria and to help prepare the country for meeting the challenges of future EU membership. The IPA budget for 2007-2013 is €11.5bn.

1.2.7   EC development aid modalities

1.2.7.1   *Project approach*

A project is a series of activities aimed at achieving clearly specified objectives within a defined time-period and with a defined budget. It should have:

- clearly identified stakeholders (incl. target group and final beneficiaries);
- clearly defined coordination, management and financing arrangements;
- a monitoring and evaluation system to support performance management;
- an appropriate level of financial and economic analysis.

Development projects can vary significantly in their objectives, scope and scale. Smaller projects might involve modest financial resources and last only a few months, whereas a large project might involve many millions of Euros and last for many years.

The project approach for EC development aid is subject to the Project Cycle Management (PCM) guidelines [www].

1.2.7.2   Regional Programmes

Regional Programmes are multi-country programmes (i.e. not programmes for a region within a country). It is important that the ROM of Regional Programmes (RPs) reports accurately on the regional dimension of the programmes and, in particular, reports on the intended added values of the programme.

The primary intended added values of an RP are related to its objectives and impact, for instance:

- Regional integration;

- Promotion and optimisation of common resources and capacities;

- Solving a common problem (water, environment, migrations…)

Secondary intended added values of an RP are related to cost-efficiency and synergies (efficiency and effectiveness).

1.2.7.3   Sector Wide Approach and Sector Policy Support Programme SPSP

The EC increasingly champions development aid which follows a SWAp. This approach is a way of partner governments, development partners and other key sector stakeholders working together. It ensures partner governments' ownership of development policy, strategy and spending. The SWAp offers increased coherence between national policies, sectoral policies, resource allocation and spending practices and it acts to minimise transaction costs incurred by partner governments.

As a result of a Sector Wide Approach, a government progressively develops a **Sector Programme** (SP). Sector programmes are based on the following core elements:

- an approved sector policy document and overall strategic framework (such as a Poverty Reduction Strategy Paper);

- a sector expenditure framework for the medium term and an annual budget;

- a sector coordination framework to review and update sector strategy, action plans and budget;

- a co-ordination process amongst the donors in the sector, led by the Government.

The SPSP is the EC programme which provides financial support to the Partner Government's SP.

An SPSP may be implemented through one of three financial modalities:

- Sector Budget Support (SBS), which is the preferred modality, whenever appropriate and feasible;

- Financial contributions to Common Pooled Funds (or "common basket funds") ;

- Commission specific procedures (EC budget or EDF) based on the traditional project approach.

Guidelines are available for the support to Sector Programmes through SPSPs [www].

1.2.7.4   General Budget Support (GBS)

GBS [www] is the transfer of financial resources of an external financing agency directly to the national treasury of a partner country. These financial resources form part of the partner country's global resources, and are consequently used according to its public financial

management system and procedures. Nevertheless, the aid is subject to certain conditions of eligibility and implementation.

Figure 1 - Aid and Financing modalities

Direct support to projects and regional programmes		Sector Policy Support Programmes SPSP		Budget Support	
Direct EC funding procedures	Donor pool fund	EC spec. budget procedure	Common pool funds	Sector budget support	General budget support

Donor	Control over external resources	Partner Gov. (PG)
Donor	Targeting of resources	PG via natl. budget
Limited	Donor influence on PG policy & budget	Substantial
Higher	Transaction costs	Lower

Budget support finances the partner government's overall policy and strategy (e.g. Poverty Reduction Strategy Paper – PRSP). GBS covers the whole of government's action; SBS, as a financing modality of an SPSP or as a stand-alone budget support, provides budget support only to a specific sector of Partner Government (PG) policy.

1.3 What is Monitoring?

1.3.1 External vs. Internal Monitoring

The term 'internal monitoring' is often used to refer to monitoring that is undertaken by those responsible for project implementation. There is little to no organisational distance between the person in charge of data collection and analysis and the user of the monitoring results. Done with varying degrees of methodological elaboration, it gives the manager instant feedback necessary for the day-to-day operation. Internal monitoring and reporting often overlap.

External Monitoring on the other hand separates clearly the management and the monitoring function. Monitoring is done by organisationally independent monitors who present their final results to management. In EuropeAid, the external monitoring function of the Results Oriented Monitoring system is centralised in Directorate E for Quality Support and thereby separated from the Management functions of Directorates A-D and F.

1.3.2 Monitoring, Evaluation and Audit

Evaluation is an in-depth study of how the project has contributed to the Project Purpose and Overall Objectives. It assesses the relevance, efficiency, effectiveness, impact and sustainability of aid policies and actions. It also scrutinizes the objectives and strategies chosen for a project.

Evaluation is often distinguished from monitoring in terms of its purpose, its empirical base, its depth of analysis and its duration and frequency. Evaluation usually feeds more into policy making and strategic planning (rather than operational management decision making processes), involves in-depth data collection and analysis, and is consequently undertaken only a few times during the project life (such as at, or some time after, the completion of a project or programme) rather than on an periodically basis.

Audit can be distinguished from monitoring and evaluation by its financial, and financial management, focus. It is primarily an assessment of the legality and regularity of project expenditure and income and whether project funds have been used efficiently and economically and for the intended purposes.

Monitoring is a regular review to keep track of how a project is progressing in terms of resource use, implementation, delivery of results and the management of risks. Monitoring is the systematic and continual collection, analysis and use of management information to support effective decision-making. Its use is usually thought to be greatest on the level of operational management decision and less on the level of policy making and strategic planning.

> "Regular reviews provide an opportunity to reflect on progress, agree on the content of progress reports and follow-up action required. Implementation should thus be seen as a continuous learning process whereby experience gained is reviewed and fed-back into ongoing planning." *(Project Cycle Management guidelines 2005 p.41)*

Monitoring often only focuses on inputs, activities and outputs i.e. tangible goods and services delivered ("Implementation monitoring"). Results oriented monitoring systems such as ROM in contrast have a larger focus: it includes not only outputs but also outcomes (the benefits drawn from the outputs) and impact (the contribution of a project to the solution of a problem).

In this respect ROM's focus is similar to evaluation; however, it is distinct regarding its practice and modality. While evaluations embark on a resource intensive, in-depth analysis of a project or programme, ROM monitoring provides a "snapshot" of the project's quality and performance.

⚠️ *While it is often a useful distinction to make, in practice there are often grey areas between what is considered to be external monitoring, internal monitoring and evaluation.*

Table 1 - Monitoring, Evaluation, Audit

	Who is responsible?	When is it required?	Why is it necessary?
Monitoring by Project Manager / Implementer	Project implementing partners/contractors	Ongoing process	Allow PM to check the progress, take remedial action, update plans
EC Internal Monitoring by Project TM	EC TM Delegations	Half yearly update via CRIS Implementation Report	Follow up of projects performance; Support informed decision making by TM on project cycle and contract management
Joint Monitoring (planned)	EC TM EC Delegations PG Other Donors	According to frequency - to be decided	Follow up on project performance; Step towards implementation of Paris Declaration (coordination, alignment, harmonization of monitoring systems); All stakeholders play their role in monitoring contributing to greater ownership.

ROM (EC external monitoring)	Responsibility with HQ and Delegations; executed by external independent monitors	Usually annual missions to a country or region	Provides input and recommendations for project management; Gives overview of EC aid portfolio performance; Contributes to lessons learned.
Evaluation	EC Evaluation Unit w/ external expertise	At particular milestones: Mid-term, completion or ex-post	Mid Term: project major shifts / readjustments wherever necessary; Completion/ex post: Contribute to lessons learned, policy review, etc
Audit	EC Audit, Incorporates external expertise	Ex-ante (systems reviews), regular and upon completion	Provide assurance to stakeholders; Provide recommendations for improvement of current and future projects.

1.3.3   Joint Monitoring

With an increasing number of donors – governments, intergovernmental organizations, NGOs, global funds – the number of monitoring systems collecting data on the same or similar activities has increased, leading to redundancy and duplication. Joint monitoring seeks to reduce unnecessary resource usage, while at the same time tapping into the potential of the different monitoring systems, e.g. to collect data more regularly, to confirm observations and to refine the analysis.

Joint Monitoring brings together the monitoring activities of different actors. It can refer to either joint monitoring by: (i) donors and partner governments (promoting alignment and mutual accountability); and/or (ii) by donors (harmonised approaches).

These options are not mutually exclusive, but may not automatically support each other. There are legitimate concerns that more harmonized/joint approaches among donors may impede efforts to align more closely with partner government systems.

With respect to joint monitoring (both between donors and with partner governments), there are various types of joint activity that could be undertaken, including:

- Joint planning and management of monitoring visits (e.g. coordinated missions with mixed teams, jointly prepared ToR, etc);

- Use of jointly agreed methods / tools (e.g. indicators, assessment criteria, rating systems);

- Joint analysis and dialogue on the results of monitoring (e.g. joint reviews);

1.4   What is ROM?

1.4.1   Uses of ROM

ROM provides independent advice which is useful on three levels - the micro level of the project, the macro level of EC development portfolio performance and the level of the programming cycle.

1. ROM's main objective is at the micro level, where it informs stakeholders of project performance and helps project managers "to think in result oriented terms". It provides direct feedback on success and problems during implementation and gives recommendations on how to improve operations. It enables project managers to take informed and timely decisions. However, for its day-to-day management needs, project management will need more detailed

information than ROM can deliver. Therefore additional internal monitoring and reporting schemes are, or should be, put in place by project managers.

It should be kept in mind that ROM is not only useful for project management through the final deliverables – Monitoring Report (MR), Background Conclusion Sheets (BCS) and Response Sheets (RS). The monitoring process itself, including the discussions the monitors initiate with and among the stakeholders, can stimulate thinking in results-oriented terms and encourage improvements of project performance.

2. As an added value, ROM provides statistical data on overall EC development portfolio performance in respect of criteria relevance, efficiency, effectiveness, impact and sustainability. Performance can be compared across regions and over time. The statistical information can support key management and strategic decisions in EuropeAid and DG Enlargement.

3. Lessons learned and experiences collected in ROM, and extracted from ROM through qualitative studies, can feed into strategic planning and the ex-ante assessments of projects through the Quality Support Groups. ROM therefore contributes directly to the learning cycle in EuropeAid.

> Ownership and partnership rely on the availability of data to enable informed decision making. In order for ROM to have maximum impact on project management, monitoring documents (MR, BCS, RS) should be communicated to all relevant stakeholders. The EC Delegations (and HQ in the case of Centrally Managed Thematic Programmes (CMTP)) are in charge of the dissemination of the monitoring results to stakeholders and project implementers.

1.4.2   ROM History

In May 1999 the Council of the European Union invited the European Commission to strengthen Monitoring, Evaluation and Transparency. One of the actions implementing these recommendations was the creation of the results-oriented monitoring system (ROM).

The commitment of the European Commission to manage for and by results has developed as part of the establishment of the Activity-Based Management (ABM) System that originally had been announced in the White Paper Reform of the Commission of 04/2000. Monitoring was considered crucial for timely adjustments in programming. Each Directorate General (DG) of the Commission was called upon to "design monitoring arrangements that ensure that information on outcomes and use of resources is regularly collected". EuropeAid responded to this call with the establishment of the Results-Oriented Monitoring system (ROM).

After the initial conception in 2000 for the ALA/MEDA/ACP and Balkan regions and subsequent testing, the ROM System was launched in January 2002. Since the introduction of ROM in the Technical Aid to the Commonwealth of Independent States (TACIS) and Poland and Hungary: Assistance for Restructuring their Economies (PHARE) region (which had previously worked with an activity based monitoring system), completed by end of 2003, the ROM system has been applied to all regions of the Commission's external assistance.

While the initial ROM design was applied only to ongoing projects, the development of a ROM methodology for closed projects (so called Ex-post ROM) was initiated in 2005. This methodology can provide essential information on real impact and sustainability of operations and can contribute to the elaboration of best practices to feed into the design of new projects.

Since 2007, a ROM compatible monitoring system for SPSPs has been tested, in order to systematically record progress in the contribution of an SPSP to a Sector Programme whilst fulfilling the principles of the Paris Declaration to ensure ownership and to reduce the transaction costs for Partner Governments.

Following a review of the functioning of the ROM database, it was completely restructured in 2007 and integrated as a module in the Common RELEX Information System (CRIS) of the Commission.

Since 2008, a new methodology for Regional Programmes has made it possible to capture the specific regional dimension of these programmes.

ROM is undergoing continuous methodological improvements to streamline the monitoring process and to make ROM products more useful. For instance, a new, streamlined version of the Background Conclusion Sheet (BCS) now includes separate parts on cross-cutting issues under a mainstreaming perspective as well as on horizontal issues such as TA/TC or EC visibility.

1.4.3   Actors in ROM

Figure 2 - Actors in ROM
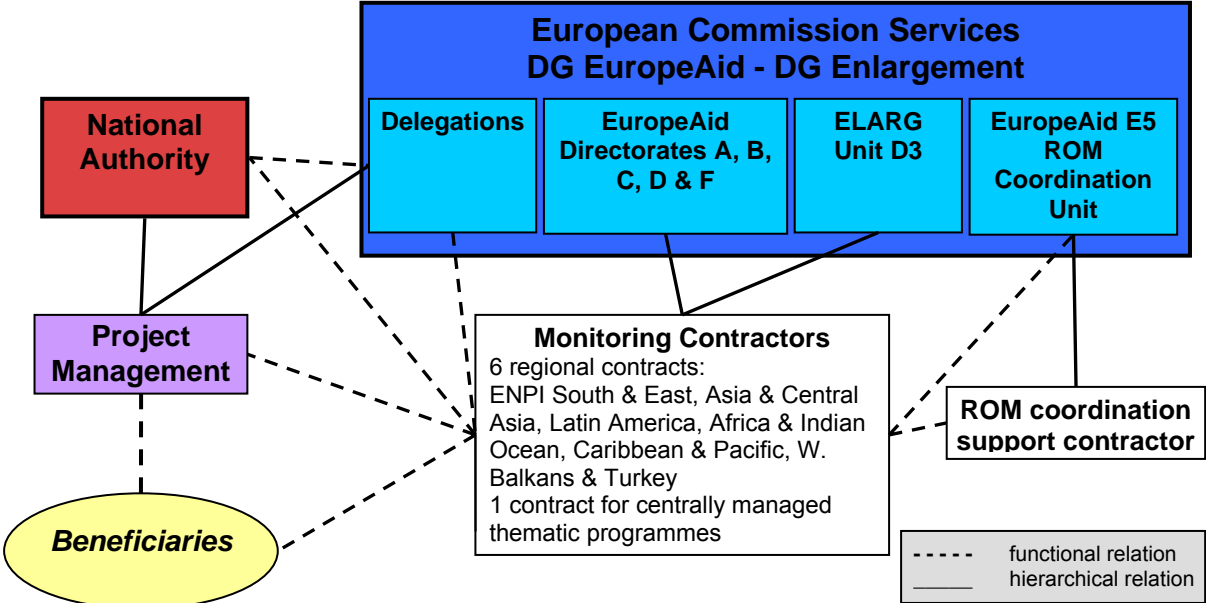
1.4.3.1   EC Directorates General

Four EC Directorates General are involved to different degrees in ROM: DG External Relations (RELEX), DG Development (DEV), DG Enlargement (ELARG) and DG EuropeAid (AIDCO). An Interservice Agreement (2001) defines the division of labour between DG RELEX, DG DEV and EuropeAid.

> "Following the reform of the management of external assistance, DG RELEX and DG DEV [headquarters and delegations] are responsible for defining the strategies, general policies and programming of external assistance. AidCo is responsible for the management of the project cycle from identification to implementation and final project evaluation." *(DG Relex DG Dev AidCo Interservice Agreement June 2001)*

DG Enlargement delegated fewer tasks to EuropeAid than DG Relex and DG Dev. Even though it uses the ROM database and methodology developed and coordinated by EuropeAid E5, it manages the monitoring function for the region itself.

For the 'third generation' of ROM 2008-2010, ROM Monitoring activities are organised in seven lots/contracts. Lot 6 is managed und funded by DG Enlargement. All other Lots are managed by EuropeAid's directorates. In addition to the Lots for the monitoring activities, a ROM support coordination contract is in place to support EuropeAid Unit E5 in the coordination role.

Lot #	Region	ROM Task Manager
Lot 1	European Neighbourhood Countries (ENPI) East and South	EuropeAid Directorate A
Lot 2	Africa, Indian Ocean and South Africa (AIS)	EuropeAid Directorate C
Lot 3	Asia (including Central Asia)	EuropeAid Directorate D
Lot 4	Latin America (LA)	EuropeAid Directorate B
Lot 5	Centrally Managed Thematic Projects (CMTP)	EuropeAid Directorate F
Lot 6	Western Balkans and Turkey (WBT)	DG Enlargement
Lot 7	Caribbean, Pacific, Cuba and OCTs	EuropeAid Directorate C

1.4.3.2   ROM Task manager

A ROM Task Manager, as liaison person in EuropeAid or DG Enlargement, is responsible for the execution of one of the eight ROM service contracts.

Main tasks of the ROM Task Manager are:

- coordination of the annual Work Plan and the sample of eligible projects for monitoring for the Lot;

- day-by-day operation of the ROM service contract; including coordination with other ROM Lots and ROM coordination to further uniformity in application of the system;

- decisions on implementation issues within the ToR;

- checking the planning of monitoring missions with regard to mid-term reviews and evaluations, as planned by other Units;

- validation of the planning of missions and communication with the Delegations;

> *Task Manager (TM) is an EC officer who has an operational responsibility for overseeing and supporting the effective formulation, implementation and/or monitoring of specific development projects or programmes financed by the EU. "ROM Task Manager" refers to the TM responsible of a ROM contract; "Project Task Manager" refers to the TM (in Delegation or HQ) responsible for the projects/programmes monitored by ROM.*

- mediation between parties involved in ROM, e.g. in case of serious disagreement between a Delegation and monitor on the findings presented in the MR;

- quality control of outputs under ROM in each lot.

1.4.3.3   ROM Contractors

The ROM contractors are the consortia contracted and supervised by the ROM Task Managers to carry out the monitoring visits to selected operations. They report the results of their visits according to standardised procedures and assure quality of their outputs. The ROM contractors coordinate with their respective Task Managers, among each other and with the ROM coordination Unit E5 and its contractor.

1.4.3.4   Monitors

ROM Monitors are independent experts recruited by the ROM contracting consortium after approval by the EC. Their work is approved by the ROM contractor and not by the EC. Factual errors made by the monitor can be pointed out by EC staff during the debriefing at the

end of a monitoring visit. The interpretation of the facts though is up to the monitor whose independent, outside expertise is a valuable input for the EC.

Monitors usually work in a team on a mission. In some cases, ROM contractors work with resident monitors in a region or country or recruit local monitors to complement a monitoring mission.

1.4.3.5   EuropeAid E5

The Quality monitoring systems and methodologies Unit E5 is responsible for the overall coordination, common database and methodological issues of the ROM system, including overall quality assurance and the guarantee of independence.

The ROM coordination has to ensure coherence and consistency of the methodology and its application in the field. Improvement of the methodology, wherever applicable, is also an integral part of its tasks. The ROM coordination organises, on a regular base, coordination meetings with the ROM contractors and ROM task managers. Ad hoc working groups with representatives of the ROM contractors and the Directorates have been formed to cover special subjects, such as the design of the SPSP/ROM methodology, and the adaptation of the ROM methodology for ongoing projects to measure also the performance of closed projects: ex-post ROM.

Unit E5 is also responsible for the coordination of the Tender regarding all geographic and thematic lots (including the Lot for WBT managed by DG Enlargement).

Unit E5 is not only in charge of ROM, but acts also as the secretariat for office Quality Support Groups (oQSG) in EuropeAid, i.e. the ex-ante assessment of operations' design quality. It is in charge of developing and revising the oQSG methodology as well as to ensure its correct implementation.

E5 works towards further alignment and integration of all steps of quality assurance including ex ante assessment, monitoring and evaluation of ongoing operations as well as ex-post assessments.

The Unit also ensures a better link between the Quality Assurance systems and the Aid Delivery Methods and the New TC backbone strategy.

1.4.3.6   Contractor supporting coordination

Since April 2003 a Contractor supports the ROM Coordination Unit E5 in its tasks and is therefore directly responsible to the Unit. The contractor assists in improving and developing monitoring methodologies, in the operational tasks of ROM (information processing, analysis, reporting, support in quality assurance) and responds to ad-hoc requests of Unit E5. The ROM coordination contractor can also be asked to produce synthesis reports, analyzing the results from all regions.

1.4.3.7   EC Delegations

The EC Delegation in a partner country is responsible for the EC development cooperation programme. A Delegation may be responsible for more than one country.

Delegations had initially mainly an important consultative role giving advice on local issues to the HQ. But the responsibilities of the Delegations have increased considerably with devolution as more responsibility has been delegated from Brussels to the Delegations bringing the decisions much closer to the partner countries. For the Delegations, this involves the following changes:

- more active contribution to programming, although final responsibility will remain with the External Relations or Development Directorates according to the geographical area;

- responsibility for identification and appraisal stages, with methodological and technical support by the EuropeAid Co-operation Office, which will also be responsible for final quality control of the financing proposals and for taking these through the decision process;

- responsibility for contractual and financial implementation, strictly respecting procedures and requiring secure access to the financial and accounting management systems at HQ;

- responsibility for technical implementation requiring technical expertise on the spot and the possibility to call on more specialised advice from HQ;

- responsibility for internal monitoring of projects, along guidelines provided. These basic arrangements are supplemented by a system of external monitoring (also known as Results-Oriented Monitoring - ROM).

> The monitor or team leader (TL) should always verify beforehand whether a Delegation or EC representation in country has responsibility for an issue for which advice is sought, or whether the question should be addressed to HQ (particularly in the case of CMTP).

1.4.3.8 National Partners of the Delegations

Each Financing Agreement, or document with similar status, represents a legal commitment between the Commission and the PG. This includes a commitment by the Commission to (co-) finance an agreed operation. The National Authority is the representative body of the recipient government, which is the contract party to the Financing Agreement. Governments may appoint representatives for the purpose of concluding agreements and the implementation of operations.

In ACP countries the National Authorising Officer (NAO), a senior government official appointed by the Partner Government, is, in close collaboration with the EC delegation, responsible for:

- the preparation and submission of programmes and projects;

- the examination and completion of tenders for approval by the Head of Delegation;

- the coordination, monitoring and assessment of projects and programmes funded by donors;

- ensuring the proper execution of projects, programmes and disbursements of EC funding in the country.

The strengthening of the role and responsibilities of the National Partners is part of the decentralisation efforts of the EC.

1.4.3.9 Beneficiaries of External Cooperation

Beneficiaries are the people who benefit in whatever way from the implementation of the operation. They can be divided into the **target groups**, as identified for the project purpose, and the **final beneficiaries** benefiting from the operation in the long term (i.e. impact). During project identification they should be clearly identified and actively involved in the whole preparation process.

During the monitoring process the opinion of the target group is an important source of information regarding outcomes and project purpose and therefore effectiveness. Monitors should also note any broader benefits accruing to other final beneficiaries, i.e. the impact of the project. This is especially relevant if benefits at the level of the target group lead to

negative impacts for other groups, e.g. an irrigation project which reduces the amount of water for people outside the target group.

1.4.3.10   Users of ROM

The key documents (PS, BCS, MR, RS) of ROM monitoring are available in the CRIS database and therefore available to EuropeAid directorates and the EC delegations. Delegations or, in the case of centrally managed projects and programmes, the Task Manager (TM) in HQ are responsible for communicating the results of the monitoring exercise to the relevant stakeholders namely the project managers, national authorities and beneficiaries.

The following groups of users can be distinguished:

- Partner / Implementing Agency / PMU who will use the monitoring documents as a valuable management tool;

- Both the EC Delegation and HQ staff who can judge if the project is achieving the results and if changes are required based on the MR;

- EC management who get an overview of the EC development cooperation portfolios' performance, based on the statistical data drawn from ROM;

- The representatives of the National Authority, signatory to a financing agreement or agreement with similar status, who can judge if the project is achieving the results.

1.4.4   Elements of the ROM "toolbox"

In order to provide uniform standards of monitoring and guarantee coherent methodologies, a set of templates have been developed which guide the monitor in the preparation of the mission and during the elaboration of the monitoring observations and recommendations. In addition, the templates have standardised the EC follow-up on the monitoring products. Most of these documents are now available in the CRIS database.

Project Synopsis

The Project Synopsis (PS) provides a concise overview of the information available before the monitoring mission, i.e. project background, logic of intervention and administrative data. It is used as a project reference sheet during and after the monitoring mission.

Background Conclusion Sheet

The BCS is the key methodological instrument for ROM providing the methodological structure for monitoring to ensure objectivity, consistency and comprehensiveness. It serves as a supporting document for drafting the Monitoring Report. It automatically calculates the MR grading using the sub criteria for each category of conclusions of the MR. As a document uploaded in the CRIS database it can provide more detailed information to ROM Users in addition to the Monitoring Report.

Monitoring Report

The MR is the main document to present findings of the monitoring mission. It includes general and financial information on the project, grades for 5 ROM criteria (obtained via the BCS) and a summary of conclusions.

Monitoring notes

The MN, a short substitute for a full MR, are produced only in the **exceptional** case that an on-site monitoring visit is not possible because of security hazards, natural disaster etc.

Response sheet

The RS is drafted by the EC TM in HQ or delegation in response to the MR and BCS. It includes the TM's assessment of the quality of the MR, eventual plans to implement MR recommendations and feedback from other stakeholders.

1.4.5   Types of ROM methodologies

Within ROM different methodologies have been developed to capture the specificities of other aid modalities and stages in the project cycle.

Ongoing projects (Initial monitoring & Re-monitoring)

The standard exercise that ROM was initially focused on was the monitoring of ongoing projects. Stand-alone projects are monitored usually the earliest 6 months after the start of operations and 6 months before the end of implementation.

In order to follow-up on changes over time in the project implementation and to observe the effects of the recommendations made by the initial monitoring report, another monitoring visit, called Re-monitoring, can be undertaken. Re-monitoring differs from the normal monitoring of ongoing projects as it focuses principally on the changes since the initial or previous monitoring visit.

Ex-post projects

Since 2005 ROM includes a special methodology for closed projects, called Ex-post ROM, to measure the situation of a project after the end of the EC funding. This methodology can provide information on real impact (long term outcomes for the final beneficiaries) and sustainability. The collected data can contribute to the elaboration of best practices which feed into the design of new projects.

Regional Programmes

Regional Programmes bring together a number of projects within a defined region under a common set of goals and a common strategy. In order to capture the effectiveness, efficiency and impact of these programmes and their specific regional character, ROM includes a specific methodology.

This methodology is based on a typology of the regional programmes by intervention logic, namely the overall objective and project purpose of the programme. ROM distinguishes three types of RP:

- Exclusively regional RP (Overall objective and project purpose are exclusively regional) with or without national implementation component;

- Hybrid RP (Overall objective and project purpose are regional and national);

- Pseudo RP (regional financing, but no regional dimension in design).

Depending on the type of RP and on the number and geographical distribution of its national components, ROM covers all components or draws a sample.

Monitors produce Monitoring Reports for all national components monitored ("Component Reports") and a consolidated/horizontal MR which analyses the RP as a whole (including components which might not have been monitored).

Sector Policy Support Programme

The SPSP method of aid delivery has become increasingly important in recent years as the Commission promotes the sector approach to work with partner countries, other donors and

stakeholders. This approach gives partner governments greater ownership of development policy and financing compared to the project approach. The end result is greater coherence between the allocation of internal and external resources, spending and expected results.

A specific methodology has been developed in ROM to measure the performance of this type of aid delivery. It is focused on the contribution of the SPSP to the implementation and performance of the Sector Programme (SP) concerned. The monitoring of an SP itself is the responsibility of the partner country. The ROM monitor will focus on summarising, analysing and assessing existing information about the SPSP and the related SP.

1.4.6   ROM in the Project Cycle

The Project Cycle Management [www] identifies five stages (Programming, Identification, Formulation, Implementation, and Evaluation & Audit) of a project's life cycle and spells out the management activities associated with each stage. The PCM applies to both projects and regional programmes.

PCM helps to ensure that:

- projects are supportive of overarching policy objectives of the EC and of development partners;

- projects are relevant to an agreed strategy and to the real problems of target groups/beneficiaries;

- projects are feasible, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies;

- benefits generated by projects are likely to be sustainable.

To support the achievement of these aims, PCM:

- requires the active participation of key stakeholders and aims to promote local ownership;

- uses the Logical Framework Approach (as well as other tools) to support a number of key assessments/analyses (including stakeholders, problems, objectives and strategies);

- incorporates key quality assessment criteria into each stage of the project cycle;

- requires the production of good-quality key document(s) in each phase (with commonly understood concepts and definitions) to support well-informed decision-making.

Monitoring, as a regular "snapshot" review of a project's or programme's performance, is part of the fifth step of the project cycle. It can on the one hand trigger immediate changes in the implementation by providing feed back to managers and implementers, and on the other hand provide helpful data and lessons learned feeding into the programming phase of the project cycle.

