EUROPEAN COMMISSION
EuropeAid Co-operation Office

EuropeAid

Handbook for

Results-Oriented Monitoring of EC External Assistance

(projects and programmes)

April 2008

ROM Coordination:
EuropeAid/E5

EUROPEAN COMMISSION

This is a new and revised edition of the Handbook for Monitors. It is replacing the version of April 2005 and includes additional chapters on quality assurance and control as well as relevant updates on methodology (i.e. the use of Monitoring Notes, the link with internal monitoring), an update of the chapter of EC development policies. The handbook aims to share good practise gained in monitoring during the last years.

The authors would like to thank all who have contributed to this revised handbook with their valuable comments and inputs.

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Acronyms

ACP	Africa – Caribbean - Pacific
AIDCO / EuropeAid	EuropeAid Co-operation Office
BCS	Background Conclusion Sheet
CARDS	Community Assistance for Reconstruction, Development and Stabilisation covering the Western Balkans
CRIS	Common Relex Information System
CRS	Creditor Reporting System
CSP	Country Strategy Paper
Database Manager	Person responsible in the ROM Contractor's Brussels office for uploading data
DAC	Development Assistance Committee
DEL	Delegation
DG	Directorate General
EAMR	External Assistance Management Report
EC	European Commission
EDF	European Development Fund
ENPI	European Neighbourhood Policy Instruments
EU	European Union
FA	Financing Agreement
HQ	EC Headquarters in Brussels
LFA	Logical Framework Approach
LFM	Logical Framework Matrix
LICs	Low Income Countries
MDGs	Millennium Development Goals
Mission Leader	Head of a monitoring team for a ROM mission
N/A	Non Applicable
MN	Monitoring Note
monitor	(Member of) team executing a mission for Results-Oriented Monitoring
MR	Monitoring Report
MTR	Mid-term Review
M&E	Monitoring and Evaluation
OCTs	Overseas Countries and Territories
OECD	Organisation for Economic Cooperation and Development
ODA	Official Development Assistance
OVI	Objectively Verifiable Indicator

ACP	Africa – Caribbean - Pacific
PCM	Project Cycle Management
PIUs	Project Implementation Unit
PMU	Project Management Unit
PS	Project Synopsis
QSG	Quality Support Group
ROM	Results-Oriented Monitoring
ROM Contractor	Consortium contracted for the Results-Oriented Monitoring in a geographic region or for monitoring the centrally managed thematic operations
ROM Contractor's Brussels office	Central operations office of the ROM contractor
ROM Coordination Unit	Unit E5 - Quality monitoring systems and methodologies, having overall responsibility for the Results-Oriented Monitoring system
Contractor supporting coordination	Consortium contracted for assisting Unit E5 in the ROM coordination function
RS	Response Sheet
RSP	Regional Strategy Paper
SoV	Source of Verification
SPSP	Sector Policy Support Programme
TACIS	Technical Assistance to the Community of Independent States
TBL	Thematic Budget Lines
TM ROM	Task Manager in Brussels responsible for managing a ROM service contract
Team Leader	Head of the ROM Contractor's central operations office in Brussels

1. INTRODUCTION

In May 1999 the Council of the European Union invited the European Commission to strengthen monitoring, evaluation and transparency by setting up a performance-based monitoring system and making an annual report on Community development aid[1]. One of the actions implementing these recommendations was the creation of the *Results-Oriented Monitoring* system (ROM).

The first phase of the system was called “conception and set-up of a monitoring system”. It started in January 2000 and lasted for two years. During this time, the ROM system had been developed and thereafter “tested” throughout four geographic regions of EC external cooperation. The TACIS region operated at that time still its own *activity based* monitoring system, being fully replaced by the ROM system in 2003.

As of 2002, the ROM system was extended to all regions and sectors of Community Aid moving into a consolidated phase. ROM activities are executed through a series of operational contracts defined on a geographical basis and fully managed by the relevant Directorate of EuropeAid and DG Enlargement.

The role of the coordination which is placed in unit E5 covers technical and budgetary questions. All technical questions that touch the entirety of the system are covered by the coordination such as developments of methodology, modifications in the reporting formats or the ROM database and overall quality assurance.

ROM activities for the 'third generation' 2008-2010 are organised as follows and are managed by EuropeAid Directorates A-F:

- European Neighbourhood Countries;
- Africa, Indian Ocean and South Africa;
- Asia; including Central Asia
- Latin America;
- Centrally Managed Thematic Projects;
- Western Balkans and Turkey (managed by DG Enlargement);
- Caribbean, Pacific, Cuba and OCT's.

The most important user group of the handbook are still external monitors, contracted to execute the ROM. However, it is not only a practical guide for monitors, it is also useful for the Task Managers[2] in EC Delegations and at the Headquarters as well as for project / programme managers and their staff in the field.

[1] See also http://www.europa.eu/bulletin/en/9905/p103046.htm

[2] Also called Project Manager in ENPI East and Western Balkans region.

2. THE EUROPEAN UNION AND ITS EXTERNAL COOPERATION

2.1. The European Union

The European Union is the world's major source of development aid, providing € 46.9 billion (56.67%) of total official development assistance (ODA) as reported to the OECD for 2006. Over 160 countries benefit from this aid.

The European Consensus on Development[3] of 2005 is currently the major policy statement and has been jointly adopted by the Council and the Member States, the European Commission and the European Parliament. Its main objectives can be summarised as follows:

The **primary and overarching objective is the eradication of poverty** in the context of sustainable development, in line with the Millennium Development Goals (MDGs) in particular. Poverty is considered in its multidimensional aspects, such as its economic, social and environmental dimensions.

The common principles of development cooperation activities are **ownership and partnership**, in-depth political dialogue, participation of civil society, gender equality and a continuous engagement towards preventing state fragility.

The EU **advances coordination, harmonisation and alignment.** It promotes better donor complementarity by working towards joint multi-annual programming based on partner countries strategies and processes, common implementation mechanisms, joint donor wide missions, and the use of co-financing arrangements.

Therefore, responding to the needs expressed by partner countries, the Community is primarily active in the following nine areas[4]:

Table 1: Focal areas of the European Consensus on Development

1	trade and regional integration;
2	the environment and the sustainable management of natural resources;
3	infrastructure, communications and transport;
4	water and energy;
5	rural development, territorial planning, agriculture and food security;
6	governance, democracy, human rights and support for economic and institutional reforms;
7	conflict prevention and fragile states;
8	human development;
9	social cohesion and employment.

[3] Full text: http://ec.europa.eu/development/icenter/repository/eu_consensus_en.pdf

[4] http://ec.europa.eu/development/Policies/9Interventionareas_en.cfm

In all its activities the Community applies a strengthened approach to mainstreaming the following cross-cutting issues: democracy, good governance, human rights, the rights of children and indigenous peoples; gender equality; environmental sustainability; and the fight against HIV/AIDS.

The EU wants to **provide more but also better aid**, through the implementation and monitoring of its commitments on aid effectiveness in all developing countries, including setting concrete targets for 2010. National ownership, donor coordination and harmonisation, starting at the field level, alignment to recipient country systems and results orientation are core principles in this respect.

Priority is given to the least developed and low income countries but appropriate attention is also to be devoted to middle income countries, particularly to lower middle income countries many of which face similar problems to LICs.

2.2. Aid Effectiveness and Quality of Aid

2.2.1. Effectiveness of Aid

The principle of "concentration" guides the Community in all its country and regional programming. This means selecting a limited number of priority areas of action rather than spreading efforts in too many sectors.

Another part of aid management is the European Union's Aid Effectiveness Package 2006 which is closely connected to the European Consensus and includes the Paris Indicators[5], as well as specific targets on four 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, to include increasing the percentage of EU assistance provided through budget support or SWAP arrangements;
- To avoid setting up any new project implementation units (PIUs);
- To reduce the number of uncoordinated missions by 50%

At the same time, a major restructuring of EU external co-operation took place, resulting in the translation of external assistance policies into several new development aid instruments. One of the main objectives of **these new financial instruments** has been to bring together clear policy objectives with simplified and clear procedures in the period of 2007-2013.

2.2.2. Financial Instruments

New **financial instruments** support specific policies with geographic or thematic focus:

♦ **the European Neighbourhood and Partnership Instrument** (**ENPI**)[6]

[5] See OECD: http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html

[6] See more on ENPI: http://ec.europa.eu/europeaid/where/neighbourhood/overview/index_en.htm

ENPI includes 17 countries: Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Moldova, Morocco, the Palestinian Authority, Russia, Syria, Tunisia and Ukraine. It comprises a specific cross-border co-operation component covering border regions in the European Union Member States.

- **the Instrument for Development Co-operation (DCI)**

The DCI, as one financial instrument, has three main components:

1) To provide assistance to South Africa and 47 developing countries in Latin America[7], Asia and Central Asia[8], and the Middle East[9]. Secondly, it supports the restructuring of sugar production in 18 ACP countries.

2) To run five **thematic programmes**[10]: 1) investing in people; 2) environment and sustainable management of natural resources including energy; 3) non-state actors and local authorities in development; 4) food security; as well as 5) migration and asylum.

3) To support actions in all developing countries (including those covered by ENPI and the EDF), global actions and the fleshing out of Commission internal policies.

- **the European Instrument for Democracy and Human Rights (EIDHR)**[11]

EIDHR contributes to the development of democracy, the rule of law, respect for human rights and fundamental freedoms.

- **the Instrument for Nuclear Safety Co-operation** (**INSC**)[12]

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.

- **the Instrument for Pre-accession Assistance** (**IPA**)

IPA was adopted on 17 July 2006, replacing the 2000-06 pre-accession financial instruments PHARE, ISPA, SAPARD, the Turkish pre-accession instrument and the financial instrument for the Western Balkans CARDS. IPA component I entails national and multi-beneficiary projects. It comes under the responsibility of the Directorate-General for Enlargement, which is also jointly

[7] Latin America see: http://ec.europa.eu/europeaid/where/latin-america/overview/index_en.htm

[8] Asia and Central Asia see: http://ec.europa.eu/europeaid/where/asia/overview/index_en.htm

[9] Non ENPI Middle East see: http://ec.europa.eu/europeaid/where/middle-east/overview/index_en.htm

[10] Middle East see: http://ec.europa.eu/europeaid/where/worldwide/index_en.htm

[11] EIDHR see: http://ec.europa.eu/europeaid/where/worldwide/eidhr/index_en.htm

[12] INSC see: http://ec.europa.eu/europeaid/where/worldwide/nuclear-safety/index_en.htm

responsible for component II - cross-border cooperation with DG REGIO. DG Enlargement is also responsible for the overall co-ordination of pre-accession assistance.

- **Instrument for Stability (IfS)**[13]

The IfS aims to contribute to stability in 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 'Crisis response and preparedness' component). The External Relations Directorate General is managing the 'crisis response and preparedness' component, while the 'global and regional trans-border challenges' component is managed by EuropeAid.

- **the Instrument for Co-operation with Industrialised Countries (ICI)**

Thematic programme for external cooperation with industrialised countries, focused on stimulating initiatives from, and interaction between economic, social actors, private and public bodies.

- **EDF – Cotonou Agreement**

The Commission finances most of its development programmes for African, Caribbean and Pacific (ACP) partner countries through the European Development Fund (EDF). EDF funds are also used in support of the EU's Overseas Countries and Territories (OCTs). Some programmes in ACP countries are also funded through the EU's general budget. EU Member States contribute to both the EDF and the general budget.

Commission funding for EDF is significant: the ninth EDF, operating between 2003 and 2007, provided €15.2 billion to ACP countries. The tenth EDF will run from 2008 to 2013, and is scheduled to make payments for €22.7 billion.

New financial Regulations[14] will allow –from 2007 for the budget and from 2008 for the European Development Fund (EDF)– for Community funds to be managed by other donors, while the Commission can manage funds from others, including the possibility of mixing grants with loans and supporting public-private partnerships.

2.2.3. Quality of Aid

In 2005, a new directorate for general quality support was created alongside the office Quality Support Group (oQSG) secretariat which is now part of Directorate E, to perform peer reviews during the identification and formulation of external assistance measures. This directorate is part of the broader quality-assurance mechanism through which the European Commission improves the quality of development co-operation policies and practices.

Key strategies involve improved strategic coordination between EU Member States and the Commission, and a new Country Strategy Framework, through the use of regularly reviewed

[13] IfS see: http://ec.europa.eu/europeaid/where/worldwide/stability-instrument/index_en.htm

[14] See full legal text: http://europa.eu/scadplus/leg/en/lvb/l34015.htm

Country Strategy Papers (CSP) and Regional Strategy Papers (RSP). National governments, EU Member States, other multilateral or bilateral donors and civil society representatives collaborate on these strategy papers, which ensure the relevance of aid and assistance activities. In addition, the increased devolution of responsibilities ensures that those in or close to the field are the ones who manage the aid. In summary, the Commission has over the last years employed great effort in managing the Community's external assistance more effectively steering operations towards results.

2.3. Deconcentration - Devolution

The deconcentration of management responsibilities from the EC headquarters to the Delegations is a key element of the management reform of external assistance. The main objective is to improve the effectiveness and the quality of operations as well as to increase their impact and visibility. Deconcentration is guided by the basic principle that "*all that can better be managed and decided on the spot, near the ground, should not be managed or be decided in Brussels*".

Important principles of deconcentration are that it concerns all projects and programmes (except for those projects and programmes which can not be devolved for organisational reasons) and also all phases of the project cycle. The role of EC Headquarters has evolved towards a role of coordination, quality supervision, management control, technical support and improvement of working practices.

At a practical level, deconcentration involves the following changes for the Delegations:

- 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, subject to strict respect of 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[15]. These basic arrangements are supplemented by a system of external monitoring (also known as Results-Oriented Monitoring - ROM).

Through the process of deconcentration of management responsibilities for geographical programmes, the Commission has brought decision-making much closer to partner countries.

[15] Project/Programme Implementation Report in CRIS; Monitoring system for projects, sector support programmes and macro-economic budgetary support, AIDCO/HCS D(2004) 12006, April 2004, EuropeAid Cooperation office

2.4. Projects and Regional Programmes

In the context of the Logical Framework Matrix a project is defined in terms of a hierarchy of objectives (means, activities, results, project purpose and overall objectives) plus a set of defined assumptions and a framework for monitoring and evaluating project achievements (indicators and sources of verification). In Results-Oriented Monitoring a project is usually executed with the partner being a Ministry, an NGO, etc. Activities are normally restricted to one Project Management Unit (PMU) with the beneficiaries being situated close by.

A regional programme may cover a 'package' of projects with a common focus or with a number of different components. A regional programme is defined as having several components, often covering more than one country and carrying broader economic and policy objectives.

2.4.1. Sector Policy Support Programmes and General Budget Support

This handbook does not cover Sector Policy Support Programmes or General Budget Support operations

Community aid instruments are slowly changing from project to sector support and to general budget support where the conditions allow so. Generally, they are supported by several donors, and follow a multi-donor approach, and should thus be monitored in a joint-partner country donor approach.

The current Results-Oriented Monitoring methodology has limited tools for assessing the performance in sector and budget programmes. An external performance monitoring system in sector support needs to measure progress towards achievements of policy objectives and targeted results, with financing mechanisms ranging from common pool funding to sector budget support. New tools are being developed and tested to accommodate the special requirements of these programmes. In the case of projects the ROM system is rooted in the relevant Commission's Guidelines for Project Cycle Management / Logical Framework Approach while in the case of SPSPs (which is embedded in sector wide approaches) the ROM approach will be based on the Commission's sector policy support programmes guidelines.

2.4.2. Project approach - PCM Principles and the Logical Framework Approach[16]

Project Cycle Management is used to describe the management activities and decision-making procedures during the lifecycle of a project (including key tasks, roles and responsibilities, key documents and decision options).

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;

[16] See also the PCM Guidelines of EuropeAid: http://www.europa.eu.int/comm/europeaid/qsm/documents/pcm_manual_2004_en.pdf

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

- Benefits generated are likely to be sustainable.

To support the achievement of these aims, PCM

- Requires the active participation of *stakeholders* and promotes *local ownership*;

- Uses the *Logical Framework Approach* (as well as other tools) to support assessments and analyses (including stakeholders, problems, objectives and strategies);

- Incorporates *quality assessment criteria* into each stage of the project cycle;

- Requires the production of *quality document(s)* in each phase to support well-informed decision-making.

The Logical Framework Approach is now used (in one form or another) by most multi-lateral and bi-lateral aid agencies, international NGOs and by many partner governments. The LFA is not a substitute for experience and professional judgment, but it should be thought of as ***'aid to thinking'***. It allows information to be analysed and organised in a structured way, so that important questions can be asked and weaknesses identified. Managers can make decisions based on their improved understanding of the project rationale, its intended objectives and the means by which objectives will be achieved.

The EC has required the use of LFA 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.

It is useful to distinguish between the LFA, which is an analytical ***process*** (involving stakeholder analysis, problem analysis, objective setting and strategy selection), and the Logical Framework Matrix (logframe) as the ***product*** of this process, based on further analysis on how objectives will be achieved and the potential risks.

The process of applying the analytical tools of LFA in a participatory manner is as important as the logframe matrix. 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.

Key elements of the **LFA** that can greatly support the Results-Oriented Monitoring are:

- Framework of objectives, indicators (and targets) and sources of information;

- Set of key assumptions to be monitored as part of risk management;

- Clear and consistent reference point.

