European Commission

ROM

Handbook

Results Oriented Monitoring

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Guidance for ROM reviews and support to end-of-project results reporting

for projects and programmes financed by the European Union within the framework of its external assistance

Directorate general for International Cooperation and Development

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ABBREVIATIONS

ACP	Africa, Caribbean and Pacific
ASEAN	Association of South East Asian Nations
BS	Budget Support
CBC	Cross Border Cooperation
CD	Capacity Development
C/D	Calendar Days
CMTP	Centrally Managed Thematic Programme
CRIS	Common Relex Information System
DAC	Development Assistance Committee
DCI	Instrument for Development Cooperation
DEVCO	DG International Cooperation and Development
DG	Directorate General
DTL	Deputy Team Leader
EAMR	External Assistance Management Report
EC	European Commission
ECOWAS	Economic Community of West Africa
EDF	European Development Fund
EIDHR	European Instrument for Democracy and Human Rights
EEAS	European External Action Service
ENI	European Neighbourhood Instrument
ENISPCs	ENI Southern Partner Countries
ENPI	European Neighbourhood and Partnership Instrument
EU	European Union
EUD	EU Delegation
EU RF	EU International Cooperation and Development Results Framework
FA	Financing Agreement
FDI	Final date for implementation
FDC ILC	Final date for contracting Individual legal commitment
FPI	Foreign Policy Instrument
GBS	General Budget Support
GGDC	Good Governance and Development Contract
HQ	Headquarters
IcSP	Instrument contributing to Stability and Peace
IfS	Instrument for Stability
INS	Instrument for Nuclear Safety
INSC	Instrument for Nuclear Safety Cooperation
IPA	Instrument for Pre-Accession Assistance
IT	Information Technology
ITF	Infrastructure Trust Fund
JMA	Joint Managing Authorities
KPI	Key Performance Indicator
Logframe	Logical Framework
LMO/EOI	Limite de mise en œuvre/end of operational implementation
MERCOSUR	Mercado Común del Sur (Southern Common Market)
MDG	Millennium Development Goals
ML	Mission Leader
MoU	Memorandum of Understanding
OCT	Overseas Countries and Territories
OECD	Organisation for Economic Cooperation and Development
OM	Operational Managers

P/P	Projects and Programmes
PAF	Performance Assessment Framework
PEFA	Performance Measurement Framework
PCM	Project Cycle Management
PFM	Public Financial Management
QA	Quality Assurance
QC	Quality Control
ROM	Results Oriented Monitoring
RBM	Results-Based Management
SAARC	South Asian Association for Regional Co-operation
SBC	State Building Contract
SBS	Sector Budget Support
SRC	Sector Reform Contract
TAPs	Technical and Administrative Provisions
TCF	Technical Cooperation Facilities
TL	Team Leader
UEMOA	West African Economic and Monetary Union
W/D	Working Days

INTRODUCTION

This ROM Handbook presents the detailed rules, modalities, specifications and quality standards governing the organisation and carrying out of the Results Oriented Monitoring (ROM) system implemented as from 2015 under the responsibility of the European Commission's Directorate-General for International Cooperation and Development. It aims to assist, with external consultants, the Commission's services and its representations (EU Delegations - EUD) in the partner countries and regions in the monitoring of and reporting on the implementation of projects and programmes financed within the framework of the EU's external assistance. This assistance represents the follow-up of the former ROM system implemented since the beginning of the devolution in 2000.

The reforms contained in the new ROM system are part of a wider set of reforms relating to its overall project and programme monitoring, reporting and evaluation systems. The reforms are designed to enhance the Commission's accountability and management capacities with a stronger focus on results at all levels, including the EU's corporate level as a donor, through the new EU International Cooperation and Development Results Framework.

With respect to the ROM system, the changes are based on the following two key principles:

- the need for **strengthening internal monitoring and reporting by EUDs and the Commission's HQ services**, as the Commission's first and main pillar for monitoring and reporting, and consequently for better management of and accountability on the EU's external assistance;
- the need for **strengthening the use of the external ROM system as a support to EUD and the Commission's HQ services' project management functions** by improving its quality and focus in terms of coverage, including with regard to end-of-project results reporting.

The changes also translate into a new ROM information management module managed by the Commission's DG for International Cooperation and Development, replacing the old CRIS ROM module. The new module offers a user-friendly interface and new electronic templates for monitoring questions and ROM reports as well as specific spaces for comments by the EUD/HQ services in the draft and final report. It also sets out the actions planned by them in light of the ROM reports. These actions should then become an integral part of the subsequent monitoring process on the EUD/HQ services side.

The main objective of the new ROM Handbook is to explain to the ROM contractors, the ROM experts, the EUD's and Commission's HQ staff the scope, objectives, tasks, processes and products of the new ROM system in order to ensure its overall quality of the Results Oriented Monitoring services. It does not have the objective of explaining the ROM system to a wider public.

> The Handbook may be updated from time to time on the basis of lessons learned from the implementation of the ROM services (and the quality assurance services) and by taking operational needs into consideration. The ROM Handbook is therefore a living document. The EC ROM Coordination Unit will ensure due preparation of such updates in consultation with the ROM coordinators in the EC services and the contractors implementing the ROM system.