Figure 3 - EuropeAid Project Cycle
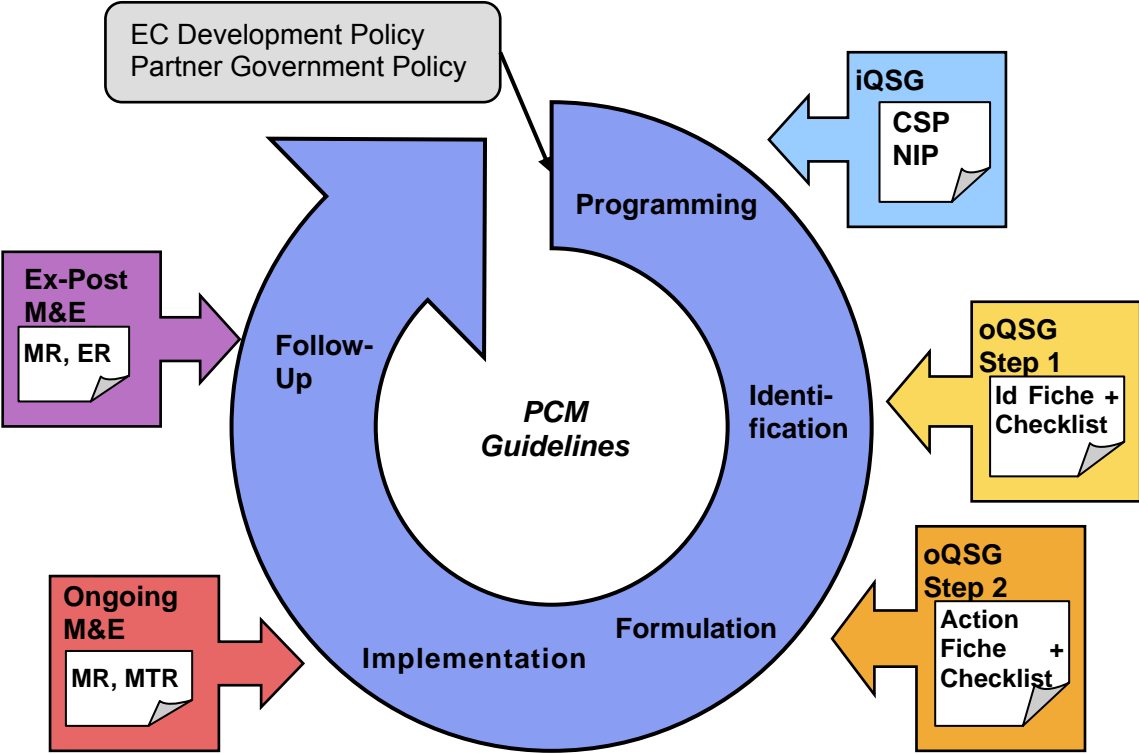
1.4.6.1   Logical Framework Approach

The Logical Framework Approach (LFA), which is today adapted in one form or another by most aid agencies and donors, is a very effective analytical and management tool when understood and intelligently applied. It provides a framework for structured thinking of goals, means and stakeholders. The LFA process is synthesised in the Logframe Matrix which includes a hierarchy of inputs, activities and objectives, as well as the indicators, risks and assumptions about internal and external factors.

The Logical Framework Approach and the Logframe itself are not a substitute for experience and professional judgement and must also be complemented by the application of other specific tools (such as Economic and Financial Analysis and Environmental Impact Assessment) and through the application of working techniques which promote the effective participation of stakeholders.

> The EC has required the use of Logical Framework Approach as part of its Project Cycle Management system since 1993. Knowledge of the principles of LFA is therefore essential for all staff involved in the design and delivery of EC projects.

The process of applying the analytical tools of LFA in a participatory manner is as important as the Logical Framework Matrix (LFM). This is particularly so in the context of development projects where ownership of the project idea by implementing partners is often critical to the success of project implementation and to the sustainability of benefits. The LFA should not be understood as a rigid corset for project planning and implementation. Rather it should be seen as a process which encourage and guides discussion and reflection about the goals and activities of a project involving all relevant stakeholders. Furthermore, as the LFA is based heavily on assumptions about the external conditions, risks and conditionality between input and results, it has to allow for adaptation to unexpected conditions during the implementation phase.

The central element of the LFA is the hierarchy of objectives which encourage reflect on how the project is supposed to contribute to a solution of the initially stated problem.

- **Input/Means**: resources used; e.g. vaccines purchased;

- **Activities**: the steps undertaken to transform inputs into outputs, e.g. establishment of mobile vaccination clinics;

- **Output**: the goods and services produced; e.g. children vaccinated. In the EC's Logframe structure these are referred to as 'results';

- **Outcome**: the intermediate results generated relative to the objectives of an operation; e.g. reduction of the number of children that have contracted measles;

- **Purpose**: defines the specific objective of a project or programme, e.g. improvement of child health;

- **Overall objective**: longer-term results or changes produced directly or indirectly, intended or unintended by an operation; e.g. the reduction of infant mortality rate in a region.

The terminology of the hierarchy of objectives varies among different aid agencies, donors and implementers which can create confusion. It is especially important to keep in mind the difference between Outputs and Outcomes which are too often subsumed under results.

Indicators are used to measure progress towards goals. They specify what to measure in order to monitor and evaluate the performance in a quantitative or qualitative way. As they are only useful if objectively verifiable, i.e. avoid subjective, arbitrary judgments, they are called Objectively Verifiable Indicators (OVI) in EC terminology.

In order to measure performance the indicators need to include **baselines and targets**. The baseline performance is the performance level before the implementation of the operation; the target is the performance measure at a certain point in time during the implementation, at the end or (in order to measure sustainability) a certain time after the end of donor funding.

The third element of a Logframe is an analysis of the **risks and assumptions**, i.e. the external factors which might affect outputs and outcomes and their contribution to the project purpose and overall objective. Assumptions specify the conditions which must hold true for the project to perform as expected; Risks are the factors outside the implementers' control which could impede the achievement of the set goals.

It is important to distinguish between the Logical Framework Approach which is an analytical process (involving stakeholder analysis, problem analysis, objective setting and strategy selection), and the LFM as the product of this process, which spells out a hierarchy of inputs, activities, outputs, intended outcomes and impact, the OVI as well as assumptions and risks.

1.4.6.2 ROM terminology of project performance and quality

The hierarchy of objectives of the LFA matches the ROM terminology for project performance.

Relevance describes how well a project addresses a real problem of the beneficiaries and how well it matches the EC development policies strategic objectives.

Efficiency stands for how well the inputs are transformed into output and outcomes.

Effectiveness measures the degree to which the project's outputs have provided benefits and contributed to the project purpose.

Impact describes how and to which degree the project has contributed to the solution of the problem and to the achievement of the overall objective. Actual Impact can only be measured ex-post. ROM monitoring for ongoing projects nevertheless scrutinizes the impact prospects, i.e. the project's likely contribution to the project's Overall Objective.

Sustainability introduces a time dimension into the monitoring. It measures to the likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.

Figure 4 - Hierarchy of objectives and evaluation criteria
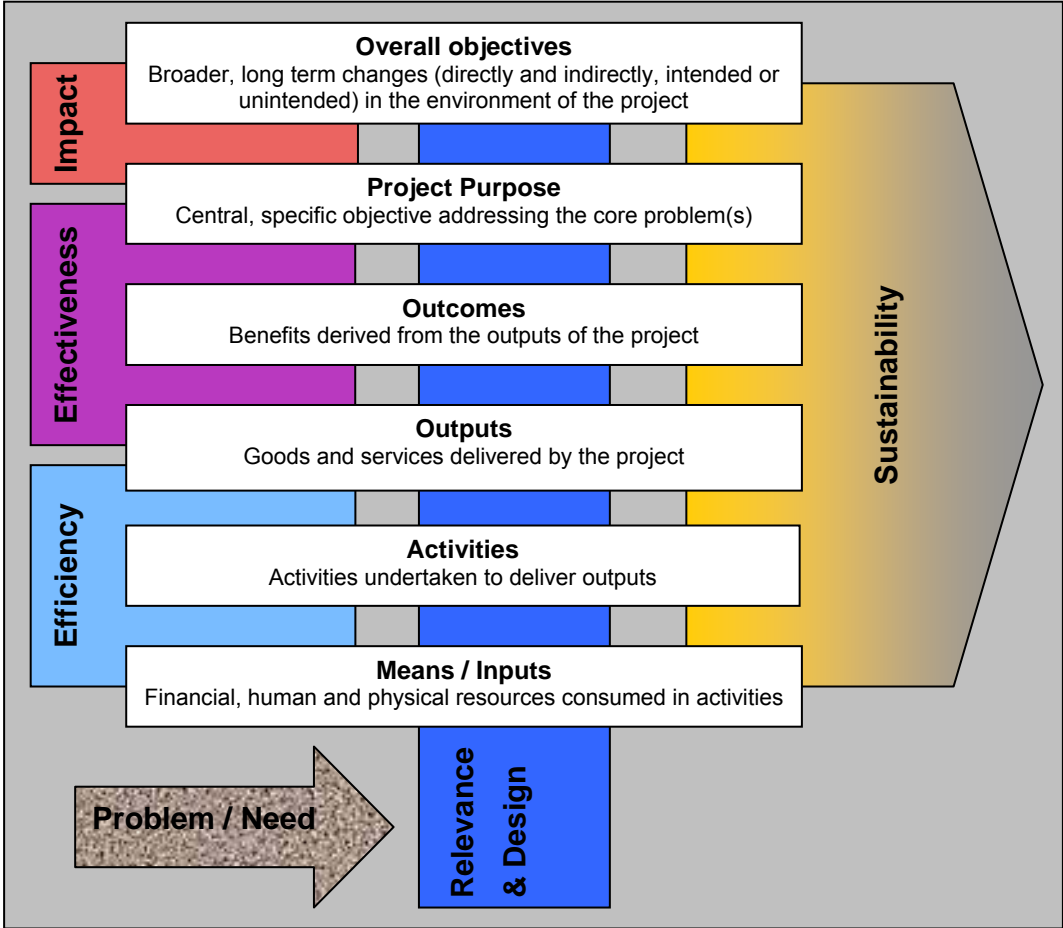
1.4.6.3   The Quality Assurance Cycle

In order to guarantee the quality of development aid operations, EuropeAid maintains different quality assurance mechanisms for each of the stages in the project life cycle as described in the PCM. Ideally the different stages are aligned and interlinked with information collected at one step informing the subsequent steps. ROM intervenes at the two final steps of the project management cycle. It should therefore draw on the observations and recommendations of the ex-ante assessment by the QSG. Likewise, in order to fully exploit the potential of ROM, its findings should feed into the first steps of the Project Management Cycle of Strategic Planning, Identification and Formulation.

Table 2 – EuropeAid Quality Assurance Cycle

PCM Step	Stage	Quality Assurance	Key documents produced
Programming	Strategic	iQSG	CSP, NIP
Identification	Ex-ante	oQSG 1	Identification Fiche (IF)
Formulation	Ex-ante	oQSG 2	Action Fiche (AF)
Implementation	Ongoing	ROM, Medium Term	Monitoring Report, Medium Term

		Evaluation	Review
Evaluation	Ex-post	ROM, Evaluation	Monitoring Report, Evaluation Report

1.4.6.4 Ex ante assessment by the office Quality Support Groups (oQSG)

EuropeAid has put in place an ex-ante peer review mechanism, the oQSG [www], to help improve the design of external operations at the identification and formulation stages. The oQSG builds on in-house expertise, as well as on best practice from previous/ongoing measures.

The aim of the oQSG is to provide support during the **preparatory process** by providing feedback and guidance on the design of EC operations. The primary focus of this body is to:

- Support the capacity of TM both in Delegations and at HQs to identify and formulate high-quality operations;

- Undertake systematic assessments of the design quality;

- Identify improvements that need to be incorporated to ensure the quality of external actions;

- Ensure reporting on and dissemination of conclusions and recommendations, transfer of good practices and provide statistics based on the analysis of operations submitted to the oQSG.

The oQSG intervenes at the end of two stages in the design process: the identification and formulation phases.

At the end of the identification, the oQSG reviews the proposed intervention as outlined in an "identification fiche" produced by the EC delegation or centralised operational unit. The identification fiche outlines the problem requiring EC development assistance and the proposed intervention's response to this problem. It includes a summary of the suggested intervention logic, the sector context (incl. PG policies, Lessons learned and donor coordination), a preliminary Logframe, information on crosscutting issues. A checklist for each implementation modality (stand alone project, SPSP and general budget support) allows the oQSG to coherently screen the identification fiches according to relevance and intervention logic, potential impact and sustainability.

The oQSG intervenes again at the end of the formulation phase reviewing the proposed intervention based on the "Action Fiche" and the draft technical and administrative provisions (TAPs) submitted by the EC Delegation or centralised operational unit. The review at formulation stage also verifies if the recommendations made by the oQSG at the end of the identification phase were taken into account during formulation.

There are five oQSGs, one for each of EuropeAid's four geographical Directorates and one dealing with measures funded under Thematic Budget Lines. The coordination function of the oQSGs is based in EuropeAid Unit E5, the same unit which coordinates ROM.

ROM checks whether the recommendations of the oQSG have been actually implemented. The oQSG documents can draw attention to issues which might cause potential problems in the project implementation. EuropeAid Unit E5 is working on a further integration and alignment of the different stages of the Quality Assurance cycle.

2   ROM Missions - Best Practice

The following section describes standard practice of the different stages in the preparation, realisation and follow-up of ROM missions. Its main objective is to present the steps necessary to produce good quality ROM outputs. The instructions are meant to be indicative rather than obligatory. The red Quality Factors boxes recall the most important issues to keep in mind for high quality ROM missions and products.

The ROM contractor can develop, in consultation with the ROM TM, different practices which are adapted to the specificities of their Lot. However, deviations from the standard practice should always be scrutinized to ensure they guarantee the same high quality standards of ROM missions and products and especially they do not affect statistical comparison of the ROM data. Some instructions are prescribed by the ToR of each ROM lot. These together with instructions from the TM responsible for the lot are the ultimate authority on ROM practice.

> This Handbook section describes "standard" ROM mission practice. This matches the current mission planning and execution in most of the regional ROM lots. However, some ROM lots deviate from this standard practice in so far as they use regional/national offices and resident monitors and undertake an inception monitoring three months after the start of an operation. For detailed instructions please refer to the ToR of the respective ROM contract.

Figure 5 - The ROM cycle
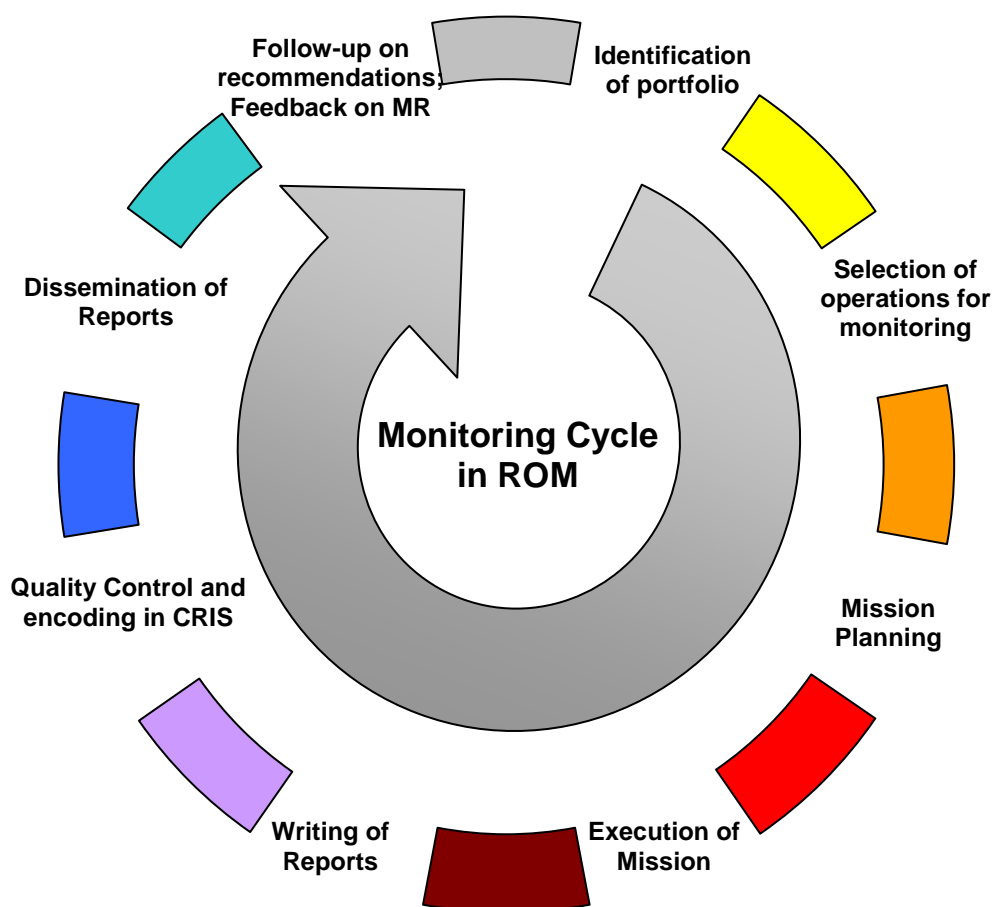
There are usually eight stages in the monitoring process. To obtain a clear overview of this process, it is necessary for all actors involved in the ROM mission planning and execution to understand the logistical and technical aspects as well as their role in each stage.

Table 3 - ROM cycle

	Step	Done by	Docs used	Documents produced
1	Identification of Portfolio	ROM contractor in coop. w/ ROM TM	CRIS, ToR	List of Portfolio
2	Selection of Operations for Monitoring	ROM contractor in coop. w/ Delegation	List of portfolio	Work plan
3	Mission Planning	ROM contractor, mission leader and monitor, TM in Del	Work Plan	
4	Execution of Mission	Mission Leader and Monitor, Implementing Partner	Policy, country + project docs	PS and Draft BCS
5	Writing of Monitoring Report	Mission Leader and Monitor	Personal notes, project docs	MR, BCS, PS
6	Quality Control of Monitoring report and encoding in CRIS	ROM contractor	MR, BCS, PS	
7	Dissemination of MR	Delegation (or HQ for CMTP)	MR, BCS, PS	
8	Follow up on recommendations, Feedback on MR	TM in Delegations and HQ	MR, BCS	RS

⚠️ *These instructions do not apply to ROM of Sector Policy Support Programmes (SPSP). SPSP ROM methodology, currently under review, considerably differs from the methodologies presented here. Once testing and review of SPSP ROM is completed, instruction will be provided in a updated version of this Handbook or a separate Handbook.*

2.1 Identification of projects and programmes

The first step in order to be able to prepare a work plan is the identification of all EC operations which are part of the regional or thematic lot under the contractor's monitoring responsibility. This should be done systematically before the eligibility of an operation for ROM monitoring is determined.

> *Quality factor: Contact Delegation – ROM contractor:*
>
> *Each EC Delegation should assign one person for ROM in order to ensure good information flow between all actors involved in ROM mission planning and execution.*

Information on existing and planned operations can be extracted from CRIS. However, CRIS data has to be verified with the Delegations and the ROM TM (especially concerning the actual start and end date of projects). In some regions, Delegations provide a *tableau de bord* listing all EC operations under their responsibility. Portfolio data from the previous year can be updated with CRIS data and information from the Delegations to compile the portfolio of the lot. The goal of this stage is to obtain a comprehensive overview of the EC development portfolio.

For new projects a project data file should be established containing key information on the project/programme. This file should be updated at least annually to contain the correct project information relevant for the establishment of the work plan and mission planning.

⚠️ *It is important to verify if a project is really a stand-alone project or if it is a component of a regional or a centrally managed thematic programme.*

Even though at this stage a fully-fledged work plan cannot be established (as operations to monitor have not been selected based on the eligibility and sampling criteria, cf. below), some ROM contractors proceed by establishing a preliminary annual plan which defines the number of operations to be monitored in each country and a general timeframe for the missions. The actual selection of the operations to be monitored is done in a subsequent step.

> Contractors should try to balance the number of missions during the year to avoid bottlenecks and a strain on human resources in their Brussels office. Peaks in mission numbers can have a negative effect on mission planning, execution and quality control.

2.1.1   Identification of Regional Programmes (RP)

In regard to Regional Programmes, there are additional steps to be taken at the ROM identification stage.[1] The ROM contractor has to classify the RP according to the type of intervention logic (namely regional or national dimension of overall and specific objective, cf. below).

The contractor should also note the number of countries involved and their geographical distribution. This will later determine whether a sampling of national components of the RP is done or not.

It is expected that this can be done as a one-off exercise which then only needs to be checked annually in case the programme has officially changed its focus.

The typology of the RP by intervention logic (A, B, C or D) helps to gives guidance on what to focus on during the monitoring exercise in order to make sure that the regional dimension is properly covered.

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[1] The following instructions regarding typology and sampling are a simplified, but nevertheless adequate version of the Guidelines for Monitors for Regional Programmes 2008.

Figure 6 - Categories of Regional Programmes by type and configuration
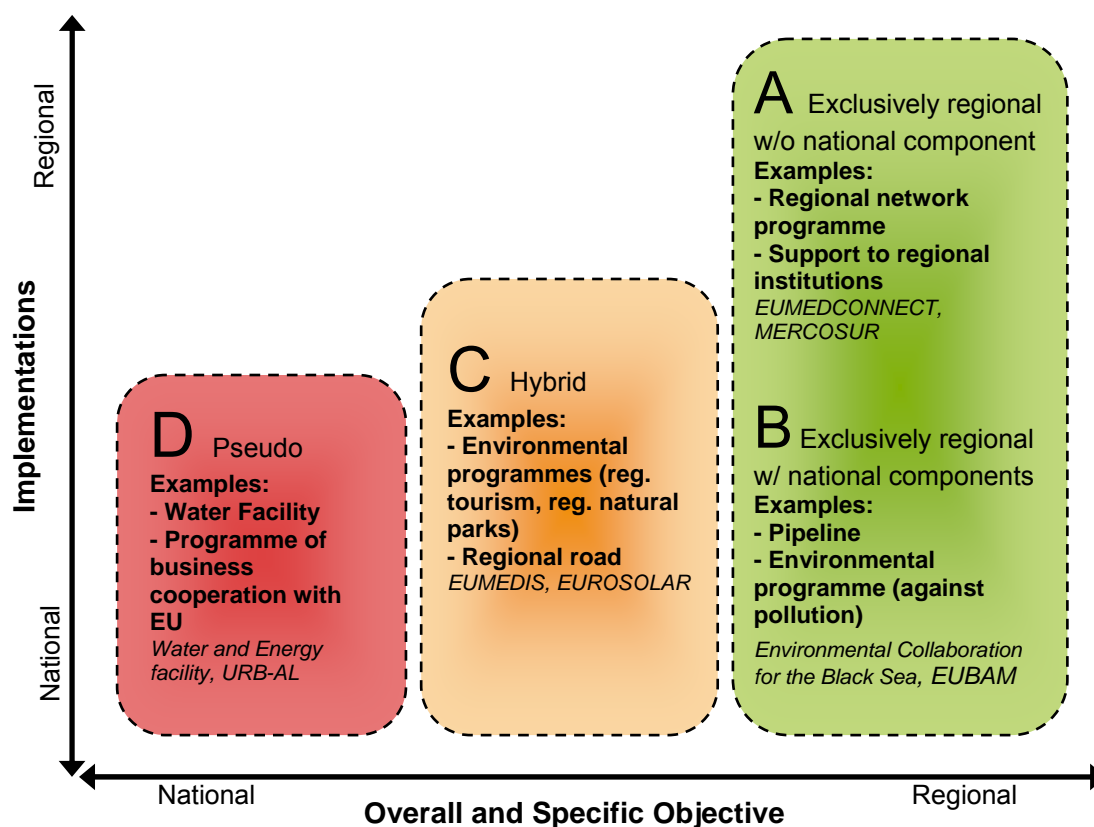
Three main RP types are distinguished regarding their intervention logic:

Exclusively regional RP (category A and B):

- The Overall Objective (OO) and Project Purpose/Specific Objective (PP) are exclusively regional, e.g. reinforcement of regional integration, development of regional capacity, solution of a regional problem;

- Impact and sustainability are regional;

- Success in all involved countries is necessary for the achievement of the programme.

Exclusively regional RPs can either:

- have no national activities/components (category A). *Example*: a regional training centre for the benefit of all countries in the region;

- include activities on the national level (category B). *Example*: a pipeline crossing several countries (but not working if one country element is missing).

What matters here is the intervention logic defined in the FA, rather than what the RP has become, unless such changes have been officially accepted through and addendum to the FA.

Hybrid RP (category C)

A hybrid RP is a RP with autonomous national components.

- OO is first and foremost regional, but is partially based on the reinforcement of the national capacities;

- Results are both regional and national. National results contribute to regional results.

- Activities are regional and national. Regional activities coordinate and complement national activities.

- Failure of one national activity/component to deliver outputs would harm the regional outcome. However, some regional outcome would be produced anyway; national outcomes in other countries will persist.

- *Example*: Development of a network of highways linking different countries.

Pseudo RP (category D):

Even though the operation runs under a regional label, it does not have regional dimension in its OO, PP, impact or activities. The operation is simply financed by a regional fund. Each beneficiary country develops its own autonomous operation without regional considerations

> *For pseudo RP the methodology for "standard" ongoing projects/programmes can be used. In this case, monitors should however assess whether there are any advantages arising from the use of a regional fund.*

2.2 Selection of Projects/Programmes for Monitoring

Determination of eligibility

Based on the portfolio of all operations in their lot, the contractors select the operations eligible for ongoing and ex-post monitoring. The selection has to follow a number of criteria regarding the size of the operation's budget and the timing of the monitoring. The contractor has also to respect certain criteria for the sample as a whole. The number of operations to be monitored and the specific criteria for their selection are defined in the ToR for each monitoring lot's contract. These criteria are to be applied with certain flexibility.

The following general criteria for selection of ongoing projects/programmes apply:

- Projects/programmes are eligible if, at the time of monitoring, they have been operational for at least 6 months and have 6 months of implementation outstanding. (NB: This eligibility criterion can matter in terms of timing of the monitoring visit.)

- Projects should have an EC financial contribution of more than €1 million.

- In addition, a small sample of projects with an EC contribution of less than €1 million should be monitored (around 10% of the projects monitored).

- For **centrally managed thematic operations** other budget levels are guiding the selection: 60% of the operations monitored in this lot should have an EC contribution of more than €1 million, 30% between €500.000 and €1 million, and 10% between € 300.000 and €500.000.

Selection of projects/programmes

In most ROM lots the number of eligible projects/programmes is greater than the number of monitoring visits allotted in the contract. The ROM contractor therefore has to select in consultation with the Delegations and ROM TM the operations to monitor. The selection of the operations is an iterative process. Usually, HQ or Delegations choose the projects and programmes they would like to be monitored from a list prepared by the contractor. It can be helpful for ROM contractors if Delegations explain their preference and communicate them in advance. The selection should not be limited to extreme good or poor performers, but include operations of all levels of performance. Furthermore, Delegations should reflect on where and how ROM can provide the most valuable information for the improvement of the operations under the Delegation's responsibility and how it can contribute to lessons learned.

In addition to the eligibility criteria, the contractor and EC TM should make sure that the sample of operations selected for monitoring includes:

- all sectors and important priority areas;

- some risky projects (e.g. in fragile states, conflict areas);

- differently performing projects, i.e., balanced representation of underperforming projects and those which are going well according to previous monitoring results;

- coverage of diverse thematic budget lines;

- all type of contractors and implementing actors from NGOs to International Organizations.

Timing of ongoing monitoring missions

For the timing of monitoring of **ongoing** projects/programmes during the year the following should be observed:

- Timing has to respect the 6 months eligibility criteria (i.e. the earliest 6 months after the actual project start and the latest 6 months before actual project end). ROM contractors particularly have to double check if start/end dates have been modified.

- Ideally, at least 3 months between monitoring visits and mid-term evaluations should be respected.

- Re-monitoring should take place at least 12 months after the initial monitoring visit.

> *Quality factor: Coordination with other M&E activities:*
>
> *Delegations should cross-check regularly the planning of ROM missions with the planning for other evaluation missions in the country or region.*

Selection and timing of ex-post monitoring missions

The eligibility criteria for ex-post monitoring regarding the budget size of projects and programmes are the same as those for ongoing monitoring: all operations with an EC contribution of more than €1 million are eligible and a small sample of the smaller projects should be drawn.

Operations which are assessed in an ex-post evaluation should not be ex-post monitored. However, this rule should be used with flexibility. Exceptions might be reasonable if additional information can be expected from an ex-post ROM. For example, this can be the case if an ex-post evaluation raised questions which could be answered by ex-post ROM some months later, if evaluations results should be updated by a subsequent ex-post ROM or if an additional ex-post ROM would directly support the design of a new project.

Ex-post monitoring should, in general, be undertaken 12-18 months after the technical closure of the project i.e. end of implementation of activities. However the perfect timing depends also to some extent on the nature of the project. The time window in which sustainability or impact is supposed to materialise varies from project to project, with extreme cases such as projects showing their impact only after a number of years and others designed to have a strategic impact at a specific moment in time.

Establishment of a Work Plan

Once the eligibility of projects/programmes in the portfolio is determined and sampling is applied as necessary, the work plan can be established. The work plan defines how many missions are planned and in which countries, which EC operations will be monitored and when, and which monitors will be hired for the tasks. The ROM contractor has to consult with the responsible EC TM and the EC Delegations to finalize and adapt the planning.