Activity schedules: useful for assessing key implementation tasks, timing, duration and responsibilities on internal monitoring and reporting.

Resource and budget schedules: useful for making a comparison between planned and actual resource utilisation and expenditure.

The logframe and activity and resource schedules have therefore to be reviewed periodically, and revised if required, to ensure their continued relevance. Results and / or indicators and sources of verification might have to be revised as part of a review. Amendments to the logframe by the project management must therefore be possible without having to formalise this in a rider to the Financing Agreement or similar agreement. This practice is applied as long as the amendments do not concern the stated overall objectives and project purpose, which would require an official rider to the agreement. See for more details also 5.4.6.

2.5. Quality Frame of projects and ROM

The Quality Frame has become the framework on which quality assessments of operations[17] are made. Its set of key quality attributes, criteria and standards can be consistently applied through the identification, formulation and implementation stages of the project cycle. It supports structured and consistent analysis and decision-making.

The quality frame consists of three key ***quality attributes,*** namely:

- **Relevant –** the project meets demonstrated and high priority needs;
- **Feasible –** the project is well designed and will provide sustainable benefits to target groups;
- **Effective and well managed –** the project is delivering the anticipated benefits and is being well managed.

Under these three main quality attributes are a number of key ***criteria***[18]**,** each supported by a set of key quality ***standards*** in order to make a judgement about quality.

Effective and well managed describes the *actual* efficiency and effectiveness of the project during ***implementation***, while the issue of impact can mainly be assessed through ex-post evaluation. All factors promoting sustainability are threaded throughout the attributes of Relevant, Feasible and Effective & Well-managed.

As ROM is accompanying a project during the implementation phase this handbook looks at the third quality attribute, assessing criteria and standards under "effective and well managed" as compared to the key criteria used in ROM.

The following table on "Criteria and Issues (Standards) during Implementation" matches the five key criteria as applied under the quality attribute "Effective and well managed" of the quality frame with the five key criteria used in ROM. The grey shaded boxes indicate which criterion of the quality attribute matches with a key criterion applied in Results-Oriented Monitoring.

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[17] An operation could be a national project or a (component of a) programme or a sector support type of intervention.

[18] Although the same wording is used as for the 'key criteria' in ROM, the criteria are somewhat different, see also the PCM Guidelines, chapter 4.1.6, Quality support and assessment system, Figure 6, Quality Frame.

The vast array of EC cooperation instruments and the numerous sectors have resulted in a wide range of management procedures. Monitors are required to have at least some knowledge of the decision and implementing apparatus and procedures affecting projects being monitored. The complexity of these issues just allows a simplified description in this handbook. Monitors are advised to study carefully detailed literature or seek advice from their Brussels office, if further information is required.

Table 2: Criteria and Issues (Standards) during Implementation

Quality Frame: **Criteria & standards during implementation**	**Quality Attribute: Effective and well managed** The project is delivering the anticipated benefits and is well managed				
Key Criteria applied in ROM	The project remains relevant and feasible	The project is being well managed by those directly responsible for implementation (Inputs are provided, activities implemented)	Project objectives are being achieved (Delivery of results, contribution to project purpose and overall objectives)	Sustainability issues are being clearly addressed (8 issues)	Good practice principles of project cycle management are applied by EC Task Managers [19]
Quality of Project Design 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 physical and policy environment within which it operates. An assessment should include the quality of project preparation and design, and the internal logic of the design.	X				X

[19] This criterion with underlying standards refers mainly to EC Task Managers, not to monitors. Reference is made to the logframe approach, the founding principle of ROM.

Efficiency of Implementation to date The fact that the results were obtained at reasonable cost, i.e. how well means and activities were converted into results, and the quality of the results achieved.		X	X		X
Effectiveness to date The contribution made by the project results to the achievement of the project purpose.			X		
Impact Prospects The effect of the project on its wider environment, and its contribution to the wider sector objectives summarised in the project's overall objectives and on the achievement of the overarching policy objectives of the EC.			X		
Potential Sustainability The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended. Sustainability begins with project design and continues throughout project implementation.				X	

3. MONITORING

3.1. What is Monitoring?

Monitoring is defined as the systematic and continuous collecting, analysing and using of information for the purpose of management and decision-making. The purpose of monitoring is to achieve efficient and effective performance of an operation. Monitoring systems should therefore provide information to the right people at the right time to help them make informed decisions. Monitoring must highlight the strengths and weaknesses in project implementation, enabling managers to deal with problems, finding solutions and adapt to changing circumstances in order to improve project performance.

Monitoring provides an ***'early warning system'***, which allows for timely and appropriate intervention if a project is not adhering to the plan.

Monitoring provides information on project progress, gathered through a number of resources, e.g. the Financing Agreement or Proposal; a sector programme or country agreement, the Log Frame Matrix (LFM), Activity Schedule, reporting documentation and most importantly, by visiting the project in the field. The status of a project can be only assessed following interviews with all parties involved in a project, including the beneficiaries. ***It is difficult to properly monitor project progress without field visits.***

Monitoring should focus on collecting and analysing information on:

- Physical progress (input provision, activities undertaken and results delivered) and the quality of process (i.e. stakeholder participation and local capacity building);
- Financial progress (budget and expenditure)
- Preliminary response by target groups to project activities (i.e. use of services or facilities and changes in knowledge, attitudes or practices)
- Reasons for any unexpected or adverse response by target groups, and what remedial action can be taken.

Monitoring is an essential part of the Project Cycle Management process and a vital management tool. It is therefore:

- An information gathering exercise based on
  - ⇒ Knowledge of project documentation, current status and general project environment
  - ⇒ Interviews with all actors involved to arrive at a
  - ⇒ Structured opinion on progress;
- A facilitator for good project management;
- A transparent exercise, whereby all parties are aware of project progress and difficulties (if any);
- A speedy and effective way of providing brief and informative reports;
- A service provided to all stakeholders to keep them informed regarding project progress;
- An overview of project implementation at a given point in time, which is carried out against a clear set of objective criteria.

Monitoring is not:

- A substitute for weak project management;
- An evaluation, mid-term review or financial audit (see also section 3.3);
- A process without guidelines or clear parameters, nor an inspection with a checklist in hand.

3.2. External Monitoring and Internal Monitoring

The Task Manager at the Delegation or in HQ in case of centrally managed operations plays a central role in the supervision of operations. The tasks are described in the internal monitoring guidelines, published in June 2007[20]. A Task Manager must be an informed dialogue partner, well equipped to make sound management decisions. Main sources of information sources are:

- ♦ Project progress reports from the implementing partner
- ♦ Reports from the Results-Oriented Monitoring system and MTRs
- ♦ Field visits (if possible), and
- ♦ Other sources such as special research/studies, reports of other donors and informal ongoing contact with stakeholders

The following table summarises the main elements of ROM, internal monitoring by the project and the monitoring role of EC Task Managers and highlights the important links between each of these sets of monitoring activities.

[20] Strengthening project internal monitoring - How to enhance the role of EC task managers, Tools and Methods Series, reference document number 3, European Commission - June 2007

Main features of different monitoring systems

Table 3: Features of internal and external monitoring

	ROM Monitoring	Internal Monitoring	Monitoring Tasks TM
Objectives	To provide independent assessment of project performance, with focus on 'results', which includes for ROM outcome and impact To provide advice/recommendations to project stakeholders To generate aggregate data for reporting to EuropeAid executive and to European Parliament	To support effective and timely decision making by project managers To promote accountability for resource use and achievement of results	To support the Task Manager's role as informed dialogue partner, including as a source of advice/support for capacity building To support informed decision making by the Task Manager with respect to key decisions on project cycle and contract management To support informed and useful reporting by the Task Manager
Responsibility	EuropeAid Directorates & DG Enlargement, with Coordination by Unit E5	Project implementing partners/contractors	Task Manager / EC management
Method	Short-visits to project sites by independent experts, on a periodic basis Analysis of project records and interviews with stakeholders Standardised assessment using formats and quality criteria with rating scale	Ongoing project management activity based on preparation of project plans, ongoing data collection, analysis of data and preparation of progress reports Consultation with stakeholders Participation in Project Steering Committee and other review meetings	Ongoing consultation with project implementing partners Field visits Analysis of project reports, ROM reports, MTRs, etc Attendance at Project Steering Committee and other review meetings
Product	ROM monitoring reports for individual projects, for sectors and for geographic areas	Project progress reports	Following appropriate instructions (CRIS Implementation Reports and / or Inputs into External Assistance Management Reports)
Format	Standardised format for reporting	As agreed with the Implementing Partner	Standardised format for reporting
Report Cycle	Annually, for those projects re-monitored	As agreed with the Implementing Partner	Every half year, via CRIS Implementation Report

Implementing Partners of operations need to understand the EC's interest in demonstrating the achievement of results, and take on responsibility for ensuring that their internal project planning and monitoring systems help generate relevant and useful information. Internal monitoring by implementing partners is particularly important in providing information for ROM monitors (and Task Managers) to help them make informed assessments of a project's efficiency and effectiveness.

Task Manager should make the best possible use of ROM findings. This information can help better planning of monitoring activities and fulfilling EC reporting requirements. Task Managers can therefore enhance the ROM process by supporting the implementing partner to review and update project plans on a regular basis and make ongoing improvements to the quality of internal project monitoring systems.

External Monitoring by ROM does not substitute day-to-day monitoring by the Partner/Implementing Agency/PMU. ROM provides added value to other information already available. The ROM system is therefore complementary to internal monitoring information.

3.3. Monitoring in Contrast to Evaluation and Audit

Monitoring and evaluation are both concerned with the collection, analysis and use of information to support informed decision-making. Both also look at the relevance, efficiency, effectiveness, impact and sustainability of projects and programmes. Monitoring often generates data, which can be used in evaluations and vice versa.

The following table indicates the differences between monitoring, evaluation and audit in terms of who is responsible, when they occur, why they are carried out and what their respective level of focus is in terms of the hierarchy of objectives as summarised in the logframe.

Table 4: Monitoring, Evaluation and Audit within EC External Cooperation[21]

	Monitoring	***Evaluation***	***Audit***
Who is responsible?	***Internal Monitoring***: Project implementing partners/contractors ***Monitoring by EC TM*** ***ROM***: Responsibility with HQ and Delegations; executed by external independent monitors	Usually incorporates external inputs (objectivity)	Incorporates external inputs
When is it required?	***Internal Monitoring***: Ongoing process. ***Monitoring by EC TM:*** half yearly update Implementation window Report / Inputs into External Assistance Management Reports ***ROM***: usually annual missions to a country or region.	At particular milestones: Mid-term, completion or ex-post	Ex-ante (systems reviews), regular and upon completion
Why is it necessary?	***Internal Monitoring***: Check the progress, take remedial action, update plans ***Monitoring by EC TM**: follow up of projects performance and* support informed decision making, also by higher echelons. ***ROM***: Provides input and recommendations for project management and can be used for policy adjustment/making	Mid Term: project major shifts/readjustments wherever necessary. Completion/ex post: Learn broad lessons applicable to other programmes/projects, policy review, etc	Provide assurance to stakeholders Provide recommendations for improvement of current and future projects
What is the link to Logframe objective hierarchy?	***Internal Monitoring***: Means, activities, results In ***ROM*** "results" also include purpose and overall objective level	Results, purpose, overall objective (& link back to relevance)	Means, activities and results

[21] Table based on PCM guidelines, chapter 4.5.3 Definition of monitoring, regular review, evaluation and audit.

What is evaluation?

OECD - DAC	**DG Budget**
The systematic and objective assessment of an on-going, completed or ex-post project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. It should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.	Judgement of interventions according to their results, impacts and needs they aim to satisfy (see Communication on Evaluation: SEC(2000) 1051) The main purposes are as follows: To contribute to the design of interventions, including providing input for setting political priorities; To assist in an efficient allocation of resources; To improve the quality of the intervention; To report on the achievements of the intervention (i.e. accountability).

Evaluation is an in-depth study of how the project has contributed to the Project Purpose and Overall Objectives. It can be distinguished from monitoring by its broader scope, being concerned with whether or not the right objectives and strategies were chosen.

Audit can be distinguished from monitoring and evaluation by its financial focus on the efficiency, economy and effectiveness of activities. It is an assessment of the legality and regularity of project expenditure and income; whether project funds have been used efficiently and economically, and effectively for the purposes intended.

The monitor's responsibility in ROM is not to look at how the budget has been appropriated, rather to see that it has been, and that the work has been done efficiently and effectively.

3.4. Who Benefits from ROM?

The main output of ROM is the Monitoring Report - a tool, which can be used by several stakeholders[22] to facilitate the success of the project.

ROM is designed to provide the Commission, through the Monitoring Reports[23], with a global overview of its operations portfolio and on the progress towards results. Through application of a uniform system across all regions the information generated can be used for synthesis and analysis purposes, supporting improved strategic thinking.

The use of ROM has also been widened, and Delegations and geographic co-ordinators in Directorates are now using it for their daily work and supervision tasks. Although ROM is not primarily addressed to the Partner / Implementing Agency in a partner country, whose day-to-day management requires more detailed information, ROM can contribute to improving the project performance

[22] For a definition of stakeholder see also the Glossary in chapter 6.

[23] See Annex A

The following will ultimately benefit from ROM:

- ***Partner / Implementing Agency / PMU*** who will have a valuable management tool;
- The ***target group*** and ***final beneficiaries*** who should have the benefit of a better project;
- The representatives of ***the Commission***, both the Delegation and HQ staff who can judge if the project is achieving the results;
- 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.

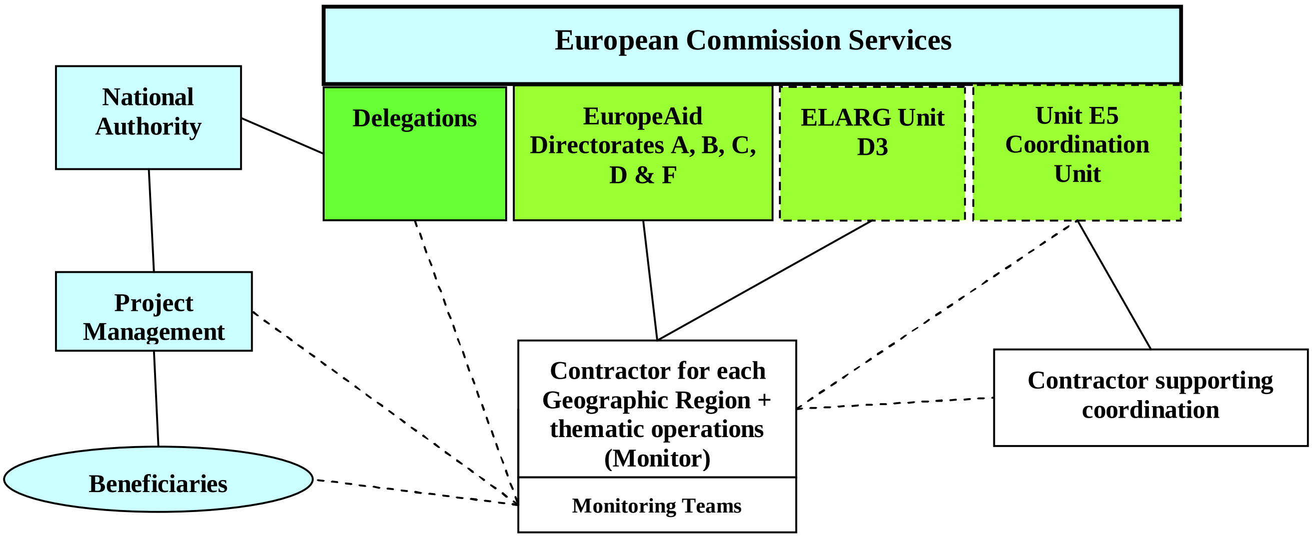
The Monitoring Report alone will not solve problems identified, but it will indicate the key actions required and who should implement them. It is the responsibility of the parties identified to take action.

4. ORGANISATION OF RESULTS-ORIENTED MONITORING

4.1. Commission Services

The figure below sets out the general organisation structure of the Commission Services under which the Results-Oriented Monitoring system operates. The exact structure for the operation to be monitored will also depend on whether the operation is deconcentrated and on the operation itself. For instance, national projects are fully deconcentrated, while regional programmes can still be supervised from HQ in Brussels[24].

Figure 1: Commission Services and Stakeholders relevant for ROM



Legend:

A solid line represents a direct hierarchical function (i.e. between contracting authority and contractor for example)
A dashed line represents a functional relationship (i.e. between a monitoring team and a delegation)

4.1.1. Commission Services in Brussels

The European Commission manages the EU external cooperation. The Commission has three Directorates General for administering external cooperation - DG Development (DEV), DG External Relations (RELEX) and EuropeAid Cooperation Office. Following the reform of the management of external cooperation the geographic Directorates-General DG RELEX and DG DEV are responsible for defining strategies, general policies and programming of external cooperation.

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[24] Special operations, like nuclear safety programmes in the ENPI (former TACIS) region, will remain centrally managed from HQ Brussels.

4.1.2. Directorates of EuropeAid

European Commission Services in Brussels

EuropeAid is responsible for the project cycle from identification of operations to ex-post evaluation[25], the ROM included. EuropeAid provides therefore DG RELEX / DEV with regular feedback on operations during all phases of the project cycle under its responsibility on the basis of regularly prepared Monitoring Reports and other.