The ROM Handbook is divided in several parts:

- Chapter 1 describes the framework for monitoring and reporting concerning EU-funded projects and programmes. In particular, it highlights the reform of the ROM system and the new focus on results, introducing the EU International Cooperation and Development Results Framework for reporting on results and the role of the ROM system in terms of reporting on results.
- Chapter 2 briefly describes the actors in ROM reviews and support to results reporting, both internally to the EC services and externally, including the ROM contractors.
- Chapter 3 exposes the methodology and various steps for ROM reviews of ongoing projects and programmes. It successively describes the establishment of the lists of projects to be subject to ROM reviews, the desk phase, the field phase, the reporting phase and the quality control phase.
- Chapter 4 exposes the methodology and various steps for ROM support missions to end-of-project results reporting. It successively describes the establishment of the lists of projects to be subject to this type of ROM support, the desk phase, the field phase, the reporting phase and the quality control phase.
- Chapter 5 briefly describes the consolidated reports to be submitted by the ROM contractors for the ROM reviews and end-of-project support missions.
- Chapter 6 deals with overall reporting by the ROM contractor in terms of implementation of the ROM services contracts, specifying the reporting to be done in the form of six-monthly progress reports.
- Chapter 7 addresses the external quality assurance process, including the scope of the related contract and reporting.
- The annexes consist of the various templates used at the various stages of the ROM process.

1 MONITORING AND REPORTING

The EU is a major global development player implementing most of its external assistance spending through a large, decentralised network of country and regional EUDs. They play therefore a crucial role in translating the EU's broad international cooperation and development policy objectives into effective action and results in the field.

EUDs, as well as operational EC HQ services, work within an overall framework to implement the EU's international cooperation and development assistance. It is based on the following **principles underlying the monitoring, reporting and evaluation chain** with respect to the implementation of EU-funded projects and programmes, requiring an organised flow of information that serves management, accountability and learning purposes:

(i) Information on the performance of projects and programmes throughout their implementation and on their results at output and direct outcome levels through **monitoring and reporting** on implementation as well as more in-depth assessment of implementation issues through **mid-term project evaluations** where needed;

(ii) In-depth assessment of both results at outcome and impact levels, and of sustainability of the projects and programmes and their value added, through **individual final or ex-post project evaluations** to take place at the end of or after project implementation;

(iii) In-depth assessment of country, regional and thematic strategies and of instruments through **strategic evaluations**.

Monitoring and reporting take place at different levels:

- by the implementing partners, through their own monitoring and reporting, that is the main source of information for the Commission's own monitoring and reporting;
- by the Operational Managers (OM) in EUD and EC HQ operational services through monitoring and reporting at project level and;
- at more aggregated levels, including through the reporting, as from 2015, on the basis of the new EU's International Cooperation and Development Results framework.

The ROM system, implemented by external contractors and experts, is to support EUD and EC HQ services in these project monitoring and reporting functions. The services provided include the performance of review missions with respect to projects and programmes under implementation as well as missions to support end-of-project reporting on results. The services also comprise consolidated analysis of the individual project reviews and results reporting support missions, to be laid down in annual reports to be drawn up by the ROM contractors.

1.1 Monitoring

As defined by the OECD-DAC, project monitoring is an ongoing function that uses systematic collection of data on specified indicators to provide project management and the main project stakeholders with information on the extent of progress and achievement of the project's objectives and progress in the use of allocated funds.

1.1.1 Monitoring by the implementing partners

A robust monitoring system underpins evidence-based decision-making and relies on the quality of the underlying monitoring data. It not only covers the agreed intervention logic, including expected results and related indicators through which to measure progress, but also related risk factors. To this end, implementing partners need to establish a monitoring system used to prepare progress and completion reports using the logical framework matrix (for project modality) or the Performance Assessment Framework (for budget support modality) as a reference. Such progress and completion reports describe the level of project implementation, including results achieved, difficulties encountered and potential changes introduced. They are to be submitted to the EC services and approved by them.

For many projects and programmes, the partner country plays a central role in the monitoring process as the main implementing partner. This is particularly the case for programmes in support of country sector policies, including sector Budget Support (BS) programmes, for which monitoring functions cover the implementation of the sector policy reforms, the achievement of related targets, the formulation and implementation of the public budget and its allocation to sectors, policy dialogue and the development of capacities (Capacity Development).

1.1.2 Internal monitoring by EU Delegations and EC HQ Services

In order to track the performance of projects and programmes, including the delivery of expected results, OM in EUD and EC HQ services monitor implementation on the basis of progress and completion reports from partners, cross-checking information from other sources (such as field visits, ROM reviews, other partners' and external evaluations, project steering committee with key stakeholders). In terms of relations with a partner country, policy dialogue is another key element of the monitoring process. When support, in particular budget support, is provided by several donors, there is an overall monitoring and evaluation framework shared by government and donors. Specific monitoring arrangements are then developed; this may also need to be the case for other implementing modalities with characteristics that require specific monitoring arrangements, as is the case with blending (combining EU grants with loans and/or credits from other public bodies and private sector entities).

