

Handbook for Monitors

Results-oriented Monitoring of External Assistance financed by the EC

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Responsibility

The revision of the 'Handbook for Monitors' is the work of the external Coordination Office for the results-oriented monitoring and does not necessarily represent the views of the European Commission.

The Commission has not yet validated this draft final document. The authors take full responsibility for any error or misinterpretation.

PREFACE

This is a new and revised edition of the Handbook for Monitors. It is replacing the version of February 2001 and includes additional chapters on sampling, remonitoring, the consequences of the deconcentration process for results-oriented monitoring, how to link internal and external monitoring, as well as relevant updates on methodology. The handbook aims to share good practise gained in monitoring during the last years.

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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
CSP	Country Strategy Paper
Database Manager	Person responsible in the Monitor's Brussels office for uploading data
EC	European Commission
EDF	European Development Fund
EU	European Union
FA	Financing Agreement
HQ	EC Headquarters in Brussels
LFA	Logical Framework Approach
LFM	Logical Framework Matrix
Liaison Person	Task Manager responsible for managing a ROM service contract in HQ
MDGs	Millennium Development Goals
MED	Mediterranean region
Mission Leader	Head of a monitoring team for a ROM mission
MN	Monitoring Note
Monitor	Consortium contracted for results-oriented monitoring in a geographic region
monitor	(Member of) team executing a mission for results-oriented monitoring
Monitor's Brussels office	Central operations office of a ROM contractor
MR	Monitoring Report
MTR	Mid-term Review
OVI	Objectively Verifiable Indicator
PCM	Project Cycle Management
PMU	Project Management Unit
PS	Project Synopsis
ROM	Results-oriented Monitoring
RS	Response Sheet
RSP	Regional Strategy Paper
SOV	Source of Verification
TACIS	Technical Assistance to the Community of Independent States
Team Leader	Head of the Monitor's central operations office in Brussels

1. INTRODUCTION

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

The 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. In early 2001 the results-oriented monitoring was running at full scale, resulting in 472 projects being monitored in 67 countries worldwide at the end of 2001.

At the turn of 2002 the ROM system went into a consolidated phase. Five teams, each representing a different monitoring contractor, and organised along geographical lines (TACIS and the Balkans - CARDS being in one team) were working from that date under the responsibility of their geographical Directorate of EuropeAid.

The most important user group of the handbook are still the Monitors contracted to execute the ROM and their teams. However, it is not only a practical guide for monitors, it is also useful for the Task Managers¹ in EC Delegations and at the Headquarters. A survey on ROM conducted in 2003 among Delegations confirmed a frequent use of the ROM system. And indeed, they are part of the monitoring process, and assume a crucial role, especially in briefing/debriefing, in dissemination of the Monitoring Reports and in the follow-up on recommendations.

2. THE EUROPEAN UNION AND ITS EXTERNAL COOPERATION

2.1. The European Union

The Declaration on the Community's development policy² states that the European Union is a major player in the development sphere. It is the source of approximately half of the public aid effort worldwide and is the main trading partner for many developing countries. The European Community, providing just a third of the EU's overall aid flows, is the world's single most significant aid donor. It provides € 7 billion per year to more than 150 countries, territories or organisations worldwide³.

Since November 2000 the Community has one overall framework to guide its cooperation and partnerships with all developing countries with which it has links. The principal aim of the Community's development cooperation policy is to reduce poverty with a view to its eventual eradication. Therefore, the Community is determined to support poverty reduction strategies, which are based on the analysis of constraints and opportunities in individual partner countries. These strategies must contribute to the strengthening of democracy, to the consolidation of peace and the prevention of conflict, to gradual integration into the world economy, to increase the awareness of social and environmental aspects with a view to sustainable development, to the equality of men and women and to capacity-building.

The EU has set its development efforts firmly in the global context, and is working with others to achieve the Millennium Development Goals endorsed by UN Members at the Millennium Summit⁴, and regularly reviewed.

¹ Also called Project Manager in TACIS and CARDS regions.

² Communication from the Commission to the Council and the European Parliament, on ‘The European Community's Development Policy’, 26/04/00

³ Annual Report 2003 on the European Community's Development Policy and the Implementation of External Assistance in 2002; http://europa.eu.int/comm/europeaid/reports/index_en.htm

⁴ See for the MDGs <http://www.oecd.org/dataoecd/30/28/2754929.pdf>

In order to maximise its own impact within the global development framework, the Community is focusing its assistance in 6 priority areas where it can add particular value: the link between trade and development; regional integration and cooperation; support for macroeconomic policies and equitable access to social services; transport; food security and rural development; and institutional capacity building in particular good governance and the rule of law. The promotion of Human Rights, equality of men and women, environmental sustainability and conflict prevention are integrated at every stage and within all of the Community's assistance programmes. For each country and region, a smaller number of areas for intervention is agreed in consultation with the country/countries concerned and taking account of other donor's plans.

2.2. Effective Targeting of Resources

In 2000 the Commission launched a programme of reform for the management of external assistance. Among its main objectives are:

- Improve the quality of projects and programmes;
- Reduce the time needed for implementation;
- Ensure that procedures for financial, technical and contractual management conform to the highest international standards.

As part of its commitment to increasing the impact of its assistance, the Community pays particular attention to the least developed and other low-income countries. The Community's resource allocation decisions also take account of the efforts of partner countries to reduce poverty, as well as their performance and absorption capacity. This policy leads to assistance programmes adapted to specific local or regional challenges where required.

This ranges from political and economic reform and stability in the Balkans (CARDS), to transition towards market economy and democracy in the Newly Independent States and Mongolia (TACIS), to sustainable socio-economic development in the Mediterranean (MED). In Latin America (LA), fighting social inequality and building more cohesive societies are overriding priorities, combined with support to increase the competitiveness of Latin American enterprises. Asia is home to two-thirds of the world's poor. Food-security, health and access to basic services are pressing issues in the region's lower-income countries, whilst serious disparities of income and opportunity still challenge many middle-income countries. Since April 1, 2003, cooperation with African, Caribbean and Pacific (ACP) countries falls under the framework of the Cotonou Agreement. The Pacific and Caribbean regions contain many small-island states, whilst in Africa several conflicts are exacerbated by the size and fragility of countries. The majority of ACP countries are Least Developed Countries, marked by a particularly low per capita income and severe infrastructure problems.

For more information on the different instruments applied the reader is invited to consult the latest annual report from the Commission to the Council and the European Parliament⁵.

A major strategic achievement of the EC was the completion of the first generation of regional and country strategy papers (RSP – CSP) in 2002, under the new common framework process⁶. The country and regional strategy papers constitute an important tool for analysing and suggesting the right policy mix. The Community has further improved its coherence at the central policy level. The Inter-service Quality Support Group, together with EuropeAid's Quality Support Group, ensures the consistency of strategies, for all partner countries with which the Community has links.

A New Financial Regulation⁷ came into force on 1 January 2003. All contracts implementing a Financing Agreement, except those concerning audit and evaluation, must now be signed within three years from the date of the budgetary commitment. EuropeAid Co-operation Office is

⁵ To download from: http://europa.eu.int/comm/europeaid/reports/index_en.htm

⁶ Conclusions of 10 November 2000 Development Council and SEC (2000)814, SEC (2000)1049 of 15/06/00.

⁷ Council Regulation EC n° 1605/2002 of 25/06/00

implementing simplified and harmonised contracting procedures. Also, a new general framework has been adopted for the European Development Fund (EDF) that is very similar to the one used for projects financed from EC funds, reducing the time needed to complete the tendering process and facilitating the implementation of operations.

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

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 are⁸:

- Deconcentration will finally concern all programmes;
- Deconcentration will concern all phases of the project cycle;
- Role of Headquarters evolves 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 provided⁹. These basic arrangements are supplemented by a system of external monitoring (also known as result-oriented monitoring or ROM) carried out on a sample of projects.

The Commission has now completed the process of deconcentration of management responsibilities for geographical programmes in 62 of their 78 Delegations in Europe, the Mediterranean, Asia and Latin America, bringing decision-making much closer to partner countries. In the remaining 16 ACP Delegations the deconcentration is in its 3rd phase¹⁰ and shall be completed by the end of 2004.

2.4. Projects and 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

⁸ Annual Report 2003 on the European Community's Development Policy and the Implementation of External Assistance in 2002.

⁹ 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

¹⁰ See also index per country on <https://intracomm.cec.eu.int/EUROPEAID/mngt/world.htm>

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.

The definition of a programme depends essentially on how a responsible authority chooses to define it. A programme may cover (part of) a sector, a 'package' of projects with a common focus or is a large project with a number of different components. A programme is defined as having several components, often covering more than one country and carrying broader economic and policy objectives.

2.5. Sector Support and Budget Support

Community aid instruments are slowly changing from project to sector support and to direct budget support where the conditions allow so. These instruments also have to be monitored to lead to a more efficient management and allocation of resources. Generally, they are supported by several donors, and follow a multi-donor approach, and should thus be monitored in a joint-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 non-targeted sector budget support. Several programmes monitored under ROM have already characteristics of sector and budget support programmes. New tools will therefore be developed to accommodate the special requirements of these programmes. Reference to monitoring of sector support and direct budget support is made in the guidelines of the Commission for these operations¹¹.

2.6. PCM Principles and the Logical Framework Approach¹²

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;
- 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.

¹¹ For sector support please consult: http://europa.eu.int/comm/europeaid/qsm/sector_en.htm and for budget support consult: http://europa.eu.int/comm/europeaid/qsm/budget_en.htm

¹² See also the PCM Guidelines of EuropeAid:
http://www.europa.eu.int/comm/europeaid/qsm/documents/pcm_manual_2004_en.pdf

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 development assistance.

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:

Logframe:

- 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. Envisaged 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.

2.7. Quality Frame and ROM

The Quality Frame has become the framework on which quality assessments of operations¹³ 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;

¹³ An operation could be a national project or a (component of a) programme or a sector support type of intervention.

- **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**¹⁴, 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.

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.

¹⁴ 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.

Table 1: 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 ¹⁵
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
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	

¹⁵ 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.

3. MONITORING

3.1. What is Monitoring?

Monitoring systems with quantitative and qualitative performance indicators focussing on results have been established over the last years to get improved feedback from the field.

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 Commission Services have two instruments for regular information collection on operations, the Results-Oriented Monitoring (external) and the Implementation Report window (internal). Both windows in CRIS can be consulted by EC officials and some others parties to retrieve summarized information on the status of an EC financed programme or project in standard formats at any place and point of time.

1. The **Results-Oriented Monitoring** (ROM) system, systematically conducts monitoring missions in over 120 partner countries of the Commission, using the same consistent methodology to rapidly assess selected projects. It looks at the entire logframe with an emphasis on the results, project purpose and overall objectives. Sustainability is considered throughout the lifecycle of a project and not just towards its end. Executed by external Monitors, the missions fall under the responsibility of the respective geographical **Directorate**. The Unit 03 coordinates ROM. This system is also known as “external monitoring”.
2. The **“Implementation Report” window¹⁶** under CRIS for internal monitoring of *project implementation*. It reports the day-to-day problems and examines whether the activities will achieve the planned results. It contains detailed information on project management. For the majority of projects this window has to be updated every 4-months by the **Delegations**, according to guidelines provided by EuropeAid.

External Monitoring by independent experts does not substitute day-to-day monitoring by the 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.

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.

¹⁶ See Annex I.