Flexibility in planning is always necessary; the initial work plan established at the beginning of the year will undergo a number of adaptations during the year. Revisions can be due to

changes in the situation on the ground, delays in the start of a project or difficulties arising from staffing arrangements and logistics. ROM contractors, EC Delegations and ROM TM have to keep each other informed about these changes with sufficient time ahead of the mission.

2.3 Mission planning

2.3.1 Documentation

In order to provide a well informed assessment of the performance of an operation, monitors need to have all relevant information on the project and its context. Monitors should make themselves familiar with relevant documents prior to mission start. ROM contractors should ensure that sufficient time is allocated for document review. The ROM methodology for some cases of programmes can include a dedicated desk phase (cf. below); additional days for document review should also be allocated for ex-post ROM if the operation to be monitored requires it.

No matter how the documentation collection is organised, it should guarantee that:

> *Quality factor: Availability of documents:*
>
> *The monitors should know which documents (and updates) they already have and which they need to obtain on-site.*
>
> *ROM contractor have to make sure the latest versions are made available to the monitors.*
>
> *Delegations and HQ have to actively support the ROM contractor in the documentation collection.*

- All necessary documents are collected;

- All monitors have access to the documents in electronic format early enough before mission start;

- The number of people involved in the collection is kept to a minimum to avoid duplication and confusion.

The Brussels office of the ROM contractor usually takes the lead in collecting the necessary documents. If regional or resident monitors are used in a lot, it can be helpful to include them in the process. ROM Task Managers and EC Delegations should assist the contractor upon request.

Most of the material is available through CRIS or other EC sources. Additional documentation might be available only on site, e.g. at the briefing and/or directly from project management. It is therefore the monitor's responsibility to complete the document portfolio with documents which could not be obtained by the ROM contractors Brussels office. The monitor should send a copy of these documents to the Brussels office after the mission to make them available for future ROM exercises.

> Firstly, the ROM contractor should look for data/information in CRIS, secondly contact the respective Geo-Coordinator with the support of the ROM TM and thirdly the concerned Delegation. After approval by the TM in Delegation or HQ, the ROM contractor or the monitors can establish direct contact with the project management to ask for additional/missing documents.

The following list of documents should guide the ROM contractor and monitor in their collection of background documents:

Table 4- Documents to support monitoring

Policy and country context documents	Project documents
EC Country Strategy Paper (CSP)	Financing Agreement (FA) or Contract (esp. "Specific Conditions" and FA Annex II)
EC Country Indicative Programme (CIP)	Riders modifying the Contract or FA
EC Regional Strategy Papers	Logframe (including updates)
Sectoral EC development policy documents	Budget
Relevant national policy papers (sectoral policy documents and Poverty Reduction Strategy papers)	CRIS fiche
Country annual reviews (if available)	oQSG action fiche and checklist
Other donors' strategy documents (if available)	Annual and overall workplan and activity schedules
Other documents	Implementation Reports
PCM guidelines	Communication and visibility plan
Latest version of ROM Handbook	Previous MR, BCS and PS
Toolkit on mainstreaming gender equality in development cooperation	Mid-term reviews
Environmental Integration Handbook for EC development co-operation	Thematic studies and consultant reports related to project (if available)
TA/PIU backbone strategy	Background documents (if available)
QSG methodology	Project communication materials and publications (if available)
EC Communication and Visibility Manual	

Desk Phase in ex-post monitoring

Compared to ROM for ongoing operations, ex-post ROM may have to collect and analyse a considerable amount of secondary sources on developments in the area of intervention. Sufficient time should be allocated for the collection and analysis of this information, preferably prior to the field visit.

2.3.2 Sampling within Regional Programmes and RP desk phase

In some cases not all national components of an RP can be monitored. The ROM exercise is then based on a sample of field visits and a complementing document review.

The decision to draw a sample from the national elements of an RP or not is based on the typology of the RP intervention logic and the number and regional distribution of the elements of the RP. This information should be recorded for each RP in the lot in the ROM identification phase (cf. above).

The higher the number of countries involved in an RP and the higher their geographical dispersion, the more likely it is that only a sample of national components is visited.

If an RP covers only a small cluster of countries in a limited geographic area (less than 5 national components is an indicative figure) all elements should be visited. Consequently no additional desk phase is necessary.

For RPs with a larger number of countries involved, the ROM contractor, in consultation with the ROM TM, has to decide if sampling is to be done without compromising the results of the ROM exercise. The factors which guide the decision to sample are the following:

- Exclusively regional RPs (category A +B) should ideally not be sampled unless more than 8 countries (indicative figure) are involved;

- Hybrid RPs covering more than 5 countries can be sampled.

- If countries of a RP are spread across one large or several region(s), sampling might be necessary (logistics and costs are too high) or likely (visiting all elements does not give substantially more information than a sample).

The sampling should be based on the following principles:

- The sample should select countries/projects/components which give a comprehensive overview of the overall programme.

- It should take into account the future possibility of re-monitoring, which can either be done with the same sample or with a different sample.

- It should not be driven by, but take into account logistical, budgetary and specific requests and other "realism meets methodology" reasons.

- Cover the different types of components or results of the RP if there are several (such as capacity building, technical assistance, training, trade fairs, etc.).

Desk phase in RP

If sampling of an exclusively regional RP is done, a desk review is obligatory to analyse information on countries/elements which are not monitored. For sampled hybrid RPs a desk phase is recommended.

The desk review is based on available documentation, but can also include a number of phone calls or emails with stakeholders. However, the desk phase does not produce reports for the unmonitored components. The information gathered and analysed will flow into the consolidated report for the RP.

Ideally the Mission Leader should undertake the desk review prior to the mission.

2.3.3 Selection of Monitors

The ROM contractor's Brussels office, after consultation with the consortium members, is responsible for appointing the Mission Leader and monitors for each ROM mission. Quality must be the overriding principle when setting up a team.

> Ex-post ROM requires more experienced monitors given the added complexity of the exercise.

In general, each project is monitored by one expert. A junior expert on his/her first ROM mission should accompany an experienced monitor who will give guidance.

ROM Monitoring teams are often best structured by combining sector knowledge monitors with management monitoring specialists. Allocation of projects per monitor will depend on the specific expertise of the monitor and will be decided in advance by the TL or his deputy in consultation with the Mission Leader.

> Monitors have to be either member of the approved pool of consultants set out in the service contract, or have to be separately approved by the contracting authority at a later stage.

CVs of the monitoring experts who are proposed to carry out a mission should be communicated to the responsible TM in Delegation or HQ 30 calendar days before the planned mission.

Individual monitors must not have any conflict of interest arising from their assignment. The ROM contractor is fully responsible to ensure this by verifying within his consortium and with every individual member of a monitoring mission.

In the case of a potential conflict of interest the following solutions are suggested:

> *Quality factor: Experience and renewal in ROM consortia:*
>
> *Senior monitors must have sufficient geographic, linguistic, thematic and monitoring knowledge. Coaching of Junior monitors by Senior monitors during missions is recommended.*
>
> *The pool of experts should be updated periodically.*
>
> *ROM Task Managers are responsible for the speedy approval of qualified new monitors.*

- The ROM contractor proposes two new experts and the contracting authority selects;

- The contracting authority may choose a ROM contractor from another lot to execute this visit;

- If circumstances allow the project may be replaced by another in the sample of projects eligible for monitoring.

> The monitors are carrying out their functions independently. They always have to keep in mind that they represent the contractor and not the European Commission.

If a conflict of interest arises on the level of the ROM contractor (i.e. implementing partner is part of the ROM consortium in charge of the monitoring), a monitor from another ROM consortium must be assigned for the monitoring of the project/programme. While the ROM contractor still provides documentation and logistical support, all activities related to report writing, quality control and uploading have to be done by the alternate monitor's consortium.

Monitors may be required to travel extensively within the country. They will accept all fair and reasonable instructions prior and during the mission from the Mission Leader and, if so delegated, from other mission monitors.

At all times the monitors will maintain strict confidentiality about internal EC issues.

Table 5 - Profile of Monitors and Mission Leader

Profile of Monitors	
Technical Skills:	**Interpersonal Skills:**
Monitoring and / or evaluation experience;	Intercultural sensitivity;
Knowledge of monitoring/ evaluation methodology and techniques;	Good communication and interviewing skills;
Appropriate academic degree;	Team player;
Adequate years of relevant international / regional working experience, preferred in developing countries / emerging economies, corresponding to the level of expertise for the function (up to 5 years for Junior, 5-10 years for Medium, more than 10 years for Senior level);	Self driven, quick learner;
	Analytical skills;
Good knowledge of development/cooperation programmes in the given country / the region and in particular knowledge of EC funded projects and programmes;	Stress resistant and frustration tolerant;
	Neutral and objective attitude;
Sectoral expertise relevant to key EC projects implemented in the country of the mission;	Committed to loyalty and confidentiality.
Proficiency in the working language of the country and working knowledge of English;	
Knowledge of PCM;	

No conflict of interest (no involvement in the project cycle phases of the project(s) subject to Results-Oriented Monitoring).	
Additional requirements for Mission Leaders:	
Years of experience corresponding to Senior level of which five as team leader/project manager.	Proven leadership and team building skills with international, interdisciplinary teams.

The ROM contractor's Brussels office will present clear mission instructions and the background information listed 'Documentation' section above to the monitors in advance to the mission. Monitors will be expected to study this information, build on it and develop it further, if required with support of the Mission Leader. By the time they start the mission they should be familiar with project documents and have questions ready for the main stakeholders involved.

Whenever considered useful, ROM contractor's Brussels office will make arrangements for the Mission Leader to brief and take advice from the relevant coordinators or Task Managers in the HQ.

2.3.4 Logistical Arrangements

The HQ Directorates make the first contact with the Delegations to introduce the monitoring process and announce the mission. The ROM contractor's Brussels Office is then responsible for all communication with the Delegations in advance and after each mission. Mission logistics are subsequently agreed between the ROM contractor and the Delegation.

> *Quality factor Time Budgeting:*
>
> *Time budgeting must include all activities, e.g. planning, travel, fieldwork, briefings, debriefings and quality assurance.*

It is the responsibility of the ROM contractor to initiate the contact between the Mission Leader, the monitoring team and the Delegation including the arrangement of a briefing with the Delegation on the first day of the mission. If needed, the ROM contractor should support the monitors in finding accommodation for the first nights. After approval by the TM in Delegation or HQ, the ROM contractor or the monitors can establish direct contact with the project management to coordinate the logistics of the field visit including meetings, local travel and accommodation.

The Brussels Office is also responsible for arranging the international flights and for developing an adequate practice for the organisation and payment for domestic travel. Usually domestic travel is organized by the monitoring team or each monitor. Travel expenses are covered by an appropriate lump sum given to each monitor by the ROM contractor or by another appropriate arrangement.

The ROM contractor should develop clear guidelines and a division of labour regarding the contact and communication of the monitoring team with the Delegation in order to avoid confusion and duplication. After the introduction by the ROM contractor, the Mission Leader is the focal point for communication with the Delegation regarding all matters which involve the monitoring team as a whole (i.e. briefing, debriefing). Monitors should consult with the Project TM and the Project Implementers on the planning of their field visit (including meetings with stakeholders, local travel and accommodation).

> Monitors are independent in their means. They shall thus keep the assistance required by the Delegations as light as possible. However, logistical coordination can enhance efficiency of operation significantly during a mission. National monitors can play a crucial role in preparation of logistics and in coordination.

Monitoring missions can cover one or several countries. Normally a multi-country mission is planned where:

- One Delegation is responsible for several countries;

- Regional / thematic programmes covering several countries are included in the mission;

- It is more efficient to combine visits to several countries in one region.

> **Time allocation for ROM missions:**
> The monitoring exercise is to be speedy and quick. Five working days are usually allocated for the field visit of an ongoing project or an RP national component. Ex-post ROM incl. an adequate preparation time to identify interlocutors can require more days (up to 10 working days).
> A ROM mission usually assigns two operations per monitor.

2.4 Field mission

2.4.1 Team pre-briefing meeting

The monitoring mission should be planned so that all members of the monitoring team arrive at least the day before the briefing at the Delegation. This allows time for the team to meet and to discuss all relevant aspects of the mission ahead.

The introductory meeting upon arrival in country is the first step to build team dynamics and clarify responsibilities. This helps to avoid inconsistent or contradictory activities or statements by individual monitors and facilitates immediate attention when such situations arise. The primary responsibility for managing and ensuring effective teamwork is with the Mission Leader. Monitors must be team players and committed to share information and knowledge. It is therefore highly recommended that the monitors stay in the same Hotel (at least for the first and last days of the mission).

> *Quality factor Monitoring team*
>
> *Team work and good communication in a monitoring team includes discussion of recent ROM methodology developments, the sharing of experience, a clear division of tasks and collective discussion of findings.*

Ongoing dialogue among team members also ensures that monitors do not work in isolation, and that less experienced monitors have full support from the team as a whole. In addition, this increases understanding of the issues that will be discussed at the debriefings.

It is essential to continuously update the monitors on good practices and changes in the ROM system. The Mission Leader must ensure monitors are aware and understand the current guidelines including all updates of templates, instructions and methodologies. Less experienced monitors might require specific attention while on mission. ROM contractors have to provide all relevant information on recent ROM developments to the Mission Leaders and monitors.

2.4.2 Briefing

The monitoring team's first formal task is to brief the Delegation and other stakeholders. At the briefing it is the Mission Leader's responsibility to:

- Introduce the monitoring team;

- Describe the ROM system (and new developments) and the role of the monitor;

- Explain the strategy for the mission;

- Answer any questions by the Delegation staff;

- Arrange a date for the de-briefing of the Delegation.

In addition to the joint briefing at the Delegation each monitor should have face-to-face discussions on each of his/her projects with the responsible person at Delegation level.

PowerPoint presentations, a brochure and other information material on the ROM system and its objectives are available for use during the briefing. The Brussels office has to update regularly the slides based on material made available by Unit E5.

The Delegations will usually arrange meetings for the monitors with the National Representatives (NAO, implementing agency and ministries). The monitors are advised not to contact National Representatives directly without consulting the Delegation.

The Delegations also often invites the managers of the projects and programmes to be monitored for a joint briefing with the monitors. The Mission Leader may provide an overview on the ROM system and the objectives of the mission, followed by face-to-face discussions between monitor and project manager. However, in case of projects located distant from the capital and/or in remote areas these briefings with the project management take place upon arrival at the project site.

2.4.3   Site Visits

Most of the time spent on mission will be with the project. The Delegation is requested to assist the monitors to contact the implementing agencies and PMUs if this has not already been done prior to mission start. The Mission Leader will coordinate the organisation of the site visits with the monitors. The Mission Leader will oversee the appropriation of time spent on each project. On average it is expected that each monitor will spend three to five days per project in the field, depending on the project and domestic travel requirements.

Ideally, monitors have already contacted project management with the support of the Project TM to establish an itinerary and a schedule of meetings for their field visit.

Monitors must liaise closely with all the main stakeholders of the project, especially the target groups and beneficiaries.

The target group and final beneficiaries are a particularly valuable source of information on the relevance, outcome, impact and potential sustainability of the operation. Monitors should have direct access and listen to their point of view in form of individual or group interviews. It is advisable to do the interviews without the presence of the project managers.

Monitors should ensure that the identity of their interlocutors is protected in an appropriate way. They should keep in mind that MR and BCS are potentially available to all relevant stakeholders. If specific comments and opinions are cited in the MR or BCS, the source should not be identified by name, but, if necessary, rather by a generic description (i.e. "members of the target group" instead of "Mr. X and Mrs. Y"). This is especially the case if interlocutors have raised criticism and made controversial comments.

If there are serious issues such as indications of fraud, these should also be raised directly/personally with the Delegation.

If two monitors are assigned to a project, they should divide tasks and responsibilities. Usually the lead monitor will draft the Monitoring Report.

If the TM from the EC Delegation accompanies the ROM monitor to the field, he/she must not interfere in the work of the monitor and should adopt a discrete observation role.

Specificities of ex-post ROM field visits

From the monitor's point of view, ex-post monitoring differs from ongoing monitoring by its focus on the assessment of real impact and real sustainability, but also by the practical difficulties in its execution.

Difficulties arise especially if the operation has been completely dismantled after the end of EC funding, i.e. the project/programme implementation structures and managers do not exist anymore. In addition, Delegation and HQ staff responsible for the operation during implementation might not be available anymore as interlocutors. Target groups might have dispersed and the stake of remaining beneficiaries in the original operation might be unclear.

Ex-post monitoring visits should take the following into account:

- Sufficient time has to be devoted to identify interlocutors, explain the monitoring mission and make arrangements for meetings.

- It is important to avoid raising expectations among beneficiaries that the project will come back.

- A sample of the project's target group is indispensable (but not sufficient);

- A representative sample of the final beneficiaries and other groups which might be (positively or negatively) affected should be consulted;

- The focus on impact, coordination and lessons learned as much as the difficulties of impact attribution make it pertinent and useful to meet other key donors in the sector of the monitored operation;

- Other methodologies for data collection than semi-structured interviews can be crucial to assess impact (e.g. wealth rankings, mapping techniques, observation).

2.4.4   Debriefing

The monitoring mission concludes with a debriefing of the Delegation and other stakeholders. The time and date for the debriefing at the Delegation is generally agreed during the first days of the mission. Most ROM contractors schedule the debriefing at the end of the second week of the mission, others organize it the Monday of the following week if travel between the field and the Delegation is long.

It has proven valuable if the team, which in many instances has never or hardly met since the Delegation briefing, gathers prior to the debriefing to exchange their experiences during the field visits and prepare the debriefings.

> The pre-debriefing meeting can especially be useful to identify common issues encountered in the projects monitored (e.g. quality of Logframe, tender procedures, disbursements…) and possibly good practices or lessons learned. It can also help to discuss potentially controversial findings in the team.

All monitors in the team should attend the debriefing to provide a firsthand account of their assessment.

In principle, all relevant stakeholders, namely the Delegation, the National Authority and the Project Management should be debriefed. It remains at the Delegation's discretion to invite the National Authorities and Project Managers for a joint meeting or to propose separate meetings for each stakeholder.

In any case, monitors should make sure that the project management receives a short debriefing prior to departure to discuss preliminary findings and recommendations especially relevant for them.

> During the debriefing, the monitors present preliminary findings. However the draft reports and/or notes for this purpose are not handed over to the Delegation. Reference can be made that within 15 working days the MR and BCS will be available in CRIS.

It is important to give the Delegation and stakeholders a clear idea of the preliminary assessment of the project's performance by openly addressing its deficiencies. This helps to avoid surprises in the final MR and BCS. It is however not recommended to present preliminary grades at this point as this may incite bargaining by project managers and Delegations.

Comments and rectifications by the Delegation and stakeholders shall be duly taken into consideration. If the monitor's findings, backed by sound information, are challenged by the responsible debriefed, s/he should stay firm and underpin the finding with arguments.

Regarding the debriefing, monitors should remember that they are independent experts undertaking an external review of a project/programme. This means the debriefing should serve to inform Delegation and project management about preliminary findings and correct factual misunderstandings if necessary. It is not supposed to be a forum to develop a common assessment shared by stakeholders and Monitors.

In the case of non-devolved authority / operations managed from Brussels HQ, the debriefing is done by the Mission Leader upon return to Brussels. Each team member should produce a summary of preliminary findings and recommendations for the debriefing for each of the operations monitored. These shall be handed over to the Mission Leader. The timing of the debriefing should be arranged between the responsible TM and the ROM Contractor, soon after return of the Mission Leader from the field.

2.5 Report writing

Project Synopsis (PS)

The Project Synopsis is the first document to be completed by the monitor. It contains basic information on the project/programme (i.e. project number, date of FA, actual start date, planned and likely end date, primary commitment by EC) and a summary of the project background and project intervention logic. A first version should be drafted before the mission as it helps to get a clear idea of the operations focus and character. Information collected during the mission can lead to a revision of the PS.

Background Conclusion Sheet (BCS)

Monitors should complete their notes and Background Conclusion Sheet before starting to write the Monitoring Report. The points raised in the BCS can be used as guiding questions for the monitoring visit; a first draft of the BCS can be started already during the monitoring mission. However, the final version should be done at the end of the mission taking into account all empirical data, interviews, discussion in the monitoring team and possible clarification made by stakeholders in the debriefing. Each monitor writes the BCS and MR for the projects/programmes he/she visited him/herself.

> Regional Programmes require MR, BCS and PS for each of the countries/components monitored and a consolidated/horizontal MR, BCS, PS focusing on the regional dimension of the RP. (Exception: Pseudo RP)

Monitoring Report (MR)

As Monitoring Reports are encoded directly in CRIS by the ROM contractor's Brussels office, each ROM contractor has developed their own internal template for Monitors to draft the MR.

The consolidated/horizontal MR of an RP is produced by the Mission Leader and includes information collected during a possible desk phase (for RP sampling and desk phase, see above).

MRs for ongoing projects and RP components (both ongoing and ex-post) have the maximum length of 8.000 characters without spaces (which corresponds to three pages once the MR is encoded in CRIS and transformed into a pdf).

The consolidated MR for an RP and the MR for an SPSP can have up to 16.000 characters without spaces (which corresponds to a 5 page MR in CRIS pdf format).

MRs are deliberately meant to be short; the goal is to remain concise and to the point without leaving out any important finding and recommendation.

Monitor's Personal Notes

When the monitor is in the field s/he should make notes of his observations and the responses of the interlocutors. These notes help to substantiate the BCS and MR. They will also be helpful in case that the findings in the MR and BCS are questioned and the monitor must be able to justify them.

Monitoring Note

⚠️ *Monitoring Notes are made only in the case of **very exceptional situations** in the country, which do not allow visiting the project on-site (e.g. a natural disaster in the project area or an unforeseen deterioration in the security situation).*

The preferable solution in these cases is to reschedule the ROM mission at a later date. Final decision to produce a MN will be taken by the Mission Leader in consultation with the ROM TM.

Limited time available, insufficient "maturity" of a project, supposedly "bad timing" or similar reasons are due to wrong or lack of mission organization. Monitoring Notes are not designed to cover these situations.

> For further instructions on how to fill out the BCS and MR, please consult the third section of this Handbook.

2.6 Quality Control of ROM Reports

The ROM contractor must have in place an adequate QC mechanism to ensure that all reports reach the same high levels of quality and uniformity. The quality of the ROM deliverables should be verified at three stages:

- by the monitor before submitting the documents to the Mission Leader;
- by the Mission Leader before submitting them to the ROM contractor's Brussels office;
- by the ROM contractor's Brussels staff before encoding the documents in CRIS.

The MR and the BCS submitted by the monitor must meet basic criteria before submission to the Mission Leader for review:

- All factual information must be filled in (first section of the MR);

- All sections of the MR and BCS must be addressed;
- The language used must be clear, unambiguous, without unexplained terminology and acronyms, and spelling errors.

The monitor should note to the TL if any relevant changes of the drafts were made as a result of Delegation / HQ debriefing.

The Mission Leader has the prime responsibility for the quality check of all MRs and BCS. S/he will review the content of the reports for consistency and clarity of explanations. This includes verifying whether:

- Sections of the report are linked with those in the BCS;

- Grading is fully supported in/coherent with the text;

- Conclusions/recommendations/observations are consistent between MR and BCS;

- Clarity of the text is appropriate to a reader who is not familiar with the project;

- Any potentially sensitive information is appropriately worded, justified and recorded in the appropriate section of the MR.

> *Quality factor Understanding of ROM and LFM concepts:*
>
> *Monitors have to fully understand the concepts and terminology used in ROM and to apply them in the correct and coherent manner.*
>
> *This is especially true for 'efficiency', 'effectiveness', "outcomes' and 'outputs' as these terms might be used differently in other management and M&E systems.*

The monitor has completed successfully his/her mission only if all MR and BCS are of good quality and have been submitted within the timeline. Fulfilling just one of the two criteria is not sufficient. The Mission Leader can return a MR to the monitor as many times as necessary but if it is still not up to standard s/he will have to forward it to the ROM contractor's Brussels office with a full explanation. The ROM contractor will then follow-up first in respect to quality assurance, and thereafter with regard to implications of payment, etc.

> All actors involved, especially the monitors, should absolutely respect the timeline for submission of the deliverables. MR, BCS, PS have to be available on CRIS 15 working days after the end of the monitoring mission.

Table 6: Reporting Scheme

Function	Tasks	Working Days
Monitor	Produces MR, BCS, PS; sends them together with Logframe, Activity and Resource Schedule (if updates are available) to the Mission Leader.	5
Mission Leader	Reviews content of MR, BCS, PS; Checks conciseness, use of reporting language, conformity with PCM and ROM terminology; Forwards corrected documents to the ROM contractor's Brussels office; Receipt is confirmed.	5
ROM contractor	Brussels office conducts final review of the report and BCS; Takes follow-up action if required. Uploads BCS, PS, MR and additional documents (updated Logframe, Activity+ Resource Schedules) in CRIS database.	5
Total		15

2.7 Dissemination

Once the documents are encoded in CRIS they are accessible by EC HQ and Delegation staff. ROM contractors should inform the TM of the availability of the monitoring outputs in CRIS,

send them the MR, BCS and PS and encourage them to disseminate the ROM reports to all project stakeholders, mainly the implementing agencies and partner governments. Then, the contractors' obligations are fulfilled.

Monitors should not send any draft or final versions to stakeholders including Project TM. In order to guarantee the independence of Monitors and to ensure EC ownership of ROM, Monitors and ROM contractors present the ROM results only through the CRIS platform.

Dissemination to stakeholders is the exclusive task of the TM in Delegations or Headquarters once the monitoring results are uploaded in CRIS. If stakeholders approach monitors with a request for the reports, they should be referred to the responsible EC TM in the Delegation or HQ.

The monitoring cycle is only completed with the dissemination of the reports to the respective implementing agencies or stakeholders and an appropriate follow-up on recommendations set out in the MRs.

The dissemination of the monitoring results (mainly the MR) outside the EC is in the discretion of the Delegation or the responsible in HQ. Dissemination to the concerned stakeholders contributes to one of the key tenants of the Paris Declaration on Aid Effectiveness reiterated by the EC's Backbone Strategy on TC/TA and European Consensus on development: ownership.

> For monitoring to succeed as a management tool, it is strongly recommended that the TM of the operation disseminates the Monitoring Reports to all relevant stakeholders.

2.8 Follow-up on recommendations

Follow-up on the recommendations is the key to the success of the ROM system. If problems highlighted in the MR can be resolved in due time, the monitoring can be considered a success and the project's performance should improve. Recommendations in the MR on actions to be taken and by whom and when should be clear and concise, accurate and carefully chosen.

Follow-up on the recommendations is beyond the mandate of the ROM contractors. This most critical part in the monitoring process deserves particular attention from the Delegation / HQ.

The TM is in charge of filling in the RS which is an obligatory ROM document encoded directly in CRIS (from 08/2009 on).

Quality factor: Follow-up on recommendations:

For ROM to make a difference follow-up is crucial.

The TM should give precise comments on the ROM products in the RS, clearly report on the planned implementation of recommendations and include all feedback from stakeholders correctly.

ROM contractors should consult all RS in order to improve their services if necessary.

The RS serves a structured reply by EC management to the ROM monitoring exercise and its findings and recommendation. It includes room for comments on the quality of the ROM products and a section on the follow-up on recommendations. Here, the TM specifies if action are planned in response to the recommendations, by whom and when. In addition, the TM should note any feedback on the monitoring received from other stakeholders incl. partner governments, project managers and target groups.

Table 7 - Follow-up on recommendations

	Follow-up on Recommendations	Reporting on Implementation of Recommendations	Remarks
TM in Delegation or HQ	Follow-up on recommendations addressed to Delegation or EC HQ	Supervision of reporting on all recommendations in the Implementation Report window	Window to be updated every 4 months according standard format
Partner Government	Follow-up on recommendations addressed to PG	Provides information to Delegation on recommendations addressed to PG	Co-responsibility with Delegation for follow-up in case of decentralisation
Implementing Agency / PMU	Follow-up on recommendations for Implementing Agency/PMU	Reports to national authority and / or TM in Delegation or HQ on progress in regular progress reporting	See guidelines for progress reporting in PCM Guidelines chapter 7.2.8

As per PCM guidelines, Task Managers in Delegation and HQ must report on the recommendations in the periodically updated "Implementation Report" window, under section 5 "Progress in achieving objectives" and section 8 "Cross-cutting and other issues". They should ideally also report on the follow up of the recommendations.

2.9 Quality assurance in ROM

Quality in the ROM system is the shared responsibility of all ROM stakeholders – Monitors, ROM contractors, Task Managers, ROM coordination, EC Delegations.

The Quality of ROM products is based on updated and good quality documents of the projects/programmes uploaded in CRIS. A regularly reviewed Logframe, an activity schedule and work plan of operations are all essential information for the monitor. For the monitor it will also be very helpful if the 'implementation report' in the CRIS database is regularly updated.