1.1.3 External support through ROM

The ROM has been reformed in 2015 and the most important features of the reform are:

a) Strengthening the quality of ROM reviews through:

- systematic use of specialised thematic and sector expertise in the carrying out of ROM reviews;
- more time to be spent in the field by the experts to allow for meaningful consultations of stakeholders;

- introduction of a robust external Quality Assurance (QA) system, independent of the consultants implementing the ROM services.

b) <u>Improving the focus in terms of coverage of EU-funded projects and programmes by the ROM system through:</u>

- focusing the ROM reviews on the following project categories:
  1) projects signalled as having implementation problems by EUD and EC HQ operational services through flagging in the Commission's internal reporting systems (in particular the External Assistance Management Reports made yearly by the EUD' s and EC HQ operational services) and in need of additional review (beyond internal monitoring)), to be carried out in the form of a ROM review.
  2) other projects for which such reviews may be particularly useful, in particular:
     - projects for which the necessary sector expertise at EUD level may not be sufficiently available at a given point of time;
     - projects which could not be included in the EUD planning of field visits;
     - innovative projects and programmes;

  NB: budget support operations are not covered by the current ROM review system and ROM on blending operations is still in a test phase.

- making sure that full use is made of the potential of the system with regard to end-of-project results reporting. In this respect, ROM support missions are to take place to provide assistance to EUD/EC HQ operational services, in particular with a view to reporting on results on the basis of the new EU International Cooperation and Development Results Framework indicators (but not limited to these).

As a result of these reforms, the specific objective of the ROM system implemented from 2015 is to provide an external opinion on project/programme implementation in order to support project management by the EUD and EC HQ services. The support is focused on projects and programmes signalled by operational managers (OMs) as having implementation problems as well as on other projects for which an external opinion is, for various reasons, seen to be particularly useful. **Projects are not supposed to be reviewed through ROM reviews on a regular, annual basis** but only when there is a particular need for an external expert opinion in support of the normal regular monitoring by EUD and EC HQ operational services. Normally, a ROM mission takes place only once over a project duration. **It may nevertheless happen that a project is reviewed more than once if such a need exists**, in particular if it has demonstrated very bad performance during a previous ROM review and for which internal monitoring revealed prolonged problems/issues/constraints which may render a follow-up ROM review important. **If this is the case, the EUD or EC HQ operational service in charge must explicitly confirm it by justifying why a new ROM review makes sense.**

ROM reviews assess the status of a project through an analysis of project documentation and meaningful consultation with all of the parties involved, including beneficiaries. ROM reviews will be looking at progress in input provision, activities undertaken and results delivered (outputs, direct outcomes). They are to highlight the strengths and weaknesses of the project implementation with a view to assisting OM and key stakeholders in dealing with questions and problems that have emerged, and are then to find solutions and revise approaches and, where relevant, adapt to changing circumstances. When ROM reviews target innovative projects and programmes, they further elaborate on the elements of innovation as identified by OM drawing upon the thematic or sector expertise and experience of ROM experts. It should be underlined that a ROM review is not an evaluation, the latter being an in-depth assessment which represents a much deeper and broader analysis. In specific cases, a ROM review may lead to the conclusion that such an in-depth assessment in the form of a mid-term evaluation is required to address the problems that emerged by defining the approaches and conditions for re-orienting the project (without excluding the option that a project should be abandoned).

1.2 REPORTING ON RESULTS

1.2.1 STEPPING UP EU EFFORTS, INCLUDING THE EU INTERNATIONAL COOPERATION AND DEVELOPMENT RESULTS FRAMEWORK

As part of the implementation of the commitment articulated in the Agenda for Change[1]to strengthen the EU's capacity to monitor and report results with a view to enhancing impact, accountability, transparency and visibility of EU aid and within the context of drawing more attention to results and devising means to measure these, the EU is stepping up its efforts to improve monitoring and reporting on results at all levels, i.e. at project and country level as well as at the EU's corporate level as a donor. Part of these efforts has been the introduction from 2015 of an EU International Cooperation and Development Results Framework (hereinafter "EU RF").

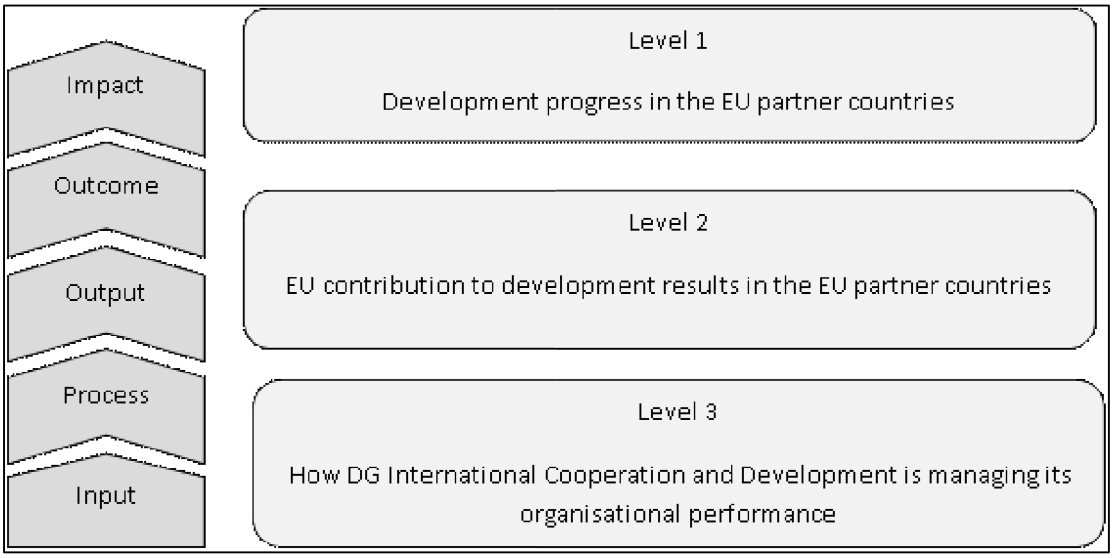
The EU RF is part of a wider set of measures which the Commission is putting into place to strengthen monitoring and reporting on results of EU international cooperation and development assistance. These measures are also key to strengthening the EU's capacity to support the development of appropriate monitoring and accountability mechanisms at country level, in line with the aid effectiveness commitments entered into by the international community in Busan.