Table 2: Monitoring, Evaluation and Audit within EC External Cooperation¹⁷

	Monitoring	Evaluation	Audit
Who is responsible?	Internal Monitoring: Internal management responsibility – all levels	Usually incorporates external inputs (objectivity)	Incorporates external inputs
	ROM: Responsibility with HQ and Delegations; executed by external independent Monitors		
When is it required?	Internal Monitoring: Ongoing process; 4-monthly update of the Implementation Report window.	At particular milestones: Mid-term, completion or ex-post	Ex-ante (systems reviews), regular and upon completion
	ROM: usually annual missions to a given country or region		
Why is it necessary?	Internal Monitoring: Check the progress, take remedial action, update plans	Learn broad lessons applicable to other programmes/projects, policy review, etc	Provide assurance to stakeholders Provide recommendations for improvement of current and future projects
	ROM: Provides input and recommendations for project management and can be used for policy adjustment/making		
What is the link to Logframe objective hierarchy?	Internal Monitoring: Means, activities, results	Results, purpose, overall objective (& link back to relevance)	Means, activities and results
	In ROM “results” also include purpose and overall objective level		

Mid-term Reviews executed by external experts have a more evaluative character, further analysing information collected through monitoring, reflecting on implications and progress, making informed decisions and re-plan the forward programme as appropriate.

Following a mid-term review, the project may be restructured according to recommendations. The monitor is in a good position to review the status of implementing the recommended changes to the project, if conducted after a MTR. Monitoring can thus support a mid-term review to see how well changes have been implemented.

Evaluation concerns an assessment of the efficiency, effectiveness, impact, sustainability and relevance of a project in the context of stated objectives. It is a more 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 stakeholders¹⁸ to facilitate the success of the project.

¹⁷ Table based on PCM guidelines, chapter 4.5.3 Definition of monitoring, regular review, evaluation and audit.

¹⁸ For a definition of stakeholder see also the Glossary in chapter 6.

ROM is designed to provide the Commission, through the 'Monitoring Reports'¹⁹, 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 the results-oriented monitoring system for their daily work and supervision tasks. Although ROM is not primarily aimed at the Implementing Agency / PMU in a partner country, whose day-to-day management requires more detailed information, ROM can contribute to improving the project performance.

The following will ultimately benefit from ROM:

- **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.

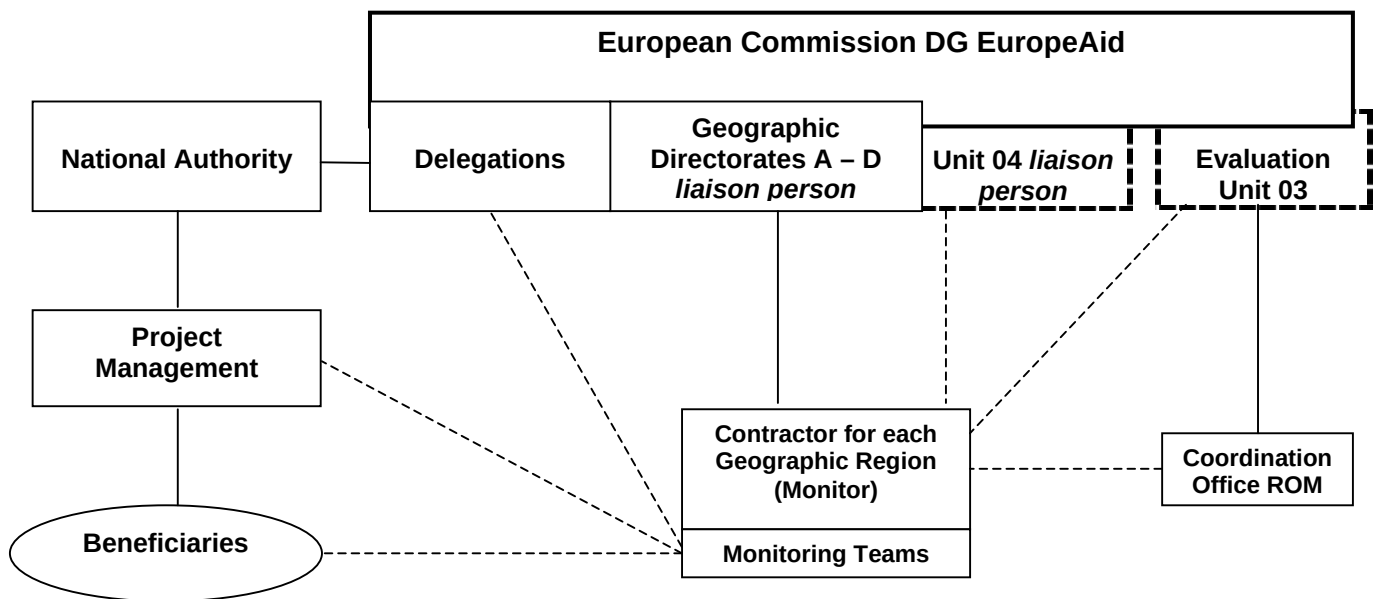
¹⁹ See Annex A

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 deconcentration process in a Delegation has been fully completed and on the operation itself to be monitored. For instance, national projects are fully deconcentrated, while regional programmes can still be supervised from HQ in Brussels²⁰.

Figure 1: Commission Services and Stakeholders relevant for ROM



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. EuropeAid Co-operation Office is responsible for the remainder of the project cycle from identification of projects to ex-post evaluation²¹, the ROM included. EuropeAid is to provide therefore DG RELEX / DEV with regular feedback on projects and programmes during all phases of the project cycle under its responsibility on the basis of regularly prepared Monitoring Reports and other.

4.1.2. Directorates of EuropeAid - Brussels

EuropeAid has seven Directorates, of which four have a geographic orientation: Directorates A - D. Unit 04 is responsible for co-financing of NGO's and for 16 thematic budget lines across the geographic regions. Directorate H is, among others, responsible for managing the Commissions databases, training, evaluation and the ROM system. The monitoring system is implemented in

²⁰ Special operations, like nuclear safety programmes in TACIS region, will remain centrally managed from HQ Brussels.

²¹ Inter-service agreement, DG External DG External Relations, DG Development and EuropeAid Cooperation Office, June 2001

five geographical lots along the lines of the responsibilities of the five geographical Directorates. Monitoring missions are systematically conducted by the independent external Monitors, assessing for each region (lot) the projects agreed in annual work plans. For each lot a responsible Unit has been nominated in the respective geographical Directorate to manage the service contract with the Monitor of the results-oriented monitoring. In each of the Units managing the ROM service contracts a Task Manager ROM, as liaison person, is assigned to the following tasks:

- Coordination of the annual Work Plan and the sample of eligible projects for monitoring for the region;
- Day-by-day operation of the ROM service contract;
- Decisions on implementation issues within the terms of reference;
- Checking, where possible, the planning of monitoring missions with regard to mid-term reviews and evaluations, as planned by other Units²²;
- Validation of the planning of missions and communication with the Delegations;
- 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.

Evaluation Unit and ROM Coordination Office

The Evaluation Unit 03 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.

Since April 2003 the ROM coordination office supports the Evaluation Unit in its tasks and is therefore directly responsible to the Unit. The coordination office has to ensure coherence and consistency of the methodology and its application in the field. The office organises, on a regular base, coordination meetings with the Monitors, and participates in coordination meetings of the liaison persons as an external observer, whenever needed. Improvement of the methodology, wherever applicable, is also integral part of its tasks. The ROM coordination office can also be asked to produce synthesis reports, analysing the results from all regions. A working group on database issues with representatives of the Monitors works on continuous improvement of the monitoring database. This task is done in close cooperation with the informatics Unit EuropeAid G5, which is managing the database. Ad hoc working groups with representatives of the Monitors and the Directorates have been formed to cover special subjects. The relations between the coordination office and the Monitors are functional, and good work relations and transparency prove to be the cornerstones for the efficient and effective execution of the ROM system.

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, 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.

²² This function depends also to a large extent on the cooperation received from other Units within a Directorate, informing timely the liaison person and the Monitor on other activities ongoing or planned in country.

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 project or programme. 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 projects and programmes.

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

4.3. Implementation of Projects: Project Management Unit and Contractors

Technical Assistance is frequently recruited for a Project Management Unit (PMU) or Project Implementation Unit (PIU) in support of a project. 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.

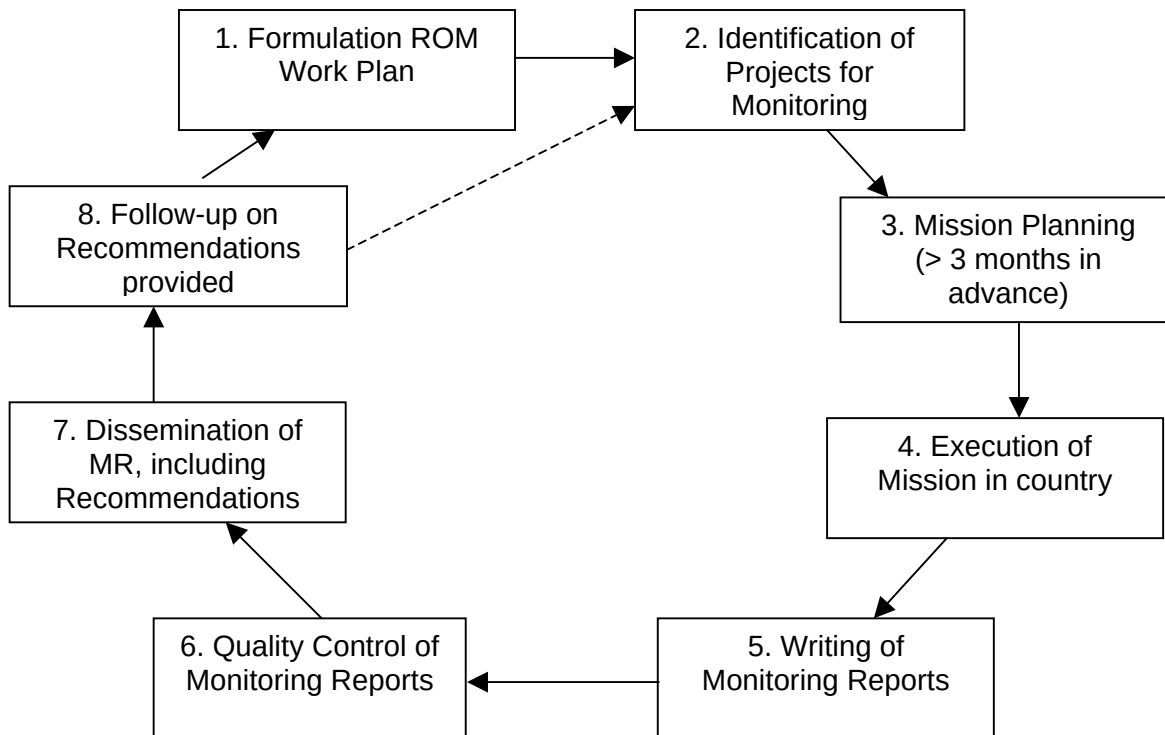
4.4. Beneficiaries of External Cooperation

Beneficiaries are the people who benefit in whatever way from the implementation of the project. Beneficiaries can be distinct between target groups, as identified for the project purpose and final beneficiaries benefiting from the project 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 2: 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 TACIS and CARDS regions. The most important differences are highlighted in the following box:

Specific characteristics of the TACIS and CARDS regions:

- The regional Monitor for these 2 regions, must operate from three regional offices, situated in Moscow, Kiev and Sarajevo;
- In addition to this, offices in Almaty, Tirana, Tbilisi and Zagreb have to be maintained;
- Support offices in other countries of the regions may be maintained;
- The Monitor is obliged to work with long term International and National/Regional monitors, both based in the region, fostering a more structural interaction between Monitor and Delegation;
- Extensive use of National/Regional monitors is pursued;
- Work plans, identifying the projects to be monitored, are directly agreed upon with the Delegations;
- Regular monitoring visits are paid to the projects (often twice 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, and at the end of the implementation period.