> *Quality factor: Quality assurance*
>
> *Each contractor has to have in place an effective and efficient quality assurance system for the ROM outputs.*
>
> *Monitors and Team Leaders should ensure that their products are coherent, concise and comprehensive.*
>
> *Task Managers are responsible for feedback and follow up through the Response Sheet.*

In order for the ROM contractors to maintain and foster their internal quality assurance system it is crucial that they receive regular feedback from stakeholders in the system. Quality should therefore be a recurrent topic on the agenda in meetings between the contracting authority and the ROM contractor, as well as internally in the Directorate. The Response Sheet, an obligatory document encoded in CRIS, is the key document to provide feedback on a specific monitoring operation and especially the resulting MR.

The following responsibilities, as part of the quality assurance process in ROM, can be distinguished:

Table 8: Responsibilities in ROM for Quality

Position	Responsibility for Quality in ROM
ROM TM	Supervision of the ROM system in their Lot; Work plan, day-to-day management of contract and quality control on outputs.
ROM Contractor	Encoding and uploading of MR, BCS, PS according to Handbook; Assuring quality of all ROM outputs along the consortium's quality assurance system.
Mission Leader of a monitoring mission	Ensures that the team provides mutual professional support to achieve quality outputs through discussion and sharing of information; Ensures consistency of reporting and credibility; Are briefed and updated through regular pre/post mission meetings in ROM

	contractor's Brussels offices and regular ROM coordination meetings.		
ROM Coordination Unit E5	Functioning, design, evolution and overall coordination of the ROM system; Conceptual lead in quality of the system, including its outputs.		
ROM coordination support contractor	Assisting E5 in improvement of ROM methodology and operation of system; Supporting E5 in quality matters e.g. guidelines for ROM and ad hoc checks.		

Quality assurance is a tool to be applied continuously throughout the monitoring process. The flowchart below with the detailed elements of Quality Assurance (QA) and quality factors in ROM can be a guide for the development of the ROM contractor's internal QA system.

To secure the consistency in approach among the ROM Lots regular coordination meetings of ROM contractors and ROM TMs take place, moderated by E5. These meetings serve as a forum to solve problems, exchange experiences and recent developments in ROM in the different geographic and thematic lots and to contribute to a continuous improvement in the ROM system.

Figure 7 - Quality Factors and Quality Actions in ROM

Quality Factors	Quality Actions	Action by	
		Delegation and/or HQ	ROM Contractor
Time Budget for ROM Mission	1.1 Assure that teams of mission leader and international and/or local monitors are formed on basis of expertise		▪
	1.2 Provide BCS / MR on time and familiarise new monitors with BCS and MR templates (if applicable)		▪
Preparation phase is effective	1.3 Make project documentation timely available to all monitors for preparation of their mission	▪	▪
	1.4 Discuss mission plan and team instructions / responsibilities and ensure these are well understood		▪
	1.5 Mission leader to establish contact with TMs and Delegation for facilitation of the mission	▪	▪
Field time for monitoring is sufficient	1.6 Communication established and arrangements made for (de) briefing with Delegations & other stakeholders	▪	▪
	1.7 Confirmation of logistic planning with Delegations, ensuring balance between travel time & site visits	▪	▪
Availability, Quality and Use of Project documents	2.1 Checklist differentiating between essential documents - optional papers, indicating their availability & quality		▪
	2.2 Essential documents: financing agreement, Logframe - causality chain, contracts, work plan, activity schedule, progress reports, Implementation Report	▪	▪
	2.3 Optional papers: sector reviews; evaluations - reviews from other donors etc.		▪
	2.4 Latest version of documents available online: updated Implementation Report; latest progress report / LF etc	▪	
	2.5 Monitors report in MR if Logframe, baseline and indicators are not available or insufficient		▪
Information from / Communication with Delegation, including Implementation Report window	3.1 Delegations to assign one contact person for all communication on (preparing) ROM mission	▪	
	3.2 Planning of ROM missions cross-checked with planning of other missions at regular intervals	▪	
	3.3 Confirmation of projects eligible for ROM; while flexibility allows for specific request	▪	

Quality Factors	Quality Actions	Action by	
		Delegation and/or HQ	ROM Contractor
	3.4 Prior to ROM mission Delegation communicates issues of special attention relevant for monitoring	■	
	3.5 Regularly updated Implementation Report is essential information for a well prepared ROM mission	■	
	3.6 Ensure that draft conclusions and key observations are identified for discussion during the debriefing		■
Understanding of ROM Concepts and LFM Principles	4.1 Provide training of monitors in understanding and applying concepts used in ROM (e.g. BCS, MR, PCM)		■
	4.2 Ensure that grading in MR is a logic conclusion of the narrative in BCS & key actions can be recommended		■
	4.3 Ensure that all sub-criteria in the BCS receive equally sufficient attention		■
	4.4 Grading with 'Non Applicable' (N/A) should always be explained in the narrative of the BCS and MR		■
	4.5 Narrative on 'Efficiency' in MR must sufficiently report on the outputs produced, not only on activities		■
	4.6 Ensure that monitoring reports can be readily used for project management purposes		■
Relation BCS and MR, including Re-monitoring	5.1 Ensure that monitors understand the complementary relationship between BCS and MR, also in quality		■
	5.2 Identify need for monitor to provide separate personal note in addition to BCS, if applicable; assure that Monitoring Note is produced only in very exceptional situations		■
	5.3 Ensure that ROM is conducted against (updated) LF matrix, including activity schedule and work plans		■
	5.4 PS to provide for adequate information on context and intervention logic		■
	5.5 Verify that monitors first complete the BCS before drafting the MR		■
	5.6 Re-monitoring must pay attention to present design, recommendations and updating of Project Synopsis		■
Application of the Guidelines in the Handbook	6.1 Monitors use the Handbook for Monitors during the mission, as well as the latest PCM guidelines		■
	6.2 Ensure that BCS and MR are written in accordance to guidelines in the Handbook for Monitors		■
	6.3 Mission leader and also team leader execute quality control on final version of the BCS and MR and provide for timely submission of the MR		■
	6.4 Conduct an 'after service validation' on uploaded information in the ROM database; including checks on dates, grades and coding of MR		■
Clarity of Narrative in Monitoring Reports	7.1 Provide a narrative that is legible, clear, accurate, concise, factual, direct and responding to the criteria		■
	7.2 Observe the quality standards (Quality Frame) and key criteria for requested information in BCS and MR		■
	7.3 Make key observations, what action to be taken by whom, what follow-up is required and prioritised		■
Feedback on ROM Output	8.1 Encourage the feedback from ROM stakeholders on Monitoring Reports and note it in the response sheets	■	
	8.2 Timely follow up on recommendations in the MR, and reporting on it in the Implementation Report	■	

Quality Factors	Quality Actions	Action by	
		Delegation and/or HQ	ROM Contractor
	8.3 ROM stakeholders to be regularly interviewed on their perception of the ROM system	-	-
	8.4 Ensure that meetings between contracting authorities and ROM contractors have quality as topic on agenda	▪	
Experience in Consortium and Pool of Consultants	9.1 Maintain adequate pool of experts for ROM teams, also to accommodate for new developments in ROM		▪
	9.2 Ensure that the mission leader has time and capacity to provide quality control on all BCSs and MRs		▪
	9.3 Allow during mission for coaching of junior monitors by their senior colleague on subject and ROM system		▪
	9.4 Have preferably the same monitor conducting the re-monitoring, unless other considerations apply		▪
	9.5 Facilitate that monitors will systematically record best practices and approaches in ROM	▪	▪

3 Templates and Instructions

3.1 Perspective and focus of the methodologies

The third part of the Handbook, which is mainly geared towards use by monitors, focuses on methodological issues. Firstly, the perspectives of each type of monitoring are explained highlighting the added value of the exercises. Secondly, general instructions on the ROM tools or documents are given. Particular attention is paid to the BCS which are the central element of the analytical process of ROM monitoring.

3.1.1 ROM Ongoing

Initial monitoring

ROM of ongoing projects was the original ROM methodology from which all others have been developed. It is still the most frequently undertaken ROM exercise.

The main added value of ROM is that it focuses on results. In the early stages of a project, it can be difficult to assess the results beyond simple outputs. This is why the ongoing BCS and MR focus on efficiency, effectiveness and impact *to date*, i.e. the potential results to the extent they can be observed or measured at the time of monitoring.

Therefore, some BCS questions enquire about likely results and impact. The monitor should not speculate about this based solely on the expression of intent by project management. Rather the performance prospects should be scrutinized based on implementation to date, the observable capacity for future performance, the coherence of the intervention logic and the quality of management.

Re-monitoring

The templates are the same for each ROM during the lifetime of a project, whether it is for the first time or a subsequent re-monitoring. However, when a project is re-monitored several aspects need to be considered when writing the BCS, MR and PS:

Deviations of grades between current and previous monitoring

Deviations of grades have to be explained in the report particularly if they are significant (e.g. "b" to "d" or vice versa).

Quality of Design

Re-monitoring puts less emphasis on the original design of a project and more on the "current" design. This incorporates the changes the project has introduced to improve possible shortcomings. Has the project demonstrated capability to adjust to a changing environment? Has the logframe been updated accordingly, if deemed necessary? Changes in the project background and intervention logic should already be mentioned in the PS and subsequently be assessed and commented on in the MR.

If the design remains adequate and unchanged this aspect does not have to be covered again in detail in the re-monitoring MR, just a simple reference to the previous report should be made. If there were recommendations in previous MRs calling for changes in the project's design then the MR should comment on the changes, if any.

Monitoring should take into account the time frame of the project. As a general rule, monitoring should focus on what matters most at the different stages of the project life and on

which aspects management (and recommendations made by the monitors) can have the most immediate influence.

> If the monitoring takes place early in the project life, it should pay particularly attention to the design. Mid-term monitoring should look particularly at efficiency and effectiveness. If the project is monitored towards the end, monitors should focus more on impact and sustainability.

3.1.2   ROM Regional Programmes

The perspective the monitors have to adopt for RPs depends on the type of RP as described in Section 2 of the Handbook. The ROM contractor is supposed to determine the type of each RP in their lot when identifying the portfolio of operations under their responsibility:

- Exclusively regional RP without (Type A) or with (Type B) national components;

- Hybrid RP (Type C);

- Pseudo RP (Type D).

For exclusively regional RPs and Hybrid RPs, ROM has to capture the regional dimension of the programme adequately. While the component/national reports focus on the performance of the respective national element which has been monitored, a consolidated (horizontal) report should address the performance of the RP as a whole.

Pseudo RPs are monitored in the same way as ongoing projects. The monitor may however comment on the usefulness of a regional financing mechanism as compared to direct project funding.

Added Value of the Regional Dimension of RPs

It is important that the ROM of RPs reports accurately on the regional dimension of the programmes and in particular reports on the intended added values in the programme. Essentially the purpose of the points below is to capture the value added of RPs and see if risks and assumptions are holding true.

The primary added value functions of an RP are related to its objectives and intended impact, for instance:

- Regional integration;

- Promotion and optimisation of common resources and capacities;

- Solving a common problem (water, environment, migrations…);

- Cost-efficiency and synergies (efficiency and effectiveness).

The added value of the regional dimension of an RP to the partner countries can include one or more of the following elements:

- Setting-up common standards and models, with possible national modifications;

- Facilitating exchanges of resources, goods, capacities benefiting each country;

- Building up common, similar or complementary capacities for national development;

- Establishing regional institutions, resources and dynamics, markets, etc.;

- Saving costs at national level;

- Improving governance, planning, policy.

The added value of the partner countries' dimension to the region (bottom up) could be:

- Additional national resources and capacity (experience, models…);

- Complementary national programmes and policy, in the same or related sectors;

- Favourable national policies: adjustment of the weakest models and practices to the most advanced and dynamic.

Risks and Weaknesses of RPs

Regional ROM has taken into account in its methodology and approach the specific regional dimension of the RP which brings with it the following possible inherent risks and weaknesses:

- Lack of ownership as Partner Countries and EC Delegations or HQ often find it difficult to be fully involved and thus responsible for RP as they may only have fragmented information and minimal input;

- Lack of coherency between regional and national programmes/policies: RP are not sufficiently supported by national interests or programmes in related sectors or areas;

- Low/limited co-ordination between HQ and Delegation and between different Delegations involved in the same RP.

- Lack of co-ordination between similar EC programmes or between EC and other Donors' similar or complementary RPs;

- Differences in capacity levels between countries in the same region: the partner countries may not have the same capacities either to contribute or to absorb new resources;

- Weakening of the regional dimension of the programme as due to various factors e.g. weak design, low management, excessive work, political nationalism, etc. The regional dimension fades away and the national activities and interests prevail exclusively.

3.1.3   Ex-post ROM

Ex-Post ROM allows the gathering of solid information on a project's design, real impact and sustainability which can only be fully appreciated after it has ended.

Thus, while all five criteria remain the object of Ex-Post ROM analysis, there is a change in approach emphasis compared to on-going ROM: whereas impact, sustainability and quality of the design are the focus of the Ex-Post ROM analysis, efficiency, effectiveness and relevance are primarily analysed in their capacity as explicative causes of impact and sustainability.

The change in emphasis between on-going ROM and Ex-PostROM is, in part, objectively determined by the different position of the monitor vis-à-vis the information (impact and sustainability observable as facts for the first time) and its inherent advantages and limitations; however, it is also purposely or strategically chosen based on the fact that impact and sustainability correspond to the ultimate goals of development projects and constitute the ultimate yardstick of accountability. On the other hand, the emphasis on the analysis of the quality of the design is explained by the direct significance of its potential application to new project designs.

In terms of data gathering it is key to have the views of as wide a range on final beneficiaries as possible as it is from them that real insights into impact and sustainability can be gained.

The Ex-Post ROM BCS puts special emphasis on the lessons learned which are recorded on a specific sheet of the template. Lessons learned are observations on reasons for good performance or causes of problems which not only apply to a specific operation, but could also be valid for other projects. Thus they are especially useful for programming and the design of new interventions.

Lessons learned can have different "reach": they might only relate to operations which are very similar to the project they have been drawn from in terms of sector, intervention logic and geographical location. Others can be generalized across sectors, within a region. Finally, some lessons learned can have "universal" validity applying to virtually all development aid operations. When monitors establish lessons learned, they should think about and specify the potential reach.

A review of the ROM Ex-Post methodology has shown that Lessons Learned in ROM are often either too specific to be applied to anything else than the project which is already closed, or too general and vague to give clear indications on how to improve operations. Therefore, lessons learned in the MR and BCS should be at the same time sufficiently specific and general.

> *"Lessons Learned are generalizations based on evaluation [or monitoring] experiences with projects programmes or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design and implementation that affect performance, outcome and impact."* OECD-DAC

3.2 Instructions

3.2.1   Good quality writing of ROM products

The monitor should observe the following instructions in order to ensure good quality:

- Use a concise, clear writing style;

- Be concise but specific; e.g. do not respond only with "yes" or "no" in BCS;

- Do not copy and paste from project documents;

- Structure the writing by using paragraphs, ideally one issue per paragraph;

- Jargon should be adapted to the audience: TM, not technical experts;

- If acronyms are used, explain them upon first use;

- Ensure coherence between BCS and MR;

- Grades must match the assessment in the BCS and MR text;

- Do not alter/extend BCS and MR beyond space provided/authorized. If important issues need detailed explanation provide separate document/annex;

- Address all relevant issues raised by BCS guiding questions.

3.2.2   Project Synopsis

The Project Synopsis gives a concise overview of the project/programme background. Uploaded together with the BCS and MR in CRIS, it is an abstract of project containing basic contractual data, a brief description of the project background and its intervention logic. It does not include appreciation or observations on the actual implementation of the project.

The PS is the first document to be prepared by the monitor for each project or component of an RP. If the project has been monitored previously, the monitor can use the existing PS, but should check thoroughly whether it needs updating. For example, has the intervention logic changed? Does the logframe include new activities or results? Have there been any riders, addenda affecting the end dates, budget etc?

The PS must fit on one A4 page.

PROJECT SYNOPSIS	
Project Title:	In capital letters, as stated in FA, contract or equivalent.
Project Number:	As available in CRIS
Date Financing Agreement signed:	DD/MM/YYYY
Country:	Official country name and 2 letter DAC code
Start Date – actual:	DD/MM/YYYY; as stated in FA, contract or equivalent.
End Date - planned:	DD/MM/YYYY; as stated in FA, contract or equivalent.
End Date – likely/actual:	DD/MM/YYYY; if riders (are planned to) amend(ed) initial FA.
Primary Commitment (EC funding):	€; as stated in FA or riders.
1. Project Background:	
General context, the issues and problems the project is intended to address, target groups and beneficiaries. Most information needed can be found in FA and contract.	
2. Project Intervention Logic:	
Incl. overall objective, project purpose, outcomes, outputs, and, if space is available, activities. Provide a readable abstract, instead of copy and past from project documents.	

3.2.3   Monitoring Report

The Monitoring Report, the "executive summary" in ROM, is the key product of a monitoring operation receiving the most attention from EC management and other stakeholders. It has to contain the most important findings and recommendations in a precise and concise form.

All observations and conclusions have to be supported by information contained in the BCS. If the content of the MR is questioned, EC management will consult the BCS for further evidence.

The MR for ongoing projects consists of five sections containing the intervention data, financial data, the grades, the summary of conclusion for the five DAC evaluation criteria as well as key observations and lessons learned.

Grading presented in the MR is copied manually by the monitor from the BCS for each of the five evaluation criteria. The values can be found at the bottom of the respective BCS sheets.

Avoid expressing opinion without giving substantiating facts. The MR is designed to inform stakeholders on project progress so that corrective action can be taken where necessary. Monitors should directly comment on the OVI and Sources of Verification (SoV).

The MR, PS and RS for the different ROM methodologies (ongoing, regional, ex-post, SPSP) differ in details, but have the same overall structure. Instructions are based on generic templates.

Monitors have to make sure they use the correct template depending on the type of ROM exercise. As differences between templates concern only details and are often not visible at first glance, there is a risk of mixing the different versions.

<div style="background-color: yellow; border: 2px solid black;">
Never re-use an old MR, BCS or PS as a template for a new project by deleting its content. Always use the most recent template provided by the ROM contractors Brussels office to create a new document.
Previous versions of templates, although looking similar, are no longer valid. Please delete all previous templates entirely from your computer to avoid confusion.
</div>

All dates must be in "DD/MM/YYYY" format.(Make sure that this is also the format used by your own operating system, i.e. check e.g. in MS Windows: Control Panel/Regional Options).

MRs are encoded directly in CRIS by the ROM contractor's Brussels office. Once encoded, they are available as database elements in CRIS and downloadable in pdf format.

The parts for the summary of conclusions, key observations and recommendations must not exceed a certain size defined by the number of characters without spaces.

Report type		max. characters w/o spaces	converts into:
Project MR	ongoing & ex-post	8.000	3 pages CRIS pdf
RP component MR	ongoing & ex-post	8.000	3 pages CRIS pdf
RP consolidated (regional) MR	ongoing & ex-post	16.000	5 pages CRIS pdf
SPSP MR	ongoing	16.000	5 pages CRIS pdf

To count characters in MS Word, select "extras" - "word count".
NB: MS Word does NOT count characters in text boxes.

Each ROM contractor has its own internal MR template and technical instructions for monitors to transmit their conclusions and recommendations for inclusion in the MR. The templates for ROM Ongoing MRs are similar to the following:

	MONITORING REPORT	
	Monitoring Reference	MR-1XXXXX.ZZ (to be filled in by ROM contractor Bxl office)
	Report Date	DD/MM/YYYY (to be filled in by ROM contractor Bxl office)
	Project Title	In capital letters, stated exactly as it is in FA, contract (for NGO projects), or agreements with similar status

I. INTERVENTION DATA

Status:	
Monitoring Report Type:	Ongoing - Ex-post - SPSP
Aid Modality:	Project Approach - Pool funding – Sector Budget Support
Project:	Single country/national – multi country/regional
Report:	Component – Horizontal/Consolidated
Project management:	Delegation – Headquarters (devolved)
Financed via a thematic budget line	Tick if yes
CRIS Number:	(Usually automatically transferred from CRIS)
Project Title according to Financing Agreement/Financing Decision/Contract:	(Usually automatically transferred from CRIS)
Domain:	(Usually automatically transferred from CRIS)
DAC – CRS Sector:	(Usually automatically transferred from CRIS)
Additional DAC-CRS code:	
Geographical zone:	
Keyword:	

Date Financing Agreement/Financing Decision/Contract signed:	DD/MM/YYYY			
Responsible at HQ:				
Responsible in Delegation:				
Monitor:	Full name(s). If several, separate by a "/" with no space in between, e.g. John Brown/Mary Smith.			
Project Authority:	PG authority. Often a government ministry or institution, which can be, but is not always a signatory to the FA.			
Start date – planned:	(Usually automatically transferred from CRIS))			
End date – planned:	(Usually automatically transferred from CRIS)			
Start date – actual:	(Usually automatically transferred from CRIS)			
End date – likely:	(Usually automatically transferred from CRIS)			
Monitoring visit date:	From:	DD/MM/YYYY	To:	DD/MM/YYYY

II. FINANCIAL DATA	
Primary commitment (EC funding):	EUR made available in the FA (or agreement with similar status) by the EC to the operation.
Budget allocated for TA	Information should be available in the FA or TAPs, monitors should crosscheck with Delegations and Project Management
Secondary commitment (funds contracted of EC contribution):	EC contribution actually committed to date to contracts or work programmes from the primary commitment.
Other funding (government and/or other donors):	
Total budget of operation:	
Total EC funds disbursed:	EUR released to date of EC contribution by Commission Services
Financial data as at:	DD/MM/YYYY

III. GRADINGS	
1. Relevance and quality of design	To be copied manually from BCS
2. Efficiency of implementation to date	To be copied manually from BCS
3. Effectiveness to date	To be copied manually from BCS
4. Impact prospects	To be copied manually from BCS
5. Potential sustainability	To be copied manually from BCS

IV. SUMMARY OF CONCLUSIONS
1. Relevance and quality of design
2. Efficiency of implementation to date
3. Effectiveness to date
4. Impact prospects
5. Potential sustainability

V. KEY OBSERVATIONS AND RECOMMENDATIONS

This is the most important section of the Monitoring Report. Monitors must identify their key observations based on the most important issues they have identified in the BCS. Monitors must also recommend what action must be taken and by whom. If several issues require follow-up, the points should be grouped by the intended recipient and placed in order of priority.

Recommendations should take into account the timeframe of the project. Recommendations must be feasible within the given project budget and within the time frame remaining. Otherwise present them as design recommendation for future projects.

> *Good practice is to formulate the main conclusion on the project performance, before launching into recommendations.*

3.2.4   Response Sheet

From August 2009 onwards, the Response Sheet is encoded directly in CRIS by the TM in HQ or Delegation responsible for the project/programme which has been monitored. Task Managers are alerted of the presence of new MRs in CRIS and reminded of their duty to reply through the RS. It ensures that Monitors receive feedback on quality of their reports and indicates plans regarding the implementation of the recommendations.

The ROM contractor should take note of the RS. Monitors should verify the implementation of recommendations when they re-monitor the project.

Specific instructions on how to encode the RS will be available for the TM in CRIS and in a separate document.

3.2.5   Monitoring Note

*Monitoring Notes are made only in the case of **very exceptional situations** in the country, which prevent visiting the project on-site (e.g. a natural disaster in the project area or an unforeseen deterioration in the security situation). In these cases the preferable solution is to reschedule the monitoring mission to a later date or to replace the project with another one in the mission portfolio.*

The MN template mirrors the MR design. The main difference is that no BCS is used in its preparation and grades are not given. Issues raised in BCS should however be considered and influence the writing of the MN.

Separate MN templates exist for ongoing, ex-post and SPSP ROM. However, they only differ in fields regarding the intervention data.

The MN consist of three elements: intervention data, financial data and explanatory comments (max. 2000 characters each) on project background, intervention logic, description of current situation, main observations and recommendations for future Monitoring.

MNs are not directly uploaded into CRIS by the ROM contractor. Rather, they have to be sent to the ROM Coordination Support contractor.

3.2.6   BCS general structure

The BCS is the central methodological tool in ROM. It ensures methodological consistency and is therefore a crucial factor contributing to the success of ROM.

The BCS is meant to guide the monitoring data collection, the data analysis and the reporting. It is important to understand that the BCS is not a questionnaire but a guide for structured thinking. In this sense, the issues raised in the BCS can guide the monitor's empirical data collection.

As the BCS serves as a background document supporting the synthesis presented in the MR, it has to be completed before the MR is drafted. Monitors have to keep in mind that the BCS is uploaded onto CRIS, together with the MR, PS and RS, and is thus accessible to EC management. Therefore, special care should be taken when filling out the BCS.

The BCS is a MS Excel file with several sheets. Five of the sheets address the five OECD-DAC evaluation criteria (Relevance, Efficiency, Effectiveness, Impact and Sustainability); two sheets contain questions pertaining to horizontal and crosscutting issues; and the last

sheet lists the persons interviewed and documents analysed. Ex-post BCS have a separate sheet for questions regarding lessons learned.

At the top of the first sheet the monitor has to fill some the basic information to identify the project/programme and monitoring exercise. This information is copied automatically on all other sheets of the BCS.

Figure 8 - BCS header information

Project title					
CRIS contract N°		Monitoring report reference N°		Date	
CRIS decision N°		Monitor			

The main part of a BCS sheet ("Performance Conclusion") is composed of prime issues (bold questions), check boxes for grades, sub-questions (in italics) and space for detailed responses to each prime issue.

Figure 9 - BCS structure
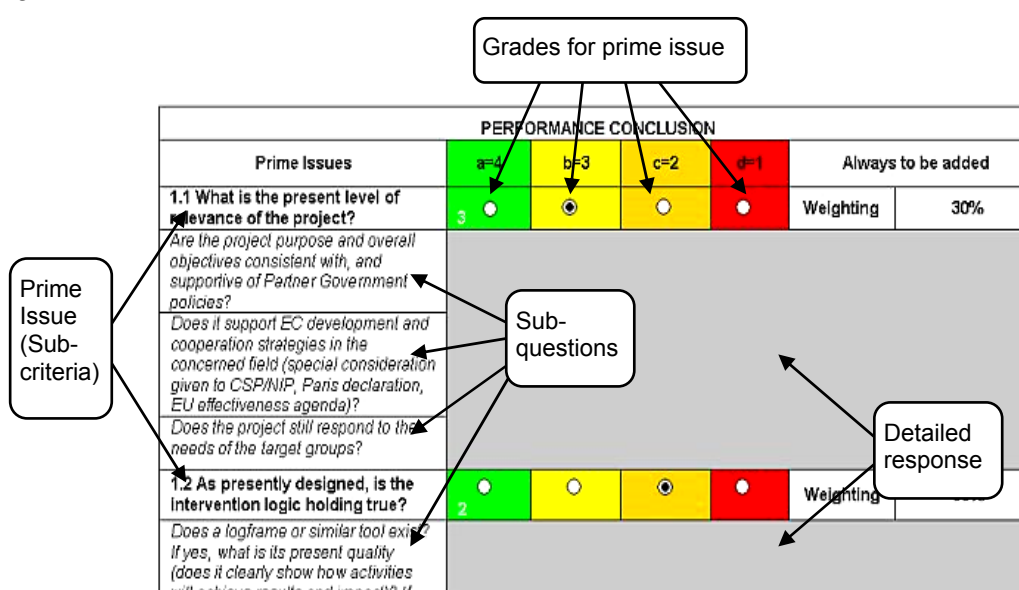
All the prime issues/sub criteria (i.e. those left of the rating or yes/no block) have to be answered in the empty spaces below. The sub-questions in italics below are meant to guide the monitor in answering the prime issues. Monitors might at first be overwhelmed by the number of questions in the subsections of each sheet. However, these questions are not compulsory; monitors are not asked to give separate answers to each of these sub-questions.

It should be borne in mind that **the BCS is not a questionnaire**; sub-questions under each prime issue seek to guide the monitor on what they should address, but by no means do these questions intend to limit the scope of the prime issue to what is explicitly suggested by those questions. Should the monitor consider that part of the analysis corresponding to a prime issue is not directly addressed by the questions accompanying it, this analysis should not be omitted.

'Non applicable' (N/A) is allowed only for horizontal and crosscutting issues. N/A nevertheless requires a brief explanation in the field below.

The lists of persons interviewed and documents analysed on BCS sheet number 8 ensure the empirical foundation of the monitoring exercise. Furthermore, they can be very helpful for future monitoring visits especially ex-post ROM. If individual identification is not possible or appropriate, for example in field meetings with large groups of beneficiaries, specify the type and size of the beneficiary group. Should individuals not wish to be identified it is up to the

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discretion of the monitor to list them giving relevant information without compromising the anonymity.

⚠️ *Technical advice:*
For line breaks in Excel document cells use the command ALT + ENTER.

3.2.6.1 Grading

The grading of a project/programme regarding the five evaluation criteria gives a quick overview of its performance. In addition, it allows for a comparison between different operations and for the aggregation of overall portfolio performance data. However, grades strongly reduce the complexity of the issues at hand and their context. They risk overshadowing the actual findings.

In the BCS, monitors should tick the performance conclusion radio/checkboxes next to the questions after having given an answer in writing.

The grade is meant to be a summary of the answer, rather than the answer being a justification for the grade.