The EU RF is reporting on results aggregated from projects and programmes financed under the external assistance instruments managed by DG International Cooperation and Development (the Development Cooperation Instrument, European Development Fund, European Instrument for Democracy and Human Rights, Instrument contributing to Stability and Peace, Instrument for Nuclear Safety Cooperation, and Instrument for Greenland and the corresponding instruments covering the programming period 2007-2013). By their very nature, corporate level results frameworks are only able to capture results that can be aggregated, thus making it difficult to produce qualitative results. The EU RF includes a set of 32 results indicators against which the EC will report such aggregated results. For the first few years and in order to learn lessons and improve the reporting system, results measurement takes place for completed projects and programmes. In the medium term, and once new operational information management systems are established, reporting annual results from ongoing projects will be considered.

As shown in the diagram below, the EU RF is structured around three levels:

[1] Increasing the Impact of EU Development Policy: an Agenda for Change. COM (2011) 637 final

Figure 1. EU Results Framework



Level one looks at development progress of the partner countries, i.e. medium-term and long-term development outcomes which result from the collective action of the partner countries with support from donors and other development actors and towards which EU-financed interventions contribute. This level of the framework is to set the operational context in which the results of EU external assistance should be seen. Indicators at this level are ones which have, on the whole, been agreed by the international community (for example Millennium Development Indicators/Sustainable Development Indicators) and draw on data sourced from international organisations who have ensured that any necessary adjustments to national statistics have already been carried out, thus making data comparable across countries.

Level two focuses on development outputs and direct outcomes which can be more closely linked to EU projects and programmes. It is at this level that results from operations financed by the EU is aggregated to demonstrate how they contribute to development progress in partner countries. In order to be able to indicate how outputs and direct outcomes from EU-financed interventions are linked to such development progress, results identified at level 1 are associated with those included at level 2. Information on results achieved from operations financed by EU development cooperation is, in practical terms, drawn from national statistical systems or specifically collected from project and programme monitoring mechanisms (reporting by implementing partners). For each indicator included in a project or programme which is linked with a level 2 EU RF indicator, results data measured by the country or other partners' monitoring systems is collated by EUD and EC HQ services.

Level three of the EU RF captures organisational performance. Indicators at his level monitor how DG International Cooperation and Development is managing its operational processes and resources in order to contribute towards achieving development results. This level includes information on areas such as quality of design of development programmes, the performance of ongoing programmes, disbursement rates and compliance with EU regulatory and policy commitments. For this level, data are derived from existing internal information sources.

Reporting on results at the various levels are performed by the EUD and EC HQ services as follows (further details are provided in the following chapters):

- At level one, DEVCO HQ services compute data from existing internationally available data sources and report on them.
- At level two, the OM in EUD or EC operational HQ services (for centrally managed projects and programmes) collect data and report on them. The ROM missions concerning end-of-project results reporting support this process.
- At level three, DEVCO HQ services collect the relevant data/information and report on them.

For the type of results data to be identified, it is important to note that reporting on results through the EU Results Framework relate to the overall results that have been supported with EU assistance. It does not calculate results based on our financial input share. For example, in instances where the EU is co-funding a project or programme together with other donors and/or the partner government (for example in sector budget support operations), we would report the overall results that were achieved and reported by the implementing partner (which in the case of budget support would be the government) and report these as results achieved with EU contribution. In instances where the EU is the only funding provider to a specific project, we report all results achieved by this project.

1.2.2 ROM SUPPORT TO END-OF-PROJECT RESULTS REPORTING

Projects and programmes financed from the 2007-2013 programming period were not designed with the EU Development and Cooperation Results Framework in mind and experience shows that results data are not always available and easy to process. Project documents and logical frameworks did not always include well-defined and measurable indicators. Reporting on results achieved, both for project specific indicators and for EU RF indicators, is therefore not necessarily an easy task and will require practice and training.

In order to assist OM in EUD and EC operational HQ services in reporting on results and in solving technical difficulties and facilitating quality control of data, specific support to that purpose are provided under the new ROM system. The expert who carries out ROM missions to support end-of-project results reporting is not expected to collect results data, but to work with OM in reporting results data, which ought to already be available in project/programme related reporting from partners. Reporting on the EU RF indicators is supported by methodological notes. Reporting is, however, not limited to results measured by those indicators, but extends to all key results of the projects and programmes concerned.