ROM Task managers

EuropeAid has seven Directorates, of which four have a geographic orientation: Directorates A - D. Directorate F is responsible for the centrally managed operations across the geographic regions, and Directorate E is responsible for quality. The monitoring system will from January 2008 be implemented in six geographical lots (European Neighbourhood Countries; Africa, Indian Ocean and South Africa; Asia; Latin America; Caribbean, Pacific, Cuba and OCT's; Western Balkans and Turkey) and one lot for centrally managed thematic operations, mostly along the lines of the responsibilities of the geographical Directorates of DG EuropeAid. The Lot for Western Balkans and Turkey is managed by DG Enlargement.

Directorate F is responsible for the centrally managed operations across the geographic regions. The overall set-up of the ROM system is taking into account that a centrally managed project or programme is operated from Brussels.

In each of the Units managing the ROM service contracts a Task Manager ROM, as liaison person, is responsible for the execution of the contract. Main tasks of the ROM Task Manager:

- 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 terms of reference;
- Checking the planning of monitoring missions with regard to mid-term reviews and evaluations, as planned by other Units[26];
- Validation of the planning of missions and communication with the Delegations;

[25] Inter-service agreement, DG External DG External Relations, DG Development and EuropeAid Cooperation Office, June 2001

[26] This function depends also to a large extent on the cooperation received from other Units within a Directorate, informing timely the ROM TM and the ROM contractor / monitor on other activities ongoing or planned in country.

- 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 on outputs under ROM in each lot.

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 Unit E5 and its contractor.

There are only hierarchical relations between the Quality Monitoring Systems and Methodologies Unit E5 and the Contractor supporting coordination and between the ROM Task Managers and their respective ROM contractors. Relations between Regional ROM Task Managers and Unit E5 as well as all other relations have a functional character**.**

E5 - ROM Coordination Unit and Contractor supporting coordination

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

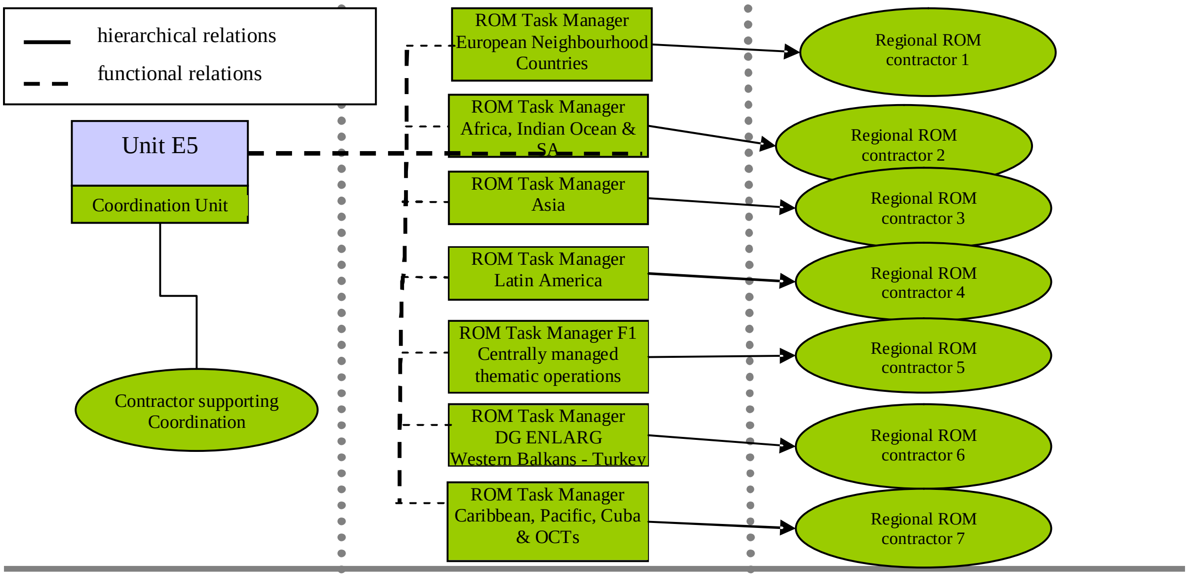
The ROM coordination has to ensure coherence and consistency of the methodology and its application in the field. Improvement of the methodology, wherever applicable, is also integral part of its tasks. The ROM coordination organises, on a regular base, coordination meetings with the ROM contractors 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 Western Balkans and Turkey managed by DG Enlargement).

Since April 2003 a Contractor supports the ROM Coordination Unit 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), it responds to ad-hoc requests of Unit E5, and helps to further improve and integrate the ROM database in the overall CRIS database. The ROM coordination contractor can also be asked to produce synthesis reports, analysing the results from all regions.

A working group, with representatives of the ROM contractors, works on continuous improvement of the ROM database, as part of the CRIS database. This task is done in close cooperation with the information system and office technology Unit of EuropeAid, which is managing the CRIS database.

Figure 2: Summary of organisation of ROM system



ROM Co-ordination function

- Overall co-ordination responsibility
- Conceptual improvement of database and methodology
- Quality assurance and coherence
- Validation of concepts

Monitoring supervision function

- Day-to-day running of the contracts
- Decisions on implementation within terms of reference
- Coordination with other ROM Task Managers and E5
- Establish work plans

Monitoring execution function

- Monitoring of EC external assistance with third countries
- Reporting
- QA of outputs
- Coordinate with other ROM contractors and Coordination Contractor

4.1.3. Delegations of the European Commission

The EC Delegation in a partner country is responsible for the EC cooperation programme. It has an extremely important consultative role as well as giving advice on local issues to the HQ. A Delegation may be responsible for more than one country. The role of the Delegations has increased considerably with deconcentration; more responsibility has been delegated from Brussels to the Delegations. The monitor or team leader 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 a regional Delegation or HQ (particularly in the case of TBL), if applicable. In addition, a decentralisation process has put stakeholders even more at the centre of the cooperation process. It involves them throughout the project cycle, setting out each party’s roles and responsibilities thus fostering ownership.

4.2. National Partners of the Delegations

Each Financing Agreement, or document with similar status, represents a legal commitment between the Commission and the partner country. 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 contract party to the Financing Agreement.

Governments may appoint representatives, for example, National Authorising Officers or designate ministries as representatives for the purpose of concluding agreements and the implementation of operations.

Although the government is primarily responsible, cooperation with the Delegation/ HQ Task Managers is often requested. Therefore Delegation Task Managers coordinate the implementation of operations with the National Authority. This normally involves extensive work on terms of reference for studies and experts, tendering, contracting and contract management.

4.3. Project Management Units and Contractors

Technical Assistance is frequently recruited for a Project Management Unit (PMU) or Project Implementation Unit (PIU) in support of an operation. National institutions and firms such as research centres or training institutes are increasingly contracted for this purpose. Standard EC procedures have to be followed when issuing contracts, and awards have to be approved by the Commission Services.

Technical and administrative provisions in the FA or document with similar status will also outline the role and responsibilities of the Government and the implementing agency. If the latter is non-governmental, there is usually only a separate contract, including Terms of Reference. The technical responsibilities of the TA are set out under their contract.

The implementing agency is normally responsible for identifying inter alia the need for technical specifications of service and supply contracts.

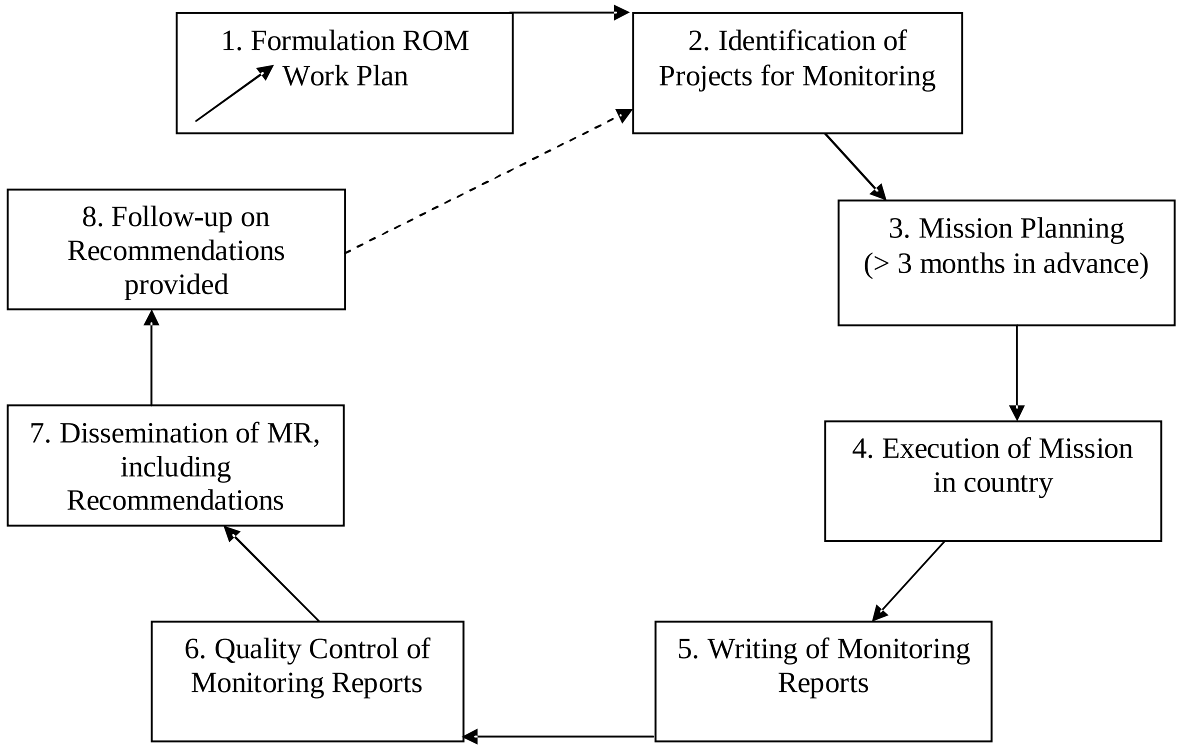
4.4. Beneficiaries of External Cooperation

Beneficiaries are the people who benefit in whatever way from the implementation of the operation. Beneficiaries can be distinct between target groups, as identified for the project purpose and final beneficiaries benefiting from the operation in the long term. During project identification they should be clearly identified and actively involved in the whole preparation process. During the monitoring process monitors must always pay close attention to the opinions of the beneficiaries. They also have to note if any broader benefits accrue to others.

5. THE MONITORING PROCESS

There are eight stages in the monitoring process. To obtain a clear overview of this process, it is necessary for the monitor to understand the logistical and technical aspects as well as her/his role in each stage.

Figure 3: Monitoring Process in ROM



Although the above reflected monitoring cycle together with the organisation structure in figure 1 apply in general to all regions, some region specific characteristics for ROM exist in the ENPI region and Western Balkans region.

The most important differences are highlighted in the following box:

Specific characteristics of the Neighbourhood East Region:

- The ROM contractor for ENPI must operate for the Neighbourhood East region from three regional offices, situated in Moscow, Kiev and Tbilisi;
- In addition to this, four offices in Minsk, Yerevan, Baku and Chisinau have to be maintained;
- Support offices in other countries of the regions may be maintained;
- The ROM contractor is obliged to work with resident long term International and National/Regional monitors, both based in the region, fostering a more structural interaction between ROM Contractor and Delegation;
- Extensive use of National/Regional monitors is pursued, all working in close cooperation with their international mentor - monitor;
- Work plans, identifying the projects to be monitored, are usually directly agreed upon with the Delegations;
- Regular monitoring visits are paid to the projects (often more than once a year) and regular meetings held with the Delegations, replacing the mission bound Delegation's briefing and debriefing in-country;
- Projects are also monitored during their inception period, normally 3 months after start of implementation;

Specific characteristics of the Western Balkans and Turkey Region:

- The ROM contractor operates from a central office in Brussels, as well as from a regional office in Belgrade (Serbia) and two national offices in Tirana (Albania) and Sarajevo (Bosnia and Herzegovina). The Brussels office has the overall responsibility for the ROM implementation, and coordinates the work of the regional and national offices;
- Most of the monitoring work is to be carried out by resident long term monitors (both international and national), permanently based in the recipient countries, fostering a more structural interaction between ROM contractor and EC Delegation;
- Extensive use of National/Regional monitors in monitoring teams is encouraged, with a minimum target of 10 % of National/Regional expertise;
- The yearly ROM planning is established by the ROM Contractor together with the DG Enlargement and the Delegations on the basis of criteria for project selection and budget appropriations. In particular, work plans, identifying the national projects to be monitored, are usually directly agreed upon with the Delegations, while work plans, identifying the regional programmes / projects to be monitored, are agreed upon with the Unit "Regional Programmes" of DG Enlargement.

5.1. Formulation of a ROM Work Plan

The annual work plan, often based on a first draft made by the ROM contractor, is discussed between the Delegations/ responsible Task Managers at HQ (TBL) and the Directorate and subsequently validated by the Directorate. A ROM Work Plan for one year should be compiled at the beginning of the ROM contractor's contract (first year) and at the end of each "monitoring year" for the next year. The details in these Work Plans vary from Directorate to Directorate and can be characterized as a "one-step" or "two-step" approach. For example; the Work Plan for the Asia region states planned time and country/countries for each mission and includes a list of projects to be monitored for each mission, whereas the Work Plan for ACP countries provides a list of planned missions indicating time and country/countries to be visited only, without referring to concrete projects. The selection of projects subject to monitoring is done at the next stage (i.e. stage 2, identification of projects for monitoring). As a consequence, the identification phase (including sampling) is part of the formulation of a ROM Work Plan in the one-step approach whereas it is part of the mission planning in the two-step approach.

Sufficient balance between deconcentrated responsibility in project implementation for the Delegation and a degree of centralisation in ROM is crucial to fulfil the requirement of providing the Commission with a global overview of external assistance.

5.2. Identification of Projects

The compilation of the list of projects to be monitored under a work plan/during a mission is an iterative process. During the project identification phase, usually the ROM contractor compiles a first draft list after searching the CRIS database. Directorates indicate which projects/programmes shall be monitored after sending the list to the Delegations/ Task managers at HQ concerned for comments. The final list should take of account of the key criteria and the guidelines for additional criteria for the monitoring portfolio.

These are the key criteria for an operation to be eligible for Results-Oriented Monitoring:

Key Eligibility criteria

Ongoing Projects:

Key criteria for projects and regional programmes
• Be alive with 6 months of implementation already ongoing • Have more than 6 months of implementation life outstanding • Have a primary EC commitment of preferably more than € 1.0 million • Represent all sectors and important priority areas, different size of operation and risky projects (this could concern projects in fragile states; conflict areas; regions with political and / or economic instability, and / or regions prone to terrorism or natural disasters). • Differently performing projects, i.e., balanced representation of underperforming projects and those which are going well

Additional criteria for sampling

- Annual work plan: 60% projects being monitored for the first time and up to 40% projects for remonitoring by country
- Small (approximately 10 %) but representative sample of projects with an EC contribution of less than € 1.0 million:
  - ⇒ Diverse size of EC contribution (with emphasis on larger projects closer to € 1 million)
  - ⇒ Coverage of diverse thematic budget lines
  - ⇒ Projects which pilot interesting or innovative approaches
  - ⇒ All type of contractors from NGOs to International Organizations.

The additional criteria applied for the sampling of national projects and regional programmes should be rather uniform across all regions to allow comparisons. Monitored projects must sufficiently represent all sectors and important ODA sectors, average size of operation, and differently performing projects. In each ROM region a small (approximately 10 %) but representative sample of projects with an EC contribution of less than € 1.0 million (mainly financed through the budget lines) should be monitored. Operations smaller than € 1 million do not only concern thematic budget line projects, but also projects of geographical Directorates. The monitoring of a regional programme far beyond € 1 million often entails visits to relatively small national components in order to assess the programme in its entirety.

Remonitoring of ongoing projects:

- To remonitor a project, the time span between the first and the second / subsequent monitoring visit should ideally not exceed 12 months[27] to gain maximum benefit from remonitoring.
- Criteria for sampling the remonitoring:
  - ⇒ Annual work plan should have up to 40% for remonitoring by country
  - ⇒ Project portfolio should represent a selection of key sectors in the country
  - ⇒ Project portfolio should encompass projects with different performance, and should not be limited to projects perceived as either “very good” or “very bad”

[27] The Neighbourhood East region and Western Balkans are exceptions with region-based offices and more frequent project visits.

Anno 2007 the ROM system covers around 90 % of all eligible national projects and most of the eligible regional programmes. It monitors also over 50 % of the total ongoing EC portfolio in the world (or 43 % of the corresponding total EC budget), pointing at good representativity for the total project population in the ROM regions. Each year the ROM contractor, where needed with support from the Directorate, approaches all Delegations and Heads of Units for an update on the project population in order to determine all eligible operations for ROM.

Centrally managed operations:

To arrive at a representative sample for the centrally managed thematic operations, the € 1 million threshold has to be applied in a flexible manner. In addition to the projects with an EC contribution of above € 1 million, roughly 30 % of projects with an EC contribution of less than € 1 million and above € 500.000, and 10 % of projects of less than € 500.000 should be covered in this Lot.

The **project sample** should be flexible enough to allow for changes to be made during the course of the year.

In general, all samples of projects/programmes to be monitored should also encompass projects, which are to be **remonitored.** For remonitoring a project, the time span between the first and the second / subsequent monitoring visit should ideally not exceed 12 months for all geographic regions to gain maximum benefit from remonitoring.