Figure 10 - Grading of prime issues in BCS

Grading	Numerical	Qualitative	
a	4	very good	The situation is considered highly satisfactory, largely above average and potentially a reference for good practice. Recommendations focus on the need to adopt these good practices in other operations.
b	3	good	The situation is considered satisfactory, but there is room for improvements. Recommendations are useful, but not vital for the operation.
c	2	problems	There are issues which need to be addressed; otherwise the global performance of the operation may be negatively affected. Necessary improvements however do not require major revisions of the operations' strategy.
d	1	serious deficiencies	There are defincies which are so serious that, if not addressed, they can lead to failure of the operation. Major adjustments and revision of the strategy are necessary.

Monitors should **not**:

- Put a "d" grade to attract attention to an issue they consider important, but which does not warrant such grade.

- Put an "a" grade because of sympathy for the project's approach or relevance.

- Modify the grades of sub-criteria/prime issues to obtain a desired score on the criteria level.

The overall grade for each evaluation criteria is automatically calculated from the weighted grades of the prime issues (sub-criteria). It is displayed at the foot of the page. Monitors must not change the underlying weighting and equations for the grades.

⚠️ *For an overall assessment of its portfolio, EuropeAid uses performance categories (I-IV) to describe the performance of a project as a whole (instead of each of the criteria). Even though similar terms are used (very good performance, good performance, performing with problems, not performing/having major difficulties), the performance categories are not quantitative averages of the grades for the evaluation criteria, but qualitative categorisations (I = at least three "a", no "c" or "d"; II = max. two "c", no "d"; III = at least three "c", no "d"; IV = at least one "d").*

However, when reporting on the portfolio performance regarding an evaluation criteria, EuropeAid takes the average of all projects' grades for the specific criteria.

3.2.6.2 *Logframe and possible proxies*[2]

In principle, the logframe is the guiding document for ROM monitors. However whilst the logframe is a useful tool, certain things should be kept in mind:

- The logframe is a simplification. This is its advantage – providing an overview and allowing for comparison – as well as its danger - hiding the complexity and messiness of development behind a simple table.

- The logframe suggests a linear logic and mechanistic relation of cause and effect which can be anticipated and planned ahead of time. This seemingly rigid, rational structure might not match the reality on the ground where the links between the different steps in the LFA hierarchy of objectives might be elusive, difficult to ascertain and even less predictable.

- The logframe does not specify the underlying decision process. Some decisions regarding its design might be due to negotiations between stakeholders which are unknown to the monitor and which can make the implementation of certain recommendations difficult.

The EC requests the project implementing partners to use the LFA and a logframe. However in some cases the logframe used might not match EC standard regarding terminology, format or implementation. For ROM monitors who are supposed to use the logframe as a key document for monitoring, this can make the exercise difficult.

- In some rare cases a logframe might be altogether missing (e.g. components of a regional programme) even though its use is obligatory.

- The format of the logframe might differ from EC standards especially when the project implementation is delegated to organisations with their own institutional project management framework and LFA specifications (e.g. UN agencies).

- A logframe might exist, but the terminology and especially the different levels of objectives (output, outcomes, project purpose, overall objective) are used incorrectly leading to confusion and contradictions. This can be for the same reason stated above or simply because the implementation partner's staff is not sufficiently familiar with the matter.

- A logframe might exist, but it does not (fully) reflect the actual project implementation strategy and it is not used as a management tool. Implementing partners are only paying lip service to the LFA as they are not convinced of its potential or lack sufficient training.

Taking these realities into account, the ROM methodology does not narrowly focus on the logframe, but refers in a more general way to the "project framework" or the "intervention logic". If a project does not provide a useful logframe according to EC standards, monitors should develop a "proxy" i.e. they should analyse the material available to them with the LFA logic in mind. Especially important is the distinction between the overall objective, the project

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[2] The authors want to thank Eptisa, the ROM contractor for Latin America as well as the Caribbean, Pacific, Cuba and Overseas Countries and Territories (OCTs) (2008-2010), for having made available their internal ROM manual for the writing of this sub-section.

purpose, the outcomes, outputs, activities and inputs as these are the key categories to determine the impact, effectiveness and efficiency of a project.

> Even if the logframe is an important management tool and guiding document for monitoring, keep in mind that ROM is monitoring a project or programme, not the logframe.

3.2.6.3 Project Activity Schedule

In addition to the logframe, each project should have an activity and resource schedule. The activities set out in the logframe should be reflected in the schedule covering the entire project life; the exact format of it might vary.

There should also be a work plan, which should in most cases be produced annually. The work plan is an essential document against which the monitors will be able to monitor.

As for the activity schedule, the monitors should monitor actual progress against planned progress. Specifically, monitors should review the project progress against the benchmarks or milestones identified. Where the project has deviated from the activity schedule the monitors should highlight this in their report and recommend corrective action.

It is the monitor's responsibility to collect a copy of the most updated logframe and activity schedule in electronic format and forward it at the end of the mission to the ROM contractor's Brussels office.

3.2.7 Specific BCS templates

> For all BCS it is crucial to fully understand the terminology of ROM regarding results and objectives (cf. also Section I of Handbook):
> **Outputs**: Goods and services delivered by the project (e.g. a training session);
> **Outcomes**: Benefits derived from the outputs of the project (e.g. improved capacity of those who attended the training);
> **Project Purpose**: Specific objective addressing the core problem(s) (e.g. improvements in area of intervention due to the improved capacity of the target group);
> **Overall Objective**: Broader, long-term changes (directly or indirectly; intended or unintended) in the environment of the project. The project *contributes* to the overall objective, but can not achieve it alone.

The annotated versions of the BCS below give additional instructions and information to guide monitors in the use of the BCS of different ROM methodologies. *These annotations are written in the space which the monitor fills in when completing the BCS.* The blue boxes contain material from external sources. Links to the sources and to further information are provided which the monitors are encouraged to use in order to become more familiar with the different issues.

3.2.7.1 BCS ongoing[3]

> **1. RELEVANCE AND QUALITY OF PROJECT DESIGN**
>
> **The appropriateness of project's objectives to the real problems, needs and priorities of its target groups/beneficiaries and the quality of the design through which these objectives are to be reached**

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[3] The authors want to thank Eptisa, the ROM contractor for Latin America as well as the Caribbean, Pacific, Cuba and OCTs for 2008-2010, for having made available their internal ROM manual for the writing of this annotated BCS.

	PERFORMANCE CONCLUSION			
Prime issues	**a**	**b**	**c**	**d**
1.1 What is the <u>present</u> level of relevance of the project?	*For example:* Clearly embedded in natl. policies and EC strategy, responds to aid effectiveness commitments, highly relevant to needs of target group.	*For example:* Fits well in natl. policies and EC strategy (w/o always being explicit), reasonably compatible with aid effectiveness commitments, relevant to target group's needs.	*For example:* Some issues regarding consistency with natl. and EC policies, aid effectiveness or relevance.	*For example:* Contradictions with natl. policies or EC strategy, aid efficiency commitments; relevance to needs is questionable. Major adaptions needed.
Are the project purpose and overall objectives consistent with, and supportive of Partner Government policies?	PG policy documents might already be mentioned in FA Annex II or the Project Proposal. Most important documents are sector policy documents and PRSP. Paris Declaration provides 12 indicators of progress see box below and http://www.oecd.org/dataoecd/11/41/34428351.pdf			
Does it support EC development and cooperation strategies in the concerned field (special consideration given to CSP/NIP, Paris declaration, EU effectiveness agenda)?	"EU Aid: Delivering more, better and faster" http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2006:0087:FIN:EN:PDF refers to 9 commitments for aid effectiveness made in 2005.			
Does the project still respond to the needs of the target groups?	Is the target group well defined and does the project purpose respond to their needs? Do the target groups' subjective needs match the needs as perceived by the project management?			
1.2 As presently designed, is the intervention logic holding true?	Clear and well structured logframe; feasible and consistent vertical logic of objectives; adequate SMART OVIs; Risks and Assumptions clearly identified and managed; exit strategy in place.	Adequate intervention logic although it might need some improvements regarding hierarchy of objectives, OVIs, Risk and Assumptions.	Problems with intervention logic may affect performance of project and capacity to monitor and evaluate progress; improvements necessary.	Intervention logic is faulty and requires major revision for the project to have a chance of success.
Does a logframe or similar tool exist? If yes, what is its present quality (does it clearly show how activities will achieve results and impact)? If not, why not?	Cf. subsection on logframe and possible proxies in this Handbook. Section 3 above.			
Are the OO, PP and results clear and logical, and do they address clearly identified needs?				
Is the PP achievable in the project framework?	Can outcome and project purpose be achieved through planned outputs and within the time frame of the project?			
Are there suitable and informative OVIs/ targets, e.g. are they Specific, Measurable, Achievable, Realistic and Time-bound (SMART)?				
Are the activities, outputs and outcomes planned appropriate to achieve the PP?				
Are the risks and assumptions holding true? Are risk management arrangements in place?	Any unverified risks and assumptions? Are the means available to respond to risks?			
Is sustainability an integral part of the	Is the project institutionally and/or socially well embedded (which is likely			

design i.e. is there a phase out/hand over strategy?		to promote sustainability)? If outputs and outcome require exit strategy to ensure their delivery after EC withdrawal, is this included in the project design?		

1.3 Is the current design sufficiently supported by all stakeholders?	Project design is largely authored and owned by active partners; capacity building is included to ensure full responsibility of partner after project end.	Key stakeholders reasonably understand and participate in design; provision for full takeover of responsibility have been made; improvements regarding ownership are however advised.	Understanding and participation of stakeholders in design is limited; improvements are necessary to ensure ownership and sustainability.	Stakeholders do not participate in design or understand intervention logic; without a major revision results and sustainability are seriously limited.
Have key stakeholders been involved in the design process?	Relevant stakeholders can be national and local institutions, civil society organizations, unions, local community organizations etc.			
Are coordination, management and financing arrangements clearly defined and do they support institutional strengthening and local ownership?	If the capacity of stakeholders is low (making ownership difficult), are there capacity building strategies in place?			
Is the sustainability strategy (handing over strategy to partners) fully understood by the partners?	Are partners aware of their current and future responsibilities?			
Are the OO and PP clearly understood by the project partners?	Are partners aware of, understand and use the logframe?			
Is the timescale and/or range of activities realistic with regard to the stakeholders' capacities?				
If applicable: How well has the project design been adapted to make it more relevant? Was it straightforward to do contractually?	Have adaptations improved relevance and quality? Have there been (administrative) obstacles to project adaptations?			

1.4 Is the current design sufficiently taking cross-cutting issues into account?	All relevant crosscutting issues have been analysed and are explicitly included in design and implementation and will be monitored.	Most important crosscutting issues are integrated in design, but improvements can be made.	Some important crosscutting issues have not been addressed; changes have to be made to ensure good performance.	Crosscutting issues have been ignored in design despite high relevance. This threatens feasibility and sustainability of project if major adaptions are not made.
Have the relevant cross-cutting issues (environment, gender, human rights and governance, donor coordination or others) been adequately mainstreamed in the project design?	Have cross-cutting issues been taken into account explicitly? Have specific gender, environmental etc. analyses been made during the design phase?			
	Crosscutting issues need to be taken into account in all projects even if the project does not seem to have anything to do with them at first glance (e.g. health project and its environmental impact, risks and opportunities)			

Note: a = very good; b = good; c = problems; d = serious deficiencies.	**Overall conclusion:**

Key lessons learned and/or action(s) recommended, by whom in order of priority

Lessons learned and recommendations must be

• relevant and consistent with the previous remarks ;

• practical and applicable in the context of the project;

• specific, not vague and general;

• clearly specify the actor they concern (Project management, EC Delegation, National authority…);

• in order of priority.

Lessons learned should specify the level of possible generalization/their reach (project only, thematic/regional, universal).

For more information on lessons learned in EC development cooperation go to:

http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth_ccl_en.htm

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Paris Declaration – 12 Indicators of Progress

http://www.oecd.org/dataoecd/11/41/34428351.pdf

"OWNERSHIP

1 Partners have operational development strategies — Number of countries with national development strategies (including PRSs) that have clear strategic priorities linked to a medium-term expenditure framework and reflected in annual budgets.

ALIGNMENT

2 Reliable country systems — Number of partner countries that have procurement and public financial management systems that either (a) adhere to broadly accepted good practices or (b) have a reform programme in place to achieve these.

3 Aid flows are aligned on national priorities — Percent of aid flows to the government sector that is reported on partners' national budgets.

4 Strengthen capacity by co-ordinated support — Percent of donor capacity-development support provided through coordinated programmes consistent with partners' national development strategies.

5a Use of country public financial management systems — Percent of donors and of aid flows that use public financial management systems in partner countries, which either (a) adhere to broadly accepted good practices or (b) have a reform programme in place to achieve these.

5b Use of country procurement systems — Percent of donors and of aid flows that use partner country procurement systems which either (a) adhere to broadly accepted good practices or (b) have a reform programme in place to achieve these.

6 Strengthen capacity by avoiding parallel implementation structures — Number of parallel project implementation units (PIUs) per country.

7 Aid is more predictable — Percent of aid disbursements released according to agreed schedules in annual or multiyear frameworks.

8 Aid is untied — Percent of bilateral aid that is untied.

HARMONISATION

9 Use of common arrangements or procedures — Percent of aid provided as programme-based approaches.

10 Encourage shared analysis — Percent of (a) field missions and/or (b) country analytic work, including diagnostic reviews that are joint.

MANAGING FOR RESULTS

11 Results-oriented frameworks — Number of countries with transparent and monitorable performance assessment frameworks to assess progress against (a) the national development strategies and (b) sector programmes.

MUTUAL ACCOUNTABILITY

12 Mutual accountability — Number of partner countries that undertake mutual assessments of progress in implementing agreed commitments on aid effectiveness including those in this Declaration."

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2. EFFICIENCY OF IMPLEMENTATION TO DATE
How well means/inputs and activities were converted into results (as in "outputs")

	PERFORMANCE CONCLUSION

Prime Issues	a	b	c	d
2.1 How well is the availability/usage of means/inputs managed?	*For example:* All resources are available on time, within budget, are managed transparently and respect rules and procedures.	*For example:* Most resources are available in reasonable time, do not require substantial budget adjustments; management is reasonably transparent and respects the rules. However there is room for improvement.	*For example:* Availability and usage of resources face problems which need to be addressed; otherwise results may be at risk.	For example: Availability and management of resources have serious deficies which threaten the achievement of results. Substantial change is needed.
To what degree are inputs provided/available on time to implement activities from all parties involved?	All three types of inputs should be considered: financial, human and physical. Did delay of inputs affect project?			
To what degree are inputs provided / available at planned cost (or lower than planned), from all parties involved?	Check initial budget and latest report.			
Are inputs monitored regularly to encourage cost-effective implementation of activities? By whom are they monitored?	Ask for the most recent budget expenditure table.			
Are project resources managed in a transparent and accountable manner?	Get a broad overview based on audit reports and tendering documents.			
Are all contractual procedures clearly understood and do they facilitate the implementation of the project?	Does project management have difficulty in understanding and applying EC procedures? Can be checked at project as well as Delegation level.			
2.2 How well is the implementation of activities managed?	Activities implemented on schedule, based on activity and resource plans, clearly linked to intervention logic, regularly monitored.	Most activities are on schedule, based on plans and linked to intervention logic. Delays exist, but do not harm delivery of outputs	Activities are delayed and somewhat disconnected from intervention logic and plans. Corrections are necessary to deliver without too much delay.	Serious delay and fundamental disconnect of activities from intervention logic and plans. Outputs will not be delivered unless major changes in planning, implementation and monitoring are made.
Is the logframe or similar tool used as a management tool? If not, why not?	Are plans, reports, internal monitoring based on the intervention logic?			
Is an activity schedule (or work plan) and resource schedule available and used by the project management and other relevant parties?	Activity and resource schedule may exist from inception period, but is it still used and updated?			
To what extent are activities implemented as scheduled? If there are delays how can they be rectified?	Are the delays significant? Do they affect the delivery of outputs?			
Are funds committed and spent in line with the implementation timescale? If not, why not?	Compare broadly implementation time, expenditure timeline and expenditure to date.			
How well are activities monitored by the project and are corrective measures taken if required?				
If appropriate, how flexible is the project				

in adapting to changing needs?	Important changes should have been already mentioned under "Relevance". Comment here on the project's flexibility.			
If appropriate how does the project co-ordinate with other similar interventions to encourage synergy and avoid overlaps?				
2.3 How well are outputs achieved?	All outputs have been and most likely will be delivered with good quality contributing to outcomes as planned.	Output delivery is and will most likely be according to plan, but there is room for improvement in terms of quality, coverage and timing.	Some output are/will be not delivered on time or with good quality. Adjustments are necessary.	Quality and delivery of outputs has and most likely will have serious deficiencies. Major adjustments are needed to ensure that at least the key outputs are delivered.
Have all planned outputs been delivered to date? And in a logic sequence?	The logical sequence of outputs matters if one output is necessary to deliver another or if outcomes emerge from a set of outputs.			
What is the quality of outputs to date?	A similar issue is raised in 3.1. (Effectiveness). The focus here is on outputs/products, not yet outcomes/benefits.			
Are the outputs achieved likely to contribute to the intended results?				
Are they correctly reflected through the OVIs/targets?				
2.4 How well is the Partner Contribution / Involvement working?	Inter-institutional structures allow all relevant stakeholders to fully participate in project monitoring and steering; all partners fulfil their commitments.	Inter-institutional structures are reasonably efficient and partners generally fulfil their roles. However, some improvements can still be made.	Problems regarding partner contribution and involvement have to be addressed to ensure good performance.	Serious deficiencies exist regarding inter-institutional coordination, partner involvement and communication and threaten project as a whole.
Do the inter-institutional structures e.g. steering committees, monitoring systems, allow efficient project implementation?	How well do these structures work i.e. regularity and level of participation, role in supporting the project implementation?			
Have all partners been able to provide their financial and/or HR contributions?				
Is the communication between responsible actors in the partner country, the EC Delegation and the project management satisfactory?	Focus on decision chain regarding planning, reporting and funding. Are all actors equally satisfied by the communication and cooperation?			

Note: a = very good; b = good; c = problems; d = serious deficiencies.	**Overall Conclusion:**	
Key lessons learned and/or action(s) recommended, by whom in order of priority		
See above for instructions for lessons learned and recommendations (1.Relevance & Quality of Design)		

3. EFFECTIVENESS TO DATE
The contribution made by the project's results (as in "outcomes") to the achievement of the project purpose.

	PERFORMANCE CONCLUSION

Prime Issues	a	b	c	d
3.1 How well is the project achieving its planned results?	*For example*: Benefits and capacities drawn from outputs are available, of good quality and used by all target groups.	*For example:* Outcomes are mostly good quality, available and used by most target groups. Room for improvements exists, however without serious effect on effectiveness	*For example:* Some benefits are available, but not always of the best quality. Improvements are necessary to ensure the project can achieve its purpose in terms of quality, reach and availability.	*For example:* Outcomes are not available in most cases and are of poor quality. Major changes are urged to attain results.
Have the planned results to date been achieved?	It is crucial to understand that effectiveness in this part is concerned with outcomes, not with outputs (tangible goods and services).			
Are the OVIs/targets for the PP appropriate and are they being reported against?	If the project does not specify OVIs beyond quantitatively measurable outputs, develop a "proxy" for a missing or incomplete logframe to discuss possible outcomes.			
What is the quality of the results/services available?	The Project Purpose is the specific, central highest ranking objective of the project. EC PGM guidelines insist on a definition of a single Project Purpose (also called Specific Objectives). Some projects might define a number of project objectives, even if these could be more correctly identified as outcomes.			
Have all planned target groups access to / using project results available so far?				
Are there any factors which prevent target groups accessing the results/services?				
3.2 As presently implemented what is the likelihood of the PP to be achieved?	Full achievement of PP is likely in terms of quality and coverage. Negative effects have been mitigated.	PP will be achieved with minor limitations; negative effects have not caused much harm.	PP will be achieved only partially among others because of negative effects to which management was not able to fully adapt. Corrective measures have to be taken to improve ability to achieve PP.	Project will not achieve its purpose unless major, fundamental are taken.
To what extent has the project adapted or is able to adapt to changing external conditions (risks and assumptions) in order to ensure benefits for the target groups?	Focus here on negative and positive effects on outcome level which will affect the achievement of the project purpose.			
If any unplanned negative effects on target groups occurred, or are likely to occur through the project, to what extent did the project management take appropriate measures?				
To what extent are unplanned positive effects contributing to results produced / services provided?				
Note: a = very good; b = good; c = problems; d = serious deficiencies.			**Overall conclusion:**	

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4. IMPACT PROSPECTS
As presently implemented, the project's likely contribution to the project's Overall Objective.
PERFORMANCE CONCLUSION

Prime issues	a	b	c	d
4.1 What are the direct impact prospects of the project at Overall Objectives level?	*For example:* Direct impacts are likely to be achieved as planned, targets are realistic, changing conditions do not harm project.	*For example:* Direct impacts likely match plan even though specific targets might be hard to reach. External factors do not harm project considerably.	*For example:* Direct impacts do not fully match plans; targets might not be met unless changes are made; external factors might harm project impact.	*For example:* Direct impacts and targets will not be achieved as planned in any significant measure, unless major, radical measures are taken.
What, if any impacts are already apparent?	Direct/Indirect Impact is to be distinguished from planned/unplanned effects at outcome level.			
What impacts appear likely?	Note the difference between direct and indirect impact:			
Are the current OVIs/targets realistic and are they likely to be met?	- Direct impacts are those foreseen in the design of the programme and may be redefined during the implementation of the programme, i.e. they could also be called "planned, expected impacts".			
Are any external factors likely to jeopardise the project's direct impact?	- Indirect impacts are not foreseen but come about due to other factors – such as the activities of other donors, changes in economic factors, new government policy, i.e. they could also be called "unplanned impacts".			
4.2 To what extent does/will the project have any indirect positive and/or negative impacts? (i.e. environmental, social, cultural, gender and economic)	Unplanned impacts are positive; negative impacts are mitigated successfully; donor coordination has positive effect on impact	Either there are no indirect impacts or these are not significant.	Some negative indirect impact affects the project; Lack of donor coordination leads to negative impact.	The success of the project is seriously threatened by Indirect negative impact which the project can not mitigate.
Have there been/ will there be any unplanned positive impacts on the planned target groups or other non-targeted communities arising from the project? How did this affect the impact?	Impacts are the long term changes which can be attributed to the project's intervention. It can be difficult to attribute without ambiguity the contribution of a specific project to changes on the level the overall objective targets. Other, external factors might have a more important impact, reinforce the project's impact or neutralize it.			
Did the project take timely measures for mitigating the unplanned negative impacts? What was the result?				
Do donor coherence, complementarity and coordination exist and have any indirect impact on the project?	This refers to donor coordination beyond the inter-institutional structure of the project itself.			
Note: a = very good; b = good; c = problems; d = serious deficiencies.		Overall conclusion:		

5. POTENTIAL SUSTAINABILITY

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.

PERFORMANCE CONCLUSION

Prime Issues	a	b	c	d
5.1 Financial / economic viability?	*For example:* Financial/economic sustainability is	*For example:* Financial/economic sustainability is	*For example:* Problems need to be addressed	*For example:* Economic/financial

	potentially very good; costs for services and maintenance are covered or affordable; external factors will not change that.	likely to be good, but problems might arise namely from changing external economic factors.	regarding financial sustainability either in terms of institutional or target groups costs or changing economic context.	sustainability is very questionable unless major changes are made.
If the services/results have to be supported institutionally, are funds likely to be made available? If so, by whom?	Financial/economic viability refers to internal as well as external elements, i.e. external funding sources, income generation etc. What kind of support is planned and guaranteed? What is only assumed or promised?			
Are the services/results affordable for the target groups at the completion of project?				
Can the benefits be maintained if economic factors change (e.g. commodity prices, exchange rate)?	Refer to macro-economic country or sector overview;			
Are the beneficiaries and/or relevant authorities/institutions able to afford maintenance or replacement of the technologies/services introduced by the project?	Sustainability is more likely if institutions already assume a substantial part of the costs. High technology is likely to be less sustainable than technology which can be maintained with locally available material and skills.			
Is there a financial/ economic phase-out strategy? If so, how likely is it to be implemented?	Are there specific provisions for the transfer of funding from the EC to another source?			
5.2 What is the level of ownership of the project by target groups and will it continue after the end of external support?	Local structures and institutions are strongly involved in all stages of implementation and are committed to continue producing and using results after the end of EC funding	Implementation is based in a good part on local structures and institutions which are also involved to some degree in decision making. Likeliness of sustainability is good, but there is room for improvement.	Project uses mainly ad-hoc arrangements and not enough local structures and institutions to ensure sustainability. Continued results are not guaranteed. Corrective measures are needed.	Project depends completely on ad-hoc structures with no prospect of sustainability. Fundamental changes are needed to enable sustainability.
How far the project is embedded in local structures?	Local structures and institutional structures are often interchangeable depending on the nature of the project. Local would refer to village committees, local health authorities etc whereas institutional structures are more likely to be a regional or national level and often government structures. Ultimately the definition comes from the context of the project. Social/institutional sustainability refers to structures on the lowest level, i.e. closest to the target groups.			
To what extent have target groups and possibly other relevant interest groups / stakeholders been involved in the planning / implementation process?	Similar to 1.3, but here with a focus on implementation rather than design. Distinguish different degrees of participation from just providing feedback to full participation in decision-making;			
To what extent are relevant target groups actively involved in decision-making concerning project orientation and implementation?				
What is the likelihood that target groups will continue to make use of	If local institutions had an important role in implementation, did the project design include provision for sustainability? If implementation did not involve them, is it likely that they can take over the project/			

relevant results?				
Do the target groups have any plans to continue delivering the stream of benefits and if so, are they likely to materialise?				
5.3 What is the level of policy support provided and the degree of interaction between project and policy level?	Policy and institutions have been highly supportive of project and will continue to beso.	Policy and policy enforcing institutions have been generally been supportive, or at least not have hindered the project, and are likely to continue to be so.	Project sustainability is limited due to lack of policy support. Corrective measures are needed.	Policies have been and likely will be in contradiction with the project. Fundamental changes needed to make project sustainable.
What support has been provided from the relevant national, sectoral and budgetary policies?	Does an "enabling", supportive policy environment exist?			
Do changes in policies and priorities affect the project and how well is it adapting in terms of long-term needs for support?	Unlike the similar question regarding project design, focus is here on the reality of policy's influence on project performance. What have (national) policy enforcing institutions done to help or hinder the project performance?			
Is any public and private sector policy support likely to continue after the project has finished?	Focus is on planned, effective support.			
5.4 How well is the project contributing to institutional and management capacity?	Project is embedded in institutional structures and contributed to improve the institutional and management capacity.	Project management is well embedded in institutional structures and has contributed somewhat to build capacity. Additional expertise might be available externally to continue the achievement of results. Improvements in order to guarantee sustainability are possible.	Project relies too much on ad-hoc structures instead of institutions; capacity building has not been sufficient to fully ensure sustainability. Corrective measures are needed.	Project is relying on ad-hoc and capacity transfer to existing institutions which could guarantee sustainability is unlikely unless fundamental changes are undertaken.
How far is the project embedded in institutional structures that are likely to survive beyond the life of the project?	Local structures and institutional structures are often interchangeable depending on the nature of the project. Local would refer to village committees, local health authorities etc whereas institutional structures are more likely to be a regional or national level and often government structures. Ultimately the definition comes from the context of the project.			
Are project partners being properly developed (technically, financially and managerially) for continuing to deliver the project's benefits/services?	Institutional and management capacity building are supposed to enable the target groups' and stakeholders' structures and institutions to deliver results even without further external expertise. If qualified HR are not available in the project, can they be recruited externally?			
Will adequate levels of suitable qualified HR be available to continue to deliver the project's stream of benefits?	These plans should not be developed only at the end of EC funding, but early on during design and implementation.			
Are there good relations with new or	If other factors are key to sustainability, include the comments in the area most closely linked to these other factors. E.g. if the issue of multi-culturality			

existing institutions and are there plans to continue with some or all of the project's activities?	is relevant to financing / economic viability put it there.

Note: a = very good; b = good; c = problems; d = serious deficiencies.	**Overall conclusion:**

6. HORIZONTAL ISSUES	**Yes**	**No**	**N/A**

The format of this section asks whether the question holds true or not (Yes, No or N/A) and then invites explanatory comments. No grading is required as it is not expected that monitors will have time to cover these issues in enough detail to assess them fully. The monitors' comments in is this section are meant to be in a summary form unless something is of particular importance for a specific project.

6.1) Role of Quality Support Group (QSG) and ROM in project quality

Whether the comments, particularly regarding stakeholders and needs analysis, institutional capacity assessment of the implementing partner and risks and assumptions made in the checklist and minutes against the quality and content of the Action Fiche were appropriate / relevant?

Whether the comments were taken into consideration and included in the Project documents, e.g. TAPs, financing agreements, LFM, Inception reports, etc. and if so, did they improve project implementation?

If the comments were not taken into consideration, was there any consequence during the implementation of the project? If so, please describe in the free text box.

Has any monitoring (including internal monitoring systems or ROM) or evaluation resulted in improvements in the project?

Please comment on any of the questions / aspects above, qualitative data is very valuable:

ROM and the ex-ante quality assurance mechanism of the oQSG are becoming more closely linked. ROM can inform QSG decisions with information on previous experience of similar interventions (lessons learned). In addition, and this is the focus of the section of the BCS, ROM can support the QSG process by verifying if the comments made by the QSG hold true and if the QSG recommendations have been implemented.