As mentioned, such results measurement and reporting will, for the first few years, only take place for completed projects and programmes. However, even end-of-project reporting on results requires the data collection systems to exist and provide reliable data. Therefore, already for ongoing projects, data collection systems need to be looked at so that results data are available when the project/programme ends. Both these support missions and the ROM review missions involving ongoing projects may therefore also assist in identifying systemic needs and modalities for improvement in results reporting.

The ROM support to results reporting is to cover all projects and programmes ≥ EUR 750 000 which ended between 1 July of a given year and 30 June of the following year. Further details are provided in chapter 4.

2 ACTORS IN ROM REVIEWS AND SUPPORT TO RESULTS REPORTING

EC services lead the process of implementation and delivery of ROM reviews and support to results reporting and assess the quality of services provided. They are the direct beneficiaries of ROM services. They receive assistance from a Quality Assessment (QA) Contractor to assess the quality of ROM services and from another contractor when it comes to coordinating the ROM system.

Interaction between EC services (both at HQ level and EUD level) and ROM contractors is needed throughout the ROM process. Participation of other key stakeholders during the field phase of ROM reviews is essential in order to carry out the exercise in an efficient manner.

When referring to EC services, a large number of actors are involved: the HQ ROM Coordination Unit (DEVCO.05), ROM coordinators in the DEVCO geographic and thematic Directorates, ROM focal points in EUD and HQ operational Units, and OM, each of them playing a specific role.

Other key stakeholders in ROM reviews are those involved in EU cooperation: partner countries' institutions, EU Member States or their development agencies, international organisations, civil society organisations and, last but not least, final beneficiaries and target groups of EU-funded projects and programmes.

2.1 EC Services

2.1.1 ROM Coordination Unit (DEVCO.05)

The ROM Coordination Unit (DEVCO.05) is responsible for the overall coordination of the ROM system, including (1) all methodological issues related to ROM services, in close cooperation with ROM coordinators in the EC HQ geographic and thematic units (see below), (2) the processing and aggregation of results data for reporting on indicators included in the EU RF, and (3) the supervision of the Quality Assessment (QA) Contractor.

The ROM Coordination Unit organises regular meetings with all ROM coordinators in order to ensure a harmonisation approach on methodological and operational issues. When needed, the ROM Coordination Unit organises exchanges and information sessions with all ROM contractors and coordinators to clarify and, if necessary, modify the ROM system as detailed in the present Handbook and to facilitate dissemination and shared understanding thereof. It also manages with other concerned DEVCO Units the pilot phase of ROM reviews on blending operations financed by investment facilities.

The ROM Coordination Unit is responsible for the supervision of the QA contract (see chapter 7): it establishes the monthly random sampling of ROM services to be reviewed by the QA Contractor, it can request additional QA reviews on the basis of requests from the ROM coordinators, it is responsible for the coordination with respective ROM coordinators of corrective measures to improve the quality of the ROM reports which could be recommended by the QA contractor through quarterly and annual QA reports.

2.1.2 ROM COORDINATORS

There are five ROM contracts (Neighbourhood, Africa, Asia & Pacific, Latin America & Caribbean and one contract for centrally managed thematic programmes). For each contract, the EC HQ Directorate in charge of the contract has one ROM coordinator who constitutes the link between the EC services (incl. EUD) and the ROM contractor. The ROM coordinators examine and approve six-monthly implementation progress reports and end-of-contract implementation reports to be submitted by the ROM contractor.

ROM coordinators participate in the overall coordination activities organised by the ROM Coordination Unit in order to ensure appropriate methodological uniformity in the performance of the ROM services. They assure the necessary liaison and communication with ROM focal points in EUD and HQ operational services. They approve the ROM workplan for their lot with the CVs of the experts proposed for each assignments of mission.

ROM coordinators also intervene in case of serious disagreement between a EUD/HQ Unit and a ROM expert/ROM contractor on the findings presented in a ROM report. In such a case, ROM coordinators may request the ROM Coordination Unit to foresee additional QA services.

If necessary and in coordination with the ROM Coordination Unit, ROM Coordinators discuss with the ROM contractors findings of the Quality Assurance (see below).

2.1.3 ROM FOCAL POINTS IN EUD AND EC HQ OPERATIONAL UNITS

Each EUD and HQ operational service appoints a ROM focal point. In HQ, the ROM focal points in thematic and geographic (regional) HQ Units deal with projects centrally managed by their services. They are not an intermediary between ROM coordinators and EUD. The role of ROM focal points is to ensure appropriate information flows and good coordination among all actors involved in the selection of projects to be subject to a ROM service, mission planning and execution of both ROM reviews and results reporting support, as well as the follow-up on recommendations as included in ROM reports. Therefore they have full access to the ROM module and can interact in place of the OMs if absent. When possible, they also assist new users of the ROM module in their Delegation/Directorate.

EUD and EC HQ operational Units are encouraged to consider the usefulness of designating the same staff as ROM focal points and evaluation correspondents, with a view to enhancing coherence between monitoring, results reporting and evaluation.