In addition to the three key criteria applied to each project, the following criteria should be applied to the monitoring portfolio of all Directorates:

- Quantitative:

  An average portfolio of monitoring missions should have up to 40% projects for remonitoring and 60% projects being monitored for the first time.

- Qualitative:

  ⇒ Project portfolio should represent a selection of key sectors in the country

  ⇒ Project portfolio should encompass projects with different performance, and should not be limited to projects perceived as either “very good” or “very bad”

5.3. Mission Planning

Please read for centrally managed operations of Directorate F:

“Delegation” “Task Manager at HQ”

5.3.1. Collection of Materials for Monitoring

The ROM contractor’s Brussels office is responsible for collecting core documentation for monitors prior to the mission.

These are:

- The Financing Agreement between the EC and the partner government, as the legal basis of the project. The FA should also include the project logframe and activity schedule, both being essential monitoring tools;

- Monitoring reports (from Task Managers at the EC DEL, Monitoring Window in CRIS see Annex L).
- The contract for technical services including Terms of Reference and approach;
- The Work Programme or Activity Schedule;
- The latest progress report (should ideally include an updated logical framework);
- Evaluations and mid-term reviews – where applicable;
- Delegations may facilitate the minutes and the checklists of the second QSG on a specific operation.

It can be stated that:

- Delegations have become the prime source of project information resulting in data collection mainly on-site;
- Task Managers at the Delegations are more involved and fully responsible for project follow-up and management; ownership at their level has increased;
- Briefings/debriefings on-site at Delegation level and with other stakeholders is of increasing importance;
- National/Regional monitors have become in several regions key members of monitoring teams, also assuming introductory/data collection work on-site.

Members of the ROM contractor's Brussels team have to liaise with officials of the European Commission in order to explain the monitoring system and collect all relevant documentation. Meetings will be coordinated in order to avoid excessive interruption of Commission work. Wherever possible, data will be collected in electronic form and sent to the relevant monitor. The efficiency of the data collection, prior to a mission, largely depends on the availability of data in the CRIS database[28].

Most of the project information has to be retrieved through the Delegation, PMU's or Technical Assistance in the country concerned. It can be an appropriate solution that one team member, preferably a National / Regional monitor, retrieves the data available at Delegation level prior to the arrival of the other monitors in country and sends it in electronic format to the ROM contractor's Brussels, or its regional office. In collecting upfront essential information in country and in communicating this to the Brussels or regional office of the ROM contractor the National monitors can play a crucial role. Once the data is collected the Brussels office provides each monitor with a either a CD containing a scanned version of the data available at that point of time for the projects to be monitored or uploads it on a website where the monitors have access and can download/print the documents.

In addition to the project documentation, monitors should have available a copy and be fully acquainted with the new Project Cycle Management guidelines. It serves as a guide for all levels of project management and contains essential background material, e.g. on the Logical Framework.

[28] Experience has shown that a minority of material is available in electronic format and still most information is available only in hard copy. This necessitates additional work in Brussels to make electronic copies

5.3.2. Selection of Monitors and Allocation of Projects

The ROM contractor's Brussels Office is responsible for appointing the Mission Leader and monitors for each monitoring mission. Quality must be the overriding principle while compiling a team for a monitoring mission.

The appointment of individual monitors will be discussed between the ROM contractor's Brussels office and the consortium members with the primary objective of selecting the best qualified monitors for the task in hand. One, or alternatively two, experts can monitor a project, whereby always one will act as lead monitor. 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 Team Leader 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 in case of replacement at a later stage.

Individual monitors, as well as the firms employing them, must have no conflict of interest The ROM contractor is fully responsible to avoid such a situation by verifying within his Consortium and with every individual member of a monitoring mission that there is no conflict of interest.

In case of a potential conflict of interest there are three possible approaches. The contracting authority (liaison person in the geographical directorate) has the choice which approach to choose on a case-by-case basis:

- The ROM contractor proposes two independent experts to the contracting authority 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 illegible for monitoring.

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

To operate a fully responsive and efficient monitoring system the ROM contractors should encourage the inclusion of local and regional expertise and accommodate National/Regional monitors in the mission teams. All mission teams should ideally include at least one National monitor, as effective monitoring is best done incorporating local knowledge.

Mission Leaders may also hire such expertise as part of the mission planning or upon arrival in country, based on word of mouth (recommendation by colleagues) or on other previous work experience. The Mission Leader will be responsible for the negotiation of National monitor's fees on-site.

National monitors not only participate actively in the monitoring team during the mission, but also provide valuable input in the preparation prior to mission start.

These tasks, which have been otherwise assumed by ROM contractor's Brussels offices staff, can include

- Contact with the EC Delegation in preparation of the mission and follow-up if required

- Collection of information and documentation on the projects, sectors, institutional background etc.

- Facilitation of the mission, assistance in organisation and logistics. These functions should be carried out with the EC Delegation knowledge and where required with it's support

- Advise the Mission Leader of the overall country/project situation both in professional (i.e. specialist terms) and if necessary in political terms

The National/Regional monitor will have knowledge of the development programmes in the country and project management experience. M&E experience and sector expertise relevant to the projects being monitored would be a plus. Prior knowledge of EC projects could also be a bonus, provided the monitor is entirely independent of them, and has no possible conflict of interest in monitoring them. National monitors should, if required, be trained in monitoring procedures.

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.

The profiles and responsibilities for mission leaders and monitors are set out in Annex J.

5.3.3. Role of the Monitor in the Preparation Stage

The role of the monitor is to do everything necessary to facilitate the success of the ROM. It is to be borne in mind that, ***projects, not people, neither Delegations nor PMU's are being monitored***. Albeit that if reference has to be made to any part of the project's management structure in the report, this should be done.

The ROM contractor's Brussels office will present clear mission instructions and initial background information 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.

It is obligatory that monitors read the documentation that is made available to them in advance. 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.

The ROM contractor's Brussels office will also request the Delegations to contact Implementing Agencies or the PMU's to arrange meetings for the monitors and get copies of the updated logframe and activity schedules, where possible in electronic format. It remains at the discretion of the Team Leader to assign some of these tasks to a monitor who is working on-site prior to the official mission start.

5.3.4. Logistical Arrangements

The HQ Directorates / contracting authority 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, followed by a letter from the ROM contractor's Brussels office giving further details and requirements of the mission. It is the responsibility of the Brussels office to arrange a briefing meeting with the Delegation on the first day of the mission as well as accommodation for the full monitoring team. The team should stay in the same place whenever in the country capital to facilitate communication and exchange of experience. While the Brussels Office is responsible to arrange the international flights, the Mission Leader will organise all project related domestic travel in country.

Team members of a monitoring mission are specifically asked not to contact coordinators or Task Managers in Brussels or Delegations directly for information, unless with the prior agreement of the Team Leader.

Monitors are independent in their means. They shall thus keep the assistance required by the Delegations as light as possible. However logistical coordination, prior to a mission, 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 have just one country or several countries as destinations. Normally a multi-country mission is planned where:

- One Delegation is responsible for several other countries, as well as the one in which it is based;
- Regional / thematic programmes covering several countries are included in the mission;
- Efficiency requires combining visits to countries in the same region.

The monitoring exercise is speedy and quick, and a mission takes approximately 10 days for a team of 3 to 6 persons, covering typically between 6 and 12 projects and/or programmes.

An interval of at least 3 months between monitoring visits and mid-term evaluations/mid-term reviews should be respected. The monitoring mission should ideally be scheduled prior to the mid-term evaluation. In reality it is sometimes difficult to avoid such overlaps, as a mission's portfolio consists of approximately 6-12 projects.

Please read for centrally managed operations of Directorate F:

"Delegation" → "Task Manager at HQ"

5.4. Field Missions

5.4.1. Team Briefing

The Mission should be planned so that the monitoring team arrives at least the day before the Briefing at the Delegation. This allows the team to meet and to discuss strategy. The Mission Leader will be responsible for coordinating the location and timing of the meeting.

In case the project documentation provided earlier is incomplete, monitors should know which documents they still require. In most cases these documents will be available at the Delegation and therefore monitors will be able to request copies after the briefing. Due to deconcentration the bulk of the information will be available in Delegations.

The introductory meeting upon arrival in country is the first step to build team dynamics and clarify responsibilities. This reduces the chance of any individual member putting the team in a non-constructive light (inconsistent, contradictory, etc.) and facilitates immediate attention when such situations arise. It is primarily the responsibility of the Mission Leader to manage and ensure effective teamwork. Discussion and debate concerning specific projects and the reporting contribute to the continuous development of the monitoring process. Therefore, monitors must be team players and committed to share information and knowledge.

It is essential that the Mission Leader facilitates on-going dialogue to ensure that no monitor works in isolation, and that less experienced monitors have full support from the team as a whole. In addition, this maximises understanding of the issues that will be discussed when the mission debriefs the Delegation and the Mission Leader debriefs the coordinator or Task Manager in Brussels.

As the ROM system develops, it is essential to continuously update the monitors on good practice. During the course of mission is the optimal time for this kind of supervision. The Mission Leader must ensure monitors understand the current guidelines. Less experienced monitors require specific attention while on mission. The handbook is a basis only.

5.4.2. Briefing at the Delegation/HQ and with other Stakeholders

The monitors’ first responsibility is to meet the Delegation’s responsible for a briefing. At the briefing it is the Mission Leader’s responsibility to:

- Introduce the monitoring team;
- Describe the ROM system and the role of the monitor;
- Explain the strategy for the mission;
- Answer any questions that may be posed 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. Depending on the number of projects, the monitors can expect to spend half a day to two days at the Delegation.

The Mission Leader and monitors will be equipped with a CD, which includes presentation slides on the ROM system and its objectives. The Mission Leader has the option to use the slides for their presentation. The same slides are available to the monitors and may be used for presentations to the Implementing Agencies during the mission. The Brussels office will regularly update the slides; updated CDs will be given to monitors before each mission.

The Delegations will usually arrange meetings for the monitors with the National Representatives. The monitors are advised not to contact National Representatives (implementing agency and ministries) directly and all meetings should be coordinated through the Delegation.

The Delegations also often invites the managers of the projects to be monitored for a joint briefing with the monitors. The Mission Leader may provide an overview on what is monitoring 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 the opportunity does not apply. Arrangements have then to be made via email/phone and briefing has to be provided at the project site.

ROM monitors need to ensure they actively engage with Task Managers during their visits, share information and provide expert advice on how a project is performing and how it might be improved. Task Managers provide their reaction/opinion to the recommendations made in the Task Manager Response Sheet. Task Managers should also follow up on whether ROM recommendations have been acted on by the implementing partner (or other identified stakeholders).

5.4.3. 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 in course of the briefing meeting. The Mission Leader will coordinate organisation of the site visits with the monitors. S/he also will pay or reimburse domestic travel expenses e.g. flight tickets or car rental. 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 project necessity and domestic travel requirements.

Monitors must liaise closely with all the main stakeholders of the project, especially the beneficiaries. The beneficiary in particular will provide valuable information on project implementation and as to whether projects are potentially sustainable. In case a project is assigned to two monitors, they should divide tasks and responsibilities. Usually the lead monitor will draft the Monitoring Report.

Visibility of External Assistance

Contractors and/or implementing partners are responsible for giving adequate publicity to the project or programme that they are implementing and to the support from the EU. One of the objectives of deconcentration is also to improve the visibility of projects that are wholly or partially funded by the European Union. The common element branding all EU-funded projects and programmes is the EU logo[29].

By contract the ROM contractor can be asked by the geographic / thematic Directorate / contracting authority to report, on an ad-hoc base, on issues informing the public or certain target groups about main results achieved. Visibility could be one such issue. Monitors should therefore also record systematically the visibility of monitored operations in country:

- In their personal notes for general situations (section 5.5.1) and
- In the corresponding section of the BCS and MR, if visibility is specifically mentioned in the logframe and the work plan of the operation (under section 5.5.2)

5.4.4. Uniformity and Consistency of Approach

Uniformity and consistency of monitoring across the regions is essential for ROM in order to provide a viable and accurate source of information. All projects will be monitored using exactly

[29] The EU visibility guidelines can be downloaded from: http://ec.europa.eu/europeaid/work/visibility/index_en.htm

the same criteria and will consider the same issues. As the composition of monitoring teams will differ from mission to mission the MR format has been designed in a way to narrow the possibility of different interpretation whilst maintaining flexibility and leaving the monitor free to use his or her judgement. It is essential that the Monitoring Report and approach to monitoring is consistent. In principle the same monitors should conduct remonitoring visits. In reality this proves feasible only in a minority of cases for all team members. In order to make it possible that the same person can monitor a project in a consecutive year it is essential that planning of missions takes place well in advance. Last minute modifications in the mission portfolio by Commission Services should be kept to the minimum.

Monitors must be familiar with both the Background Conclusion Sheets and the Monitoring Report templates.

The Monitoring Report is the key document produced by the monitors. In order to introduce consistency it is supported by the ‘Background Conclusion Sheets’ (BCS), which ensure that all monitors address the same questions and issues. From January 2008 onwards, the BCS will be an obligatory product to be provided to the contracting authority and will be archived in the ROM database.

Whilst the BCS are primarily designed to maintain consistency and uniformity, they also perform another important function. In the event the monitor’s judgement is questioned the BCS can support and explain the conclusions and narrative text in the MR.

The questions of the BCS alone will not be sufficient to fully understand the progress of the project. The monitors must call on their own judgement to address pertinent issues to the project in question. These additional questions, if any, should be recorded in the monitors’ own notes.

Commission staff does not always conduct regular project field visits. Monitors are therefore a vital link in the information flow process.

5.4.5. Use of Judgement

Monitoring is an objective exercise. In the BCS, monitors will use their judgement in reaching conclusions. Outside the Monitoring Report format there is limited opportunity for monitors to apply their own judgement, although it is acknowledged that in certain circumstances, it may be inevitable. The MR format cannot be changed and monitors, who feel that they are constrained to the extent the report is reduced in value, should comment in a separate note to the ROM contractor’s Brussels office or in the Mission Leaders report.

5.4.6. Monitoring Against a Logical Framework Matrix

Monitors must ask if a logical framework exists. The logframe should be updated by the PMU as and when necessary and included in their progress report. Activities and corresponding results might change in course of the project implementation and can be amended. To make any formal changes to the overall objectives and project purpose a rider to the Financing Agreement or similar agreements is necessary. It is important to consider the logframe’s relevance to the actual situation (in contrast to the planned situation) and comment under the criterion quality of project design.

Where a logframe does not exist or when it is unsuitable for monitoring purposes (e.g. lack of proper OVIs and/or SoVs…) the monitors shall state this in the MR and BCS and may advice on where to find instructions on how to compile a logframe in a participatory exercise. Even though the scarce time during the missions does not allow monitors assisting the project to fully produce a logframe and / or to improve the OVIs/sorces of verification, some advise should be provided by the monitors on the areas of the LFM to be improved and, eventually, by giving some examples of smart OVIs if they need to be improved as well. These two aspects should be mentioned as well in the MR and/or BCS.

For further details the reader should consult the PCM guidelines, chapter 5.

5.4.7. Monitoring against an 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 the planned one. Specifically, monitors should review the project progress against the benchmarks or milestones. 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. This should be attached to the MR when it is forwarded to the ROM contractor's Data Base Manager in Brussels, at the end of the mission.

5.4.8. Debriefing at the Delegation / HQ and with other Stakeholders

The time and date for the debriefing at the Delegation is usually agreed during the first days of the mission. It normally takes place on the last day of the mission before monitors leave the country.

It has proven valuable if the team, which in many instances has never or hardly met during the field visits, is gathering prior to the debriefing to exchange their experiences during the field visits and discuss strategy for the debriefings.

The mission team must prepare a presentation for the Delegation/ HQ TM debriefing. However the draft reports and/or notes for this purpose are not handed over to the Delegation responsible. Reference can be made that within 10 working days after completion of the mission the MR's will be disseminated.

It remains at the Delegation's discretion if they prefer to invite the National Authorities for a joint meeting or to propose two separate meetings. However, an active involvement and contribution from the respective partner country is generally seen as positive. Monitors shall also make sure that each of their projects will receive a short debriefing prior to departure to discuss preliminary findings and recommendations.

All monitors and the Delegation responsible for each of the projects visited should attend the debriefing[30]. During the debriefing a verbal summary of first findings and preliminary recommendations should be presented. Comments by the Delegation responsible on a given project shall be duly taken into consideration. If a monitor has presented a finding backed by sound information gathered and this might in some instances be questioned by the responsible debriefed, s/he should stay firm and underpin the finding with arguments.

At the debriefing also horizontal / cross-cutting issues should be addressed, which have been observed in several of the monitored projects (e.g. quality of logframe, problems occurred with tender procedures, late arrival of payment).

For the Delegation debriefing, all team members shall produce a summary of preliminary findings and recommendations for each of the projects they monitored. These shall be handed over to the Mission Leader to use in support of the coordinator or Task Manager debriefing in Brussels, important for those projects and programmes monitored which have not been devolved. For these instances the timing of debriefing should be arranged between the responsible Task Manager and the ROM Contractor, soon after return of the mission leader from the field.

5.5. Writing of Monitoring Reports

Monitors should first complete their notes and Background Conclusion Sheet before starting to write the Monitoring Report.

The length of a Monitoring Report depends on what can be reported on a project. It can have up to1 page or 2 pages. There is no obligation to produce the full 2 pages for small components of Regional Programmes if a 1 page graded MR would suffice.