To be able to comment on the validity of the QSG comments in the planning stage, the monitor has to consult the QSG Action Fiche and the respective checklist (which are meant to be part of the project documentation package).

For more information on the oQSG process, please see box below extracted from:
http://ec.europa.eu/europeaid/how/ensuring-quality/qsg/index_en.htm

> **Office Quality Support Groups (oQSGs)** perform peer reviews during the identification and formulation of external assistance measures managed by EuropeAid. They are part of the broader quality-assurance mechanism through which the European Commission improves the quality of development co-operation policies and practices. (…)
> EuropeAid put in place its oQSG mechanism to help improve the design of external aid measures at the identification and formulation stage, building on in-house expertise, as well as on best practice from previous and ongoing measures.
> The oQSGs are involved in the preparatory stages of the project cycle, when external aid measures are designed. Good preparation is vital if a planned measure is to be implemented successfully.
> The primary focus of these concerted bodies is to support the capacity of task managers to identify and formulate high-quality measures; undertake systematic assessments of the design quality; identify improvements that need to be made. They also seek to ensure reporting on and dissemination of conclusions and recommendations, transfer of good practices and statistical processing of the results of the oQSG-proceedings. (…)
> oQSGs come into play early in the preparatory process where they can improve quality by providing guidance. They intervene at the identification and formulation stages to assess the quality achieved. (…)
> Based on the same criteria as the monitoring activities and evaluation programmes, this approach guarantees consistency and transparency throughout the project cycle. (...)
> There are five operational oQSGs, one for each of EuropeAid's four geographical Directorates and another one dealing with measures funded from Thematic Budget Lines.
> The chairperson takes a decision on each measure reviewed, based on the issues raised and advice provided by other group members and participants. The primary responsibility of each member is to provide useful advice which will help to ensure that the proposed action is of high quality.
> The oQSGs intervene at two points in the process:
> - at the end of the identification stage, when the oQSGs support quality by giving guidance for further preparatory work (checklist to review Identification Fiche);
> - at the end of the formulation stage, when the oQSGs assess the quality of the key documents before a financing decision is made (checklist to review Action Fiche);
> In both steps, quality is assessed by means of checklists that are completed by experts before an oQSG meeting. These checklists [similar in design to the ROM BCS] are based on the OECD Development Assistance Committee's criteria and help to assess quality in a structured and systematic way.

The last question of this subsection inquires about any improvements or changes made in reaction to recommendations by monitoring and evaluation. It includes ROM, internal monitoring, and EC evaluations, but also M&E activities of other donors or the partner government.

6.2) Review of TC Quality Criteria

Demand driven TC/TA and ownership
Do local partners effectively lead in the planning and management of TC support (i.e. beyond formal endorsement)?
Do local partners provide the required inputs enabling TC to perform (e.g. human and/or physical inputs)? (refer to Box 22 of the Guidelines)

Adaptation to the context and existing capacity
Is the TC support likely to achieve its objectives without critical constraints?
Is the TC support adequate vis-à-vis the capacity of the local partner?

Harmonisation of TC
Is the TC support taking into account TC from other donors in the same sector? (Ask the EC Delegation to acquire this data)
Is the present TC support from the EC delivered jointly with other donors? (If no other donors are active in the sector then mark N/A)
If the TC support from the EC is not harmonised with other donors, are relevant steps being taken for a more harmonized TC in the future?

Result oriented TC/TA
Are the TC deliverables (outputs and outcomes) clearly specified (e.g. in the TA ToR) and regularly assessed (e.g. through a joint performance dialogue/assessment)?
Are there innovative forms of TC support being used (e.g. peer review, South/South and/or Public/Public cooperation, twining, networking, etc.)?

PIA
Are partner country staffs effectively managing the programme (and not TA)?
Do the experts take instructions from and report to the partner (and not the EC)?
Please comment on any of the questions / aspects above, qualitative data is very valuable:

The role of PIUs is under review and EuropeAid has presented a "Backbone Strategy" on "Reform Technical Cooperation and Project Implementation Units" (in the light of both the European Court Of Auditor's 2007 Report on the Performance of EC Technical Assistance for Capacity Development and the EC's commitment to the Paris Declaration). The goal is to make the PIUs less EC-centric in order to comply with ECD Target 1 "provide all capacity building through coordinated programmes with an increasing use of multi-donor arrangements" and ECD Target 3 "avoid the establishment of new PIUs altogether".

ROM can collect data on how PIUs are performing.

> Guiding principles for future provision of EC-funded TC (**EC Backbone Strategy on TC/TA**)
> 1. **Focus on capacity development –** TC is provided with the primary aim of supporting internal country processes to promote capacity development at individual, organisational and countrywide levels. Where relevant, TC can be called upon to play other roles9, such as offering advice, providing support for the implementation and facilitation/preparation of EC cooperation.
> 2. **Demand-led approach where TC is not provided by default –** The provision of TC must be based on the demand and requirements of the partner country. Costs and available options should be transparent. Appropriate dialogue and support may be needed in order to enable clear formulation of the demand for TC.
> 3. **Adopting a results-orientation –** TC design will ensure that TC inputs/activities are linked to targeted outputs which in turn lead to sustainable development outcomes. Appropriate indicators will be agreed on in advance to monitor the implementation of TC.
> 4. **Country-owned and managed TC process –** Country partner ownership is the key underlying principle for the organisation of EC-funded TC. From the identification to the implementation phase, partner countries will be actively involved in the design of PIAs and TC-supported programmes, including the procurement of TC services and the management, review and accounting of TC results.
> 5. **Taking account of country and sector-specific requirements –** TC support will build on a thorough understanding of the political, socio-cultural, sectoral and institutional context. Blueprint approaches should be avoided.
> 6. **Working through harmonised and aligned action –** TC support will be closely coordinated with other donors and aligned to country strategies and programmes through the increased use of pooling arrangements or other harmonised approaches, such as delegated cooperation.
> 7. **Avoiding the use of parallel PIUs and promoting effective Project Implementation Arrangements**

– The use of parallel PIUs will be avoided as far as possible in favour of effective implementation arrangements that are fully integrated and accountable to national structures.

8. **Considering different and innovative options for the provision of Technical Cooperation** – The design of TC support will consider alternatives to the use of international long- and short-term consultants. These alternatives include the use of national and regional resources, twinning arrangements and knowledge transfer beyond standard training approaches.

Project Implementation Units (EC Backbone Strategy on TC/TA)

When providing development assistance in a country, some donors establish Project Implementation Units (aka project management units, project management consultants, project management offices, project coordination offices, etc.) These are dedicated management units designed to support the implementation and administration of projects or programmes.

PIUs typically share the following key features:

• PIUs are TYPICALLY required to perform subsidiary (rather than principal) tasks with regard to the implementation of a project or programme: monitoring and reporting on technical and/or financial progress, accounting, procurement of works, goods and services, drawing-up terms of reference, contract supervision, detailed design or equipment specification.

• PIUs are often established at the request of a donor following the inception of a project or programme.

• The staff of PIUs vary considerably in size and composition. Staff size can vary from 1 to as many as 200 but most count less than 10 professional staff. Although a significant number of PIUs make use of government staff, most PIUs rely on staff recruited outside the civil service (e.g. long-term local consultants).

A distinction is made here between a PIU and technical advice provided directly to national administrations.

Parallel PIU

A PIU is parallel when it is created and operates outside existing country institutional and administrative structures at the behest of a donor. In practice, there is a continuum between parallel and integrated PIUs. The criteria below have been designed to help donors and partner authorities draw a line within this continuum and identify with greater certainty parallel PIUs.

Donors are invited to review all their development activities with a view to determining how many PIUs are parallel. For the purpose of this survey, PIUs are said to be parallel when there are three or more 'Yes' to the four questions below (anything less counts as integrated):

1. Are the PIUs accountable to the external funding agencies/donors rather than to the country implementing agencies (ministries, departments, agencies etc)?

2. Are the terms of reference for externally appointed staff determined by the donor (rather than by the country implementing agencies)?

3. Is most of the professional staff appointed by the donor (rather than the country implementing agencies)?

4. Is the salary structure of national staff (including benefits) higher than those of civil service personnel?

For more information on TC/TA refer to the TA/TC Backbone Strategy and work plan:

http://ec.europa.eu/europeaid/what/delivering-aid/aid-effectiveness/index_en.htm

Consult as well the Paris Declaration:

http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html

6.3) EC Visibility

Does the project contribute to promoting EC visibility (e.g. does it comply with the EC Guidelines?)

Please comment on any of the questions / aspects above, qualitative data is very valuable:

EC visibility should not be limited to a placard announcing EC funding of a project. In addition to technical aspects (visibility of EC logo etc) EC visibility also relates to the public's wider understanding of the role and function of the EC.

Contractors and/or implementing partners are responsible for communicating adequately on the project or programme that they are implementing and on the support from the EU. Since 2008, a budgeted communication and visibility plan should be included in the work plan of any EU-funded or co-funded action, highlighting the external communication activities that need to take place at key stages in the life of the project or programme. The common element branding all EU-funded projects and programmes is the EU flag.

Monitors must record systematically the visibility of monitored operations in section 6.3 of the BCS and, if visibility is an issue (either a problem or a best practice) also in the MR under efficiency.

In addition to the question explicitly mentioned in the BCS 6.3, monitors should comment on the following:

- Has a communication plan been prepared and agreed with Commissions services?

- Are the activities provided for in the communication plan on track?

- Please comment on any of the questions / aspects above, specific initiative taken, adequacy of budget etc.

NB: The EC Communication and Visibility Manual for EU External Actions are the current guidelines for visibility issues: http://ec.europa.eu/europeaid/work/visibility/index_en.htm

7. CROSS-CUTTING ISSUES	Yes	No	N/A

7.1) Have practical and strategic gender interests been adequately considered in the project strategy?

If so, how and to what effect? If not, why not? If n/a, explain.
Please consider the following aspects of gender mainstreaming:
• Has the project been planned on the basis of a gender-differentiated beneficiaries' analysis?
• To what extent will /could the gender sensitive approach lead to an improved impact of the project?
• What is the likeliness of increased gender equality beyond project end?
• According to the OECD Gender Policy Marker how would you classify this project?

Has gender received substantial attention in the planning?

Superficial references to gender do not necessarily vouch for gender mainstreaming.

Useful documents to consider:

Toolkit on mainstreaming gender equality in EC development cooperation

http://ec.europa.eu/europeaid/sp/gender-toolkit/en/content/toolkit.htm

> **Mainstreaming gender equality through the project approach:**
> Highlighting gender equality during implementation phase:
> - Assess whether changes in the political, legal, economic or social context of the project have affected the assumptions about gender roles and relationships made at the beginning of the project. Phenomena such as migration, civil unrest or the HIV/AIDS pandemic can all affect existing roles and relationships and may require adjustments to the project.
> - Assess whether project results are being delivered in a gender-equitable manner as was originally planned, and make adjustments if that is not the case.
> - Assess whether information on project achievements/results is disaggregated by sex, and whether action is taken to redress inequalities and shortfalls
> - Assess whether capacity is being built within the project structure and among stakeholders to ensure that gender equality achievements can be maintained after the project ends.
> - The Task Manager will ensure that skills in gender analysis are included as a component in all TOR, and that the Gender Mainstreamed logframe is used as a management tool.

OECD Gender Policy Marker www.oecd.org/dataoecd/4/23/39903666.pdf

> **OECD Gender Policy Marker:**
> "An activity should be classified as gender equality focused (score Principal (2) or Significant (1)) if it is intended to advance gender equality and women's empowerment or reduce discrimination and inequalities based on sex."
> A "principal" mark is given if the gender equality is the crucial, defining objective of a project.
> A "significant" mark can be attributed to a project, which in its pursuit of another primary objective, integrates gender considerations as a substantial factor into the project design.

- EU Roadmap for equality between women and men (2006-2010)
http://europa.eu/scadplus/leg/en/cha/c10404.htm

- March 8th 2007 EC Communication on Gender Equality & Women Empowerment in Development Cooperation: COM(2007) 100 final

http://eur-lex.europa.eu/LexUriServ/site/en/com/2007/com2007_0100en01.pdf

7.2) Is the project respecting environmental needs?

If so, how and to what effect? If not, why not? If n/a, explain.
Please consider the following aspects of mainstreaming environmental aspects:
• Have environmental constraints and opportunities been considered adequately in the project design?
• Are good environmental practices followed in project implementation (in relation to use of water and energy and materials, production of wastes, etc)? Does the project respect traditional, successful environmental practices?
• What capacities exist (within project, project partners and project context) to deal with critical risks that could affect project effectiveness such as climate risks or risks of natural disasters (in the case of projects in sensitive

geographical areas / natural disasters hotspots)?
• Has environmental damage been caused or likely to be caused by the project? What kind of environmental impact mitigation measures has been taken?
• Is the achievement of project results and objectives likely to generate increased pressure on fragile ecosystems (natural forests, wetlands, coral reefs, mangroves) and scarce natural resources (e.g. surface and groundwater, timber, soil)?

Please comment on lessons learnt, if any.

> *Sustainable development is development that meets the needs of current generations without compromising the ability of future generations to meet their needs.*

Although there may not be much time to spend on environmental issues, please be aware that even if a project is not explicitly on environmental issues, in most cases it will have direct or indirect impacts on environmental resources or will be positively or negatively affected by them.

The main document in the planning stage regarding the environmental impact of a project is the "Environmental Impact Assessment".

Please refer to chapters 2 and 6 of the Environmental Integration Handbook for EC development co-operation:

http://www.environment-integration.eu/content/section/4/146/lang,en/

> **Environmental mainstreaming guiding question by quality criteria**
> **Relevance**
> Did the project address the environmental issues identified in the Problem Analysis? If not, are there good reasons for giving priority to other problems?
> Does it incorporate environmental objectives (e.g. in its EMP) addressing its potential environmental impacts?
> **Effectiveness**
> Did the project comply with its environmental requirements and objectives?
> Did the environmental protection measures produce the expected results?
> **Efficiency**
> Has the project made efficient use of environmentally damaging means? Have adequate resources or efforts been invested in mitigating/optimising impacts? Has the project been handicapped by under-estimated environmental constraints?
> **Sustainability**
> Are project outcomes threatened by environmental degradation (or resource impoverishment) or disasters?
> **Impact**
> What are the project's contributions to sustainable development? Could these have been improved? What are the social and environmental effects external to project objectives? What have the impacts been compared to those predicted by the EIA?

7.3) Has (good) governance been mainstreamed in the project/programme (P/P)?

If so, how? If not, why not? If n/a, explain.

Please consider the following aspects of governance:
• Does it take into consideration the differential impact of poverty by disadvantaged groups?
• Is the P/P designed in such a way that it takes into account potential conflict?
• Is regular, transparent, financial reporting built into the P/P? Are its results widely circulated and understandable?
• Are there effective anti-corruption monitoring tools in place?

Please comment on lessons learnt, if any.

> *Good governance is defined as: 'the transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development, in the context of a political and institutional environment that upholds human rights, democratic principles and the rule of law'.*

For a general introduction, please visit: http://ec.europa.eu/europeaid/what/governance-democracy/index_en.htm

For further detail: "Handbook on promoting good governance in EC development co-operation".

http://ec.europa.eu/europeaid/what/governance-democracy/documents/final_draft_handbook_gg_en.pdf

For a general overview on how good governance should be mainstreamed in EC development co-operation, please refer in particular to section 1, pages 17-32 (in particular at the tables on pages 20-22 and 24- 26) as well as the checklist (see below) and logbook in section 3 starting at page 91. Also useful are page 101 regarding the design of the project and page 108 for implementation.

> Handbook on promoting good governance in EC development co-operation
> **Good Governance checklist**

1. Participation and ownership
• Are all relevant stakeholders identified and given the opportunity to participate?
• Is there a balanced and representative participation of stakeholders?
• Have the costs of participation for stakeholders been evaluated?
• Do the relevant stakeholders perceive the P/P as important?
2. Equity
• Could the P/P provide net gains to poor people that respond to their priority needs?
• Could the P/P enhance strategic and immediate gender equity in the country?
• Are the benefits of the project free from unfair discrimination?
3. Organisational capacity
• Is the mandate of the implementing organisations compatible with the role that will be expected from them in the P/P?
• Do they have the capacities (financial, human, structural…) to undertake the specific tasks in question and guarantee responsibility for them?
• Are necessary internal and external incentives in place for them to be able to play their role adequately?
4. Transparency and accountability
• Will there be a flow of information about the P/P (in an adequate format) to the relevant constituencies?
• Is there clarity in the P/P proposal regarding responsibilities, roles and organisation among the stakeholders?
• Are targets and results of the P/P identified?
• Will those dealing with resources have well-defined and consequent obligations (e.g. reporting on the use of those resources)?
• Will they be required to demonstrate fulfilment of those obligations and face sanctions for failure?
5. Anti-corruption
• Are all partners committed to implementing the P/P with no corruption as a goal? Is there enough information on their identity, resources, practices, and track record to give credibility to this intention?
• Are there effective anti-corruption monitoring tools considered?
• Will regular and transparent financial reporting be built into the P/P? Will the results be widely circulated and understandable?
6. Conflict prevention and security
• Will the P/P be designed in such a way that takes into account conflict potential?
• Will the P/P's benefits be delivered in such a way so as not to be appropriated by any existing parties in conflict?
• Can the P/P help increase rival groups, confidence through more openness and communication and through the encouragement of balanced, local ownership of the P/P?

7.4) Does the project actively contribute to the promotion of Human Rights?

If so, how? If not, why not? If n/a, explain.
• Has there been an analysis of "winners and losers" regarding possible "discrimination" of target groups by the P/P?
• Will the P/P help to ensure respect for any relevant human rights and not cause them to be reduced in any way?
• Do any interested parties and observers raise HR concerns?

Please comment on lessons learnt, if any.

Sources of information are the same as for Good Governance.

Below an extract from the 2003 Handbook promoting good governance regarding Good Governance:

Respect for inviolable rights
Does the programme/project respect those human rights under the UN ICCPR (International Covenant on Civil and Political Rights) that cannot be derogated from under any circumstances, viz.-
- right to life (article 6)
- prohibition of torture, cruel or inhuman treatment & medical experimentation (article 7)
- prohibition of slavery and servitude (article 8)
- prohibition of imprisonment for failing to fulfil a contractual engagement (article 11)
- prohibition of retrospective criminal liability (article 15)
- right to legal recognition (article 16)
- freedom of thought, conscience and religion (article 18)
Non-discrimination (i.e. no diminution of Human Rights)
Are all target groups obtaining equal access to the benefits of the P/P, without discrimination on the grounds of race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status? Do (will) any target groups bear an unreasonable burden of any adverse consequences?
Principle of Non-regression
Does the P/P ensure observance that no relevant Human Right is reduced in any way, and does it promote progressive realisation of relevant human rights?

3.2.7.2   BCS Regional

The latest version of the BCS for ongoing projects/programmes is applicable for RPs as well therefore monitors should refer to the annotated BCS template for ongoing projects/programmes for explanations and links to further information.

In addition to these instructions, a list of specific RP related general points to cover is presented below. Depending on the RP's typology (A, B, C) different RP related guiding questions should guide the monitor especially in the writing of the consolidated report.

The grading in the BCS for national components focuses on the national perspective and national activity.

The grading in the consolidated report depends on type of RP according to the following general rule:

- RP Types A + B: a negative grade in a component has negative effect on consolidated rating (sum cannot be better than its elements);

- RP Type C: rating of consolidated is more or less the average of the component ratings. Detailed instructions on the grading are given below.

Typology A – Exclusively Regional RP (Regional OO, no National Activities)				
1. RELEVANCE AND QUALITY OF DESIGN				
The appropriateness of project's objectives to the real problems, needs and priorities of its target groups/beneficiaries and the quality of the design through which these objectives are to be reached				
	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Has the project a regional relevance (i.e. independent from national interests)? Have all Partner Governments (PGs) equal interest in the project? Have they an equal commitment? Are the national policies coherent with the programme? Are all PGs equally necessary to the programme achievement?	Consolidated Report Grading (CRG) prevails as relevance is essentially regional. National Report Grading (NRG) is indicative, and may show differences in national interests or importance of the project.			
2. EFFICIENCY				
How well means/inputs and activities were converted into results (as in "outputs").				
	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Is the regional approach cost efficient? Is the regional organization appropriate, well designed (institutional arrangements, coordination…)? Do all the PGs duly contribute to the programme?	CRG – efficiency is essentially regional. NRG - the national/component view of the regional level of efficiency as there are no national activities			
3. EFFECTIVENESS				
The contribution made by the project's results (as in "outcomes") to the achievement of the project purpose.				
	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Are the regional results achieved? Does (to which extent) each PG equally benefit from/use the regional results?	CRG - effectiveness is essentially regional. NRG - the national/component view of the regional level of effectiveness

4. IMPACT

As presently implemented, the project's likely contribution to the project's Overall Objective.

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Regional impact of the project Impact (positive or negative) of the project on each country? (Political, economic, social impact may be variable according to countries. National impact is dissociated from Regional impact.)	CRG - impact is essentially regional. NRG - essentially the national/component view of the regional level of impact. But if there are cases of a perceived negative impact which could result in reduced commitment, it should be noted.

5. SUSTAINABILITY

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Sustainability of a regional institution / mechanism / policy Sustainability of regional results/impacts Sustainability of national policy, services or institutions Follow-up and coordination mechanisms	CRG - sustainability is essentially regional. NRG - the national/component view of the regional level of sustainability taking into account national commitment, policies and financial participation

Most common risks the monitor should pay particular attention to:

Some PGs are less or not involved: particularly because of the absence of national components;

Delegations are not involved, committed, coordinated;

Regional conflict;

Lack of coordination (capacity);

Regional coordination is costly (transport);

Low visibility at national and regional levels.

Typology B – Exclusively regional RP (Regional OO, National Activities)

1. RELEVANCE AND QUALITY OF DESIGN

The appropriateness of project's objectives to the real problems, needs and priorities of its target groups/beneficiaries and the quality of the design through which these objectives are to be reached

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Has the project a regional relevance (i.e. independent from national interests)? Have all PGs an equal interest in the project? Have they an equal commitment?	CRG prevails. NRG is indicative, and may show differences in national interests or importance of the project.

Are the national policies coherent with the project? Are all PGs equally necessary to the project achievement?	

2. EFFICIENCY

How well means/inputs and activities were converted into results (as in "outputs").

	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Is the regional approach cost effective? Is the regional organization appropriate, well designed (institutional arrangements, coordination…)? Do all the PGs duly contribute to the project?	CRG synthesis from a regional perspective not an average of national/component gradings. NRG are indicative, and may show strengths and weaknesses in different countries or components			

3. EFFECTIVENESS

The contribution made by the project's results (as in "outcomes") to the achievement of the project purpose.

	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Are the regional results achieved? Are the national results achieved? Do the PGs equally contribute to the regional results?	CRG takes the lowest grade of all the national/component grades as an elements' weakness means a weakness of the regional whole. NRG looks at effectiveness primarily from a national/component perspective			

4. IMPACT

As presently implemented, the project's likely contribution to the project's Overall Objective.

	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Regional impact of the project Impact of the project on each country National impact of national components	CRG synthesis from a regional perspective not an average of national/component gradings. NRG looks at impact primarily from a national/component perspective.			

5. SUSTAINABILITY

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.

a	b	c	d
Specific RP related questions/perspective		**Grading in consolidated/horizontal report**	
Sustainability of a regional institution / mechanism / policy… Sustainability of regional results/impacts Sustainability of national components, policy, services or institutions Follow-up and coordination mechanisms		CRG takes the lowest grade of all the national/component grades as an elements' weakness means a weakness of the regional whole. NRG looks at sustainability primarily from a national/component perspective.	

Most common risks the monitor should pay particular attention to:

Some PGs are less or not involved;

EC Delegations are not involved, committed, coordinated;

| Regional conflict; |
| Lack of coordination (capacity); |
| Regional coordination is costly; |
| Low visibility at national and regional levels. |

Typology C – Hybrid RP (Regional and national OO)

1. RELEVANCE AND QUALITY OF DESIGN

The appropriateness of project's objectives to the real problems, needs and priorities of its target groups/beneficiaries and the quality of the design through which these objectives are to be reached

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Has the project a regional relevance, additional with national interests? Is the project relevant for all PGs? Are the national components relevant both at national and regional levels? Are PGs committed to both levels? Coherence between national components/ policies and regional component/dimension?	CRG – a mix of the national/component findings with a regional perspective – not necessarily the average of NRG NRG – from a national/component perspective.

2. EFFICIENCY

How well means/inputs and activities were converted into results (as in "outputs").

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Is the regional approach cost-effective? Is the regional organization appropriate, well designed (institutional arrangements, coordination…)?	CRG – a mix of the national/component findings with a regional perspective – not necessarily the average of NRG NRG – from a national/component perspective determined by project performance within the country.

3. EFFECTIVENESS

The contribution made by the project's results (as in "outcomes") to the achievement of the project purpose.

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report
Effectiveness at regional level Effectiveness at national (components) level How do the regional results support the national projects/activities? How do the national activities contribute to the regional results?	CRG – a mix of the national/component findings with a regional perspective – not necessarily the average of NRG NRG – from a national/component perspective determined by project performance within the country.

4. IMPACT

As presently implemented, the project's likely contribution to the project's Overall Objective.

	a	b	c	d

Specific RP related questions/perspective	Grading in consolidated/horizontal report

Regional impact of the project	CRG – a mix of the national/component findings with a regional perspective – not necessarily the average of NRG
Impact of the regional impact at national level	
Impact of the national components on national level	NRG – from a national/component perspective determined by project performance within the country.

5. SUSTAINABILITY

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.

	a	b	c	d
Specific RP related questions/perspective	**Grading in consolidated/horizontal report**			
Sustainability at regional level: results/impact and policy, regional institution and mechanisms	CRG – a mix of the national/component findings with a regional perspective – not necessarily the average of NRG			
Sustainability of national components				
Follow-up and coordination systems	NRG – from a national/component perspective determined by project performance within the country.			

Most common risks the monitor should pay particular attention to:

National dimension/components prevails (nationalist attitude) – loss or reduction of the regional dimension.

Personal in charge of both national and regional activities are overloaded and work exclusively on national ones.

Low visibility of the regional dimension , or visibility concentrated on the managing institution

All the EC Delegations are not equally involved, committed and coordinated

3.2.7.3   BCS Ex-Post

Most of the explanations and links to external documents from the annotated Ongoing BCS apply to the Ex-Post BCS as well. However, monitors should keep in mind the change of perspective as discussed above. Some additional explanations are given below. (The sub-questions are omitted; please refer to the BCS template.)

Apart from differently phrased sub-criteria/prime issues and sub-questions, the main difference between the Ongoing BCS and Ex-Post BCS is the separate sheet for lessons learned. The main purpose of emphasizing lessons learned in a separate section/sheet is to make them more accessible, strengthening the learning capacity of EC development stakeholders, and therefore improving the quality of the development actions supported by the EC. The main users of these lessons learned should be the stakeholders involved mainly in the design of new interventions (EC Delegations, QSG, and other AIDCO Units).

Although in the MR the monitors include a summary of lessons learned, the BCS and the detailed lessons learned collected on the respective sheet can be used as a working instrument for extracting, comparing and synthesizing lessons learned from a number of monitoring exercises in a more detailed way.

1. RELEVANCE AND QUALITY OF PROJECT DESIGN				
Relevance: The appropriateness of project's objectives to the real problems, needs and priorities of its target groups (relevance at beneficiary level) that the project was supposed to address, and to the policy environment (strategic relevance) within which it operated.				
	a	b	c	d
1.1 What was the level of relevance of the project during its lifetime and what is its relevance today?	In terms of perspective, the analysis should facilitate a comparison between the relevance at project's end and the current relevance. The quality of design should be analysed as a key factor of impact and sustainability in order to generate lessons learned.			
1.2 Was the design of the project appropriate for reaching its objectives?	The relevance criterion looks at: i) the policy context of the partner government and the EC development strategy in the country (strategic relevance); and ii) at the direct beneficiaries needs (direct beneficiaries relevance) at two different moments, at project's end and at the time when the ex-post monitoring is carried out;			
1.3 Was the design sufficiently supported by all stakeholders?				
1.4 Did the project design sufficiently take cross-cutting issues into account?	The quality of project design (as well as impact and sustainability) as one of the key criteria of the Ex-Post ROM should capture the determining elements of the project's performance in order to draw lessons learned;			

2. EFFICIENCY OF IMPLEMENTATION				
How well means/inputs and activities were converted into results (as in outputs) and their quality.				
	a	b	c	d
2.1 How well was the availability/usage of means/inputs managed?	The focus is on the achievement and quality of outputs at project's closure;			
2.2 How well was the implementation of activities managed?	This criterion looks more specifically at the factors that influenced the degree of efficiency and therefore play a relevant role in drawing lessons learned. The analysis should look at major deviations from the plan at project's end and their consequences.			
2.3 How well were outputs achieved?				
2.4 How well worked the Partner Contribution/Involvement?	Efficiency should be analyzed as a key factor of project's impact and sustainability in order to draw lessons learned.			