2.1.4 OM IN EUD AND EC HQ

Operational Managers (OM) are the EC staff members in charge of managing and/or monitoring EC-funded projects and programmes. They are the direct beneficiaries of ROM services. OM are responsible for choosing the projects and programmes that should be subject to a ROM review and coordinate with ROM focal points during preparation of the ROM workplans. For ROM reviews, they participate in the briefing and debriefing of the field mission, provide comments on the ROM report and draft the actions deemed necessary to follow up on recommendations from the ROM. For support to results reporting, they work together with the ROM experts on results reporting and participate in the quality control process up to its final delivery to the ROM Coordination Unit.

2.2 Implementing partners and other stakeholders

2.2.1 Implementing partners

Implementing partners are in charge of managing EC-funded projects. As key actors, they are involved in ROM reviews. However, they are not normally involved in the support to results-reporting missions which are essentially limited to desk support by ROM experts to the EUD, and, for ROM CMTP, to DEVCO HQ operational Units".

Regarding ROM reviews, as a general rule the OM informs the partner country's ministry or agency concerned (as well as the NAO office in ACP countries) of the missions so that it can prepare itself for the mission and facilitate the arrival of the ROM experts. Field visits should be performed in order to allow for due consultation of the implementing partner, possibly also with and other key stakeholders[2]. In case a project is not managed by the partner country's government but by a Local Authority, NGO, International Organisation (IO) or EU Member State Development Agency, the OM will provide the ROM contractor with the contact details so that the latter can make the necessary arrangements. If the implementing partner is an IO, the ROM coordinator will inform the contact person at the IO HQ of the selection of the project for ROM review and of the probable timing for the planned ROM review mission.

The ROM reviews for blending operations may have a joint review component with other donors, agencies or international financial institutions (i.e. implementing partners and other stakeholders). Until the time specific guidance is provided for blending operations, ROM reviews for blending operations are suspended.

Sufficiently in advance, the implementing partner must, via the OM, be requested to prepare all the necessary documentation and possibly logistical arrangements to facilitate the ROM review. In principle, discussions between OM, implementing partners and other stakeholders on reporting and data collection should take place as of the start of the project cycle (in fact as of project preparation), in particular regarding reporting on results. Collecting relevant and timely data requires an adequate system to be in place so that data can progressively be collected and their availability ensured when the project ends. Therefore, documentation on data collection systems of the project should also be prepared for discussion during ROM reviews of ongoing projects – even if results measurement is not the objective of such ROM reviews.

As a general rule, the implementing partner should be associated with briefings and debriefings of the ROM review field mission. When the draft ROM report is available, the implementing partner should as a rule be consulted by the OM when drafting his comments.

It shall be noted that the whole ROM process is to be appropriately documented and registered, both for internal quality control by the ROM contractor and in view of a possible quality assurance by the QA Contractor (see below).

2.2.2 Other key stakeholders

When preparing and implementing a ROM review, ROM contractors and their experts have to timely consult the project's other key stakeholders. These include the final beneficiaries.

[2] These consultations are not a priori supposed to require the OM's participation.

The ROM contractor/experts are not entitled to disseminate the draft and final reports to stakeholders. Requests for the transmission of the draft and final report made to ROM experts or the ROM contractor shall be referred to the responsible OM and to the ROM coordinator.

For the missions for support to end-of-project reporting on results, the ROM expert will mainly perform desk work with the EUD and the EC operational HQ services and no consultations with stakeholders are foreseen.

2.3 ROM CONTRACTORS

2.3.1 GEOGRAPHIC AND THEMATIC CONTRACTS

ROM services are implemented through four service contracts covering different geographic areas and one service contract for Centrally DEVCO Managed Thematic Programmes (CMTP). Thematic projects managed by EUD at country level are covered by the geographic contracts. The coverage can be further detailed as follows:

- European Neighbourhood Region: Neighbourhood South and East countries as well as Cross Border Cooperation (CBC) projects co-financed under the Neighbourhood instruments alongside the EU's external borders.
- Africa**:** Sub-Saharan Africa, including Pan-African as well as Intra-ACP programmes.
- Asian and Pacific regions: Asian[3] and Pacific region (including OCTs in these regions)
- Latin American and Caribbean regions: Latin American and Caribbean regions, including Cuba and OCTs in these regions.
- Centrally Managed Thematic Projects and Programmes (CMTP) financed under current or predecessor programmes: European Instrument for Democracy and Human Rights (EIDHR); DCI thematic programmes Global Public Goods and Challenges, Civil Society Organisations and Local Authorities, Migration & Asylum, Environment and Sustainable Management of Natural Resources including Energy, Investing in People (Health, Education, Gender, Employment and Social Cohesion, Youth, Children and Culture), Food Security; Instrument contributing to Stability and Peace (IcSP) and Instrument for Nuclear Safety Cooperation (INSC).

2.3.2 EXPERTS

The team of experts under a ROM contract consists of a core team of full-time (220 man-days[4]/year) key experts and additional non-key experts who are not part of the core team.

[3] Including Central Asia as well as Iraq, Iran and Yemen.

[4] Working days

2.3.2.1 Core team

A core team of key experts will manage the implementation of the ROM services on the side of the ROM contractor. The number of key experts varies from one ROM contract to another. In addition to overall management of the implementation of the ROM services under the contract and performance of ROM reviews and results reporting support missions, they also ensure the internal quality control with respect to the ROM services and provide the necessary support to the non-key experts. While all core team experts will be performing ROM reviews, the management and organisation of contract implementation are the primary tasks of the Team Leader (TL) and the Deputy Team Leader (DTL). The other members of the core team also perform ROM reviews, are in charge of internal quality control and, as part of the core team, draft the annual consolidated analysis reports (see section 5.2). The core team of ROM key experts also organizes the necessary training and transfer of knowledge to non-key experts.