5.1. Formulation of a ROM Work Plan

The annual work plan, often based on a first draft made by the Monitor, is discussed between the Delegations and the Directorate and subsequently validated by the Directorate. A ROM Work Plan for one year should be compiled at the beginning of the Monitor'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.

Most Delegations have by now an advanced stage of deconcentration²³. It is therefore important to consult them in the process of determining the annual work plan for monitoring for each of the six geographic regions.

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 Monitor 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 concerned for comments. The final list should take account of the key criteria and the guidelines for additional criteria for the monitoring portfolio.

There are three key criteria for an operation to be eligible for results-oriented monitoring. A project has to

- 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.

Monitoring missions to a given country/region should take place at least once a year²⁴. Also the projects and programmes in a region selected for remonitoring should be monitored at least once every year. Currently between 60 % and 100 % of the eligible national projects and between 30 % and 100 % of all eligible regional programmes are being monitored, depending on the geographic region. The selection of projects for representative samples is therefore of crucial importance.

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 priority areas, average size of operation, and differently performing projects.

Particular attention should be paid to avoid possible biases created by additional criteria brought in by Delegations and TM's, like preference for underperforming projects for remonitoring. The application of such additional criteria makes an analysis redundant.

Whether the coverage of the samples is sufficient in relation to the total project population in a region is not easy to answer, as the full project population in some regions is not known with certainty. Therefore, it is important that the Directorate approaches each year all Delegations and

²³ By the end of the year 2004 all 78 Delegations have been fully deconcentrated.

²⁴ The TACIS and CARDS regions are exceptions with region-based offices and bi-annual project visits.

Heads of Units for an update on the project population in order to determine the eligible operations for ROM.

To arrive at a representative sample for NGO and thematic budget line projects, the €1 million threshold has to be applied in a flexible manner. If applied strictly, the majority of projects financed from 16 budget lines are excluded, and some budget lines would be even completely excluded like NGO Co-financing (EC contribution limited to € 750,000), Human Rights and Democracy, De-Mining and Gender.

Contrary to a widespread perception, monitored operations smaller than € 1 million do not mainly concern NGO and 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.

In order to have all 16 budget lines sufficiently represented, a structured approach was introduced in early 2004 for determining the sample of operations to be monitored. The following additional selection criteria were used for the 2004 sample of projects proposed for monitoring:

- *Diverse size of EC contribution (with some more emphasis on larger projects closer to € 1 million);*
- *Coverage of diverse thematic budget lines;*
- *Balanced representation of underperforming projects and those which are going well;*
- *Projects which pilot interesting or innovative approaches;*
- *All type of contractors from NGO to International Organisation.*

Projects are discussed with the representatives of the respective geographical Directorate and subsequently agreed. 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:

Until now, an average portfolio of monitoring missions had 40% projects for remonitoring and 60% projects being monitored for the first time²⁵.

- 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

5.3.1. Collection of Materials for Monitoring

The Monitor's Brussels office is responsible for collecting core documentation for monitors prior to the mission.

These are:

²⁵ Worldwide 39.5 % of all monitored operations in 2002 have been re-monitored in 2003; with CARDS, TACIS and Asia regions all well above half and the ACP region lowest in re-monitoring the same operation.

- 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;
- 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.

The process of deconcentration will be completed by the end of 2004. This has several consequences for the monitoring cycle. It can already be stated that:

- Quantity of updated information available in HQ (progress reports, annual reports) is decreasing. The usefulness of briefings at HQ level is thus decreasing;
- Delegations are becoming 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 is increasing;
- Briefings/debriefings on-site at Delegation level and with other stakeholders is of increasing importance;
- Debriefing at HQ level is perceived of increasing value for information on project status;
- National/Regional monitors might become key members of a monitoring team, also assuming introductory/data collection work on-site.

Members of the Monitor'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.

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.

Most of the project information has to be retrieved now through the Delegation, PMU's or Technical Assistance in the country concerned. Under the new circumstances given, 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 Monitor's Brussels office. In collecting upfront essential information in country and in communicating this to the Monitor's Brussels office the National monitors can play a crucial role. Once the data is collected the Brussels office provides each monitor with a CD Rom containing a scanned version of the data available at that point of time for the projects to be monitored.

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.

5.3.2. Selection of Monitors and Allocation of Projects

The Monitor'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 Monitor's Brussels office and consortium members of the Monitors 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 monitoring 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 monitoring contractor proposes two independent experts to the contracting authority and the contracting authority selects;
- The contracting authority may choose a monitoring 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 Monitors 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 Monitor'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 Monitor'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 Delegation.

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

The Monitor'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 geographical Directorates make the first contact with the Delegations to introduce the monitoring process and announce the mission. The Monitor's Brussels Offices are then responsible for all communication with the Delegations in advance and after each mission. Mission logistics are subsequently agreed between the Monitor and the Delegation, followed by a letter from the Monitor'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 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 programmes covering several countries are included in the mission;
- Efficiency requires combining visits to countries in the same area.

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.

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.

5.4.2. Briefing at the Delegation 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 M/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-Rom, 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.

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 PMU's 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 logo²⁶.

By contract the Monitor can be asked by the geographic Directorate 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 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.

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.

²⁶ The EU visibility guidelines can be downloaded from:
http://europa.eu.int/comm/europeaid/visibility/index_en.htm

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 Monitor'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 the monitors shall state this in the MR and may advice on where to find instructions on how to compile a logframe in a participatory exercise. The scarce time during the missions does not allow monitors assisting the project to produce a logframe.

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 Monitor's Data Base Manager in Brussels, at the end of the mission.

5.4.8. Debriefing at the Delegation 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 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 debriefing²⁷. During the debriefing a 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 Task Manager debriefing in Brussels.

5.5. Writing of Monitoring Reports

The templates for monitoring will be supplied in advance of each mission in electronic format to the members of the respective monitoring team, including instructions how to operate the templates.²⁸ Monitors should first complete their notes and Background Conclusion Sheet before starting to write the Monitoring Report.

It is the monitor's responsibility to forward all documents produced (BCS, Monitoring Report or Monitoring Note, Project Synopsis²⁹) 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.

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.

The monitors must address the following criteria:

²⁷ 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.

²⁸ See Annex L

²⁹ See Annexes A, B, C, and E.

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:

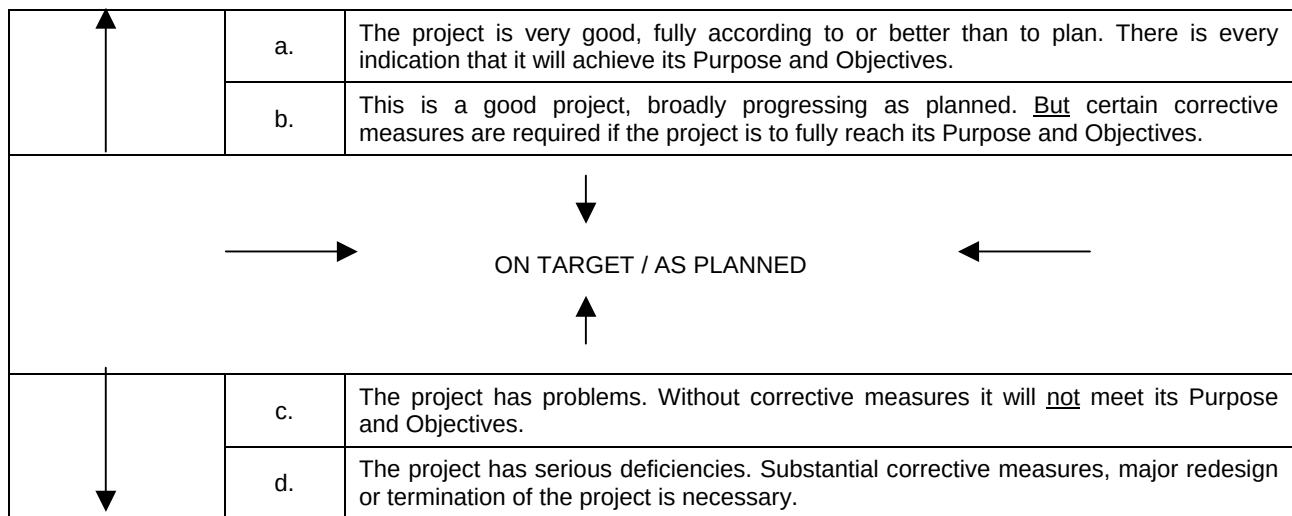
Monitors should follow the following guidelines in order to complete the Background Conclusion Sheets.

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.

Figure 3: Definitions of the Summary of Conclusions



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 above. The monitor should note that grading³⁰ (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, both in the BCS and the MR.

The database demonstrates that in nearly all the 3000 Monitoring Reports, which have been uploaded as per mid 2004, it has proven possible to make judgements. 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.

³⁰ 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.

5.5.3. Monitoring Report: Methodological Issues

After the Background Conclusion Sheets, the next step is to complete the Monitoring Report. This section will only discuss the methodological part of the MR, being section “**IV Explanatory Comments**” and “**V Key observations, action(s) recommended and by whom (in order of priority)**” For the other headings in the MR (I. to III.) the reader is invited to consult the technical part of “Writing Reports”.³¹

IV. EXPLANATORY COMMENTS

The monitor must justify the conclusions in section IV “Explanatory comments”. Comments should be accurate, concise, direct and based on the Background Conclusion Sheets. 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 PMU’s 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 (OVI’s) and Sources of Verification (SoV’s).

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 by whom. If several issues require follow-up, the points should be grouped along the intended recipient and placed in order of priority. 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

When the monitors have completed their Monitoring Report, they should prepare a 1-page Project Synopsis (PS), summarising both the project background and intervention logic. Both should be prepared in simple narrative format and should avoid listing all key elements of the project (objectives, purpose, results and activities). 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

Monitoring Notes (MN) may only be produced when it is not possible to adequately complete a full report. At all times, therefore, a full report takes precedent, unless prior agreement has been reached before the mission start-up. Under special circumstances MN’s can also be complementary to MR’s.

Typical situations for which a MN is needed encompass:

- The absence of Implementing Agency / PMU or national authorities at the time of the monitoring;

³¹ See Annex L.

- Prior information on the project was incorrect and the project has not started yet.

The monitor should also produce a MN in 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, whenever possible in consultation with the Brussels office.

MN's can also be entered into the CRIS database. Their layout and structure should follow the standard template for the MN³².

5.5.6. Remonitoring

The templates for monitoring 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 MR's, 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. Quality Control

Quality control 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.

5.6.1. Teamwork and ongoing Training

The mission team provides mutual professional support to achieve quality outputs, through discussion and sharing of information. 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.

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.

³² Annex C.

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 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. 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.