3. EFFECTIVENESS TO DATE

The contribution made by the project's results (as in "outcomes") to the achievement of the project purpose up to the end of the implementation period.				
	a	**b**	**c**	**d**
3.1 How well did the project achieve its planned results (as in outcomes)? **3.2 Was the PP achieved?**	This section looks at the quality of achievement of the project purpose through outcomes at project end. Elements that promoted or limited the achievement of the project purpose should be covered, too, also in light of potential lessons learned. The analysis should focus on the situation at project's end.			

4. IMPACT TO DATE

The effect of the project on its wider environment, and its contribution to the wider (sector) objectives summarised in the project's overall objective.				
	a	**b**	**c**	**d**
4.1 What is the direct impact of the project at overall objectives level? **4.2 To what extent does/will the project have any indirect positive and/or negative impacts? (i.e. social, cultural, gender and economic)**	The analysis should focus on the achievement of the project's overall objective at the time when the ex-post monitoring is carried out. The impact and sustainability criteria (as well as quality of design) are the key dimensions of the ROM; The Ex-Post ROM looks at the project's contribution to the overall objective in the present (i.e. at the time of the ex-post mission); In the sense of the BCS for on-going interventions, direct impacts are defined here as those directly arising from the project's results as defined in the project purpose. Indirect impacts are attributable to the project only via a series of intermediary steps with interplay of other factors. Direct impacts are often easier to foresee (and take into account in design). However, the distinction between direct and indirect impacts does not always match the distinction between foreseen and unforeseen impacts. In any case, it has to be underlined that project impact always depends, not only on the project intervention but also on other external factors.			

5. SUSTAINABILITY TO DATE

The continuation in the stream of benefits produced by the project after the period of external support has ended.				
	a	**b**	**c**	**d**
5.1 Financial / economic viability **5.2 What is the level of ownership of the project by target groups today?** **5.3 What has been the level of policy support provided and the degree of interaction between project and policy level until now?** **5.4 How well has the project contributed to institutional and management capacity?**	Sustainability is one of the key criteria of Ex-Post monitoring, together with impact and quality of project design; This section follows the key sustainability criteria which emerged from the report on ex-post sustainability findings; The analysis should focus on the current situation, considering the process between project's end and the time at which the ex-post monitoring is carried out.			

6. HORIZONTAL ISSUES

6.1) Role of the Quality Support Group (QSG) and ROM in project quality	The format in this section will ask the monitor firstly to say whether the issue is actually applicable to the project: Yes, No or N/A and subsequently request explanatory comments. Horizontal issues, such as oQSG and ROM, the quality of the technical cooperation component as well as EC visibility should be analyzed as key factors for project performance, and therefore relevant for impact and sustainability of the interventions. In this sense, they are an important source for
6.2) Review of Technical Cooperation (TC) Quality	lessons learned.

Criteria	In comparison to on-going interventions, the Ex-Post analysis focuses on the moment at which the ex-post monitoring is carried out and emphasizes lessons learned.
6.3) EC Visibility	The office Quality Support Group (oQSG) is a peer review during the identification and formulation of projects. ROM and oQSG processes are becoming more closely linked. Lessons Learned from Ex-Post ROM are meant to directly feed into the design of new projects and the oQSG process.
	For more information on oQSG see the annotated Ongoing BCS above or go to:
	http://ec.europa.eu/europeaid/how/ensuring-quality/qsg/index_en.htm
	In the context of EC financed external aid, the role of Project Implementation Units (PIUs) is under review. PIUs are dedicated management units designed to support the implementation and administration of projects or programmes. In line with the Paris Declaration and the Report on the Performance of EC Technical Assistance for Capacity Development, EuropeAid has presented a strategy to "Reform Technical Cooperation and Project Implementation Units". The Ex-Post ROM will focus on the design of PIU's/Project Implementation Arrangement (PIA) and its contribution to project's performance.

7. CROSS-CUTTING ISSUES

7.1) Were practical and strategic gender interests adequately considered in the project strategy?	In comparison to the BCS for on-going interventions, this section looks at the relationship between cross-cutting issues and project's performance;
7.2) Did the project respect environmental needs?	Because the section "quality of design" includes the integration of cross cutting issues, this chapter puts the focus on the moment at which the EP monitoring is carried out, i.e., what kind of gender, environmental, governance or human rights impacts the project has achieved, and how these issues affected project impact and sustainability;
7.3) Was (good) governance mainstreamed in the project/programme?	In this section the option of Yes/No/N/A relates to the relevance of the topic.
7.4) Did the project actively contribute to the promotion of Human Rights?	

8. LESSONS LEARNED

A. Lessons learned identified and used by project	This section inquires about lessons learned as they are used by the project (A) as well as produced by it or the monitoring (B).
	Key observations should be included, if there is an urgent/pending need for action or a relevant comment on a project issue that cannot be included as a "lesson learned".
B. Formulation of lessons learned by ROM	Lessons learned are transferable conclusions. Lessons learned should be formulated as a generalised principle that can be applied in other interventions. It cannot be too general or too specific. A lesson should capture the context from which it is derived, be applicable in a different context (definition of potential use and users) and serve as a guide for potential replication.
	The presentation of lessons learned in the last section of the monitoring report (MR) should not follow the ROM criteria, but rather the structure suggested here The proposed categories should facilitate access to lessons learned also in an aggregated way.
	The monitor does not have to fill in each category; it is up to his/her judgement to decide which one(s) are the most appropriate for the lesson. The monitor should not put an emphasis on the quantity of lessons but on the quality. The guiding (sub-)questions are only indicative, as are the examples.
	For more on Lessons Learned in the EC see:
	http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth_ccl_en.htm
1. THEMATIC LESSONS LEARNED	Refers to LL specific to the sector.
	Examples: Microfinance in urban areas; gender-oriented employment initiatives, ICT in rural areas etc.
2. INTERVENTION STRATEGIES	Refers to LL regarding the intervention strategy. Examples: Direct assistance, capacity building at community, institutional and/or policy level, policy advice,

	policy advocacy, public-private partnerships, participative strategic planning.
3. ORGANIZATION AND IMPLEMENTATION MODALITIES (AT PROJECT AND EC LEVEL)	Examples at project level: multi-stakeholder co-management structures, internal M&E systems, Application of learning tools, inter-institutional arrangement for project management, TC, PIUs, PIAs, coordination platforms with beneficiaries. Examples at EC level: NGO co-financing, thematic budget line, etc.

3.2.8 Encoding of MR

Instructions for the encoding of the MR are available for download on CRIS.

3.2.9 Searching in CRIS

Instructions for searching of ROM data in CRIS are available on CRIS.

3.2.10 Encoding of RS

Instructions for the encoding of RS are available for download on CRIS.

Use of CRIS requires the access to the password protected EuropeAid Intranet. Only the ROM contractors have access; monitors don't.

4   Annexes

4.1 Glossary of terms

The glossary of the Handbook for the ROM system is based on the PCM Guidelines which will soon be reviewed. Note that the use of terms may differ between regions in the Commission.

Activities

In the context of the Logframe Matrix, these are the actions (tasks) that have to be taken to produce results.

Activity Schedule

A Gantt chart (similar to a bar chart, with the activities on the vertical and a timeline on the horizontal axis) setting out the timing, sequence and duration of project activities. It can also be used to identify milestones for monitoring progress, and to assign responsibility for achievement of milestones.

Analysis of Objectives

Identification and verification of future desired benefits to which the beneficiaries and target groups attach priority. The product of an analysis of objectives is the objective tree/hierarchy of objectives.

Assumptions

External factors which could affect the progress or success of the project, but over which the project manager has no direct control. They form the 4th column of the Logframe, and are formulated in a positive way, e.g.: "Reform of penal procedures successfully implemented". If formulated as negative statements, assumptions become 'risks'.

Beneficiaries

Are those who benefit in whatever way from the implementation of the project. Distinction may be made between:

Target group(s): the group/entity who will be immediately positively affected by the project at the Project Purpose level;

Final beneficiaries: those who benefit from the project in the long term at the level of the society or sector at large, e.g. "children" due to increased spending on health and education, or "consumers" due to improved agricultural production and marketing

Budget Support

Budget support is the transfer of resources of an external financing agency to the National Treasury of a partner country, following the respect by the latter of agreed conditions for payment. The financial resources thus received are part of the global resources of the partner country, and consequently used in accordance with the public financial management system of the partner country. SBS is aimed at supporting a specific sector programme. Targeted – or 'ear-marked' - Budget Support involves the transfer of EC funds to the national treasury as ex-post 'financing' of specific expenditures within the budget or of specific budget lines.

Commitment

A commitment is a formal decision taken by the Commission to set aside a certain amount of money for a particular purpose. No expenditure can be incurred in excess of the authorised commitment.

Contractor

The public or private organisation, consortium or individual with whom the contracting authority enters into a contract. The firm, individual or consortium to which a contract is awarded.

Country Strategy Papers CSP

Country Strategy Papers (CSPs) are an instrument for guiding, managing and reviewing EC assistance programmes. The purpose of CSPs is to provide a framework for EU assistance programmes based on EU/EC objectives, the Partner Country government policy agenda, an analysis of the partner country's situation, and the activities of other major partners. CSPs are drawn up for almost all countries.

DAC

Development Assistance Committee of the OECD. Important source of data, concepts and terminology regarding development cooperation, such as the DAC evaluation criteria (relevance, efficiency, effectiveness, impact, sustainability).

Delegation

The diplomatic office representing the European Commission accredited to countries or international institutions at the level of an Embassy.

Decentralisation

Decentralisation means passing responsibility for project and programme management from the Commission to the beneficiary country.

Devolution

Devolution (often also "Deconcentration" as in French) is the transfer/delegation of responsibility for development aid (external cooperation) from headquarters to the Delegation. The main objective is to improve the effectiveness and the quality of operations as well as to increase their impact and visibility.

Development Indicators

The OECD, the United Nations and the World Bank have agreed to focus on a series of key goals in partnership with developing countries. These goals have been endorsed by major international conferences. A system for tracking progress has also been agreed. A core set of indicators will be used - at a global level - to monitor performance and adjust development strategies as required. In terms of development policy, the following terminology is applied for indicators:

Input indicators measure the financial, administrative and regulatory resources provided by the Government and donors. It is necessary to establish a link between the resources used and the results achieved in order to assess the efficiency of the actions carried out. E.g.: Share of the budget devoted to education expenditure, abolition of compulsory school uniforms.

Output indicators measure the immediate and concrete consequences of the measures taken and resources used. E.g.: Number of schools built, number of teachers trained. In the EC's Logframe structure these 'outputs' are referred to as 'results'.

Outcome indicators measure the results in terms of target group benefits. E.g.: school enrolment, percentage of girls among the children entering in first year of primary school.

Impact indicators measure the long-term consequences of the outcomes. They measure the general objectives in terms of national development and poverty reduction. E.g.: Literacy rates.

Effectiveness

The contribution made by the project's results (as in outcomes) to the achievement of the project purpose.

Efficiency

The relation between inputs and results (as in outputs), i.e. how well means and activities were converted into results (outputs), and the quality of the results achieved.

Evaluation

A periodic, usually independent assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project in the context of stated objectives with a view to drawing lessons that may guide future decision-making.

Feasibility Study

A feasibility study, conducted during the Formulation phase, verifies whether the proposed project is well founded, and meets the needs of its intended target groups/beneficiaries and is able to achieve the project objectives. The study should design the project in full operational detail, taking account of all policy, technical, economic, financial, institutional, management, environmental, socio-cultural, and gender-related aspects. The study will provide the European Commission and partner government with sufficient information to justify acceptance, modification or rejection of the proposed project for financing.

Financing Agreement FA

The document signed between the European Commission and the partner country or countries subsequent to the financing decision. It includes a description of the particular project or programme to be funded. It represents the formal commitment of the European Union and the partner country to finance the measures described.

Financing Proposal

Financing Proposal is a draft document, submitted by the Commission's services to the relevant Financing Committee for opinion and to the Commission for decision. They describe the general background, nature, scope and objectives and modalities of measures proposed and indicate the funding foreseen. After having received the favourable opinion of the Financing Committee, they are the subjects of the Commission's subsequent financing decision and of the Financing Agreement, which is signed with the respective partner country.

Formulation Phase

The formulation phase is the 3rd stage of the project cycle. The primary purpose of this phase is to: (i) confirm the relevance and feasibility of the project idea as proposed in the Identification Fiche or Project Fiche; (ii) prepare a detailed project design, including the management and coordination arrangements, financing plan, cost-benefit analysis, risk management, monitoring, evaluation and audit arrangements; and (iii) prepare a Financing Proposal (for individual projects) and a financing decision.

Gender

The social differences that are ascribed to and learned by women and men, and that vary over time and from one society or group to another. Gender differs from sex, which refers to the biologically determined differences between women and men.

Gender Equality

The promotion of equality between women and men in relation to their access to social and economic infrastructures and services and to the benefits of development is vital. The objective is reduced disparities between women and men, including in health and education, in employment and economic activity, and in decision-making at all levels. All programmes and projects should actively contribute to reducing gender disparities in their area of intervention.

Identification Phase

The second phase of the project cycle. It involves the initial elaboration of the project idea in terms of its relevance and likely feasibility, with a view to determining whether or not to go ahead with a feasibility study (Formulation).

Impact

The effect of the project on its wider environment, and its contribution to the wider sector objectives summarised in the project's Overall Objective, and on the achievement of the overarching policy objectives of the EC.

Implementation Phase

The fifth phase of the project cycle during which the project is implemented, and the progress towards achieving objectives is monitored.

Implementation Report window

Window in the Common Relex Information System - CRIS - for reporting on internal monitoring at project management. The information from the Results-Oriented Monitoring is complementary to the information in the Implementation Report window.

Implementation Schedule

A Gantt chart, a graphic representation similar to a bar chart, setting out the timing, sequence and duration of project activities over the life of the project. It can also be used to identify milestones for monitoring progress, and to assign responsibility for achievement.

Intervention Logic

The strategy underlying the project. It is the narrative description of the project at each of the four levels of the 'hierarchy of objectives' used in the Logframe.

Logframe

The matrix in which a project's Intervention Logic, Assumptions, Objectively Verifiable Indicators and Sources of Verification are presented.

Logical Framework Approach (LFA)

A methodology for planning, managing and evaluating programmes and projects, involving stakeholder analysis, problem analysis, analysis of objectives, analysis of strategies, preparation of the Logframe matrix and Activity and Resource Schedules.

Means (also known as 'input')

Means are physical and non-physical resources (often referred to as "Inputs") that are necessary to carry out the planned Activities and manage the project. A distinction can be drawn between human resources and material resources.

Milestones

A type of OVI providing indications for short and medium-term objectives (usually activities), which facilitate measurement of achievements throughout a project rather than just at the end. They also indicate times when decisions should be made or action should be finished.

Monitoring

The systematic and continuous collecting, analysing and using of information for the purpose of management and decision-making.

Objectively Verifiable Indicators (OVI)

Measurable indicators that will show whether or not objectives have been achieved at the three highest levels of the Logframe. OVIs are crucial to monitor progress.

Outcome

In ROM outcomes are the benefits of a target group as a consequence of the project's output. Example: The skills and knowledge acquired by the participants of a workshop on irrigation methods organized by a project. This is the type of result focussed on under effectiveness.

Output

In ROM outputs are the tangible goods and services a project delivers to the target group, e.g. vaccines, training workshops, roads and bridges built, etc... This is the type of result focused on under efficiency.

Overall Objective (aka 'goal')

The Overall Objective explains why the project is important to society, in terms of the longer-term benefits to final beneficiaries and the wider benefits to other groups. They also help to show how the project/programme fits into the regional/sector policies of the government/organisations concerned and of the EC, as well as into the overarching policy objectives of EC co-operation. The Overall Objective will not be achieved by the project alone (it will only provide a contribution), but will require the contributions of other programmes and projects as well.

Ownership

Guiding principle of EC development cooperation as underlined in European Consensus on Development and Paris Declaration of 2005: The increased responsibility and control of the partners over planning and implementation with the objective to "bring aid closer to the beneficiaries". Generally, ownership applies to partner governments; in other contexts it can also refer to the EC Delegations, implementing partners and target groups.

Partner

The individuals and/or organisations that collaborate to achieve mutually agreed upon objectives. The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society, non-governmental organizations, universities, professional and business associations, multilateral organizations, private companies, etc.

Problem Analysis

A structured investigation of the negative aspects of a situation in order to establish causes and their effects.

Programme

Can have various meanings, either: (i) a set of projects put together under the overall framework of a common Overall Objective/Goal; (ii) an ongoing set of initiatives/services that support common objectives (i.e. a Primary Health Care Programme); or (iii) a Sector Programme, which is defined by the responsible government's sector policy (i.e. a Health Sector Programme).

Progress Report

An interim report on progress of work on a project submitted by the project management/contractor to the partner organisation and the Commission within a specific time frame. It includes sections on technical and financial performance.

Project

A project is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.

Project Cycle

The project cycle follows the life of a project from the initial idea through to its completion. It provides a structure to ensure that stakeholders are consulted, and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at each phase in the life of a project. It draws on evaluation to build the lessons of experience into the design of future programmes and projects.

Project Cycle Management (PCM)

A methodology for the preparation, implementation and evaluation of projects and programmes based on the principles of the Logical Framework Approach.

Project Purpose (also known as Specific Objective)

The central objective of the project. The Purpose should address the core problem(s), and be defined in terms of sustainable benefits for the target group(s). For larger/complex projects there can be more than one purpose (i.e. one per project component).

Relevance

The appropriateness of project objectives to the real problems, needs and priorities of the intended target groups and beneficiaries that the project is supposed to address, and to the physical and policy environment within which it operates.

Resource Schedule

A breakdown of the required project resources/means linked to Activities and Results, and scheduled over time. The resource schedule provides the basis on which costs/budget and cash flow requirements can be established.

Results

The term "results" is used in different, sometimes seemingly contradictory ways in the language of aid delivery. In the EC's Logframe Matrix hierarchy of objectives as spelt out in the PCM, Results are the tangible products/services delivered as a consequence of

implementing a set of Activities. ROM and some other donors and EC programmes refer to these results as 'Outputs' and distinguish them from 'Outcomes', which are the benefits derived from the outputs..

Risks

See also "Assumptions". Risk is the probability that an event or action may adversely affect the achievement of project objectives or activities. Risks are composed of factors internal and external to the project, although focus is generally given to those factors outside project management's direct control.

ROM Task Manager

EC Headquarter staff (in EuropeAid or DG Enlargement) in charge of a ROM contract lot for a region or the centrally managed thematic programmes.

Sector Approach

A Sector Approach is defined as a way of working together between government and development partners. The aim is to broaden Government ownership over public sector policy and resource allocation decisions within the sector, to increase the coherence between policy, spending and results and to reduce transaction costs. It involves progressive development of a comprehensive and coherent sector policy and strategy, or a unified public expenditure framework for local and external resources and of a common management, planning and reporting framework.

Sector Policy Support Programme

A SPSP is a programme of the European Commission by which financial support is provided to the partner Government's Sector Programme. An SPSP may follow three types of operating (financing) modality, namely: (i) SBS; (ii) Financial contributions to pooled Common Funds which fund all or part of the Sector Programme; and (iii) Commission specific procedures (European Commission budget or EDF).

Sector Programme

As a result of following a Sector Approach, Governments in consultation with partner donors and other stakeholders may develop a sector policy and action plan. This is identified as a Sector Programme if it includes the following three components: (i) an approved sectoral policy document; (ii) a sectoral medium term expenditure framework; and (iii) a coordination process amongst the donors in the sector, led by the Government.

Sources of Verification

They form the third column of the Logframe and indicate where and in what form information on the achievement of the Overall Objective, the Project Purpose(s) and the Results can be found (described by the Objectively Verifiable Indicators). They should include summary details of the method of collection, who is responsible and how often the information should be collected and reported.

Stakeholder

Any individuals, groups of people, institutions or firms that may have a relationship with the project/programme are defined as stakeholders. They may – directly or indirectly, positively or negatively – affect or be affected by the process and the outcomes of projects or programmes. Usually, different sub-groups have to be considered.

Sustainability

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended. Key factors that impact on the likelihood of sustainability include: (i) ownership by beneficiaries; (ii) policy support/consistency; (iii) appropriate technology; (iv) environment; (v) socio-cultural issues; (vi) gender equity; (vii) institutional management capacity; and (viii) economic and financial viability.

Target Group(s)

The group/entity which will be positively affected by the project at the Project Purpose level.

Technical Assistance

Specialists, consultants, trainers, advisers etc. contracted for the transfer of know-how and skills and the creation and strengthening of institutions, i.e. the personnel delivering technical cooperation.

Terms of Reference ToR

Terms of Reference define the tasks required of a contractor and indicate project background and objectives, planned Activities, expected inputs and results/outputs, budget, timetables and job descriptions.

Work Plan

The schedule that sets out the Activities (and may include the Resources) necessary to achieve a project's Results and Purpose.

4.2 DAC Codes

General

The sector of destination of a contribution should be selected by answering the question "which specific area of the recipient's economic or social structure is the transfer intended to foster". The sector classification does not refer to the type of goods or services provided by the donor. Sector specific education or research activities (e.g. agricultural education) or construction of infrastructure (e.g. agricultural storage) should be reported under the sector to which they are directed, not under education, construction, etc.

Some contributions are not susceptible to allocation by sector and are reported as non-sector allocable aid. Examples are aid for general development purposes, general budget support, actions relating to debt, humanitarian aid and internal transactions in the donor country.

CRS Purpose Codes

In the CRS, data on the sector of destination are recorded using 5-digit purpose codes. The first three digits of the code refer to the corresponding DAC5 sector or category. Each CRS code belongs to one and only one DAC5 category. The last two digits of the CRS purpose code are sequential and not hierarchical i.e., each CRS code stands for itself and can be selected individually or grouped to create sub-sectors. The sequential numbers have, however, been standardised for codes with similar functions as follows:

- The **most general** CRS codes end in the sequential number **10**. It refers to policy, planning and programmes; administration, institution capacity building and advice; combinations of activities and unspecified activities falling outside other code headings.

- The **main codes** have sequential numbers **20, 30, 40** and **50**.

- The **detailed codes** have sequential numbers in the range **61 - 79**.

- Sector-specific **education, training and research** codes have sequential numbers in the range **81 - 89**. Sector-specific **services** have codes with sequential numbers in the range **91 -99**.

As stated above, sector coding identifies the specific areas of the recipient's economic or social development the transfer intends to foster.

Within each sector, care should be taken to allocate supplies, equipment and infrastructure to the most specific code available.

Sector specific education activities are to be included in the respective sectors, either in a specific education code or in a general code.

When the purpose code does not match precisely the activity being reported

Within each sector or category, the first purpose code listed (sequential number "10") is defined to include activities falling outside the other code headings. When using this code, give as much detail as possible in the written description.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
110		EDUCATION	
111		Education, level unspecified	The codes in this category are to be used only when level of education is unspecified or unknown (e.g. training of primary school teachers should be coded under 11220).
	11110	Education policy and administrative management	Education sector policy, planning and programmes; aid to education ministries, administration and management systems; institution capacity building and advice; school management and governance; curriculum and materials development; unspecified education activities.
	11120	Education facilities and training	Educational buildings, equipment, materials; subsidiary services to education (boarding facilities, staff housing); language training; colloquia, seminars, lectures, etc.
	11130	Teacher training	Teacher education (where the level of education is unspecified); in-service and pre-service training; materials development.
	11182	Educational research	Research and studies on education effectiveness, relevance and quality; systematic evaluation and monitoring.
112		Basic education	
	11220	Primary education	Formal and non-formal primary education for children; all elementary and first cycle systematic instruction; provision of learning materials.
	11230	Basic life skills for youth and adults	Formal and non-formal education for basic life skills for young people and adults (adult education); literacy and numeracy training.
	11240	Early childhood education	Formal and non-formal pre-school education.
113		Secondary education	
	11320	Secondary education	Second cycle systematic instruction at both junior and senior levels.
	11330	Vocational training	Elementary vocational training and secondary level technical education; on-the job training; apprenticeships; including informal vocational training.
114		Post-secondary education	
	11420	Higher education	Degree and diploma programmes at universities, colleges and polytechnics; scholarships.
	11430	Advanced technical and managerial training	Professional-level vocational training programmes and in-service training.

> **Note:** Sector specific education activities are to be included in the respective sectors, either in a specific education code such as Agricultural education or in a general code such as Communications policy/administrative management.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
120		HEALTH	
121		Health, general	
	12110	Health policy and administrative management	Health sector policy, planning and programmes; aid to health ministries, public health administration; institution capacity building and advice; medical

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			insurance programmes; unspecified health activities.
	12181	Medical education/training	Medical education and training for tertiary level services.
	12182	Medical research	General medical research (excluding basic health research).
	12191	Medical services	Laboratories, specialised clinics and hospitals (including equipment and supplies); ambulances; dental services; mental health care; medical rehabilitation; control of non-infectious diseases; drug and substance abuse control [excluding narcotics traffic control (16063)].
122		Basic health	
	12220	Basic health care	Basic and primary health care programmes; paramedical and nursing care programmes; supply of drugs, medicines and vaccines related to basic health care.
	12230	Basic health infrastructure	District-level hospitals, clinics and dispensaries and related medical equipment; excluding specialised hospitals and clinics (12191).
	12240	Basic nutrition	Direct feeding programmes (maternal feeding, breastfeeding and weaning foods, child feeding, school feeding); determination of micro-nutrient deficiencies; provision of vitamin A, iodine, iron etc.; monitoring of nutritional status; nutrition and food hygiene education; household food security.
	12250	Infectious disease control	Immunisation; prevention and control of infectious and parasite diseases, except malaria (12262), tuberculosis (12263), HIV/AIDS and other STDs (13040). It includes diarrheal diseases, vector-borne diseases (e.g. river blindness and guinea worm), viral diseases, mycosis, helminthiasis, zoonosis, diseases by other bacteria and viruses, pediculosis, etc.
	12261	Health education	Information, education and training of the population for improving health knowledge and practices; public health and awareness campaigns.
	12262	Malaria control	Prevention and control of malaria.
	12263	Tuberculosis control	Immunisation, prevention and control of tuberculosis.
	12281	Health personnel development	Training of health staff for basic health care services.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
130		POPULATION POLICIES/PROGRAMMES AND REPRODUCTIVE HEALTH	
	13010	Population policy and administrative management	Population/development policies; census work, vital registration; migration data; demographic research/analysis; reproductive health research; unspecified population activities.
	13020	Reproductive health care	Promotion of reproductive health; prenatal and postnatal care including delivery; prevention and treatment of infertility; prevention and management of consequences of abortion; safe motherhood activities.
	13030	Family planning	Family planning services including counselling; information, education and communication (IEC) activities; delivery of contraceptives; capacity building and training.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
	13040	STD control including HIV/AIDS	All activities related to sexually transmitted diseases and HIV/AIDS control e.g. information, education and communication; testing; prevention; treatment, care.
	13081	Personnel development for population and reproductive health	Education and training of health staff for population and reproductive health care services.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
140		WATER SUPPLY AND SANITATION	
	14010	Water resources policy and administrative management	Water sector policy, planning and programmes; water legislation and management; institution capacity building and advice; water supply assessments and studies; groundwater, water quality and watershed studies; hydrogeology; excluding agricultural water resources (31140).
	14015	Water resources protection	Inland surface waters (rivers, lakes, etc.); conservation and rehabilitation of ground water; prevention of water contamination from agro-chemicals, industrial effluents.
	14020	Water supply and sanitation - large systems	Water desalination plants; intakes, storage, treatment, pumping stations, conveyance and distribution systems; sewerage; domestic and industrial waste water treatment plants.
	14030	Basic drinking water supply and basic sanitation	Water supply and sanitation through low-cost technologies such as handpumps, spring catchment, gravity-fed systems, rain water collection, storage tanks, small distribution systems; latrines, small-bore sewers, on-site disposal (septic tanks).
	14040	River development	Integrated river basin projects; river flow control; dams and reservoirs [excluding dams primarily for irrigation (31140) and hydropower (23065) and activities related to river transport (21040)].
	14050	Waste management/disposal	Municipal and industrial solid waste management, including hazardous and toxic waste; collection, disposal and treatment; landfill areas; composting and reuse.
	14081	Education and training in water supply and sanitation	

> **Note:** To assist in distinguishing between "basic drinking water supply and basic sanitation" on the one hand and "water supply and sanitation – large systems" on the other, consider the number of people to be served and the per capita cost of provision of services.
>
> Large systems provide water and sanitation to a community through a network to which individual households are connected. Basic systems are generally shared between several households.
>
> Water supply and sanitation in urban areas usually necessitates a network installation. To classify such projects consider the per capita cost of services. The per capita cost of water supply and sanitation through large systems is several times higher than that of basic services.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
150		GOVERNMENT AND CIVIL SOCIETY	
151		Government and civil society,	N.B. *Use code 51010 for general budget support.*

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
		general	
	15110	Public sector policy and administrative management	Institution-building assistance to strengthen core public sector management systems and capacities. This includes macro-economic and other policy management, co-ordination, planning and reform; human resource management; organisational development; civil service reform; e-government; development planning, monitoring and evaluation; support to ministries involved in aid co-ordination; other ministries and government departments when sector cannot be specified. (Use specific sector codes for development of systems and capacities in sector ministries.)
	15111	Public finance management	Fiscal policy and planning; support to ministries of finance; strengthening financial and managerial accountability; public expenditure management; improving financial management systems; tax policy and administration; budget drafting; inter-governmental fiscal relations, public audit, public debt. (Use code 33120 for customs.)
	15112	Decentralisation and support to sub-national government	Decentralisation processes (including political, administrative and fiscal dimensions); intergovernmental relations and federalism; strengthening departments of regional and local government, regional and local authorities and their national associations. (Use specific sector codes for decentralisation of sector management and services.)
	15113	Anti-corruption organisations and institutions	Specialised organisations, institutions and frameworks for the prevention of and combat against corruption, bribery, money-laundering and other aspects of organised crime, with or without law enforcement powers, e.g. anti-corruption commissions and monitoring bodies, special investigation services, institutions and initiatives of integrity and ethics oversight, specialised NGOs, other civil society and citizens' organisations directly concerned with corruption.
	15130	Legal and judicial development	Support to institutions, systems and procedures of the justice sector, both formal and informal; support to ministries of justice, the interior and home affairs; judges and courts; legal drafting services; bar and lawyers associations; professional legal education; maintenance of law and order and public safety; border management; law enforcement agencies, police, prisons and their supervision; ombudsmen; alternative dispute resolution, arbitration and mediation; legal aid and counsel; traditional, indigenous and paralegal practices that fall outside the formal legal system.