Table 1. Main tasks of the Team Leader and Deputy Team Leader

Team Leader main tasks	Deputy Team Leader main tasks
- Coordinates team and office - Coordinates workplans, their updates and approvals - Stays in constant contact with the ROM coordinator and OM - Provides methodological support to experts - Implements and quality controls ROM services in his/her area of expertise. - Drafts implementation progress reports and end-of-contract report - Coordinates with the key expert in "statistics and performance measurement" the annual report related to results reporting support missions and, with the other key experts, handles the annual and end-of-contract consolidated ROM analysis.	- Implements and quality controls ROM services in his/her area of expertise and takes corrective measures to ensure quality of ROM services - Supports the TL in the production of workplans, - Conducts training sessions / workshops / seminars - Drafts the quarterly and annual QC reports - Ensures the communication with the QA service contractor

This division of tasks is indicative and can be adapted depending on the specific profile of the TL and DTL.

The profiles of the key experts are defined in the Technical Specifications of the ROM contract. Compared to the former ROM contracts, the profile requirements for all the experts have been raised to senior expert level with solid experience in development cooperation, solid expertise in various sectors (including in public finance management and macroeconomics stability), and extensive experience in project management.

At least one key expert has a background in statistics and performance measurement. He will be the main expert responsible for supporting ROM experts on any methodological issues encountered during support missions to results reporting and ensures quality control of the latter.

2.3.2.2 Other experts

"Non-key" experts are assigned on a case by case basis for the implementation of ROM services not carried out by the key experts. Their selection for the specific ROM missions must be approved by the ROM coordinator before implementation of the mission (as a rule they are proposed in the workplan – see below).

Non-key experts must satisfy minimum requirements and be approved by the ROM coordinators. They must have a minimum of 10 years of experience in development cooperation or in international cooperation and/or development, a minimum of 5 years of experience as a project manager, a minimum of 10 years of experience in the area of expertise corresponding to the project to be reviewed (the sector must be "statistics and performance measurement" for support to results reporting), a minimum of 3 years of experience in results-based approaches, monitoring and/or evaluation experience and 3 years of experience in the concerned region (the latter not being applicable to CMTP). Civil servants or other officials of the public administration of the beneficiary country, regardless of their administrative situation, must not be proposed as ROM experts by ROM contractors.

2.3.2.3 Organisational set-up

ROM contractors work through a management office in Brussels where at least the following members of the core team are established: the TL, the DTL, the junior expert(s) and the administrative/financial assistant. The other members of the core teams can work from home, guaranteeing their presence in Brussels at any time should it be required. ROM contractors assign one (or two in the case of the Africa service contract) full time junior expert(s) to tasks in support to the key and non-key experts for the daily logistical preparation of ROM reviews and results reporting support missions. They also assign a full time administrative/financial assistant to the team for administrative, financial and coordination support, including budget management and review.

ROM contractors participate in regular meetings with the ROM coordinator. They may also be invited to coordination meetings with ROM coordinators organised by the ROM Coordination Unit. **ROM contractors organise, at their own expense, ROM training (in person or online) for all ROM experts carrying out ROM services.** The programmes and materials are in line with guidance and/or training materials proposed by EC services, including for training on mainstreaming of gender equality, climate change and other horizontal issues. Particular attention will be given to training on results reporting.

ROM contractors must keep all their operational documentation related to the contract implementation and, upon request of the ROM Quality Assurance (QA) contractor (see below), submit their reports, internal quality control documentation, other deliverables or documents to the QA contractor so that he can verify the quality of the work delivered by the ROM contractors. Verification by the QA contractor will be performed randomly.

2.4 Contractor for ROM quality assurance

In order to strengthen the quality of the ROM, additional Quality Assurance (QA) on the ROM process will be implemented under a separate service contract. The work of the QA contractor is to assist in ensuring a high level of quality and to provide the basis for improvement of the ROM system where necessary by (1) monitoring compliance quality and application of the ROM Handbook during every step of service delivery by ROM contractors through a quality check by random sampling of ROM services and through direct interviews with a sample of ROM actors, namely EC services, ROM experts, ROM contractors and other ROM stakeholders, (2) providing recommendations to the ROM Coordination Unit for improvement of the overall quality of the services performed by each of the ROM contractors as well as of the ROM system. This may result in revision of the ROM Handbook for further improvement of rules, modalities, specifications and quality standards. More details are provided in chapter 6.

3 ROM REVIEWS

<u>Content of this chapter</u>

This chapter concerns the ROM reviews for ongoing projects. The ROM supports to end-of-project results reporting will be handled in the next chapter.

The chapter covers the elaboration of the ROM reviews workplan, the implementation of a ROM review: its desk phase, field phase including the consultations with key stakeholders and reporting phase which ends with the release of the ROM report to EC services, based on the related set of monitoring questions, established after internal quality control and comments from the OM.