To secure the consistency in approach among the five regional Monitors regular joint working meetings of Team Leaders take place, moderated by the ROM co-ordinator. 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

Monitor'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 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 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 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

Monitor'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 – 14 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 3: 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 Monitor'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; Takes follow-up action if required.		2
Database Manager	Disseminates the MR and PS to the Task Managers at HQ and the Delegations; Uploads 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". 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. Dissemination of Monitoring Reports

With the dissemination of the Monitoring Report, the supporting documents and the Response Sheet to the TM's at HQ and Delegations the contractual mandate of the Monitors is fulfilled. HQ and Delegation staff can access all MR's 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. According to

Delegations, the dissemination of MR's to stakeholders has increased in 2003, as compared to 2002³³. Ideally, the completion of the monitoring cycle would look as following:

Table 4: Responsibilities concerning the Dissemination of a MR

Function	Tasks	Time frame	Days after mission end
TM at Delegation	Confirms the arrival of the MR's received by email and/or by Diplomatic Pouch; Disseminates MR to the Implementing Agencies and other stakeholders; Returns filled TM's Response Sheet;	14 days after having received MR's	~26 days
TM at HQ	Returns filled TM's Response Sheet to the Monitor's Brussels office	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 Monitors 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.

5.8. Follow-up on Recommendations

Follow-up on the recommendations is the key to the success of the ROM system. If problems highlighted in the MR can be resolved in due time, the monitoring can be considered a success. 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 5: Responsibilities concerning the Recommendations

	Responsibility for Dissemination	Follow-up on which Recommendations	Reporting on Implementation of Recommendations	Remarks
HQ Brussels	Only in situation of concentrated implementation	Supervision on process of follow-up	Reports on specific recommendations in the Implementation Report window ³⁴	Window to be updated every 4 months according standard format
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	Follow-up on recommendations addressed to Delegation	Supervision of reporting on all recommendations in	Window to be updated every 4 months according standard

³³ Summary of the survey on result oriented monitoring among EC Delegations, March 2004.

³⁴ See Annex I.

	stakeholders		the Implementation Report window	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

Follow-up on the recommendations is beyond the mandate of the Monitors. This most critical part in the monitoring process deserves particular attention from the Delegation. Delegations 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 4-monthly update of the “Implementation Report” window, under section 5 “Progress in achieving objectives” and section 8 “Cross-cutting and other issues”³⁵. 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.

5.9. Reporting Requirements of the Monitors

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

Progress reports will keep the respective geographical 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 Monitors is the same as for an activity report of the Directorates (4-monthly);
- A progress report by a Monitor 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 Monitors. It comprises the following chapters³⁶:

3. Overview of the work plan during the reporting period;
4. Outline of missions planned for the following period;
5. Performances of projects and programmes recorded during the missions;
6. Experiences with ROM system and monitoring progress;
7. Region specific information.

³⁵ Instruction Note on Project/Programme Implementation Report in CRIS; AIDCO/HCS D(2004) 12006, April 2004, EuropeAid Cooperation office

³⁶ See Annex M Template Progress Reporting in ROM

Justification of expenses is part of a separate financial report.

The geographical Directorate may also request Monitors to produce synthesis reports on cross-cutting issues and sector developments in their region.

Monitors 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. It is the responsibility of the Evaluation Unit 03 to write the section on results achieved in ROM in the Commission's annual report, with support from the ROM coordination office.

6. GLOSSARY OF TERMS

The glossary of the Handbook for Monitors has been brought in line with 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 (CSP's) are an instrument for guiding, managing and reviewing EC assistance programmes. The purpose of CSP's 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. CSP's are drawn up for all ACP, MEDA (except Cyprus, Malta and Turkey) and ALA countries.

Decentralisation³⁷

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

Deconcentration³⁸

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.*
- *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.

³⁷ Communication from the Commission to the Council and the European Parliament concerning the development of the external services, dated 18.7.2000

³⁸ *ibid*

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. OVI's 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

Annex A: Monitoring Report**MONITORING REPORT**

REFERENCE: MR--
PROJECT TITLE:
DATE OF REPORT:

I. PROJECT DATA

Project Number:	Responsible HQ Brussels:
Date Financing Agreement signed:	Responsible EC Delegation:
Start date – planned:	Monitor:
Start date - actual:	Project Authority:
End date – planned:	Sector/Subsector:
End date - likely:	Monitoring visit date:
Country Name:	From: - To: Sequence (Visit) Number:

II. FINANCIAL DATA *

Total Budget of Operation (including all other funding):	
Primary Commitment (EC funding):	
Secondary Commitment (funds contracted of EC contribution):	
Funds Disbursed (of EC contribution):	

* As at:

III. SUMMARY OF CONCLUSIONS

1. Quality of Project Design 2. Efficiency of Implementation to date 3. Effectiveness to date 4. Impact Prospects 5. Potential Sustainability	
---	--

Note: a = very good; b = good; c = problems; d = serious deficiencies

IV. EXPLANATORY COMMENTS**1. Quality of Project Design.****2. Efficiency of Implementation to date****3. Effectiveness to date.****4. Impact Prospects.****5. Potential Sustainability.****V. KEY OBSERVATIONS, ACTION(S) RECOMMENDED AND BY WHOM (IN ORDER OF PRIORITY)**

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(1) = important and urgent; (2) = important but less urgent; (3) = urgent but less important; (4) = less important and less urgent

Annex B: Background Conclusion Sheets

Introduced Changes in the BCS

After almost five years of experience with ROM, some amendments of the current templates for BCS and MR are due. Over time there have been several proposals of the Monitors to change elements in the BCS, i.e. to merge/split criteria and modify issues/sub-issues addressed and on how to use the template in case of remonitoring a project. While revising the handbook "Follow-up on recommendations made" has therefore been included as a sub-issue in all issues addressed.

In course of the revision of the handbook for monitors, the authors have thoroughly analysed the proposals for changes and current "good practise" of the five regional Monitors. However, the handbook shall serve as a working tool for all regions and proposed changes should contribute to continue with a unified ROM system wherever possible. Regional particularities in the system can only being taken into account where they are not contradicting the majority of Monitors/users.

In this context it should also be emphasized that other forms of operations, as e.g. budget and sector support, and also multi-donor approaches require a different and refined approach. Reference to monitoring of sector support and direct budget support is made in the guidelines of the Commission for these operations.

This introduction is summarising the introduced changes in the BCS:

Relevance and Quality of Design => Quality of Project 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.
- Therefore the **criterion** "Relevance and Quality of Design" has been changed into "Quality of Project Design"; **Relevance, Feasibility and Flexibility** in original design are the issues under the criterion Quality of Project Design.

This change has been made to put more emphasis on the actual quality of design, which 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 becomes an explicit sub-issue under feasibility and flexibility of design (see 1.2 in this annex).

Efficiency of Implementation to date

- This criterion remains the same, 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 gets the highest weight (40%).
 - Partner country contribution/involvement in implementation and communication between the partners has become a new issue focussing on ownership by the partner country.
 - Question of existence/quality of internal monitoring system is incorporated and has become a sub-issue under 2.2.
-

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

Effectiveness to date

- Access and use of benefits should be considered separately; use of benefits is an important issue under effectiveness and therefore the weight should be somewhat higher (30%) than for access (20%).
- Achievement of OVI's and adaptation to changing external conditions should be 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 understood as “Impact Prospects”, not as “Impact to date” as in the previous BCS. The change responds to problems faced by the monitors, in particular when monitoring “young” projects, where impact to date was not possible to measure already. In this case often “Not applicable” has been applied, or the criterion had been interpreted as “potential impact”.

Potential Sustainability

- The revised version applies eight issues instead of six, i.e. ownership and gender equality become now distinct issues.
- To change the weighting within the criterion potential sustainability, giving more relative 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.

1. Quality of Project Design	Weight
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 <i>adjust</i> 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%)
<i>(This is still a judgement on the planning, not on the implementation)</i>	
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?	

2. Efficiency of Implementation to date	Weight
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 responsables, the EU Delegation and the project?	

3. Effectiveness to date The contribution made by the project's results to the achievement of the project purpose.	Weight
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%)

4. Impact Prospects	Weight
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%)

5. Potential Sustainability	Weight
The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended.	
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 will it likely be after the end of external support?	(10%)
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?	

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?	
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?	

Annex C: Monitoring Note



MONITORING NOTE

COUNTRYNAME – COUNTRY CODE – PROJECT TITLE.

MONITORING REFERENCE – dd/mm/yy (Date of Note)

I. PROJECT DATA

Project Number:	Responsible HQ:
Date Financing Agreement signed: dd/mm/yy	Responsible EC Delegation:
Start date – planned: dd/mm/yy	Monitor:
Start date – actual: dd/mm/yy	Project Authority:
End date – planned: dd/mm/yy	Sector/Subsector: Code – Title
End date – likely: dd/mm/yy	Monitoring visit date: From: dd/mm/yy to dd/mm/yy
Primary Commitment:	

II. EXPLANATORY COMMENTS

1. **Project Background**
2. **Project Intervention Logic**
3. **Description of Current Situation**
4. **Main Observations**
5. **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 <i>(Monitor to copy all recommendations from Monitoring Report in boxes below):</i>	Task Manager Response <i>(Rationale for action being / to be taken, if any; additional comments)</i>
1.	
2.	
3.	
4.	
5.	
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: Activity Schedule

[illegible]

Annex G: Country Codes

Geographical Zones

Code	Country
AD	Andorra
AE	United Arab Emirates
AF	Afghanistan
AG	Antigua & Barbuda
AI	Anguilla
AL	Albania
AM	Armenia
AN	Netherlands Antilles
AO	Angola
AQ	Antartica
AR	Argentina
AS	American Samoa
AT	Austria
AU	Australia
AW	Aruba
AZ	Azerbaijan
BA	Bosnia & Herzegovina
BB	Barbados
BD	Bangladesh
BE	Belgium
BF	Burkina Faso
BG	Bulgaria
BH	Bahrain
BI	Burundi
BJ	Benin
BM	Bermuda
BN	Brunei Darussalam
BO	Bolivia
BR	Brazil
BS	Bahamas
BT	Bhutan
BV	Bouvet Island
BW	Botswana
BY	Belarus
BZ	Belize
CA	Canada
CC	Cocos (Keeling) Islands
CD	Congo (Democratic Republic of)
CF	Central African Republic
CG	Congo
CH	Switzerland
CI	Ivory Coast
CK	Cook Islands
CL	Chile
CM	Cameroon
CN	China
CO	Colombia
CR	Costa Rica
CS	Czechoslovakia (Former)
CU	Cuba
CV	Cape Verde
CX	Christmas Island
CY	Cyprus

CZ	Czech Republic
DE	Germany
DJ	Djibouti
D	Denmark
DM	Dominica
DO	Dominican Republic
DZ	Algeria
EC	Ecuador
EE	Estonia
EG	Egypt
EGD	GDR (former German Democratic Republic)
EH	Western Sahara
ER	Eritrea
ES	Spain
ET	Ethiopia
FI	Finland
FJ	Fiji
FK	Falkland Islands
FM	Micronesia, Federated States of
FO	Faeroe Islands
FR	France
FYR	FYROM (Former Yugoslav Republic of Macedonia)
GA	Gabon
GB	United Kingdom
GD	Grenada
GE	Georgia
GF	French Guyana
GG	Guernsey
GH	Ghana
GI	Gibraltar
GL	Greenland
GM	Gambia
GN	Guinea
GP	Guadeloupe
GQ	Equatorial Guinea
GR	Greece
GS	South Georgia
GT	Guatemala
GU	Guam (USA)
GW	Guinea Bissau
GY	Guyana
HK	Hong Kong
HM	Heard and McDonald Islands
HN	Honduras
HR	Croatia
HT	Haiti
HU	Hungary
ID	Indonesia
IE	Ireland
IL	Israel
IM	Isle of Man
IN	India
IQ	Iraq
IR	Iran
IS	Iceland
IT	Italy
JE	Jersey
JM	Jamaica
JO	Jordan