New template

The new ROM database is based on online uploading and encoding of Monitoring Reports and the BCS. As a consequence the old word template will be replaced by a simple word document (see Annex A). The excel template for the BCS will remain the same.

New is also that the monitor will have to choose a key word in case the DAC-CRS code does not capture the sector well enough[31].

It is the monitor's responsibility to forward all documents produced (BCS, Monitoring Report or Monitoring Note, Project Synopsis[32]) in electronic format to the Brussels Office, which can then be uploaded in the CRIS database after a thorough quality control. The monitor should also forward all other supporting documents to be uploaded (Financing Agreement, most recent logframe, updated activity schedule) to the Brussels office. Project documentation received during the mission should also be delivered to the Brussels office, preferably in electronic format.

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[30] In the exceptional case where a monitor is only monitoring one specific project, planning should be made such that redundant days in country are avoided and the full team is present at the debriefing. An exception can only be made with prior written agreement from the contracting authority.

[31] See Annex G

[32] See Annexes A, B, C, and E.

5.5.1. Monitor's Personal Notes

When the monitor is in the field s/he should make notes. There are no specified formats but certain standards must be observed. The notes should be legible and clear. In the event that the Monitoring Report is criticised or questioned, the monitor must be able to justify her/his findings and conclusions. Where questions have been asked that the monitors consider particularly pertinent in addition to those issues addressed in the BCS, these should be listed in their own notes.

5.5.2. Background Conclusion Sheets

The monitors must address, in writing, all the issues and sub-issues listed in the BCS – see Annex B. The amount of narrative that can be presented is limited. There are separate sheets, which must be completed, each addressing a specific criterion for monitoring. Note that this list of questions is not definitive and that monitors will have to pose further questions, which enable them to fully answer the issues addressed in the BCS.

From January 2008 onwards, the **BCS is an obligatory product** and will be archived in the ROM database.

The monitors must address the following criteria:

Quality of Project Design:

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.

This should include an assessment of the quality of project preparation and design – i.e. the logic and completeness of the project planning process, and the internal logic and coherence of the project design.

Efficiency of Implementation to date:

The fact that the results were obtained at reasonable cost, i.e. how well means and activities were converted into results, and the quality of the results achieved.

This generally requires comparing alternative approaches to achieving the same results, to see whether the most efficient process has been adopted.

Effectiveness to date:

The contribution made by the project's results to the achievement of the project purpose.

This should include an assessment of the benefits accruing to target groups, including women and men and identified vulnerable groups, and how assumptions have affected project achievements.

Impact Prospects:

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.

Potential 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.

Sustainability is not an issue to be considered only near project completion but begins with project design and continues throughout project implementation.

Guidelines for completion of the BCS:

Monitors should follow the following guidelines in order to complete the Background Conclusion Sheets (see more details in Annex F).

Each criterion is divided into prime issues and sub-issues. The monitors must comment upon all the sub-issues where applicable.

A ***response*** is required for each sub-issue where the questions are appropriate. However, the monitors may like to add additional comments where they feel that pertinent questions have been omitted.

If monitors consider that certain issues have not been addressed in the BCS, they should make personal notes and forward them to the Team Leader. Under no circumstances should they try to change the questions and issues raised in the BCS.

After the monitors have addressed all the issues, they should consider whether a particular prime issue under consideration is

a: very good

b: good

c: has problems or

d: has serious deficiencies

according to the assessment criteria below.

Figure 4: Definitions of the Summary of Conclusions

	a.	The project is very good, fully according to or better than to plan. There is every indication that it will achieve its Purpose and Objectives.
	b.	This is a good project, broadly progressing as planned. But certain corrective measures might be required if the project is to fully reach its Purpose and Objectives.
		ON TARGET / AS PLANNED
	c.	The project has problems. Without corrective measures it will not meet its Purpose and Objectives.
	d.	The project has serious deficiencies. Substantial corrective measures, major redesign or termination of the project is necessary.

The monitor should note that grading[33] (a, b, c or d) is only possible for the prime issues, not for the sub issues under each particular prime issue.

The monitors must make the judgement based on their written comments in the box for each of the prime issues. Monitors cannot choose the middle ground – on target/as planned; they must decide whether the project is better or worse than that (a, b, c or d). A conclusion (a, b, c or d) must be added in all circumstances. The only exception could be a circumstance where it is considered too premature to give a judgement. Only then the monitor can add N/A ("Not applicable"). This must however be explained.

The database demonstrates that it is nearly always possible to make a judgement for all 5 key criteria. However, a judgement "N/A" must be explained and justified under all circumstances, especially in a situation of remonitoring a project.

On the basis of the monitor's comments for each of the boxes s/he must then be able to identify the key actions to recommend. The monitor will have to give priority to those actions considered most important. Monitors must complete the "key action(s) recommended and by whom in order of priority" in the BCS. The actions recommended must be concise and direct. For this reason, the monitor's comments must be carefully considered and be accurate.

This exercise should be repeated for each of the criteria, along with reviewing own notes for legibility, clarity and detail.

5.5.3. Monitoring Report: Methodological Issues

After the Background Conclusion Sheets, the next step is to complete the Monitoring Report according to the template described in Annex A. This section will only discuss the methodological part of the MR, being section "**IV Summary of Conclusion**" and "**V Key observations, action(s) recommended and by whom (in order of priority)**" Please consult Annex G for further guidance on the coding of the MR along new key words.

[33] A grade is a mark given for the standard of work or performance. In ROM it is expressed in a, b, c or d, and considered more a qualitative statement. A rate, or a score, is an expression of the quantity or amount with respect to another, and considered more a quantitative statement. For allowing more quantitative statements in annual reports on ROM the grades could be given numerical values (scores) with a:4, b:3, c:2 and d:1.

IV. SUMMARY OF CONSLUSIONS

The monitor must justify the conclusions in section IV "Summary of Conclusions". Comments should be accurate, concise, direct and based on the Background Conclusion Sheets and its grading. Each criterion should be commented upon separately in the space allocated in the Monitoring Report. The text should summarise the main findings under each criterion and not only copy sections of it. Monitors should note that Monitoring Reports are accessible to all EuropeAid, DG Development & RELEX and Delegation staff via the CRIS database. Whilst National Authorities and PMUs do not have direct access to this database, the Delegation concerned is encouraged to include them in the distribution list of the Monitoring Report.

Monitors are reminded that the report analyses the project status. It should not describe it in general terms but in precise and factual terms while responding to the criteria. Avoid telling stakeholders what they already know. The report is designed to inform stakeholders on project progress so that corrective action can be taken where necessary. The monitors must address the progress of the project, especially with direct reference to the Objectively Verifiable Indicators (OVIs) and Sources of Verification (SoVs).

V. KEY OBSERVATIONS, ACTIONS RECOMMENDED AND BY WHOM (IN ORDER OF PRIORITY)

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 <u>by whom</u>. If several issues require follow-up, the points should be <u>grouped along the intended recipient</u> and <u>placed in order of priority</u>. Thereby the monitor must indicate importance and urgency by assigning at the end of each recommendation a value ranging from (1) to (4) with: (1) = important and urgent; (2) = important but less urgent; (3) = urgent but less important; (4) = less important and less urgent.

5.5.4. Project Synopsis

A Project Synopsis (PS), summarising both the project background and intervention logic is also prepared by the monitor. It should be prepared in simple narrative format and should avoid listing/copy pasting all key elements of the project (objectives, purpose, results and activities from the logframe), instead it must summarise and describe the key issues of the project. (see template in Annex E) The background of the project is indicated in the Financing Agreement, the agreement with similar status or in the Terms of Reference. The intervention logic should be found in the logframe and in the latest progress report. All relevant background references should be included; e.g. if evaluations have taken place recently, and when Directorate or Delegation staff has been visiting the project the last time.

5.5.5. Monitoring Note

<u>Only on exceptional situations</u>

The monitor should only produce a Monitoring Note (MN) in those 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). Final decision when to produce a MN will be taken by the Mission Leader in consultation with the ROM task manager in Aidco.

MNs should also be entered into the CRIS database. Their layout and structure should follow the standard template for the MN as described in Annex C.

5.5.6. Remonitoring

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

- Quality of Design

  There is less emphasis on original design and more on "present" 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?

  If the design remains adequate this aspect does not have to be touched again in a remonitoring report, just a reference to the previous report shall be made. Have recommendations in previous MRs, if any, been considered in the re-design of the project?

- Deviations of grades in actual and previous monitoring

  Deviations of grades, in particular if they are significant (as "b" to "d" or vice versa), have to be explained in the report. If a project has been given a N/A in one of the criteria in the previous report, e.g. in case of a young project whose impact was too early to assess, some development (positive or negative) has to be reported and a grade to be allocated in the next monitoring report.

- Project Synopsis

  In case of remonitoring, monitors must check the accuracy and current validity of the existing PS and, if necessary, update it. For example, if there is a new logframe with new activities or results, riders, addenda affecting the end dates, budget etc.

5.6. Roles and Tools in Quality Assurance

Quality assurance is a tool to be applied continuously throughout the monitoring process. The information and observations reported are only of significance when provided to the relevant persons in the shortest period of time. Mission Leaders and the monitors themselves are the first level of quality control and as such take prime responsibility for its assurance (see Annex I: Flow chart 'Quality in ROM').

5.6.1. Responsibilities in ROM for Quality Assurance and Control

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

Table 5: Responsibilities in ROM for Quality

Who	What
Task Managers for ROM	• Supervision of the ROM system in their geographic region/ Lot • Work plan, day-to-day management of contract and quality control on outputs
Regional ROM Contractors	• Monitoring Reports and related documents are produced according to Handbook • •Assuring quality of all ROM outputs along the consortium's quality assurance system (unique and integral part of the service contract)
The Team Leader of a monitoring mission	• The mission team provides mutual professional support to achieve quality outputs, through discussion and sharing of information • The Mission Leader and team members have to ensure consistency of reporting and credibility, i.e. balancing guidelines and project specifics • Mission Leaders themselves are briefed and updated through regular pre/post mission meetings in the Brussels offices and regular meetings
ROM Coordination - Quality monitoring systems and methodologies unit - E5	• Functioning, design and evolution of the ROM system • Conceptual lead in quality of the system, including its outputs
Contractor supporting coordination	• Assisting Unit E5 in improvement of ROM methodology and operation of system • Supporting E5 in quality matters e.g. guidelines for ROM and ad hoc checks

To secure the consistency in approach among the 7 ROM Lots regular joint working meetings of Team Leaders take place, moderated by the ROM co-ordination support office. These meetings serve as a forum to solve problems, exchange experiences and recent developments in ROM in the different geographic regions and to contribute to a continuous improvement in the ROM system.

5.6.2. The Reporting Scheme

The ROM contractor's Brussels office must have in place an adequate control mechanism to ensure that all reports reach the same level of quality and uniformity.

Monitors must respect a strict timeframe if the report is to be of value. Late advice is useless advice. The timely submission of the reports to TM's at HQ and the Delegations can also be used as an internal indicator for efficiency.

The Monitoring Reports and the BCS as submitted by ***the monitor*** must meet basic criteria before the Mission Leader reviews them.

- All factual information must be filled in, i.e. the first section of the Monitoring Report;
- All sections of the MR and BCS must be addressed. If they are judged not applicable a brief explanation of why must be provided;
- The language used must be clear, unambiguous, without unexplained terminology, abbreviations and spelling errors;
- A specific note must be made for the Mission Leader if any changes were made based upon Delegation / HQ debriefing discussion.

The ***Mission Leader*** has the prime responsibility for the quality check of all MR's 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 the text;
- Conclusions/recommendations/observations are consistent between MR and BCS;
- Any confidential or potentially sensitive information is clearly noted as such and appropriately worded, justified and recorded in the appropriate location;
- Clarity of the text is appropriate to a reader who is not familiar with the project;
- Items that impact on the development of the monitoring system itself can at this point be added to the Mission Report.

A mission is only successfully completed, if ***all Monitoring Reports and BCSs are of good quality and have been submitted within the timeline***. Fulfilling just one of the two criteria is not sufficient. Overall, the Mission Leader must ensure quality and timely submission of the reports. The Mission Leader can return a MR twice but if it is still ***not up to standard*** s/he will have to forward it to the ROM contractor's Brussels office with full explanation. The Team Leader will then follow-up first in respect to quality assurance, and thereafter with regard to implications of payment, etc.

The ***reporting scheme*** below refers to a standard mission of around 12 days, ten projects to monitor and a team of five people. In the case of extended missions, this timeframe will have to be adjusted.

Table 6: Reporting Scheme

Function	*Tasks*	*Time frame*	*Working Days*
Monitor	Produces MR, BCS, PS; sends them together with logframe, Activity and Resource Schedule to the Mission Leader.	Two days per project, average two projects per team member.	**4**
Mission Leader	Reviews content of MR, BCS, PS; Checks conciseness, use of reporting language, conformity with PCM terminology; Forwards corrected documents to the ROM contractor's Brussels office; Receipt is confirmed.	0,4 day per project/MR of other team member, average 8 reports	**3**
Team Leader	TL at Brussels office conducts final review of the report and BCS; Takes follow-up action if required.		**2**
Database Manager	Disseminates the MR and PS to the Task Managers at HQ and the Delegations; Uploads BCS, FA, PS, MR and logframe, Activity and Resource Schedule in CRIS database.		**1**
		Total	**10**

5.6.3. Task Managers Response Sheet

Attached to each Monitoring Report will be an "online Response Sheet" (see further details in Annex D). Task Managers at Delegations and at HQ, respectively, are encouraged to complete this form and provide constructive feedback. Monitors should never expect automatic feedback but should encourage it where possible. Monitors should advise Task Managers in the Delegations at the final debriefing and the Project responsible in HQ of potential issues of concern to avoid any unexpected content.

5.7. Best Practices – Quality in ROM

Quality in the ROM system is the shared responsibility of all ROM stakeholders and cannot be produced in isolation. Quality in ROM starts, among others, with a -regularly reviewed- logframe, activity schedule and work plan: all essential information for the monitor to produce a good MR. For the monitor it will also be very helpful if the 'implementation report' in the CRIS Production database is regularly updated. 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, and internally in the Directorate. For quality in ROM to sustain a timely follow up on recommendations in MR is also essential.

In order to support the production of MRs of consistent best practices for quality assurance have been formulated. A number of 'quality factors', considered essential for the quality of the reports, have been identified. ROM contractors can use the list to check and verify their own internal quality assurance system, while the contracting authorities can use it for discussions on quality in the ROM system. The list is NOT a blueprint and should therefore function as a flexible guidance, subject to regular review and adjustments, where applicable.

The following quality factors can be distinguished:

Table 7: Quality factors

1.	Time budget of the ROM monitoring process;
2.	Availability of documents essential for monitoring, quality and use of this information;
3.	Information from / communication with the EC Delegation, including internal monitoring information in the Implementation Report window;
4.	Understanding of concepts used in the ROM system and the LFM principles;
5.	BCS and relationship with Monitoring Reports, including re-monitoring;
6.	Application of the guidelines contained in the Handbook for the ROM system
7.	Clarity of narrative in the Monitoring Reports;
8.	Feedback on the ROM system and the content of Monitoring Reports;
9.	Existing body of experience in the consortium and periodical update of pool of experts.

Best practices have been formulated for each quality factor, while a separate flowchart links the quality factors to quality activities with reference to specific sections in the Handbook for the ROM system (see Annex I).

5.7.1. Quality Factor 1: Time budget of the ROM monitoring process

- Planning of human and financial resources and time budgeting in advance of each ROM mission is important to differentiate according complexity and type of project
- Time budgeting must include all activities, e.g. time needed for planning, travel / logistics, fieldwork, briefings, meetings, debriefings, as well as ‘after service validation’ of outputs (i.e. check whether all uploaded information is correctly reflected in the ROM database)
- Sufficient flexibility should be built in the time budgeting of each mission in order to spend sufficient time with each individual project
- Time budgeting helps to better manage the ROM process under general time constraints
- It can underpin the need for additional time in specific cases

- Time budgeting is a common responsibility of the regional ROM contractor and the task manager who approves the proposed budget

5.7.2. Quality Factor 2 a): Availability of documents essential for monitoring

- Prior to a mission the availability and quality of documents must be known, in order to track all necessary information or to provide for substitute information
- Time budgeting should take account of projects where not sufficient baseline information is available, in order to allow for adequate time for preparation
- A checklist on the availability of documents for a ROM mission should differentiate between essential documents (financing agreement, logframe - causality chain, contracts, work plan, activity schedule, progress report, implementation report – internal monitoring) and the optional documents (reports from other donors, sector reviews etc)
- Project coordinators must make sure that the latest version of documents are available online, or provide the documents in electronic version to the ROM contractor, if these would not be available at the intranet
- Directorate E through the QSG groups should remind all actors of the importance of a regularly updated logframe, not only for efficient and effective project management, but also for monitoring purposes
- Essential documents in joint donor interventions, like the logframe that are often not part of the contribution agreement, should always be made available through the Financing Agreement of the Commission
- Looking for documents is first the responsibility of the regional ROM contractors, but Delegations and other concerned services have to collaborate actively. If need be, the task manager has to support the contractor in his contacts with the services and Delegations

5.7.3. Quality Factor 2 b): Quality and Use of Information

- A quality logframe is no guarantee for good project performance: the use of it is essential. Other tools (e.g. flow charts; a practical and well structured implementation approach) can complement the logframe or (partly) substitute it.
- Indicators to be used for measuring progress in projects should be SMART: Specific; Measurable; Available at acceptable cost; Relevant to objectives; Time-bound
- In case no (adapted) indicators are available the monitor will have to justify his / her findings on the data available, complemented with (proxy) indicators and based on own expertise and judgement
- The monitor should always report on such difficulty and recommend in the Monitoring Report that project management designs as soon as possible a logframe for using it

- A good logframe has to be ensured by all participants during the project preparation, or by those concerned with the supervision of it. Monitors can only point comments out; going further would risk a conflict of interest

5.7.4. Quality Factor 3: Information from / communication with EC Delegation, including internal monitoring information in the Implementation Report window

- If not already arranged Delegations should assign one contact person for ROM missions

- Planning of ROM missions should be cross-checked at regular intervals with planning of other missions in the same country / region (Mid-term review etc)

- Before launching a mission confirmation should be sought that all projects are eligible, preventing visiting of projects not yet advanced enough to be monitored

- Although the eligibility criteria for monitoring are guiding principles in the selection of projects for ROM missions, some flexibility may be required to cover for specific requests from Delegations

- Exchange of information prior to the mission provides opportunity for the Delegation to indicate issues of special attention during the monitoring (e.g. specific sectoral expertise)

- A regularly updated Implementation Report Window in CRIS Production -responsibility of the Task Manager- is essential information on internal monitoring for the monitor preparing his/her mission

- The points mentioned here would fall under the responsibility of Delegations; or partly under the HQ services for non-deconcentrated projects

5.7.5. Quality Factor 4: Understanding of concepts used in the ROM system and the LFM principles

- Definitions and concepts of ROM should be used in a consistent manner in the MR and BCS e.g.