Measures that support the improvement of legal frameworks, constitutions, laws and regulations; legislative and constitutional drafting and review; legal reform; integration of formal and informal systems of law.

Public legal education; dissemination of information on entitlements and remedies for injustice; awareness campaigns.

(Use codes 152xx for activities that are primarily aimed at supporting security system reform or undertaken in connection with post-conflict and |

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			peace building activities.)
	15150	Democratic participation and civil society	Support to the exercise of democracy and diverse forms of participation of citizens beyond elections (15161); direct democracy instruments such as referenda and citizens' initiatives; support to organisations to represent and advocate for their members, to monitor, engage and hold governments to account, and to help citizens learn to act in the public sphere; curricula and teaching for civic education at various levels. (This purpose code is restricted to activities targeting governance issues. When assistance to civil society is for non-governance purposes use other appropriate purpose codes. Use codes 920xx for core support to NGOs.)
	15151	Elections	Electoral management bodies and processes, election observation, voters' education. (Use code 15230 when in connection with UN post-conflict peace-building.)
	15152	Legislatures and political parties	Assistance to strengthen key functions of legislatures/ parliaments including sub-national assemblies and councils (representation; oversight; legislation), such as improving the capacity of legislative bodies, improving legislatures' committees and administrative procedures,; research and information management systems; providing training programmes for legislators and support personnel. Assistance to political parties and strengthening of party systems.
	15153	Media and free flow of information	Activities that support free and uncensored flow of information on public issues; activities that increase the editorial and technical skills and the integrity of the print and broadcast media, e.g. training of journalists. (Use codes 22010-22040 for provision of equipment and capital assistance to media.)
	15160	Human rights	Measures to support specialised official human rights institutions and mechanisms at universal, regional, national and local levels in their statutory roles to promote and protect civil and political, economic, social and cultural rights as defined in international conventions and covenants; translation of international human rights commitments into national legislation; reporting and follow-up; human rights dialogue.

Human rights defenders and human rights NGOs; human rights advocacy, activism, mobilisation; awareness raising and public human rights education.

Human rights programming targeting specific groups, e.g. children, persons with disabilities, migrants, ethnic, religious, linguistic and sexual minorities, indigenous people and those suffering from caste discrimination, victims of trafficking, victims of torture.

(Use code 15230 when in connection with UN post conflict peace-building.) |
| | 15170 | Women's equality organisations and institutions | Support for institutions and organisations (governmental and non-governmental) working for gender equality and women's empowerment. |
| 152 | | Conflict prevention and | N.B. *Further notes on ODA eligibility (and* |

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
		resolution, peace and security	*exclusions) of conflict, peace and security related activities are given in paragraph 39 of the DAC Statistical Reporting Directives.*
	15210	Security system management and reform	Technical co-operation provided to parliament, government ministries, law enforcement agencies and the judiciary to assist review and reform of the security system to improve democratic governance and civilian control; technical co-operation provided to government to improve civilian oversight and democratic control of budgeting, management, accountability and auditing of security expenditure, including military budgets, as part of a public expenditure management programme; assistance to civil society to enhance its competence and capacity to scrutinise the security system so that it is managed in accordance with democratic norms and principles of accountability, transparency and good governance.
	15220	Civilian peace-building, conflict prevention and resolution	Support for civilian activities related to peace building, conflict prevention and resolution, including capacity building, monitoring, dialogue and information exchange.
	15230	Post-conflict peace-building (UN)	Participation in the post-conflict peace-building phase of United Nations peace operations (activities such as human rights and elections monitoring, rehabilitation of demobilised soldiers, rehabilitation of basic national infrastructure, monitoring or retraining of civil administrators and police forces, training in customs and border control procedures, advice or training in fiscal or macroeconomic stabilisation policy, repatriation and demobilisation of armed factions, and disposal of their weapons; support for landmine removal). Direct contributions to the UN peacekeeping budget are excluded from bilateral ODA (they are reportable in part as multilateral ODA).
	15240	Reintegration and SALW control	Reintegration of demobilised military personnel into the economy; conversion of production facilities from military to civilian outputs; technical co-operation to control, prevent and/or reduce the proliferation of small arms and light weapons (SALW) – see paragraph 39 of the DAC Statistical Reporting Directives for definition of SALW activities covered. [Other than in connection with UN peace-building (15230) or child soldiers (15261)].

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
160		OTHER SOCIAL INFRASTRUCTURE AND SERVICES	
	16010	Social/ welfare services	Social legislation and administration; institution capacity building and advice; social security and other social schemes; special programmes for the elderly, orphans, the disabled, street children; social dimensions of structural adjustment; unspecified social infrastructure and services, including consumer protection.
	16020	Employment policy and administrative management	Employment policy and planning; labour law; labour unions; institution capacity building and advice; support programmes for unemployed;

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			employment creation and income generation programmes; occupational safety and health; combating child labour.
	16030	Housing policy and administrative management	Housing sector policy, planning and programmes; excluding low-cost housing and slum clearance (16040).
	16040	Low-cost housing	Including slum clearance.
	16050	Multisector aid for basic social services	Basic social services are defined to include basic education, basic health, basic nutrition, population/reproductive health and basic drinking water supply and basic sanitation.
	16061	Culture and recreation	Including libraries and museums.
	16062	Statistical capacity building	Both in national statistical offices and any other government ministries.
	16063	Narcotics control	In-country and customs controls including training of the police; educational programmes and awareness campaigns to restrict narcotics traffic and in-country distribution.
	16064	Social mitigation of HIV/AIDS	Special programmes to address the consequences of HIV/AIDS, e.g. social, legal and economic assistance to people living with HIV/AIDS including food security and employment; support to vulnerable groups and children orphaned by HIV/AIDS; human rights of HIV/AIDS affected people.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
210		TRANSPORT AND STORAGE	Note: Manufacturing of transport equipment should be included under code 32172.
	21010	Transport policy and administrative management	Transport sector policy, planning and programmes; aid to transport ministries; institution capacity building and advice; unspecified transport; activities that combine road, rail, water and/or air transport.
	21020	Road transport	Road infrastructure, road vehicles; passenger road transport, motor passenger cars.
	21030	Rail transport	Rail infrastructure, rail equipment, locomotives, other rolling stock; including light rail (tram) and underground systems.
	21040	Water transport	Harbours and docks, harbour guidance systems, ships and boats; river and other inland water transport, inland barges and vessels.
	21050	Air transport	Airports, airport guidance systems, aeroplanes, aeroplane maintenance equipment.
	21061	Storage	Whether or not related to transportation.
	21081	Education and training in transport and storage	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
220		COMMUNICATIONS	
	22010	Communications policy and administrative management	Communications sector policy, planning and programmes; institution capacity building and advice; including postal services development;

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			unspecified communications activities.
	22020	Telecommunications	Telephone networks, telecommunication satellites, earth stations.
	22030	Radio/television/print media	Radio and TV links, equipment; newspapers; printing and publishing.
	22040	Information and communication technology (ICT)	Computer hardware and software; internet access; IT training. When sector cannot be specified.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
230		ENERGY GENERATION AND SUPPLY	
	23010	Energy policy and administrative management	Energy sector policy, planning and programmes; aid to energy ministries; institution capacity building and advice; unspecified energy activities including energy conservation.
	23020	Power generation/non-renewable sources	Thermal power plants including when heat source cannot be determined; combined gas-coal power plants.
	23030	Power generation/renewable sources	Including policy, planning, development programmes, surveys and incentives. Fuelwood/charcoal production should be included under forestry (31261).
	23040	Electrical transmission/distribution	Distribution from power source to end user; transmission lines.
	23050	Gas distribution	Delivery for use by ultimate consumer.
	23061	Oil-fired power plants	Including diesel power plants.
	23062	Gas-fired power plants	
	23063	Coal-fired power plants	
	23064	Nuclear power plants	Including nuclear safety.
	23065	Hydro-electric power plants	Including power-generating river barges.
	23066	Geothermal energy	
	23067	Solar energy	Including photo-voltaic cells, solar thermal applications and solar heating.
	23068	Wind power	Wind energy for water lifting and electric power generation.
	23069	Ocean power	Including ocean thermal energy conversion, tidal and wave power.
	23070	Biomass	Densification technologies and use of biomass for direct power generation including biogas, gas obtained from sugar cane and other plant residues, anaerobic digesters.
	23081	Energy education/training	Applies to all energy sub-sectors; all levels of training.
	23082	Energy research	Including general inventories, surveys.

> **Note:** Extraction of raw materials for power generation should be included in the mining sector. Energy manufacturing should be included in the industry sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
240		BANKING AND FINANCIAL SERVICES	
	24010	Financial policy and administrative management	Finance sector policy, planning and programmes; institution capacity building and advice; financial markets and systems.
	24020	Monetary institutions	Central banks.
	24030	Formal sector financial intermediaries	All formal sector financial intermediaries; credit lines; insurance, leasing, venture capital, etc. (except when focused on only one sector).
	24040	Informal/semi-formal financial intermediaries	Micro credit, savings and credit co-operatives etc.
	24081	Education/training in banking and financial services	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
250		BUSINESS AND OTHER SERVICES	
	25010	Business support services and institutions	Support to trade and business associations, chambers of commerce; legal and regulatory reform aimed at improving business and investment climate; private sector institution capacity building and advice; trade information; public-private sector networking including trade fairs; e-commerce. Where sector cannot be specified: general support to private sector enterprises (in particular, use code 32130 for enterprises in the industrial sector).
	25020	Privatisation	When sector cannot be specified. Including general state enterprise restructuring or demonopolisation programmes; planning, programming, advice.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
311		AGRICULTURE	
	31110	Agricultural policy and administrative management	Agricultural sector policy, planning and programmes; aid to agricultural ministries; institution capacity building and advice; unspecified agriculture.
	31120	Agricultural development	Integrated projects; farm development.
	31130	Agricultural land resources	Including soil degradation control; soil improvement; drainage of water logged areas; soil desalination; agricultural land surveys; land reclamation; erosion control, desertification control.
	31140	Agricultural water resources	Irrigation, reservoirs, hydraulic structures, ground water exploitation for agricultural use.
	31150	Agricultural inputs	Supply of seeds, fertilizers, agricultural machinery/equipment.
	31161	Food crop production	Including grains (wheat, rice, barley, maize, rye, oats, millet, sorghum); horticulture; vegetables; fruit and berries; other annual and perennial crops. [Use code 32161 for agro-industries.]

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
	31162	Industrial crops/export crops	Including sugar; coffee, cocoa, tea; oil seeds, nuts, kernels; fibre crops; tobacco; rubber. [Use code 32161 for agro-industries.]
	31163	Livestock	Animal husbandry; animal feed aid.
	31164	Agrarian reform	Including agricultural sector adjustment.
	31165	Agricultural alternative development	Projects to reduce illicit drug cultivation through other agricultural marketing and production opportunities (see code 43050 for non-agricultural alternative development).
	31166	Agricultural extension	Non-formal training in agriculture.
	31181	Agricultural education/training	
	31182	Agricultural research	Plant breeding, physiology, genetic resources, ecology, taxonomy, disease control, agricultural bio-technology; including livestock research (animal health, breeding and genetics, nutrition, physiology).
	31191	Agricultural services	Marketing policies & organisation; storage and transportation, creation of strategic reserves.
	31192	Plant and post-harvest protection and pest control	Including integrated plant protection, biological plant protection activities, supply and management of agrochemicals, supply of pesticides, plant protection policy and legislation.
	31193	Agricultural financial services	Financial intermediaries for the agricultural sector including credit schemes; crop insurance.
	31194	Agricultural co-operatives	Including farmers' organisations.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
312		FORESTRY	
	31210	Forestry policy and administrative management	Forestry sector policy, planning and programmes; institution capacity building and advice; forest surveys; unspecified forestry and agro-forestry activities.
	31220	Forestry development	Afforestation for industrial and rural consumption; exploitation and utilisation; erosion control, desertification control; integrated forestry projects.
	31261	Fuelwood/charcoal	Forestry development whose primary purpose is production of fuelwood and charcoal.
	31281	Forestry education/training	
	31282	Forestry research	Including artificial regeneration, genetic improvement, production methods, fertilizer, harvesting.
	31291	Forestry services	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
313		FISHING	
	31310	Fishing policy and administrative management	Fishing sector policy, planning and programmes; institution capacity building and advice; ocean and coastal fishing; marine and freshwater fish surveys and prospecting; fishing boats/equipment; unspecified fishing activities.
	31320	Fishery development	Exploitation and utilisation of fisheries; fish stock protection; aquaculture; integrated fishery

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			projects.
	31381	Fishery education/training	
	31382	Fishery research	Pilot fish culture; marine/freshwater biological research.
	31391	Fishery services	Fishing harbours; fish markets; fishery transport and cold storage.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
321		INDUSTRY	
	32110	Industrial policy and administrative management	Industrial sector policy, planning and programmes; institution capacity building and advice; unspecified industrial activities; manufacturing of goods not specified below.
	32120	Industrial development	
	32130	Small and medium-sized enterprises (SME) development	Direct support to the development of small and medium-sized enterprises in the industrial sector, including accounting, auditing and advisory services.
	32140	Cottage industries and handicraft	
	32161	Agro-industries	Staple food processing, dairy products, slaughter houses and equipment, meat and fish processing and preserving, oils/fats, sugar refineries, beverages/tobacco, animal feeds production.
	32162	Forest industries	Wood production, pulp/paper production.
	32163	Textiles, leather and substitutes	Including knitting factories.
	32164	Chemicals	Industrial and non-industrial production facilities; includes pesticides production.
	32165	Fertilizer plants	
	32166	Cement/lime/plaster	
	32167	Energy manufacturing	Including gas liquefaction; petroleum refineries.
	32168	Pharmaceutical production	Medical equipment/supplies; drugs, medicines, vaccines; hygienic products.
	32169	Basic metal industries	Iron and steel, structural metal production.
	32170	Non-ferrous metal industries	
	32171	Engineering	Manufacturing of electrical and non-electrical machinery, engines/turbines.
	32172	Transport equipment industry	Shipbuilding, fishing boats building; railroad equipment; motor vehicles and motor passenger cars; aircraft; navigation/guidance systems.
	32182	Technological research and development	Including industrial standards; quality management; metrology; testing; accreditation; certification.

> **Note:** Only includes aid to production or manufacturing.
>
> Provision of finished products should be included under relevant sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
322		MINERAL RESOURCES AND MINING	
	32210	Mineral/mining policy and administrative management	Mineral and mining sector policy, planning and programmes; mining legislation, mining cadastre, mineral resources inventory, information systems, institution capacity building and advice; unspecified mineral resources exploitation.
	32220	Mineral prospection and exploration	Geology, geophysics, geochemistry; excluding hydrogeology (14010) and environmental geology (41010), mineral extraction and processing, infrastructure, technology, economics, safety and environment management.
	32261	Coal	Including lignite and peat.
	32262	Oil and gas	Petroleum, natural gas, condensates, liquefied petroleum gas (LPG), liquefied natural gas (LNG); including drilling and production.
	32263	Ferrous metals	Iron and ferro-alloy metals.
	32264	Nonferrous metals	Aluminium, copper, lead, nickel, tin, zinc.
	32265	Precious metals/materials	Gold, silver, platinum, diamonds, gemstones.
	32266	Industrial minerals	Baryte, limestone, feldspar, kaolin, sand, gypsym, gravel, ornamental stones.
	32267	Fertilizer minerals	Phosphates, potash.
	32268	Offshore minerals	Polymetallic nodules, phosphorites, marine placer deposits.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
323		CONSTRUCTION	
	32310	Construction policy and administrative management	Construction sector policy and planning; excluding construction activities within specific sectors (e.g., hospital or school construction).

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
331		TRADE POLICY AND REGULATIONS AND TRADE-RELATED ADJUSTMENT	
	33110	Trade policy and administrative management	Trade policy and planning; support to ministries and departments responsible for trade policy; trade-related legislation and regulatory reforms; policy analysis and implementation of multilateral trade agreements e.g. technical barriers to trade and sanitary and phytosanitary measures (TBT/SPS) except at regional level (see 33130); mainstreaming trade in national development strategies (e.g. poverty reduction strategy papers); wholesale/retail trade; unspecified trade and trade promotion activities.
	33120	Trade facilitation	Simplification and harmonisation of international import and export procedures (e.g. customs valuation, licensing procedures, transport formalities, payments, insurance); support to customs departments; tariff reforms.
	33130	Regional trade agreements	Support to regional trade arrangements [e.g.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
		(RTAs)	Southern African Development Community (SADC), Association of Southeast Asian Nations (ASEAN), Free Trade Area of the Americas (FTAA), African Caribbean Pacific/European Union (ACP/EU)], including work on technical barriers to trade and sanitary and phytosanitary measures (TBT/SPS) at regional level; elaboration of rules of origin and introduction of special and differential treatment in RTAs.
	33140	Multilateral trade negotiations	Support developing countries' effective participation in multilateral trade negotiations, including training of negotiators, assessing impacts of negotiations; accession to the World Trade Organisation (WTO) and other multilateral trade-related organisations.
	33150	Trade-related adjustment	Contributions to the government budget to assist the implementation of recipients' own trade reforms and adjustments to trade policy measures by other countries; assistance to manage shortfalls in the balance of payments due to changes in the world trading environment.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
332		TOURISM	
	33210	Tourism policy and administrative management	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
400		MULTISECTOR/CROSS-CUTTING	
410		General environmental protection	Non-sector specific.
	41010	Environmental policy and administrative management	Environmental policy, laws, regulations and economic instruments; administrational institutions and practices; environmental and land use planning and decision-making procedures; seminars, meetings; miscellaneous conservation and protection measures not specified below.
	41020	Biosphere protection	Air pollution control, ozone layer preservation; marine pollution control.
	41030	Bio-diversity	Including natural reserves and actions in the surrounding areas; other measures to protect endangered or vulnerable species and their habitats (e.g. wetlands preservation).
	41040	Site preservation	Applies to unique cultural landscape; including sites/objects of historical, archaeological, aesthetic, scientific or educational value.
	41050	Flood prevention/control	Floods from rivers or the sea; including sea water intrusion control and sea level rise related activities.
	41081	Environmental education/ training	
	41082	Environmental research	Including establishment of databases, inventories/accounts of physical and natural resources; environmental profiles and impact

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			studies if not sector specific.
430		Other Multisector	
	43010	Multisector aid	
	43030	Urban development and management	Integrated urban development projects; local development and urban management; urban infrastructure and services; municipal finances; urban environmental management; urban development and planning; urban renewal and urban housing; land information systems.
	43040	Rural development	Integrated rural development projects; e.g. regional development planning; promotion of decentralised and multi-sectoral competence for planning, co-ordination and management; implementation of regional development and measures (including natural reserve management); land management; land use planning; land settlement and resettlement activities [excluding resettlement of refugees and internally displaced persons (72010)]; functional integration of rural and urban areas; geographical information systems.
	43050	Non-agricultural alternative development	Projects to reduce illicit drug cultivation through, for example, non-agricultural income opportunities, social and physical infrastructure (see code 31165 for agricultural alternative development).
	43081	Multisector education/training	Including scholarships.
	43082	Research/scientific institutions	When sector cannot be identified.

Note: Sector specific environmental protection activities should be included in the respective sectors, and the environment marker checked.

Multi-sector / cross-cutting includes only environment activities not allocable by sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
500		COMMODITY AID AND GENERAL PROGRAMME ASSISTANCE	Note: Sector specific programme assistance is to be included in the respective sectors, using the sector programme flag if appropriate.
510		General budget support	Budget support in the form of SWAps should be included in the respective sectors.
	51010	General budget support	Unearmarked contributions to the government budget; support for the implementation of macroeconomic reforms (structural adjustment programmes, poverty reduction strategies); general programme assistance (when not allocable by sector).
520		Developmental food aid/Food security assistance	
	52010	Food aid/Food security programmes	Supply of edible human food under national or international programmes including transport costs; cash payments made for food supplies; project food aid and food aid for market sales when benefiting sector not specified; excluding emergency food aid.
530		Other commodity assistance	Non-food commodity assistance (when benefiting

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			sector not specified).
	53030	Import support (capital goods)	Capital goods and services; lines of credit.
	53040	Import support (commodities)	Commodities, general goods and services, oil imports.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
600		ACTION RELATING TO DEBT	
	60010	Action relating to debt	Actions falling outside the code headings below; training in debt management.
	60020	Debt forgiveness	
	60030	Relief of multilateral debt	Grants or credits to cover debt owed to multilateral financial institutions; including contributions to Heavily Indebted Poor Countries (HIPC) Trust Fund.
	60040	Rescheduling and refinancing	
	60061	Debt for development swap	Allocation of debt claims to use for development (e.g., debt for education, debt for environment).
	60062	Other debt swap	Where the debt swap benefits an external agent i.e. is not specifically for development purposes.
	60063	Debt buy-back	Purchase of debt for the purpose of cancellation.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
700		HUMANITARIAN AID	Within the overall definition of ODA, humanitarian aid is assistance designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies. To be classified as humanitarian, aid should be consistent with the humanitarian principles of humanity, impartiality, neutrality and independence.
720		Emergency Response	An emergency is a situation which results from man-made crises and/or natural disasters.
	72010	Material relief assistance and services	Shelter, water, sanitation and health services, supply of medicines and other non-food relief items; assistance to refugees and internally displaced people in developing countries other than for food (72040) or protection (72050).
	72040	Emergency food aid	Food aid normally for general free distribution or special supplementary feeding programmes; short-term relief to targeted population groups affected by emergency situations. Excludes non-emergency food security assistance programmes/food aid (52010).
	72050	Relief co-ordination; protection and support services	Measures to co-ordinate delivery of humanitarian aid, including logistics and communications systems; measures to promote and protect the safety, well-being, dignity and integrity of civilians and those no longer taking part in hostilities. (Activities designed to protect the security of persons or property through the use or display of force are not reportable as ODA.)
730		Reconstruction relief and rehabilitation	This relates to activities during and in the aftermath of an emergency situation. Longer-term activities to improve the level of

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
			infrastructure or social services should be reported under the relevant economic and social sector codes. See also guideline on distinguishing humanitarian from sector-allocable aid.
	73010	Reconstruction relief and rehabilitation	Short-term reconstruction work after emergency or conflict limited to restoring pre-existing infrastructure (e.g. repair or construction of roads, bridges and ports, restoration of essential facilities, such as water and sanitation, shelter, health care services); social and economic rehabilitation in the aftermath of emergencies to facilitate transition and enable populations to return to their previous livelihood or develop a new livelihood in the wake of an emergency situation (e.g. trauma counselling and treatment, employment programmes).
740		Disaster prevention and preparedness	See codes 41050 and 15220 for prevention of floods and conflicts.
	74010	Disaster prevention and preparedness	Disaster risk reduction activities (e.g. developing knowledge, natural risks cartography, legal norms for construction); early warning systems; emergency contingency stocks and contingency planning including preparations for forced displacement.

Distinguishing humanitarian from sector–allocable aid

Humanitarian aid will usually be funded from appropriations dedicated to emergencies and their immediate aftermath and/or the prevention thereof or preparedness therefore, and funding from such appropriations is the main criterion for reporting expenditure as humanitarian aid. If the humanitarian nature of expenditure cannot be determined by its funding appropriation, members may for statistical reporting purposes have reference to situation reports by the United Nations and/or the International Movement of the Red Cross/Red Crescent (ICRC/IFRC). These are normally issued throughout an emergency to identify continuing humanitarian needs. If no UN or ICRC/IFRC situation report has been issued for six months, this could indicate that the situation is no longer perceived as an emergency, though international support could nevertheless be needed to address continuing humanitarian needs.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
910		ADMINISTRATIVE COSTS OF DONORS	
	91010	Administrative costs	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
920		SUPPORT TO NON-GOVERNMENTAL ORGANISATIONS (NGOs)	Official funds to be paid over to national and international private voluntary agencies for use at the letters' discretion.
	92010	Support to national NGOs	In the donor country.
	92020	Support to international NGOs	
	92030	Support to local and regional NGOs	In the recipient country or region.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
930		REFUGEES IN DONOR COUNTRIES	
	93010	Refugees in donor countries	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
998		UNALLOCATED/ UNSPECIFIED	
	99810	Sectors not specified	Contributions to general development of the recipient should be included under programme assistance (51010).
	99820	Promotion of development awareness	Spending in donor country for heightened awareness/interest in development co-operation (brochures, lectures, special research projects, etc.).

4.3 Instructions on how to update this Handbook

This ROM Handbook is meant to be a comprehensive document containing all relevant information on the background of ROM, its conceptual base, mission practice and the use of ROM templates. No additional documents which complement, correct or enlarge the information contained in the Handbook are supposed to be produced. Only possible exception: guidelines on SPSP, if it is decided that ROM SPSP is too different from other ROM methodologies to be integrated in this Handbook in a meaningful way.

The goal is to keep this document permanently up to date on new developments regarding ROM methodology and practice. This entails its regular revision and the publication of new versions. Experts who are in charge of analyzing and improving the ROM methodology will submit their findings and practical proposals in specific reports. In a second step, the experts or the ROM coordination support contractor are in charge of updating the Handbook to reflect these new developments.

It should be ensured that the Handbook is not only up to date in terms of ROM methodology but also regarding the context of EC development cooperation and EC project management as presented in the first section.

Updates of the Handbook should not discuss the changes by comparing the old and new versions. Rather, they should simply present the new rules and practices as they are, reducing the risk of confusion and irrelevant information for future users. The issuing of a new Handbook version should be accompanied by a release note highlighting the changes made, explaining their rationale and specifying if the changes are substantial, minor adaptations or only corrections of errors (e.g. with a "what's new?" and a "why it's new?" section). ROM contractors and monitors are invited to take note of these release notes, but are not required to consult them once they have adapted the most current methodology. The most current version of the Handbook and the accompanying release note will be distributed to the ROM contractors by email and is available on the EC website for download.

4.3.1 Elements and design specifications

In addition to the titles and text style which largely follows the EuropeAid house style guide, four additional elements are suggested: Definition boxes, Memorandum items, Warnings and quote boxes. If the Handbook is updated the existing styles should be applied with specifications below. New styles (elements, colour schemes, formatting) should be avoided. Instead of applying formatting individually to specific text elements in MS Word, the predefined styles should be used. These styles can be accessed easily through the "Styles and Formatting" side bar in MS Word which can be activated under the format-menu.

- **Titles** and **Text** follow the recommendation of the "EuropeAid house style guide"

    [Titles Verdana, Text Times New Roman]

- **Definition** Boxes (in addition to Glossary) in appropriate sections to highlight and recall important concepts

> **Keyword**: *Definition text, Definition text, Definition*

    [Floating right, 5.5cm width (i.e. 30%), Colour: red/pink, border 1.5pt, Keyword: bold, Definition text: italics]

- **Memorandum** items (summary of important things to keep in mind)

> For example: "Monitoring is / is not" or "What does this mean for TM, monitor, …?"

[100% width, colour: yellow/orange, border 1pt, text normal]

- **Warning** paragraphs highlighting frequent errors and common mistakes or counter-intuitive practices/terminology

  [Warning icon 1x1cm, left, as box, text: indent 1,5cm, italics]

- **Quote**-boxes from key documents in intro (e.g. Paris Indicators, G-score)

  [100% width, colour: pale blue, border 1pt, text Arial 10pt]

OECD Gender Policy Marker:

"An activity should be classified as gender equality focused if it is intended to advance…."

- **References** to central documents (e.g. PCM guidelines, Paris Indicators) and templates. Ideally the handbook is accompanied by a document folder with the central reference documents to allow for offline access and to avoid broken links.

  [link symbol: [www]]

- **Tables and Charts** with uniform design and colour scheme

  [chart background: light grey; text: Arial bold/normal, 9-10pt]

- Header and Footer provides information facilitating orientation (Section # and title, page #, Version #) supported by a colour scheme for each section. Headers on the first page of a new section are bigger elsewhere to clearly mark the beginning of a new section.