JP	Japan
KE	Kenya
KG	Kirghizstan
KH	Cambodia
KI	Kiribati
KM	Comoros
KN	Saint Kitts and Nevis
KOS	Kosovo
KP	North Korea
KR	South Korea
KW	Kuwait
KY	Cayman Islands
KZ	Kazakhstan
LA	Laos
LB	Lebanon
LC	Saint Lucia
LI	Liechtenstein
LK	Sri Lanka
LR	Liberia
LS	Lesotho
LT	Lithuania
LU	Luxembourg
LV	Latvia
LY	Libya
MA	Morocco
MC	Monaco
MD	Moldova
MG	Madagascar
MH	Marshall Islands
MK	Republic of Macedonia
ML	Mali
MM	Myanmar
MN	Mongolia
MO	Macau
MP	Northern Mariana Islands
MQ	Martinique (French)
MR	Mauritania
MS	Montserrat
MT	Malta
MU	Mauritius
MV	Maldives
MW	Malawi
MX	Mexico
MY	Malaysia
MZ	Mozambique
NA	Namibia
NC	New Caledonia
NE	Niger
NF	Norfolk Island
NG	Nigeria
NL	Netherlands (The)
NO	Norway
NP	Nepal
NR	Nauru
NU	Niue
NZ	New Zealand
OM	Oman
PA	Panama
PE	Peru
PF	French Polynesia

PG	Papua New Guinea
PH	Philippines
PK	Pakistan
PL	Poland
PM	Saint Pierre and Miquelon
PN	Pitcairn Islands
PR	Puerto Rico
PS	Palestine
PT	Portugal
PTF	French countries and territories
PTN	Dutch countries and territories
PTO	Overseas countries and territories
PTU	British countries and territories
PW	Palau
PY	Paraguay
QA	Qatar
RE	Réunion
REE	Europe apart from EU
RO	Romania
RU	Russia
RUE	EU Europe
RW	Rwanda
SA	Saudi Arabia
SB	Solomon Islands
SC	Seychelles
SD	Sudan
SE	Sweden
SG	Singapore
SH	Saint Helena
SI	Slovenia
SJ	Svalbard and Jan Mayen Island
SK	Slovakia
SL	Sierra Leone
SM	San Marino
SN	Senegal
SO	Somalia
SR	Suriname
ST	Sao Tome and Principe
SU	USSR (former)
SV	El Salvador
SY	Syria
SZ	Swaziland
TAC	Tacis Region
TC	Turks and Caicos Islands
TD	Chad
TG	Togo
TH	Thailand
TJ	Tadzhikistan
TK	Tokelau
TM	Turkmenistan
TN	Tunisia
TO	Tonga
TP	East Timor
TR	Turkey
TT	Trinidad and Tobago
TV	Tuvalu
TW	Taiwan
TZ	Tanzania
UA	Ukraine
UG	Uganda

US	United States
UY	Uruguay
UZ	Uzbekistan
VA	Holy See (State of the Vatican City)
VC	Saint Vincent and the Grenadines
VE	Venezuela
VG	British Virgin Islands
VI	Virgin Islands (USA)
VN	Vietnam
VU	Vanuatu
WB	West Bank and Gaza Strip
WF	Wallis and Futuna Islands
WS	Western Samoa
XWI	West Indies
YE	Yemen
YM	Montenegro
YS	Serbia
YT	Mayotte
YU	Serbia and Montenegro
ZA	South Africa
ZM	Zambia
ZR	Zaire
ZW	Zimbabwe

Annex H: List of CRS Purpose Codes

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
110		EDUCATION	
111		Education, level unspecified	<i>The codes in this category are to be used only when level of education is unspecified or unknown (e.g. training of primary school teachers should be coded under 11220).</i>
	11110	Education policy and administrative management	Education sector policy, planning and programmes; aid to education ministries, administration and management systems; institution capacity building and advice; school management and governance; curriculum and materials development; unspecified education activities.
	11120	Education facilities and training	Educational buildings, equipment, materials; subsidiary services to education (boarding facilities, staff housing); language training; colloquia, seminars, lectures, etc.
	11130	Teacher training	Teacher education (where the level of education is unspecified); in-service and pre-service training; materials development.
	11181	Educational research	Research and studies on education effectiveness, relevance and quality; systematic evaluation and monitoring.
112		Basic education	
	11220	Primary education	Formal and non-formal primary education for children; all elementary and first cycle systematic instruction; provision of learning materials.
	11230	Basic life skills for youth and adults	Formal and non-formal education for basic life skills for young people and adults (adults education); literacy and numeracy training.
	11240	Early childhood education	Formal and non-formal pre-school education.
113		Secondary education	
	11320	Secondary education	Second cycle systematic instruction at both junior and senior levels.
	11330	Vocational training	Elementary vocational training and secondary level technical education; on-the job training; apprenticeships; including informal vocational training.
114		Post-secondary education	
	11420	Higher education	Degree and diploma programmes at universities, colleges and polytechnics; scholarships.
	11430	Advanced technical and managerial training	Professional-level vocational training programmes and in-service training.

Note: Sector specific education activities are to be included in the respective sectors, either in a specific education code such as Agricultural education or in a general code such as Communications policy/administrative management.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
120		HEALTH	
121		Health, general	
	12110	Health policy and administrative management	Health sector policy, planning and programmes; aid to health ministries, public health administration; institution capacity building and advice; medical insurance programmes; unspecified health activities.
	12181	Medical education/training	Medical education and training for tertiary level services.
	12182	Medical research	General medical research (excluding basic health research).
	12191	Medical services	Laboratories, specialised clinics and hospitals (including equipment and supplies); ambulances; dental services; mental health care; medical rehabilitation; control of non-infectious diseases; drug and substance abuse control [excluding narcotics traffic control (16361)].
122		Basic health	
	12220	Basic health care	Basic and primary health care programmes; paramedical and nursing care programmes; supply of drugs, medicines and vaccines related to basic health care.
	12230	Basic health infrastructure	District-level hospitals, clinics and dispensaries and related medical equipment; excluding specialised hospitals and clinics (12191).
	12240	Basic nutrition	Direct feeding programmes (maternal feeding, breastfeeding and weaning foods, child feeding, school feeding); determination of micro-nutrient deficiencies; provision of vitamin A, iodine, iron etc.; monitoring of nutritional status; nutrition and food hygiene education; household food security.
	12250	Infectious disease control	Immunisation; prevention and control of malaria, tuberculosis, diarrhoeal diseases, vector-borne diseases (e.g. river blindness and guinea worm), etc.
	12281	Health education	Information, education and training of the population for improving health knowledge and practices; public health and awareness campaigns.
	12282	Health personnel development	Training of health staff for basic health care services.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
130		POPULATION POLICIES/ PROGRAMMES AND REPRODUCTIVE HEALTH	
	13010	Population policy and administrative management	Population/development policies; census work, vital registration; migration data; demographic research/analysis; reproductive health research; unspecified population activities.
	13020	Reproductive health care	Promotion of reproductive health; prenatal and postnatal care including delivery; prevention and treatment of infertility; prevention and management of consequences of abortion; safe motherhood activities.
	13030	Family planning	Family planning services including counselling; information, education and communication (IEC) activities; delivery of contraceptives; capacity building and training.
	13040	STD control including HIV/AIDS	All activities related to sexually transmitted diseases and HIV/AIDS control e.g. information, education and communication; testing; prevention; treatment, care.
	13081	Personnel development for population and reproductive health	Education and training of health staff for population and reproductive health care services.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
140		WATER SUPPLY AND SANITATION	
	14010	Water resources policy and administrative management	Water sector policy, planning and programmes; water legislation and management; institution capacity building and advice; water supply assessments and studies; groundwater, water quality and watershed studies; hydrogeology; excluding agricultural water resources (31140).
	14015	Water resources protection	Inland surface waters (rivers, lakes, etc.); conservation and rehabilitation of ground water; prevention of water contamination from agro-chemicals, industrial effluents.
	14020	Water supply and sanitation - large systems	Water desalination plants; intakes, storage, treatment, pumping stations, conveyance and distribution systems; sewerage; domestic and industrial waste water treatment plants.
	14030	Water supply and sanitation - small systems	Water supply and sanitation through low-cost technologies such as hand pumps, spring catchment, gravity-fed systems, rain water collection, storage tanks, small distribution systems; latrines, small-bore sewers, on-site disposal (septic tanks).
	14040	River development	Integrated river basin projects; river flow control; dams and reservoirs [excluding dams primarily for irrigation (31140) and hydropower (23065) and activities related to river transport (21040)].
	14050	Waste management/ disposal	Municipal and industrial solid waste management, including hazardous and toxic waste; collection, disposal and treatment; landfill areas; composting and reuse.
	14081	Education and training in water supply and sanitation	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
150		GOVERNMENT AND CIVIL SOCIETY	
	15010	Economic and development policy/ Planning	Macro-economic, fiscal and monetary policy and planning; social planning; economic and social analysis and forecasting; structural reforms; development planning; organisational development; support to ministries involved in aid co-ordination; other ministries and government departments when sector cannot be specified.
	15020	Public sector financial management	Strengthening financial and managerial accountability; public expenditure management; improving financial management systems; tax assessment procedures; budget drafting; field auditing; measures against waste, fraud and corruption.
	15030	Legal and judicial development	Constitutional development, legal drafting; institutional strengthening of legal and judicial systems; legal training and education; legal advice and services; crime prevention.
	15040	Government administration	Systems of government including parliament, local government, decentralisation; civil service and civil service reform.
	15050	Strengthening civil society	Community participation and development; co-operatives; grassroots organisations; development of other participatory planning and decision making procedures and institutions.
	15061	Post conflict peace-building (UN)	Participation in the post-conflict peace-building phase of United Nations peace operations (activities such as human rights and elections monitoring, rehabilitation of demobilised soldiers, rehabilitation of basic national infrastructure, monitoring or retraining of civil administrators and police forces, training in customs and border control procedures, advice or training in fiscal or macroeconomic stabilisation policy, repatriation and demobilisation of armed factions, and disposal of their weapons; support for landmine removal).
	15062	Elections	Electoral assistance and monitoring, voters' education [other than in connection with peace building (15061)].
	15063	Human rights	Monitoring of human rights performance; support for national and regional human rights bodies; protection of ethnic, religious and cultural minorities [other than in connection with peace building (15061)].
	15064	Demobilisation	Integration of demobilised military personnel into the economy; (micro)-disarmament; conversion of production facilities from military to civilian outputs [other than in connection with peace building (15061)].
	15065	Free flow of information	Uncensored flow of information on public issues, including activities that increase the professionalism, skills and integrity of the print and broadcast media (e.g. training of journalists).
	15066	Land mine clearance	Explosive mine removal for developmental purposes [other than in connection with peace building (15061)].