    - Address the issue in the text field where it belongs

    - Comment also on assumptions in the logframe of the project

- For ex-post ROM and the testing of ROM for SPSPs the respective guidelines should be meticulously consulted

- The key-criterion ‘Efficiency’ must sufficiently report on outputs produced, not only on the progress at activity level

- The prime issues ‘5.2: ownership’; ‘5.5: socio-cultural aspects’ ‘5.6: gender’; ‘5.7: technology choice’ and ‘5.8: environment’ require attention in the BCS

- Grading 'N/A' for sub-criteria in the BCS under ‘relevance - quality of design’, ‘efficiency’, ‘effectiveness ’ is not allowed (and technically also not possible); only sub-criteria under 'impact prospects' and 'potential sustainability' allow for 'N/A'. Such grading should always be explained in the narrative

- In principle no 'N/A' grading should appear in the MR, also not for impact and sustainability, except for well documented and justified circumstances
- Mission leaders play a crucial role in ensuring these quality standards of MR and BCS
- The responsibility lies fully with the regional ROM contractor

5.7.6. Quality Factor 5: BCSs and relationship with Monitoring Reports; including re-monitoring

- The quality of the MR and the BCS are strongly interrelated
- Internal quality control should verify these two key documents among others on:
    - Logic between the narrative text in the BCS and grades assigned in the MR
    - Essential information in the BCS should never be left out in the MR
    - Findings and statements in the MR are further detailed in the BCS, providing essential part of the evidence collected and thereby adding value to the MR
- The grading of 'N/A' in the BCS for sub-criteria can only be applied in applicable cases and the reason(s) why should always be clearly explained in the text
- MRs and BCS for re-monitored projects should pay sufficient attention to present design, to recommendations made in the previous MR and to the update of the Project Synopsis
- The responsibility for good quality lies first with the regional ROM contractor. A check on the consistency MR – BCS should be integrated – if it is not done so already – in the internal quality assurance system of the contractor

5.7.7. Quality Factor 6: Application of guidelines in the Handbook for Monitors

- The Handbook for the ROM system as well as the latest PCM guidelines of the Commission, as integral part of the quality assurance system applied by each ROM contractor
- After each mission a technical check should be performed on the consistency and correctness of the dates, amounts, coding etc in each MR made on-line, also compared to previous MRs already in the database (to be applied before finalising the draft MR, as part of the full and rigorous quality control)
- Regular checks should be performed by the ROM contractor to verify whether information uploaded in the ROM database is also correctly reflected in the database
- Monitors should directly report on visibility in the corresponding section of the BCS and MR if it is specifically mentioned in the logframe and the work plan of the operation

- The responsibility for good quality lies first with the regional ROM contractor. A check should be integrated – if it is not done so already – in the internal quality assurance system of the contractor

5.7.8. Quality Factor 7: Clarity of narrative in the Monitoring Reports

- Monitoring reports are best appreciated if presented in short and structured sentences, with the recommendations in clear, concise language
- Reports of more than two pages length are not necessarily better quality, the maximum length for the MR for ROM ongoing and ex-post is therefore two pages
- Training of monitors on ROM concepts and on report writing should continue to be part of the in-house activities of each ROM contractor
- The responsibility lies first with the regional ROM contractor. A check should be integrated – if it is not done so already – in the internal quality assurance system of the contractor

5.7.9. Quality Factor 8: Feedback on the ROM system and the content of Monitoring Reports

- Meetings between contracting authorities and ROM contractors (including the ROM Coordination contractor) should have 'quality in ROM' as recurrent topic on the agenda, differentiating the subject along the responsibilities of the stakeholders in ROM
- Feedback received through the response sheets on acceptance of the MRs and the application of the recommendations should be encouraged and be periodically analysed
- Timely follow up on recommendations made in the MR is essential for sustaining the quality produced under the ROM system
- Stakeholders in ROM should be regularly interviewed on their perception of the system (through surveys etc.) in order to further improve the system
- Points 1 and 2 are within the remit of the task manager, as well as encouraging the Delegations to follow up on point 3. Point 4 should be covered by the ROM coordination

5.7.10. Quality Factor 9: Existing body of experience in the consortium and periodical update of pool of experts

- A senior monitor should have sufficient specialist knowledge on the sector to be monitored and have good monitoring experience
- It is recommended that senior monitors coach their junior colleagues during missions on the subject and on applying the ROM system
- The pool of approved experts available for ROM missions should be periodically updated for facilitating new developments in the ROM system, like ex-post ROM, monitoring of SPSPs etc

- The responsibility for having a sufficient pool of good monitors lies first with the regional ROM contractor. The task manager is responsible for the speedy approval of qualified consultants proposed

5.8. Dissemination of Monitoring Reports

With the dissemination of the Monitoring Report, the BCS, the supporting documents to the TM's at HQ and Delegations the contractual mandate of the ROM contractor is fulfilled. HQ and Delegation staff can access all MR's and BCS produced and uploaded in the CRIS database. They can also search for reports on other related projects.

However, 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 MR's.

> For monitoring to succeed as a management tool, ***it is strongly recommended that the Monitoring Reports be disseminated to all stakeholders.*** It is at the **Delegations discretion** to disseminate the MR's with recommendations to the concerned stakeholders.

Ideally, the completion of the monitoring cycle would look as following:

Table 8: Responsibilities concerning the Dissemination of a MR

Function	***Tasks***	***Time frame***	***Days after mission end***
Responsible person at Delegation	Confirms the arrival of the MR's received by email Disseminates MR to the Implementing Agencies and other stakeholders; Returns filled Response Sheet	14 days after having received MR's	**26 days**
Responsible person at HQ	Confirms the arrival of the MR's received by email Returns filled Response Sheet. Disseminates MR to relevant stakeholders if deemed appropriate	14 days after having received MR's	**26 days**

The Response Sheet provides feedback to the independent MR, also providing valuable input for the next monitoring of a given project. It is a mutual learning experience for TM's and ROM contractors improving the quality of the ROM system. In situations of serious disagreement about the MR the liaison person in the respective Directorate could be contacted for mediation, although her/his role being rather informal.

5.9. 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. This is why corrective actions must be clearly identified in the Monitoring Report. Recommendations on actions to be taken and by whom and when should be clear and concise, accurate and carefully chosen.

The following table summarises the responsibilities during phase 7 and 8 of the monitoring cycle.

Table 9: Responsibilities concerning the Recommendations

	Responsibility for Dissemination	***Follow-up on which Recommendations***	***Reporting on Implementation of Recommendations***	***Remarks***
HQ Brussels	Only in situation where HQ is responsible for implementation	Supervision on process of follow-up	Reports on specific recommendations in the Implementation Report window [34]	Window to be updated every half year according standard format[35]
Task Manager for project	Responsible together with Delegation/HQ	Monitoring of follow-up actions on all recommendations, irrespectively of addressee	Reports on all relevant recommendations in the Implementation Report window	Window to be updated every 4 months according standard format
Delegation	Responsibility for dissemination to all relevant stakeholders	Follow-up on recommendations addressed to Delegation	Supervision of reporting on all recommendations in the Implementation Report window	Window to be updated every 4 months according standard format
Partner Authority	None	Follow-up on recommendations addressed to authority, e.g. Ministry	Provides information to Delegation on the recommendations addressed to Authority	Co-responsibility with Delegation for follow-up in case of decentralisation
Implementing Agency / PMU	None	Follow-up on recommendations for Implementing Agency/PMU	Reports on progress in regular progress reporting	See guidelines for progress reporting in PCM Guidelines chapter 7.2.8

[34] See Annex L.

[35] Strengthening project internal monitoring - How to enhance the role of EC task managers, Tools and Methods Series, reference document number 3, European Commission - June 2007

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. Delegations /HQ are encouraged to report on the recommendations and their follow-up in the "Implementation Report" window in the CRIS database.

As per guidelines provided Task Managers 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"[36]. They should ideally also report on the follow up of the recommendations.

Monitors at their Brussels offices should therefore always consult the "Implementation Report" window in the CRIS database. It is a basic source of information in case of a first monitoring of a project, and it provides useful insights in case of remonitoring on the follow-up of recommendations stated in the previous Monitoring Report.

5.10. Reporting Requirements of the ROM Contractor

Reporting requirements for the ROM contractor encompass progress reports, annual reports and, on request, synthesis reports. Standardised templates are guaranteeing the uniformity of reporting on ROM by ROM contractors.

Progress reports will keep the respective geographical /thematic Directorate informed on findings and developments in ROM in their region.

The following structure guarantees a quality flow of information:

- Reporting frequency for the progress report of ROM contractors is the same as for an activity report of the Directorates (6-monthly);

- A progress report by a ROM contractor is presented some weeks before an activity report is due, so Directorates can use its content for their activity report;

- ROM progress reports from different regions are based for comparison on a standardised format.

A standard template must guarantee uniformity of reporting by ROM contractors. It comprises the following chapters[37]:

1. Overview of the work plan during the reporting period;

2. Outline of missions planned for the following period;

3. Performances of projects and programmes recorded during the missions;

4. Experiences with ROM system and monitoring progress;

5. Region specific information.

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[36] Instruction Note on Project/Programme Implementation Report in CRIS; AIDCO/HCS D(2004) 12006, April 2004, EuropeAid Cooperation office

[37] See Annex K Template Progress Reporting in ROM

Justification of expenses is part of a separate financial report.

The geographical /thematic Directorate may also request the ROM contractor to produce synthesis reports on cross-cutting issues and sector developments in their region.

ROM contractors must produce yearly a final completion report, describing achievements and assessing whether the objectives and expected results have been attained, including recommendations. It is important that lessons learned are fed back into the design of projects and programmes through formulation of best practises.

The annual report should satisfy first the information requirement of the Directorate. At the same time it must provide essential information for the Annual Report from the European Commission to the Council and European Parliament.

ANNEXES PART I - CONNECTED TO ROM PRODUCTS

Annexe A: MONITORING REPORT

Monitoring reference MR-xxxxx
Report date xxxxxxx
Project title xxxxxx

I. INTERVENTION DATA

Status	xxx		
Monitoring Report Type	Ongoing		
Aid Modality	Project approach		
☐ National Project	☐ Regional Project		
Cris Number	xxxxxxx		
Project Title according to financing agreement/financing	xxx xxx		
Domain	xxxxxx		
Sector (DAC-CRS)	xxxxxx		
Additional DAC-CRS code	xxxxx		
Geographical zone	xxxxx		
Keyword			
Date Financing agreement/financing decision/contract signed	xxxxx		
HQ Responsible	xxxxx		
Delegation Responsible	xxxxx		
Monitor	xxxxx		
Project Authority	xxxx		
Start Date - Planned	x	Start Date - Actual	x
End Date - Planned	x	End Date - Likely	x
Monitoring visit date	From x	to	x

II. FINANCIAL DATA

Primary commitment (EC funding)	x
Secondary commitment (funds contracted of EC contribution)	x
Other funding (government and/or other donors)	x
Total budget of operation	x
Total EC Funds Disbursed	x
Financial data as at	x

III. GRADINGS

Relevance and Quality of Design	x
Efficiency of Implementation to date	x
Effectiveness to date	x
Impact Prospects	x
Potential Sustainability	x

IV. SUMMARY OF CONCLUSIONS

Relevance and Quality of Design

Efficiency of Implementation to date

Effectiveness to date

Impact Prospects

Potential Sustainability

Key observations and recommendations

Annex B: Background Conclusion Sheets

The BCS is since January 2008 a new deliverable.

Currently the BCS 5.1 is under revision and the BCS 6.0 will be released in the course of 2008. One new feature of the BCS will be a list of persons interviewed and documents consulted.

Relevance and Quality of Design

- An operation has to be

  ⇒ **Relevant** to its target groups/beneficiaries, i.e. the project meets demonstrated and high priority needs

  ⇒ **Feasible** within the time frame given (i.e. its objectives can really be achieved): the project is well designed and can deliver tangible and sustainable benefits to its target groups

  ⇒ **Flexible** enough to respond to changes in its environment.

  Under **criterion ”**Relevance and Quality of Design” there has been put more emphasis on design. The actual quality of design is more important than the original design, in particular, if it had weaknesses and has been improved in course of the project life. In case of remonitoring no more comments on original design are required, just a comment on the changes introduced to the original design, if any, and an assessment of the actual quality of project design.

- The existence and quality of a logframe is an explicit sub-issue under feasibility and flexibility of design (see 1.2 in this annex).

Efficiency of Implementation to date

- The issues are broken down into availability of inputs, implementation of activities, achievement of results and partner contribution/involvement. Achievement of results has the highest weight (40%).

- Partner country contribution/involvement in implementation and communication between the partners focuses on ownership by the partner country.

- Question of existence/quality of internal monitoring system is incorporated as a sub-issue under 2.2.

- The existence and quality of work plan; activity and resource schedule are an explicit sub-issue under 2.2.

Effectiveness to date

- Access and use of benefits are considered separately; use of benefits is an important issue under effectiveness and therefore the weight is somewhat higher (30%) than for access (20%).

- Achievement of OVI's and adaptation to changing external conditions are considered as separate sub issues under the issue « likelihood of PP to be achieved », contributing with 40% to the grading of the criterion.

Impact to date => Impact Prospects

- Impact should be valued as “Impact Prospects” in order also to accommodate the monitoring of younger projects, where impact to date is not possible to measure already.

Potential Sustainability

- This criterion applies eight distinct issues.
- There is relative more weight to the issue financial/economic viability (30%).

  In the case a project does not depend on financial/economic viability at all, “Not applicable (N/A)” applies. The remaining applicable grading for the issues determines the overall grading for the criterion sustainability.

Criterion	Weight
1. Quality of Project Design 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.	
1.1 What is the present level of relevance of the project?	**(30%)**
a) Do the planned target groups / beneficiaries correspond to the ones that are actually benefiting?	
b) If applicable: How well did the project management *adjust* the project design (including the intervention logic / hierarchy of objectives) to make it more relevant?	
c) How adequate (relevant) are the aspects addressed in the intervention logic (the logframe) of the project as currently set out? Inputs / Activities, Results, PP, OO, Assumptions.	
d) Are the project purpose and overall objectives consistent with, and supportive of Partner Government policies and relevant sector programmes?	
e) To what extent have key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account for improving the relevance of the project?	

1.2 As presently designed, how feasible and flexible is the project?	**(70%)**
(This is still a judgement on the planning, not on the implementation)	
a) Does a logframe exist? If yes, what is the present quality of the logframe?	
b) Are the OO, PP and results / outputs clear and logical, and do they address clearly identified needs?	
c) Are the OO and PP clearly understood by the project partners?	
d) Is the PP achievable in the project framework?	
e) Are the results appropriate to achieve the PP?	
f) Are coordination, management and financing arrangements clear and do they support institutional strengthening and local ownership?	
g) How much flexibility is built in the design on the input/activity and results level?	

Criterion	**Weight**
2. Efficiency of Implementation to date The fact that the results were obtained at reasonable cost, i.e. how well means and activities were converted into results, and the quality of the results achieved.	
2.1 Availability of means/inputs	**(20%)**
a) To what degree are inputs / resources provided or available on time to implement activities, from all parties identified?	
b) To what degree are inputs provided / available at planned cost (or lower than planned), from all parties identified?	
c) How appropriate are the inputs monitored regularly to allow cost-effective implementation of activities?	
d) Are project resources managed in a transparent and accountable manner which promotes equitable and sustainable development?	
e) To what extent have key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account for improving the appropriateness of means/inputs of the project?	