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
160		OTHER SOCIAL INFRASTRUCTURE AND SERVICES	
161		Employment	
	16110	Employment policy and administrative management	Employment policy and planning; labour law; labour unions; institution capacity building and advice; support programmes for unemployed; employment creation and income generation programmes; occupational safety and health; combating child labour.
162		Housing	
	16210	Housing policy and administrative management	Housing sector policy, planning and programmes; excluding low-cost housing and slum clearance (16220).
	16220	Low-cost housing	Including slum clearance.
163		Other social services	
	16310	Social/ welfare services	Social legislation and administration; institution capacity building and advice; social security and other social schemes; special programmes for the elderly, orphans, the disabled, street children; social dimensions of structural adjustment; unspecified social infrastructure and services, including consumer protection.
	16320	General government services	General services by government (or commissioned by government) e.g. police, fire protection; customs; cartography, meteorology, legal metrology, aerial surveys and remote sensing; including administrative buildings.
	16330	Settlement	Land settlement/compensation; resettlement of displaced persons.
	16340	Reconstruction relief	Multisectoral social programmes after emergency or conflict.
	16350	Culture and recreation	Including libraries and museums.
	16361	Narcotics control	In-country and customs controls including training of the police; educational programmes and awareness campaigns to restrict narcotics traffic and in-country distribution.
	16362	Statistical capacity building	Both in national statistical offices and any other government ministries.
	16381	Research/scientific institutions	When sector cannot be identified.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
210		TRANSPORT AND STORAGE	<i>Note: Manufacturing of transport equipment should be included under code 32172.</i>
	21010	Transport policy and administrative management	Transport sector policy, planning and programmes; aid to transport ministries; institution capacity building and advice; unspecified transport; activities that combine road, rail, water and/or air transport.
	21020	Road transport	Road infrastructure, road vehicles; passenger road transport, motor passenger cars.
	21030	Rail transport	Rail infrastructure, rail equipment, locomotives, other rolling stock; including light rail (tram) and underground systems.
	21040	Water transport	Harbours and docks, harbour guidance systems, ships and boats; river and other inland water transport, inland barges and vessels.
	21050	Air transport	Airports, airport guidance systems, aeroplanes, aeroplane maintenance equipment.
	21061	Storage	Whether or not related to transportation.
	21081	Education and training in transport and storage	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
220		COMMUNICATIONS	
	22010	Communications policy and administrative management	Communications sector policy, planning and programmes; institution capacity building and advice; including postal services development; unspecified communications activities.
	22020	Telecommunications	Telephone networks, telecommunication satellites, earth stations.
	22030	Radio/television/print media	Radio and TV links, equipment; newspapers; printing and publishing.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
230		ENERGY GENERATION AND SUPPLY	
	23010	Energy policy and administrative management	Energy sector policy, planning and programmes; aid to energy ministries; institution capacity building and advice; unspecified energy activities including energy conservation.
	23020	Power generation/non-renewable sources	Thermal power plants including when heat source cannot be determined; combined gas-coal power plants.
	23030	Power generation/renewable sources	Including policy, planning, development programmes, surveys and incentives. Fuel wood/charcoal production should be included under forestry (31261).
	23040	Electrical transmission/distribution	Distribution from power source to end-user; transmission lines.
	23050	Gas distribution	Delivery for use by ultimate consumer.
	23061	Oil-fired power plants	Including diesel power plants.
	23062	Gas-fired power plants	
	23063	Coal-fired power plants	
	23064	Nuclear power plants	Including nuclear safety.
	23065	Hydro-electric power plants	Including power-generating river barges.
	23066	Geothermal energy	
	23067	Solar energy	Including photovoltaic cells, solar thermal applications and solar heating.
	23068	Wind power	Wind energy for water lifting and electric power generation.
	23069	Ocean power	Including ocean thermal energy conversion, tidal and wave power.
	23070	Biomass	Densification technologies and use of biomass for direct power generation including biogas, gas obtained from sugar cane and other plant residues, anaerobic digesters.
	23081	Energy education/training	Applies to all energy sub-sectors; all levels of training.
	23082	Energy research	Including general inventories, surveys.

Note: Extraction of raw materials for power generation should be included in the mining sector.
Energy manufacturing should be included in the industry sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
240		BANKING AND FINANCIAL SERVICES	
	24010	Financial policy and administrative management	Finance sector policy, planning and programmes; institution capacity building and advice; financial markets and systems.
	24020	Monetary institutions	Central banks.
	24030	Formal sector financial intermediaries	All formal sector financial intermediaries; insurance, leasing, venture capital, etc. (except when focused on only one sector).
	24040	Informal/semi-formal financial intermediaries	Micro credit, savings and credit co-operatives etc.
	24081	Education/training in banking and financial services	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
250		BUSINESS AND OTHER SERVICES	
	25010	Business services	Support to trade and business associations, chambers of commerce; legal and regulatory reform aimed at improving business climate; private sector institution capacity building and advice. Where sector cannot be specified: general support to private sector enterprises (in particular, use code 32130 for enterprises in the industrial sector).
	25020	Privatisation	When sector cannot be specified. Including general state enterprise restructuring or demonopolisation programmes; planning, programming, advice.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
311		AGRICULTURE	
	31110	Agricultural policy and administrative management	Agricultural sector policy, planning and programmes; aid to agricultural ministries; institution capacity building and advice; unspecified agriculture.
	31120	Agricultural development	Integrated projects; farm development.
	31130	Agricultural land resources	Including soil degradation control; soil improvement; drainage of water-logged areas; soil desalination; agricultural land surveys; land reclamation; erosion control, desertification control.
	31140	Agricultural water resources	Irrigation, reservoirs, hydraulic structures, ground water exploitation for agricultural use.
	31150	Agricultural inputs	Supply of seeds, fertilizers, agricultural machinery/equipment.
	31161	Food crop production	Including grains (wheat, rice, barley, maize, rye, oats, millet, sorghum); horticulture; vegetables; fruit and berries; other annual crops.
	31162	Industrial crops/export crops	Including sugar; coffee, cocoa, tea; oil seeds, nuts, kernels; fibre crops; tobacco; rubber.
	31163	Livestock	Animal husbandry; animal feed aid.
	31164	Agrarian reform	Including agricultural sector adjustment.
	31165	Agricultural alternative development	Projects to reduce illicit drug cultivation through other agricultural marketing and production opportunities (see code 43050 for non-agricultural alternative development).
	31181	Agricultural education/training	
	31182	Agricultural extension	Non-formal training in agriculture.
	31183	Agricultural research	Including plant breeding, physiology, genetic resources, ecology, taxonomy, disease control, agricultural biotechnology.
	31184	Livestock research	Including animal health, breeding and genetics, nutrition, physiology.
	31191	Agricultural services	Marketing policies & organisation; storage and transportation, creation of strategic reserves.
	31192	Plant and post-harvest protection and pest control	Including integrated plant protection, biological plant protection activities, supply and management of agrochemicals, supply of pesticides, plant protection policy and legislation.
	31193	Agricultural financial services	Financial intermediaries for the agricultural sector including credit schemes; crop insurance.
	31194	Agricultural co-operatives	Including farmers' organisations.
	31195	Livestock/veterinary services	Animal health and management, genetic resources, feed resources.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
312		FORESTRY	
	31210	Forestry policy and administrative management	Forestry sector policy, planning and programmes; institution capacity building and advice; forest surveys; unspecified forestry and agro-forestry activities.
	31220	Forestry development	Afforestation for industrial and rural consumption; exploitation and utilisation; erosion control, desertification control; integrated forestry projects.
	31261	Fuel wood/charcoal	Forestry development whose primary purpose is production of fuel wood and charcoal.
	31281	Forestry education/training	
	31282	Forestry research	Including artificial regeneration, genetic improvement, production methods, fertilizer, harvesting.
	31291	Forestry services	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
313		FISHING	
	31310	Fishing policy and administrative management	Fishing sector policy, planning and programmes; institution capacity building and advice; ocean and coastal fishing; marine and freshwater fish surveys and prospecting; fishing boats/equipment; unspecified fishing activities.
	31320	Fishery development	Exploitation and utilisation of fisheries; fish stock protection; aquaculture; integrated fishery projects.
	31381	Fishery education/training	
	31382	Fishery research	Pilot fish culture; marine/freshwater biological research.
	31391	Fishery services	Fishing harbours; fish markets; fishery transport and cold storage.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
321		INDUSTRY	
	32110	Industrial policy and administrative management	Industrial sector policy, planning and programmes; institution capacity building and advice; unspecified industrial activities; manufacturing of goods not specified below.
	32120	Industrial development	
	32130	SME development	Direct support to the development of small and medium-sized enterprises in the industrial sector, including accounting, auditing and advisory services.
	32140	Cottage industries and handicraft	
	32161	Agro-industries	Staple food processing, dairy products, slaughterhouses and equipment, meat and fish processing and preserving, oils/fats, sugar refineries, beverages/tobacco, animal feeds production.
	32162	Forest industries	Wood production, pulp/paper production.
	32163	Textiles, leather and substitutes	Including knitting factories.
	32164	Chemicals	Industrial and non-industrial production facilities; includes pesticides production.
	32165	Fertilizer plants	
	32166	Cement/lime/plaster	
	32167	Energy manufacturing	Including gas liquefaction; petroleum refineries.
	32168	Pharmaceutical production	Medical equipment/supplies; drugs, medicines, vaccines; hygienic products.
	32169	Basic metal industries	Iron and steel, structural metal production.
	32170	Non-ferrous metal industries	
	32171	Engineering	Manufacturing of electrical and non-electrical machinery, engines/turbines.
	32172	Transport equipment industry	Shipbuilding, fishing boats building; railroad equipment; motor vehicles and motor passenger cars; aircraft; navigation/guidance systems.
	32181	Technological research and development	Including industrial standards; quality management; metrology; testing; accreditation; certification.

Note: Only includes aid to production or manufacturing.
Provision of finished products should be included under relevant sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
322		MINERAL RESOURCES AND MINING	
	32210	Mineral/mining policy and administrative management	Mineral and mining sector policy, planning and programmes; mining legislation, mining cadastre, mineral resources inventory, information systems, institution capacity building and advice; unspecified mineral resources exploitation.
	32220	Mineral prospection and exploration	Geology, geophysics, geochemistry; excluding hydrogeology (14010) and environmental geology (41010), mineral extraction and processing, infrastructure, technology, economics, safety and environment management.
	32261	Coal	Including lignite and peat.
	32262	Oil and gas	Petroleum, natural gas, condensates, LPG, LNG; including drilling and production.
	32263	Ferrous metals	Iron and ferro-alloy metals.
	32264	Nonferrous metals	Aluminium, copper, lead, nickel, tin, zinc.
	32265	Precious metals/materials	Gold, silver, platinum, diamonds, gemstones.
	32266	Industrial minerals	Baryte, limestone, feldspar, kaolin, sand, gypsym, gravel, ornamental stones.
	32267	Fertilizer minerals	Phosphates, potash.
	32268	Offshore minerals	Polymetallic nodules, phosphorites, marine placer deposits.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
323		CONSTRUCTION	
	32310	Construction policy and administrative management	Construction sector policy and planning; excluding construction activities within specific sectors (e.g., hospital or school construction).