2.2 Implementation of activities	**(20%)**
a) Is an activity schedule (or work plan) and resource schedule available and is it also used by the project management?	
b) To what extent are activities implemented as scheduled?	
c) To what extent are activities implemented at planned or below planned cost? Specify if necessary.	
d) How well are activities monitored regularly by the project and corrective measures taken if required? (e.g. new activities due to rising additional needs, cancellation of activities)	
e) To what extent have key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account for improving the quality of the implementation of activities?	
2.3 Achievement of Results	**(40%)**
a) Have the OVI's (i.e. targets according to the logframe) been achieved as planned to date?	
b) Have all planned results been delivered to date?	
c) What is the quality of results to date?	
d) How well is the achievement of results monitored regularly by the project and corrective measures taken if required?	
e) To what extent have key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account for improving the achievement and quality of results?	
2.4 Partner Contribution / Involvement	**(20 %)**
a) Are the inter-institutional structures adequate to allow efficient project implementation?	
b) Have all partners been able to provide their contributions to the project?	
c) How good / fluent is the communication between the partner country responsibles, the EU Delegation and the project?	

Criterion	Weight
3. Effectiveness to date The contribution made by the project’s results to the achievement of the project purpose.	
3.1 Have all planned beneficiaries access to project results/services?	(20%)
3.2 Are planned beneficiaries using and also benefiting from the results/services?	(30%)
a) To what extent did the project management actively promote the use of and benefit from these results / services?	
3.3 As presently implemented what is the **likelihood of the PP to be achieved** as envisaged and measured in the OVI's?	(40%)
a) To what extent did the project adapt or is the project prepared to adapt to changing external conditions (assumptions) in order to ensure benefits for the target groups?	
b) If any unplanned negative effects on target groups / beneficiaries occurred, or are likely to occur through the project, to what extent did the project management take appropriate measures?	
c) To what extent are unplanned positive effects contributing to (the quality of) results produced / services provided?	
3.4 To what extent have **key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account** for improving the achievement of the PP?	(10%)

Criterion	Weight
4. Impact Prospects The effect of the project on its wider environment, and its contribution to the wider sector objectives summarised in the project’s Overall Objective.	
As presently implemented, what is the likelihood that the project will	

have a positive wider impact?	
4.1 What is the **likelihood of the assumptions at PP level to be realised**, so that wider project impact is not jeopardised by external factors? i.e. sector and donor co-ordination especially to be considered.	(45%)
4.2 To what extent does the **project monitor its wider positive and / or negative impact on society and sector** and, if necessary, take appropriate measures in order to improve the positive or decrease the negative impact?	(45%)
4.3 To what extent have **key observations and recommendations, if any, from previous monitoring / evaluation visits been taken into account** for improving the achievement of a wider impact?	(10%)

Criterion	Weight
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.	Weight
5.1 Financial / economic viability?	(30%)
a) If the services (results) have to be supported institutionally, are funds likely to be made available?	
b) Are the services affordable for the final beneficiaries at the completion of project?	
c) Are the responsible persons / institutions assuming their (financial / economic) responsibilities?	
d) Can the benefits be maintained if economic factors change (e.g. commodity prices, exchange rate)?	
e) Are the target groups (and relevant authorities / institutions) in the position to afford maintenance and replacement of the technologies introduced and / or used by the project?	
f) Is there a phase-out strategy defined and (to be) implemented?	
5.2 What is the level of **ownership** of the project by beneficiaries and how	(10%)

Criterion	Weight
will it likely be after the end of external support?	
a) How far the project is embedded in local (community) structures?	
b) To what extent have beneficiaries and possibly other relevant interest groups / stakeholders been involved in the planning process?	
c) To what extent are relevant target groups and beneficiaries actively involved in decision-making concerning project orientation and implementation?	
d) What is the likelihood that target groups / beneficiaries will continue to make use of relevant services after external support has ended?	
5.3 What is the level of **policy support** provided and the degree of interaction between project and policy level?	(10%)
a) What support has been provided from the relevant national, sectoral and budgetary policies?	
b) Do changes in policies and priorities affect the project and how well is it adapting, also to long-term needs for support?	
c) How much support did the project receive from the public and private sector?	
d) To what extent does the project contribute to democratisation e.g. promotion of participation, accountability and human rights?	
e) To what extent does the project enhance the role of non-state actors, as partners in public policy making and implementation?	
5.4 How well is the project contributing to **institutional and management capacity?**	(10%)
a) How far is the project embedded in institutional structures that are likely to survive beyond the life of the project?	
b) Are project partners being properly trained for handing over the project (technically, financially, and managerially)?	
c) What is the actual level of availability of qualified human resources to implement the project compared to initial planning?	
d) Are there good relations with new or existing institutions and are they capable of continuing the project flow of benefits?	
e) Is there a phase-out strategy defined and (to be) implemented?	

Criterion	Weight
5.5 How well is the project addressing **social-cultural aspects**?	(10%)
a) Does the project correctly correspond to the local perception of needs?	
b) What was the level of participation of the beneficiaries in the design and ongoing in implementation?	
c) Does it respect local customs and, if changes have been made, have they been accepted?	
d) How good are the relationships between project management and the beneficiaries and their representatives?	
5.6 How well does the project consider **gender equality**?	(10%)
a) Do project contents and methodology reflect a gender-sensitive approach?	
b) Has the project be planned on the basis of a gender-differentiated target group analysis?	
c) Have practical and strategic gender interests been adequately considered in the project strategy?	
d) Have the different interest of women and men been reflected in the project implementation at the target group, institution and policy level?	
e) What is the likeliness of increased gender equality beyond project end?	
f) To what extent will / could the gender sensitive approach lead to an improved impact of the project?	
5.7 How appropriate is the **technology** (human and technical) introduced and used by the project?	(10%)
a) How understandable and flexible it is?	
b) To what extent do the technologies build on existing practices and knowledge?	
c) How well does it encourage the development of local knowledge and capacity?	
d) How well does it maximise the use of local resources?	

Criterion	Weight
5.8 How are **environmental aspects** taken into account?	(10%)
a) Is the project respecting environmental needs?	
b) Is the project managing its environmental responsibilities?	
c) Are stakeholders and beneficiaries aware of the project's environmental responsibilities?	
d) Has environmental damage been done or likely to be done by the project? What kind of mitigation measures has been taken?	
e) How well does the project respect traditional, successful environmental practices?	

List of persons interviewed / group discussions / focal groups /documents analysed

Name	Institutions/ other

Documents analysed

Annex C: MONITORING NOTE

Monitoring reference
Report date
Project title xxxxxx

I. INTERVENTION DATA

Status
Monitoring Note Type
Aid Modality

III. EXPLANATORY COMMENTS

Cris Number	
Project Title according to financing agreement/financing	xxx xxx
Domain	xxxxxx
Sector (DAC-CRS)	xxxxxx
Additional DAC-CRS code	xxxxx
Geographical zone	xxxxx
Keyword	
Date Financing agreement/financing decision/contract signed	xxxxx
HQ Responsible	
Delegation Responsible	xxxxx
Monitor	xxxxx
Project Authority	xxxx

Start Date - Planned	x	Start Date - Actual	x
End Date - Planned	x	End Date - Likely	x
Monitoring visit date	From x	to	x

II. FINANCIAL DATA

Primary commitment (EC funding)	x
Secondary commitment (funds contracted of EC contribution)	x
Other funding (government and/or other donors)	x
Total budget of operation	x
Total EC Funds Disbursed	x
Financial data as at	x

1. Project Background

2. Project Intervention Logic

3. Description of Current Situation

4. Main Observations / Recommendation for Future Monitoring

Annex D: Response Sheet

RESPONSE SHEET – Results-Oriented Monitoring

RESPONSIBLE HQ / EC DELEGATION

VI. Project data

Project Number		**HQ Brussels**	
Project Title		**Delegation**	
Country		**Report Ref. No.**	
Date of Report		**Monitors**	

VII. Assessment of Report

	a	b	c	a	
Clarity?					33%
Explanatory comments: (maximum 4 lines)					
Relevance and accuracy?					33%
Explanatory comments: (maximum 4 lines)					
Appropriate recommendations? (Response to key recommendations – Part V)					33%
General Comments (from section 4): (maximum 4 lines)					

Notes: a = very good; b = good; c = problems; d = deficiencies.

Overall summary:	**a/b/c/d**

VIII. Comments and suggestions

1. Follow-up visit suggested:	6 months	12 months	Longer?
2. Special attention to be paid in the next visit to the following aspects: (maximum 4 lines)			
3. Further comments and suggestions: (maximum 4 lines)			

Name: Responsible HQ / EC Delegation Date:

4. Specific Comment on each Recommendation

In the box below the responsible is asked to comment on actions (to be) taken on each of the recommendations, including why no action has been or will be taken.

Key observations/actions recommended *(Monitor to copy all recommendations from Monitoring Report in boxes below):*	**Task Manager Response** *(Rationale for action being / to be taken, if any; additional comments)*
1.	
2.	
Etc.	

Annex E: Project Synopsis

PROJECT SYNOPSIS

Project Title:	
Project Number:	
Date Financing Agreement signed:	
Country:	
Start Date – actual:	
End Date - planned:	
End Date - likely:	
Primary Commitment (EC funding):	€

1. **Project Background:**

2. **Project Intervention Logic:**

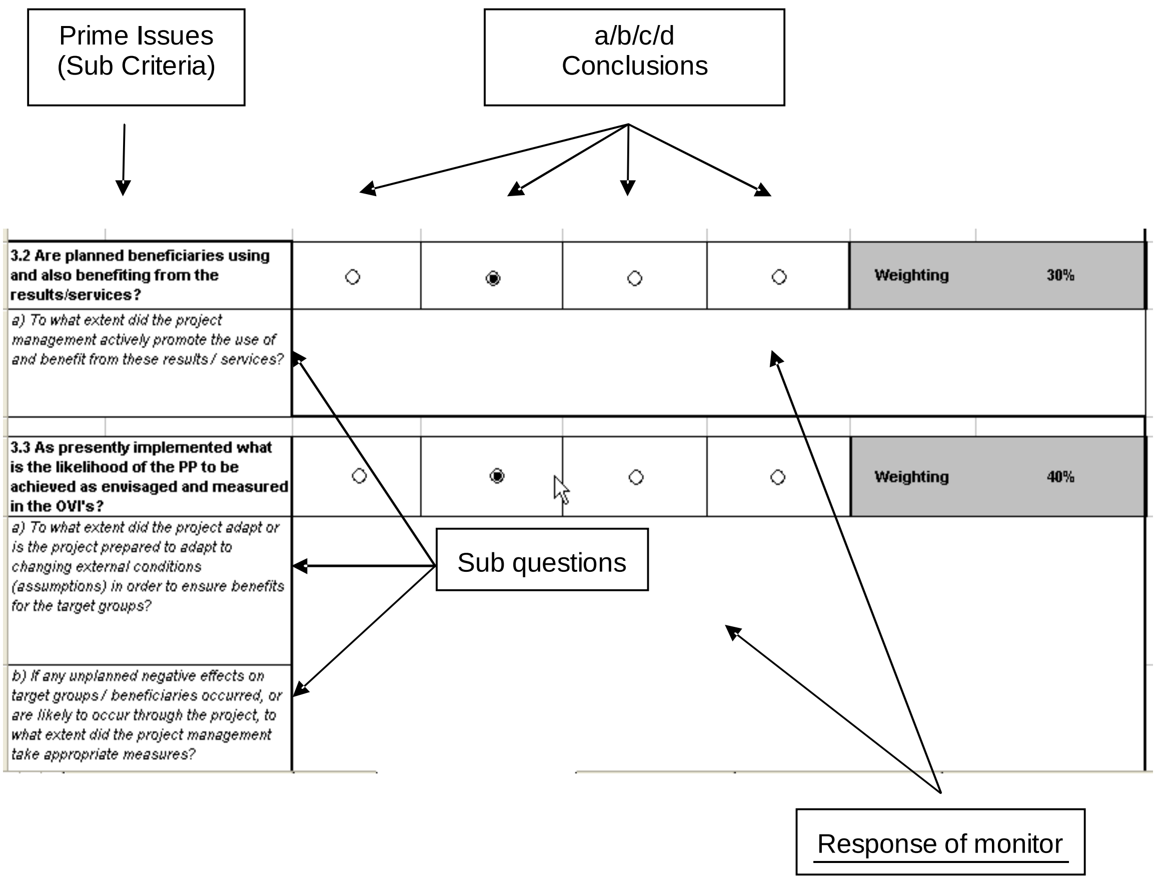
Annex F: Reader on how to fill in the BCS – technical part

Working with the Background Conclusion Sheets - BCS

♦ ***First create, name and save a new BCS for your project to be monitored***

To insert a new paragraph within a box of the BCS, the command ALT + ENTER should be applied.

Figure 5: Effectiveness to date - An Example of how to complete the BCS



The response to the sub-issues is made in the field to the right. The BCS template has been set up so that monitors click on the box that they judge most appropriate. A grade (a, b, c or d) must be added in all circumstances. Only in some instances "Not Applicable" N/A, might apply, see therefore Section 5.5 of the manual on Writing Reports - *methodological part*.

Having completed each prime issue by giving it an individual grade, the average is automatically calculated and appears in the box "overall conclusion" at the foot of the page (each individual grade is weighted according to relative importance).

MONITORS MUST NOT TAMPER WITH THE EQUATIONS

Monitors should then manually copy this letter (a, b, c, d) into Section III "Summary of conclusions" of the Monitoring Report. Always check that the grades in the MR and BCS are consistent with each other.

Annex G: Keywords for encoding Monitoring Reports

One of the following key words has to be chosen for each Monitoring Report from a stroll down list in the new MR template:

1. **Poverty Reduction**
2. **Emerging Diseases** (for example: Avian Influenza and SARS)
3. **Health systems strengthening** (internationally used cover term for a variety of interventions in the health sector and it covers well human resources for health issues)
4. **Migration & Asylum** (legal, illegal human beings traffic, asylum policy)
5. **Research and Development** (including trans-national university cooperation)
6. **Youth and Children**
7. **Environment Mainstreaming**
8. **Climate Change**
9. **Regional Integration**
10. **Security** (including security systems reform, integrated border management, fight against crime + terrorism)
11. **Conflict** (conflict prevention, conflict resolution, demobilisation, small arms, landmines, weapons of mass destruction)
12. **Good Governance** (awareness raising judiciary systems reform, fiscal reform, administrative reform)
13. **Fight against Corruption**
14. **Support to Decentralisation**
15. **Visibility** (including awareness raising in Europe)
16. **Private Sector Development** (including business sector)
17. **Trade Development**
18. **Employment & Social Inclusion**
19. **Economic Cooperation**
20. **Technical Cooperation** (capacity building and capacity development)

The monitor is requested to consult first the guideline with definitions for each of the key words: http://www.cc.cec/dgintranet/europeaid/activities/rom/4_methodology/use_rom_db_en.htm

Annex H: Glossary of terms

The glossary of the Handbook for the ROM system is based on the PCM Guidelines, although 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, a graphic representation similar to a bar chart, 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.

Analysis of Strategies

Critical assessment of the alternative ways of achieving objectives, and selection of a set of 'feasible' objective clusters for inclusion in the proposed project.

Appraisal

Analysis of a proposed project to determine its merit and acceptability in accordance with established quality criteria. In the context of the EC's Project Cycle, appraisal is carried out both during project identification and formulation, prior to the submission of a Financing Proposal. At Headquarters level, appraisal should generally involve input from the Quality Support Group.

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 a resource transfer from the donor directly to the partner government (into the consolidated account). The resources can be either non-targeted or targeted. Targeted budget aid requires that resources only be used for specific lines of the national budget (such as supply of medicines, building of schools, provision of educational supplies, etc).

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

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.

Decentralisation[38]

Decentralisation means passing responsibility from the Commission to the beneficiary country.

Deconcentration[39]

Deconcentration means passing 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.*

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[38] Communication from the Commission to the Council and the European Parliament concerning the development of the external services, dated 18.7.2000

[39] ibid

- *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 to the achievement of the project purpose.

Efficiency

The fact that the results were obtained at reasonable cost, i.e. how well means and activities were converted into results, and the quality of the results achieved.

Evaluation

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

Feasibility

Addresses the issue whether the project objectives can really be achieved.

Feasibility Study

A feasibility study, conducted during the Formulation phase, verifies whether the proposed project is well founded, and is likely to meet the needs of its intended target groups/beneficiaries. 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

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.

Gantt Chart

A method of presenting information graphically; often used for activity scheduling. Similar to a bar chart.

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.

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 under the Common Relex Information System - CRIS for reporting on internal monitoring on project management level along a menu with eight headings. 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

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

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.

Objective

In its generic sense it refers to Activities, Results, Project Purpose and Overall Objective.

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 provide the basis for designing an appropriate monitoring system.

Overall Objective (also sometimes known as ‘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.

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.

Pre-conditions

Conditions that have to be met before the project can commence, i.e. start with Activities. Pre-conditions (if any) are attached to the provision of aid.

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).

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

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.

An assessment should include the quality of project preparation and design – i.e. the logic and completeness of the project planning process, and the internal logic and coherence of the project design.

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

In the EC's Logframe Matrix hierarchy of objectives, Results are the tangible products/services delivered as a consequence of implementing a set of Activities. The hierarchy of objectives used by some other donors (and indeed within the context of some EC programmes) refer to these results as '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.

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 Sector Policy Support Programme (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) Sector Budget Support; (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 who will be positively affected by the project at the Project Purpose level.

Terms of Reference

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.