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
331		TRADE POLICY AND REGULATIONS	
	33110	Trade policy and administrative management	Trade policy and planning; support to ministries and departments responsible for trade policy; trade-related legislation and regulatory reforms; analysis and implementation of multilateral trade agreements e.g. technical barriers to trade and sanitary and phytosanitary measures (TBT/SPS); mainstreaming trade in national development strategies (e.g. poverty reduction strategy papers); wholesale/retail trade; unspecified trade and trade promotion activities.
	33120	Trade facilitation	Simplification and harmonisation of international import and export procedures (e.g. customs valuation, licensing procedures, transport formalities, payments, insurance); support to customs departments; tariff reforms.
	33130	Regional trade agreements (RTAs)	Support to regional trade arrangements (e.g. SADC, ASEAN, FTAA, ACP/EU); elaboration of rules of origin and introduction of special and differential treatment in RTAs.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
	33140	Multilateral trade negotiations	Support aid recipients' effective participation in multilateral trade negotiations, including training of negotiators, assessing impacts of negotiations; accession to WTO and other multilateral trade-related organisations.
	33181	Trade education/training	Human resources development in trade not included under any of the above codes. Includes university programmes in trade.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
332		TOURISM	
	33210	Tourism policy and administrative management	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
400		MULTISECTOR/CROSS-CUTTING	
410		General environmental protection	Non-sector specific.
	41010	Environmental policy and administrative management	Environmental policy, laws, regulations and economic instruments; administrative institutions and practices; environmental and land use planning and decision-making procedures; seminars, meetings; miscellaneous conservation and protection measures not specified below.
	41020	Biosphere protection	Air pollution control, ozone layer preservation; marine pollution control.
	41030	Bio-diversity	Including natural reserves and actions in the surrounding areas; other measures to protect endangered or vulnerable species and their habitats (e.g. wetlands preservation).
	41040	Site preservation	Applies to unique cultural landscape; including sites/objects of historical, archeological, aesthetic, scientific or educational value.
	41050	Flood prevention/control	Floods from rivers or the sea; including seawater intrusion control and sea level rise related activities.
	41081	Environmental education/training	
	41082	Environmental research	Including establishment of databases, inventories/accounts of physical and natural resources; environmental profiles and impact studies if not sector specific.
420		Women in development	Non-sector specific.
	42010	Women in development	Including multisectoral WID projects and programmes; promotion of and support to WID groups and networks; conferences, seminars, etc.
430		Other multisector	
	43010	Multisector aid	
	43020	Multisector aid for basic social services	Basic social services are defined to include basic education, basic health, basic nutrition, population/reproductive health and water supply and sanitation – small systems.
	43030	Urban development and management	Integrated urban development projects; local development and urban management; urban infrastructure and services; municipal finances; urban environmental management; urban development and planning; urban renewal and urban housing; land information systems.
	43040	Rural development	Integrated rural development projects; e.g. regional development planning; promotion of decentralised and multi-sectoral competence for planning, co-ordination and management; implementation of regional development and measures (including natural reserve management); land management; land use planning; functional integration of rural and urban areas; geographical information systems.
	43050	Non-agricultural alternative development	Projects to reduce illicit drug cultivation through, for example, non-agricultural income opportunities, social and physical infrastructure (see code 31165 for agricultural alternative development).
	43081	Multisector education/training	Including scholarships.

Note: Sector specific environmental protection and gender equality/WID activities should be included in the respective sectors, and the environment and gender equality marker checked. Multi-sector/cross-cutting includes only environment and WID activities not allocable by sector.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
500		COMMODITY AID AND GENERAL PROGRAMME ASSISTANCE	<i>Note: Sector specific programme assistance is to be included in the respective sectors, using the structural adjustment flag if appropriate.</i>
510		Structural Adjustment Assistance with World Bank/IMF	Includes structural adjustment programmes either co-financed with or undertaken in co-ordination with the World Bank and the IMF.
	51010	Structural adjustment	When not allocable by sector.
520		Developmental food aid/Food security assistance	
	52010	Food aid/Food security programmes	Supply of edible human food under national or international programmes including transport costs; cash payments made for food supplies; project food aid; food aid for market sales; excluding emergency food aid.
530		Other general programme and commodity assistance	
	53010	Balance-of-payments support	Including general programme assistance (when not allocable by sector).
	53020	Budget support	Including administrative budget support.
	53030	Import support (capital goods)	Capital goods and services; lines of credit.
	53040	Import support (commodities)	Commodities, general goods and services, oil imports.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
600		ACTION RELATING TO DEBT	
	60010	Action relating to debt	Actions falling outside the code headings below; training in debt management.
	60020	Debt forgiveness	
	60030	Relief of multilateral debt	Grants or credits to cover debt owed to multilateral financial institutions; including contributions to HIPC Trust Fund.
	60040	Rescheduling and refinancing	
	60061	Debt for development swap	Allocation of debt claims to use for development (e.g., debt for education, debt for environment).
	60062	Other debt swap	Where the debt swap benefits an external agent i.e. is not specifically for development purposes.
	60063	Debt buy-back	Purchase of debt for the purpose of cancellation.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
700		EMERGENCY ASSISTANCE	
710		Emergency food aid	
	71010	Emergency food aid	Food aid normally for general free distribution or special supplementary feeding programmes; short-term relief to targeted population groups affected by emergency situations. Excludes food security assistance programmes/food aid (52010).
720		Other emergency and distress relief	
	72010	Emergency/distress relief	All emergency, distress relief and humanitarian aid except food aid and aid to refugees; disaster preparedness.
	72020	Aid to refugees (in donor country)	
	72030	Aid to refugees (in recipient countries)	Including internally displaced people.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
910		ADMINISTRATIVE COSTS OF DONORS	
	91010	Administrative costs	

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
920		SUPPORT TO NON-GOVERNMENTAL ORGANISATIONS	<i>Official funds to be paid over to national and international private voluntary agencies for use at the latter's discretion.</i>
	92010	Support to national NGO's	In the donor country.
	92020	Support to international NGO's	
	92030	Support to local and regional NGO's	In the recipient country or region.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
998		UNALLOCATED/ UNSPECIFIED	
	99810	Sectors not specified	Contributions to general development of the recipient should be included under programme assistance (53010).
	99820	Promotion of development awareness	Spending in donor country for heightened awareness/interest in development co-operation (brochures, lectures, special research projects, etc.).

Annex I: Implementation Report Format Common Relex Information System

The “Implementation Report” window in CRIS makes it possible to consult information on progress in implementing projects and programmes, sector support programmes and budget support. The window has to be updated every 4 months by the Delegations, among others based on progress reports from project authorities at project management level. The main information headings in the Implementation Report window for **projects**, including the key questions that should be taken into account, are:

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:

- 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 assessments 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 four months)

3. Summary of Project Implementation

Summarise the main features of the implementation of the project highlighting main developments, problems encountered, solutions given and lesson learned. (15 lines)

4. Changes in the 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 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). State most recent ratings that have been allocated to the project by the **Results Oriented Monitoring** system. Focus on positive achievements and prospects for the sustainability of benefits (Maximum 25 lines)

6. Financial Execution

Indicate time elapsed as % of total duration as well as project contracting commitments and payments. Briefly review causes of possible deviations from plans and if necessary indicate correcting measures. (Maximum 10 lines)

7. Issues Arisen and Actions 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 others 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 reference to evaluation, audit or **Results Oriented Monitoring** reports if any. (Maximum 15 lines)

Annex J: Profiles Mission Leader and monitors

A) Profile and Responsibilities Mission Leader

Profile

Technical Skills:

- 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;
- Project Management experience;
- Monitoring and / or evaluation experience;
- 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;
- No conflict of interest (no involvement in the project cycle phases of the project(s) subject to results-oriented monitoring);
- Knowledge of PCM and monitoring principles.

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 Monitor's head office in Brussels (Brussels Office);
 - Attends a briefing meeting with the Team Leader or Deputy TL and available Task Managers in Brussels (the Brussels Office sets up the meetings);
 - Familiarizes him / herself with the available information of the project portfolio to be monitored before the meeting;
 - The three responsibilities above might change place in the light of the deconcentration process: The briefing meetings in Brussels might get shorter or be completely shifted to the deconcentrated Delegation; the bulk of project information will also be available in the Delegations, not in the headquarters anymore.
 - Allocates the projects to the monitors;
 - 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;
- 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:

- Academic degree and, corresponding to the level of expertise for the function³⁹, 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;
- Project Management experience;
- Sector 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;
- No conflict of interest (no involvement in the project cycle phases of the project(s) subject to results-oriented monitoring);
- Monitoring and / or evaluation and / or related experience;
- Knowledge of PCM and monitoring principles is an asset; alternatively willingness to familiarize.

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 Monitor's Brussels office;
- 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.

³⁹ 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.

Annex K: Priority Areas for Poverty Reduction

In pursuit to the overarching goal of poverty reduction, the Commission has defined six priority areas for its cooperation:

Trade and Development	230, Energy generation and supply 250, Business and other services 321, Industry 322, mineral resources and mining 331, trade 332, tourism
Regional Integration	Special marker
Macroeconomic Policies and Social Sectors	110, Education 120, Health 130, Population policies / programmes and reproductive health 240, Banking and financial services 43020, Multi-sector aid for basic social services 43081, Multi-sector education/training 510, Structural adjustment assistance with World Bank / IMF 530, Other general programme and commodity assistance 600, Action relating to debt
Transport	210, Transport and storage
Food Security, Sustainable Development, Rural	140, Water supply and sanitation 311, Agriculture 312, Forestry 313, Fishing 410, General environmental protection 43040, Rural development 43050, Non-agricultural alternative development 520, Developmental food aid / food security assistance 700, Emergency assistance
Institutional Capacity / Good governance	150, Government and civil society 160, Other social infrastructure and services 220, Communications 323, Construction 420, Women in development 920, Support to non-governmental organisations
Other	43010, Multi-sector aid 43030, Urban development and management 910, Administrative costs of donors 998, Unallocated / unspecified

Annex L: Writing Reports (technical part)

This Annex serves as a technical instruction for using the Monitoring Templates and for writing Monitoring Reports. Correct application will avoid that finally errors appear in the external monitoring module in CRIS. This list can also be used for quality control.

A) Before a monitor starts

Before a monitor starts working the following procedure needs to be strictly followed:

Make sure that you have the latest version of all templates. Templates have been designed with the use of macros and fields so that, when completed, the information can be easily transferred into the CRIS electronic database in the European Commission.

Transferring the templates from the CD to the Hard Disk Drive

The way in which you save the template is crucial. When you receive the templates (MR and BCS) you should save them in your Templates Folder. The location of the Templates Folder might depend on the type of software used. If there is no template folder on your computer you

1. Create a folder on your hard disk C, named for example 'Monitoring_Templates' (C:\Monitoring_Templates).
2. Subsequently right click on the unopened Monitoring Templates stored on the CD you received: MR.dot (Monitoring Report), BCS.xlt (Background Conclusion Sheet) and Normal.dot (appearing in the menu bar as "Normal.NewMacros.ProcessReport") and apply then "save as" in your template folder (the one you just created). If a "save as" option is not appearing, select then "copy" and apply "paste" into the template folder.

Do not open the documents before saving them (before "save as"), as this will disrupt the settings.

The saving procedure is simple but extremely important!

Customizing MS WORD and MS EXCEL

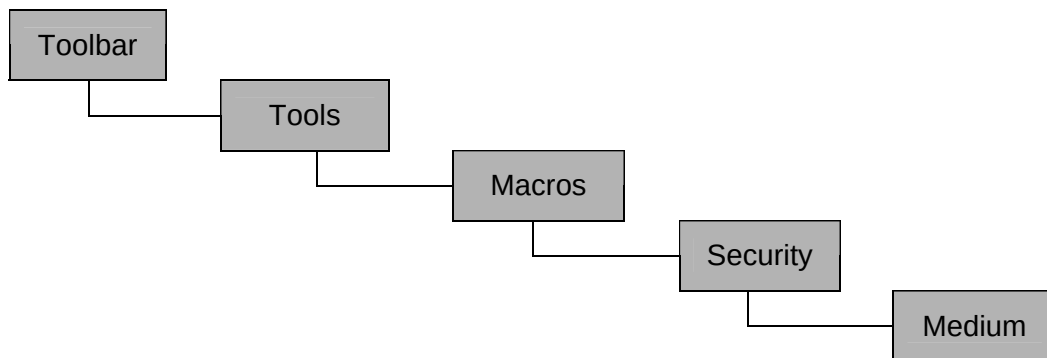
1. Open MS WORD.
2. Click "Tools" on the top menu.
3. Click "Options" (a tabbed dialog box with many types of information is displayed).
4. Click on the "File Locations".
5. Click on the "User Templates" (it is one of the "File Types" that you can see).
6. Click the "Modify" button and enter the directory name that you have created in the first phase. (i.e. C:\Monitoring_Templates). Alternatively you could copy and paste all templates you already saved on C inside the opened window, after you have followed the step 1 - 6 from above.
7. Then close all WORD and EXCEL applications and restart these programmes.
8. To be able to use the template that you just installed you go to "File", "New": you will now be able to see different tabs of templates (English, French, Spanish). Choose one of these tabs; after which you select one of the templates (MR, BCS, MN).