ANNEXES II CONNECTED TO ROM SYSTEM AND PROCESSES

Annex I: Quality Assurance system of ROM

The following flowchart reflects which quality actions are indispensable to support the quality factors, summarised in the second column. The fourth and fifth column indicate which principal stakeholder is in charge for taking action. In the last column reference is made to related pages in this Handbook.

Time line	**Quality Factors**	**Quality Actions**	**Action by**		**Reference to Handbook**
			Delegation and/or HQ	**ROM Contractors**	
ê	**1. 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		•	Section 5.3.2; Annex J
ê		1.2 Provide BCS / MR on time and familiarise new monitors with BCS and MR templates (if applicable)		•	Section 5.5
ê		1.3 Make project documentation timely available to all monitors for preparation of their mission	•	•	Section 5.3.1
ê	***Preparation phase is effective***	1.4 Discuss mission plan and team instructions / responsibilities and ensure these are well understood		•	Section 5.3.3
ê		1.5 Mission leader to establish contact with TMs and Delegation for facilitation of the mission	•	•	Section 5.3.1; section 5.3.2
ê		1.6 Communication established and arrangements made for (de) briefing with Delegations & other stakeholders	•	•	Section 5.4.2
ê	***Field time for monitoring is sufficient***	1.7 Confirmation of logistic planning with Delegations, ensuring balance between travel time & site visits	•	•	Section 5.4.3
ê		2.1 Checklist differentiating between essential documents - optional papers, indicating their availability & quality		•	Section 5.4.1
ê		2.2 Essential documents: financing agreement, logframe - causality chain, contracts, work plan, activity schedule, progress reports, Implementation Report	•	•	Section 5.4.1
ê	**2. Availability, Quality and Use of Project documents**	2.3 Optional papers: sector reviews; evaluations - reviews from other donors etc.		•	Section 5.4.1
ê		2.4 Latest version of documents available online: updated Implementation Report; latest progress report / LF etc	•		Section 5.4.1
ê		2.5 Monitor to report in MR, once having difficulty producing a quality MR as result of insufficient baseline information; or as result of insufficient quality		•	Section 5.4.1
ê	**3. Information from / Communication with Delegation, including Implementation**	3.1 Delegations to assign one contact person for all communication on (preparing) ROM mission	•		Section 5.3.4
ê		3.2 Planning of ROM missions at regular intervals cross-checked with planning of other missions	•		Section 4.1.2

Time line	Quality Factors	Quality Actions	Action by: Delegation and/or HQ	Action by: ROM Contractors	Reference to Handbook
ê	**Report window**	3.3 Confirmation that all projects are eligible for ROM; while flexibility allows for specific request Delegation	•		Section 4.1.2
ê		3.4 Prior to ROM mission Delegation communicates issues of special attention relevant for monitoring	•		Section 4.1.3 – 5.3.2/4
ê		3.5 Regularly updated Implementation Report is essential information for a well prepared ROM mission	•		Section 5.8
ê		3.6 Ensure that draft conclusions and key observations are identified for discussion during the debriefing		•	Section 5.4.8
ê	**4. Understanding of ROM Concepts and LFM Principles**	4.1 Provide for training of monitors in understanding and applying concepts used in ROM (e.g. BCS, MR, PCM)		•	Section 5.6.1
ê		4.2 Ensure that grading in MR is a logic conclusion of the narrative in BCS & key actions can be recommended		•	Section 5.5.3
ê		4.3 Ensure that all sub-criteria in the BCS receive equally sufficient attention		•	Section 5.5.2
ê		4.4 Grading with 'Non Applicable' (N/A) should always be explained in the narrative of the BCS and MR		•	Section 5.5.2
ê		4.5 Narrative on 'Efficiency' in MR must sufficiently report on the outputs produced, not only on activities		•	Section 5.5.2
ê		4.6 Ensure that monitoring reports can be readily used for project management purposes		•	Section 5.6.2
ê	**5. Relation BCS and MR, including Re-monitoring**	5.1 Ensure that monitors understand the complementary relationship between BCS and MR, also in quality		•	Section 5.4.4
ê		5.2 Identify need for monitor to provide separate personal note in addition to BCS, if applicable; and/or to substitute the MR with a Monitoring Note (exceptional)		•	Section 5.5.1
ê		5.3 Ensure that ROM is conducted against (updated) LF matrix, including activity schedule and work plans		•	Section 5.4.6; Section 5.4.7
ê		5.5 Project synopsis to provide for adequate information on context and intervention logic		•	Section 5.5.4
ê		5.5 Verify that monitors first complete the BCS before drafting the Monitoring Report		•	Section 5.5
ê		5.6 Re-monitoring must pay attention to present design, recommendations and updating of Project Synopsis		•	Section 5.5.6
ê	**6. Application of the Guidelines in the**	6.1 Monitors use the Handbook for Monitors during the mission, as well as the latest PCM guidelines		•	Section 5.6.2

Time line	Quality Factors	Quality Actions	Action by: Delegation and/or HQ	Action by: ROM Contractors	Reference to Handbook
ê	**Handbook**	6.2 Ensure that BCS and MR are written in accordance to guidelines in the Handbook for Monitors		•	Section 5.5.2; Section 5.5.3
ê		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		•	Section 5.6.2
ê		6.4 Conduct an 'after service validation' on uploaded information in the ROM database; including checks on dates, grades and coding of Monitoring Report		•	Section 5.5; Annex F
ê	**7. Clarity of Narrative in Monitoring Reports**	7.1 Provide a narrative that is legible, clear, accurate, concise, factual, direct and responding to the criteria		•	Section 5.6.2
ê		7.2 Observe the quality standards (Quality Frame) and key criteria for requested information in BCS and MR		•	Section 2.7
ê		7.3 Make key observations, what action to be taken by whom, what follow-up is required and prioritised		•	Section 5.8
ê	**8. Feedback on ROM Output**	8.1 Encourage the feedback from ROM stakeholders on Monitoring Reports through the response sheets	•		Section 5.6.3
ê		8.2 Timely follow up on recommendations in the MR, and reporting on it in the Implementation Report	•		Section 5.8
ê		8.3 ROM stakeholders to be regularly interviewed on their perception of the ROM system	-	-	ROM coordination
ê		8.4 Ensure that meetings between contracting authorities and ROM contractors have quality as topic on agenda	•		No specific reference
ê	**9. 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		•	Annex J
ê		9.2 Ensure that the mission leader has time and capacity to provide quality control on all BCSs and MRs		•	Section 5.6.2
ê		9.3 Allow during mission for coaching of junior monitors (not funded by the Commission) by their senior colleague on subject and ROM system		•	Section 5.6.1
ê		9.4 Have preferably the same monitor conducting the re-monitoring, unless other considerations apply		•	Section 5.4.4
ê		9.5 Facilitate that monitors will systematically record best practices and approaches in ROM	•	•	Section 5.6.1

Annex J: Profiles Mission Leader and Monitors

A) Profile and Responsibilities Mission Leader

Profile

Technical Skills:

- Monitoring and / or evaluation experience; Knowledge of monitoring/ evaluation methodology and techniques
- Academic degree and at least ten years of international working experience in developing countries / emerging economies of which five as team leader/project manager;
- Good knowledge of development/cooperation programmes in the given country / the region and in particular knowledge of EC funded projects and programmes;
- Sectoral expertise relevant to key EC projects implemented in the country of the mission;
- 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).

Interpersonal Skills:

- Proven leadership skills with international, interdisciplinary teams;
- Intercultural sensitivity;
- Good communication and interviewing skills;
- Team player and team building capacities;
- Self driven, quick learner;
- Analytical skills;
- Stress resistant and frustration tolerant;
- Neutral and objective attitude;
- Committed to loyalty and confidentiality.

Responsibilities

Prior to the field mission the mission leader

- Receives project documentation from the ROM contractor’s head office in Brussels (Brussels Office);

- Attends a briefing meeting with the Team Leader or Deputy TL and available Task Managers in Brussels/Delegation (the Brussels Office sets up the meetings);

- Familiarizes him / herself with the available information of the project portfolio to be monitored before the meeting;

- Contacts the Delegation, if necessary, to make any logistical arrangements apart from setting up the first briefing meeting in-country and arranging initial hotel accommodation (both of which are done by the Brussels Office);

- Contacts the National monitor / local source of logistical assistance (identified by the Brussels Office) to arrange in principle transport, translation and to identify more National monitors, if deemed necessary;

- Obtains an advance, from his / her own company, to cover all eligible costs not covered by per diems, such as monitoring related in-country transport, National monitors etc. The TL / DTL will advise on mission budgets. Any additional expenditure or changes to international travel are subject to prior approval;

- Checks that all team members have an accident insurance covering the mission risks;

- Retrieves information on the security situation in country (e.g. websites www.alertnet.org, www.fco.gov.uk, http://travel.state.gov, www.auswaertiges-amt.de).

During the mission s/he:

- Confirms safe arrival of the team and informs if general security situation in project areas allow field visits;

- Leads the briefing and de-briefing with the Delegation;

- Makes final decisions on mission logistics and how much travel is necessary;

- Pays locally incurred expenses and keeps all signed monitors´ timesheets and original receipts;

- Ensures the other monitors appreciate what is ultimately expected of them in terms of reports and documentation (Monitoring Report, Background Conclusion Sheets, Project Synopsis, Logical Framework Matrix, Implementation Schedule) – wherever possible in electronic form;

- Ensures that the best practices on quality of Chapter 5.7 are followed

- Emphasizes that all team members must write the reports on the subsequent working days after the mission, so that if they have 1 report they submit the report 2 days after end of mission, in case of 2 reports 4 days later;

- Negotiates and countersigns contracts with National monitors and the Statement of Undertaking if that has not been done prior to the mission and also collects their signed time sheet;

- Manages the mission in general.

After the mission the Mission Leader will:

- Prepare his/her own monitoring reports and all supporting documents;
- Prepare a Mission Report;
- Clear all the other Monitor Reports and supporting documents for submission to the Brussels Office within 8 days after the end of the mission;
- Attend a debriefing mission in Brussels at the beginning of the second week after the mission with the TL or DTL and Task Managers set up by the Brussels Office;
- Ensure that new information / documents obtained in country are sent to the Brussels Office.

B) Profile and Responsibilities of monitors

Profile

Technical Skills:

- Monitoring and / or evaluation experience; Knowledge of monitoring/ evaluation methodology and techniques
- Academic degree and, corresponding to the level of expertise for the function[40], a sufficient number of years relevant international / regional working experience, preferred in developing countries / emerging economies;
- Good knowledge of development/cooperation programmes in the given country / the region and in particular knowledge of EC funded projects and programmes;
- Sectoral expertise relevant to key EC projects implemented in the country of the mission;
- 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).

Interpersonal Skills:

- Good communication and interviewing skills;
- Intercultural sensitivity;
- Team player;
- Analytical skills;
- Self driven, quick learner;
- Stress resistant and frustration tolerant;
- Neutral and objective attitude;
- Committed to loyalty and confidentiality.

Responsibilities

- Preparation for the mission under supervision of the Mission Leader, which includes familiarising him/herself with project documentation and country information as distributed by the ROM contractor's Brussels office;

[40] Junior level: university masters degree or equivalent and less than 5 years of relevant expertise; Medium level: university masters degree or equivalent and 5 - 10 years of relevant expertise; Senior level: university masters degree or equivalent more than 10 years of relevant expertise.

- Carrying out the monitoring function as described in the mission ToRs and as interpreted in consultation with the Mission Leader;
- Ensuring that agreed criteria and indicators are applied during the monitoring process and that the procedure is carried out in a strictly professional manner in accordance with established guidelines;
- Liaising closely with all stakeholders during the monitoring process to ensure that opinions are collectively unbiased;
- Preparing of monitoring reports and submission of these reports in a timely manner as per mission instructions.

Annex K: Template for Progress Reporting in ROM

The ROM contractor must use the following frame for presenting its progress report on ROM to the respective Directorate (a more worked out template is separately available to the ROM contractors):

1. INTRODUCTION
   - 1.1. Situation at start of period and developments during the period
   - 1.2. Summary of lessons learned and recommendations from previous report
2. REVIEW OF THE WORK PLAN
   - 2.1. Missions planned and realised
   - 2.2. Resources used
   - 2.3. Achievements
   - 2.4. Lessons learned and recommendations
3. OUTLINE FOR NEXT REPORTING PERIOD
   - 3.1. Mission planning for next period
   - 3.2. Other activities foreseen in work plan
   - 3.3. Update of work plan
4. PERFORMANCE OF PROJECTS AND PROGRAMMES MONITORED
   - 4.1. Countries visited
     - 4.1.1. Overview of national projects monitored
     - 4.1.2. Overview of NGO and thematic budget line projects monitored
     - 4.1.3. Overview of regional programmes monitored
     - 4.1.4. Overview of Sector Support programmes monitored
   - 4.2. General performance of projects and programmes
   - 4.3. Conclusions and recommendations
5. EXPERIENCES WITH ROM SYSTEM AND MONITORING PROCESS
   - 5.1. Use of Logframe as a management tool
   - 5.2. Briefings and debriefings
   - 5.3. Background conclusions sheets and monitoring reports
   - 5.4. Response sheets

5.5. MR recommendations

5.6. Other monitoring instruments

5.7. ROM and the Implementation Report window for internal monitoring

5.8. Lessons learned and recommendations

ANNEXES

ANNEXES PART III - CONNECTED TO INFORMATION GATHERING AND ANNUAL REPORTING

Annex L: Implementation Report Format Common Relex Information System

In order for Monitors to understand what kind of information they can expect from the CRIS Implementation Report:
Task Managers are required to regularly fill in the CRIS Implementation Report. Project monitoring by EC task managers will support and substantially facilitate effective use of the CRIS Implementation Report. In particular, the use of project progress reports from implementing partners, ROM reports and information sourced from field visits and internal project review meetings should assist in completing sections 5 and 8. Information required in the CRIS Implementation Report:

Sections to be filled first time the operation is registered in CRIS or if context, objectives and envisaged results are modified during implementation.

Heading	Description of contents
1 Description	Describe the project including: (i) overall objective, purpose and results; (ii) main activities, (iii) location and duration, and (iv) cost and key inputs (Maximum 25 lines)
2. Origin, context and key assessments	Briefly describe the: a) rationale/justification for the project, the link with the Commission policy and with the programming document and any complementarities with other ongoing and planned initiatives b) main conclusions arising from the assessment of the project context, namely: (i) link to partner policy priorities; (ii) stakeholders' analysis, including institutional capacity assessment; (iii) problem analysis; and (iv) strategy analysis. (Maximum 30 lines)

Sections to be updated regularly (at least every six months with the EAMR).

Heading	Description of contents
3. Summary of project implementation	Summarize the main features of the implementation of the project highlighting main developments, problems encountered solutions given and lessons learned (15 lines).
4. Changes in context and in the key assessment areas	Summarise changes in the project operating environment/context (positive or negative) since the start of the project, which may impact on the project's relevance and/or feasibility, mentioning where relevant major developments since the last report. Reference should be made to assumptions/risks and to the quality of project management, highlighting any implications for modifications to project plans (Maximum 25 lines).
5. Progress in achieving objectives	Summarise state of progress since the start of the project towards achieving the project purpose, delivering results and implementing main activities, mentioning where relevant major developments since the last report. Compare progress against plans (using Logframe indicators as appropriate). Focus on positive achievements and prospects for the sustainability of benefits (Maximum 25 lines)
6. Financial execution	Indicate time elapsed as % of total project duration as well as project contracting commitments and payment rates. Briefly review causes of possible deviations from plans and if necessary indicate correcting measures. (Maximum 10 lines)
7. Issues arising and action required	What constraints/problems are currently being faced? What action has been taken, and by whom, to address these? What further action is required to support effective implementation, by whom and when? (Maximum 25 lines)
8. Cross-cutting and other issues	What progress is being made in achieving cross-cutting objectives in relation to such concerns as gender equality, environmental protection and good governance? Other issues should include references to evaluation, audit or Result Orientated Monitoring reports if any. (Maximum 15 lines)

In order to properly reflect on the history of the project it is essential that updating the Implementation Report does not overwrite information from previous reporting.

Annex M: ODA sectors and sub-sectors

Social Infrastructure and Services (1)	**110, Education** **111, Education, level unspecified** **112, Basic education** **113, Secondary education** **114, Post-secondary education** **120, Health** **121, Health, general** **122, Basic Health** **130, Population policies / programmes and reproductive health** **140, Water supply and sanitation** **150, Government and civil society** **160, Other social infrastructure and services**
Economic infrastructure and services (2)	**210, Transport and storage** **220, Communications** **230, Energy generation and supply** **240, Banking and financial services** **250, Business and other services**
Production sectors (3)	**311, Agriculture** **312, Forestry** **313, Fishing** **321, Industry** **322, Mineral resources and mining** **323 Construction** **331, Trade policy and regulations** **332, Tourism**
Multisector/Crosscutting (4)	**400, Multisector/Crosscutting** **410, General environmental protection** **420/15164, Women in development (Women's equality organisations and institutions)** **430 Other multisector**
Commodity aid and general programme assistance (5)	**500, Commodity aid and general programme assistance** **510, General budget support** **520, Developmental food aid/Food security assistance** **530, Other commodity assistance**
Humanitarian Aid (6)	**700, Humanitarian Aid** ***(see OECD list only occasionally monitored under ROM)***
Other (7)	**910, Administrative costs of donors** **920, Support to non-governmental organisations** **998, Unallocated / unspecified**

Annex N: Commission's Contact points for ROM

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