NOTE: It is not necessary to repeat the customisation procedure for MS EXCEL (regarding the BCS) since it gets automatically customized when you do it for MS WORD.

Setting the Security Settings

9. In the toolbar select **"Tools"**.
10. Click **"Macro"**.
11. Click **"Security"**.
12. Choose the **"Medium"** setting by clicking on the appropriate checkbox.

Figure 4: Enabling the Template Macros



Creating a new Monitoring Report (MR) or Background Conclusion Sheet (BCS) for a project to be monitored:

1. Open MS WORD for the Monitoring report (MR), also for Monitoring Note (MN) and Project Synopsis (PS) **or** MS EXCEL for the Background Conclusion Sheet (BCS),
2. Select **"File"** in the toolbar,
3. Click **"New"**,
4. When a dialogue box with the templates appears, select the Monitoring Report Template or the Background Conclusion Sheet Template. It is possible that MS WORD (or MS EXCEL) will inform you that "Macros" are going to be run. When asked whether you would like to proceed you should reply "Yes",

Save now first your file!

- Click **"Save As"**,
- When a dialogue box appears and prompts you for a filename, insert the reference number of the Report / Project (or your own reference number or name if not available) and add the extension of the file (**.xls** if you are working with MS EXCEL; **.doc** if you are working with MS WORD).

NOTE: The Macros ensure that the format is "locked" so that all reports are formatted the same.

For the BCS and MR monitors are required to follow, without exception, the format and must not disable the macros. They should not try to tamper with the format of the BCS, the headings, font size, margins, etc. The limitations have been imposed deliberately so that monitors must be concise, direct and to facilitate correct uploading of the reports into CRIS.

Do not double-click on the template icon in the windows explorer to open a new document. If you do so the template will not work properly and you risk that text will disappear when you go to another box.

5. You may now fill in the boxes.

Monitors filling in the MR template with information during their field mission should:

- Always use a 'fresh' MR template for monitoring a new project,
- Always inform quality control staff in Brussels if you experience technical problems with templates.

NOTE: Never re-use an old monitoring report by deleting its content for a new project, as this may cause major deficiencies in the system.

Templates may be updated from time to time. In such case the Brussels office will always send you the latest version(s). Previous versions of templates, although looking similar, are then no longer valid. Please delete earlier versions entirely from your computer as they might only cause confusion.

B) Working in the Field

B-1) Working with the Background Conclusion Sheets - BCS

(You have already created, named and saved 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 diagram illustrates the structure of a Background Conclusion Sheet (BCS) with the following components and labels:

- Prime Issues (Sub Criteria)**: Points to the first column of the table.
- a/b/c/d Conclusions**: Points to the four columns containing radio button options.
- Sub questions**: Points to the sub-questions listed under each main criterion.
- Response of monitor**: Points to the large text area for the monitor's response.

3.2 Are planned beneficiaries using and also benefiting from the results/services?	☐	☒	☐	☐	Weighting	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?	☐	☒	☐	☐	Weighting	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?						

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.

B-2) Working with the Monitoring Report - MR

(Field Work: You have already created, named and saved a new MR for your project to be monitored)

The monitor can start filling in the technical data in the MR:

TIP: To move between fields in the MR template you can use TAB (for moving forwards) and SHIFT+TAB (for backwards). To move along the text of the five criteria (Relevance, Efficiency, Effectiveness, Impact, Sustainability) use the mouse and click on the title of the criterion.

Header

(Complete as appropriate)

Country Name: Country with whom the Financing Agreement / grant agreement / sector, programme or country agreement is signed.

Country Code: each country has a two-digit code in CRIS. A complete list of the codes can be found in Annex G. For components of regional programmes state the country in which the PMU is located. For monitoring reports on regional programme level use the official CRIS code for the region (also to be found in Annex G).

Project Title: title in capitals and be stated exactly as it is in the Financing Agreement (FA), contract (for NGO projects), or agreements with similar status.

Monitoring Reference: to be completed by the Brussels Office of the Monitor.

Date of Report: to be completed by the Brussels Office of the Monitor.

I. PROJECT DATA

(Complete as appropriate)

The requested information is mostly available in documentation prior to the mission. So if it is filled in beforehand, and confirmed in the country, quality control in Brussels will be easier.

Project Number: the official project reference number can be found in CRIS database. The Brussels office will take care of this.

ALL DATES MUST BE IN STANDARD “DD/MM/YYYY” FORMAT (be sure that this is also the format used by your own operating system, which can be checked through ‘regional settings’ under your control panel).

Date Financing Agreement Signed: a Financing Agreement, or agreement with similar status, does not come into effect until all parties have signed. The date of the financing agreement (or agreement with similar status) is therefore the date the most recent signature has been added to the agreement, usually by a representative of the National Government.

Start Date – planned: the date for implementation to begin as stated on the FA, or if not mentioned, the date following the signature of the FA (or agreement with similar status).

Start Date - actual: the start date is the date the first legal commitment is entered into by the beneficiary in execution of the Financing Agreement.

If the planned start date and the actual start date are (considerably) different, the monitor should comment under "Efficiency", or other appropriate heading

End Date – planned: the date specified in the Financing Agreement (or agreement with similar status) by which the implementation of the agreement should be completed.

In case of a countersigned rider to the agreement, the new 'legal' end date- planned in the rider will apply. Riders always 'override' text in articles of concern and become therefore legal part of the official agreement.

End Date – likely: the date the project will finish if all planned activities are realised. If the end date will in reality be later than planned, the monitor should comment in the BCS and under "key observations, action required...", if appropriate

In reality the monitor will only be able to indicate a likely end date different to the actual one if and when a rider is already under preparation, or if the contract parties have verbally expressed a need to extend the contract. It is therefore more than the monitor's assessment what is required to determine the likely end date.

Responsible at Delegation Level: the full name (first name and last name) of the person responsible for supervision (or for coordination, in case of non deconcentration) of the project.

Responsible at HQ level: the full name of the person responsible at EC HQ level for the project.

Monitor: the full name(s) of the monitor(s) who visited the project during its implementation for ROM. The lead monitor's name should be first. The second monitor's name should be separated by a "/" with no space in between, e.g. John Brown/Mary Smith.

Project Authority: the authority in the recipient country, which is responsible for implementation on the side of the recipient government. It concerns often a government ministry or institution, which can be, but is not always a signatory to the Financing Agreement.

Sector/Subsector: the wording and code of the sector should correspond to the DAC/CRS Sector codes (see Annex H – List of DAC/CRS Sector codes). If the project/programme has more than one sector code, monitors should identify the key sector of the programme/project. All sector coding is to be checked by the Brussels Office and any queries should be addressed to them.

Monitoring Visit Date: the monitoring mission date (mission start date – mission end date).

II. FINANCIAL DATA *

Financial data can be identified from the database in CRIS, the latest progress report of the PMU or the Delegation. The responsible person in the Delegation is often a useful contact for finding out the required financial information. In the event that this information is very out of date or unavailable in the country of concern, the staff of the Monitor's Brussels Office can assist.

Total Budget of Operation: the total of commitments made available by all sources in the operation (in monetary terms), in case of multi-donor or co-financing situation.

Primary Commitment: how much has been made available in the Financing Agreement (or agreement with similar status) by the Commission to the operation.

Secondary Commitment: how much money of the EC contribution has been committed to contracts or work programmes from the primary commitment.

Funds Disbursed by the Commission: how much has been released to date of the EC contribution by the Commission Services.

* **As at:** the date (day/month/year) this reflected financial data was recorded.

NOTE: Identify always the fields for which you were not sure about the data you have inserted and report this to your control staff in the Brussels office.

III. SUMMARY OF CONCLUSIONS

This should be based on the BCS. If the monitor has completed the documents correctly each criterion will have been automatically allocated a summary status: a) very good, b) good, c) has problems or d) has serious deficiencies.

For making listings under the header V use a dash (“-”) format to make each and every point. For your information: bullet points are not possible as a result of the report locking system.

C) Quality control by the Brussels Office

The quality control starts after submission by the monitor of reports to the Brussels office.

C-1) Control of MR by quality control staff in Brussels

Quality control staff should, when validating the draft MR information in the office in Brussels including a check on all active and inactive fields, execute the following:

- Check whether monitors have not used a previous MR template of another project. In any such case, which might be difficult to locate, the report has to be copied in a new template by the Brussels Office;
- Ensure that monitors have used the *correct* CRIS project reference number;
- Ensure that the Normal.NewMacros.ProcessReport function is installed and active on your computer;
- Press the Normal.NewMacros.ProcessReport button once the Word document is ready to be sent;
- Check that the grades appear in the box at the bottom of the template.
- Fill in the hidden regional code and title, if it concerns the monitoring of a new regional programme;

NOTE: Grades should be complete and also be correctly reflected in this box in the hidden fields section. This is an automatic function if the Normal.NewMacros.ProcessReport button has been pressed. This will ensure that the grades appear on the CRIS sector and region overviews as well as on the PDF report.

The hidden regional code should always be filled in, in the ‘hidden fields’ section at the bottom of the report. The (¶) sign brings up hidden fields.

This will ensure that the [R] sign appears on CRIS, and it links the report to other components of the same regional programme.

The MR is now ready for uploading into the CRIS database

C-2) Uploading the MR into database

Quality control staff, uploading the final MR in the external monitoring module, has the following tasks:

- Ensure that the WORD version of the MR is converted into a PDF format, and that both documents are ready to be sent to CRIS,

- Upload the MR (in .doc and .PDF format) and all related files (but these files only in .PDF format) through the FTP system using the following filenames for:

EXAMPLE: If you have a new Monitoring Report (MR) in TACIS region (code = 4), in country Kazakhstan (Code = KZ) concerning a project with contract number (Saisie) 026-349, which represents the 3rd visit to the project we will record a code MR-4-KZ-026-349-03.pdf

Project Synopsis	PS-4-KZ-026-349-03.pdf
Financing Agreement	FA-4-KZ-026-349-03.pdf
Logical Framework	LF-4-KZ-026-349-03.pdf
Implementation Schedule	IS-4-KZ-026-349-03.pdf
Monitoring Note	MN-4-KZ-026-349-03.pdf
Response Sheet (Responsible at HQ level)	RS-4-KZ-026-349-03.RH.pdf
Response Sheet (Responsible at Delegation level)	RS-4-KZ-026-349-03.RD.pdf

- Ask the CRIS Database manager to confirm whether information has been correctly uploaded,
 - After confirmation from the database manager check whether the documents appear correctly on CRIS,
 - Check whether the grades appear correct and complete,
 - Check whether regional programmes are correctly displaying the **[R]** sign,
 - Check whether the new number of projects in the region overview is consistent with what you have uploaded.
-

Annex M: Template for Progress Reporting in ROM

The Monitor 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 Monitors):

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