This chapter will also describe in more detail the roles of the various actors and workflows in relation to ROM reviews and refer to the relevant templates contained in the annexes to the Handbook.

3.1 ROM MODULE

A new IT ROM information management system (ROM module) managed by the ROM Coordination Unit supports the implementation and delivery of ROM reviews. Its use is explained through specific guidance and training (e-learning).

The ROM module covers the elaboration of the ROM workplan for each lot and the overall process of the implementation of ROM reviews (ROM Production) up to the encoding of a follow-up plan.

The production of templates related to support to end-of-project results reporting are NOT covered by the ROM module. ROM reviews for blending operations are also not processed in the module.

3.2 ESTABLISHMENT BY EC SERVICES OF THE LISTS OF PROJECTS TO BE SUBJECT TO ROM REVIEWS

ROM reviews primarily focus on projects and programmes with implementation problems and, subsequently, on other projects and programmes for which a ROM review would have a particular interest. It should be underlined that projects are not supposed to be reviewed annually through ROM reviews – see also what is set out on this in section 1.1.3.

The starting point for the selection of projects and programmes to be subject to ROM reviews are the External Assistance Management Reports (EAMR) established annually by the EUD and HQ Directorates (see box below). The identification of projects with implementation problems takes place on the basis thereof, as set out in following box.

DEVCO - The External Assistance Management Report (EAMR)

Through the EAMR, Heads of Delegations (and HQ Directorates) report annually (at the beginning of the year) on the performance and results achieved in the implementation of EU external assistance the year before.

From the EAMR, a number of standard Key Performance Indicators (KPI) are computed. Two KPI concern implementation progress and risks in projects above EUR 200.000 EU contribution. The opinion of the operational managers on the performance of each project/programme is reflected in "traffic lights" The first traffic light (KPI-5) relates to the following questions: What is the expected level of scheduled resources the project will be able to use before the end of the project (< 75%, red; 75% - 90%, orange; > 90%, green)? The second traffic light (KPI-6) relates to the following questions: 1. What is the likely level that the projects will achieve in terms of output targets (< 75%, red; 75% - 90%, orange; > 90%, green)? 2. What are the risks that - regardless of outputs achieved - the outcomes of the project will not be achieved (high, red; medium, orange; low, green)? A project is considered to have implementation problems if at least one of the two KPI is flagged orange or red.

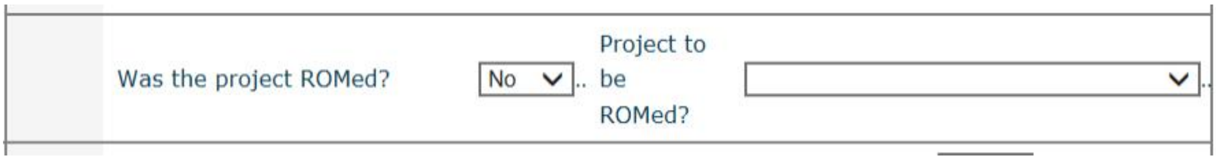
Projects are defined as operational entities along the following rules: if a project and all its decisions are managed by a same operational unit (Delegation or HQ Unit), the decision is considered to be the project. If contracts under a decision are managed by different entities, then the contracts are considered as projects. On that basis a project list is established which serves as basis for the EAMR. However, in some cases, even if all contracts under a decision are managed by the same entity, it is considered that the projects should be considered at individual contract level. This is why Unit DEVCO.R1 consults Delegation on the level at which projects must be defined in order to have more meaningful project lists. These lists constitute the basis for flagging of performance and for requesting a ROM review. These lists are transferred to the ROM module. It is therefore important that Delegations pay due attention when responding to DEVCO.R1 about the EAMR project lists. Later modification of the project list in the ROM module requires manual intervention which may become cumbersome and difficult to implement depending on availability of the required staff.

In the EAMR, projects with at least one orange or red flag for KPI-5 and/or KPI-6 are automatically flagged as subject to a ROM review. However in some cases, a ROM review should not take place:

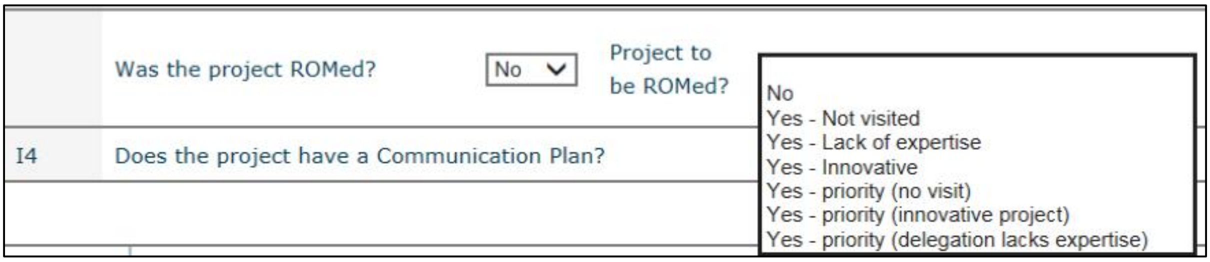
- if a project has just started (less than six months before) or is close to its completion (less than 8 months to its end of implementation). In the first case, there is still little to be analysed (the ROM is not intended to finish a project preparation). In the second case, the ROM review report will come at a point in time where there is insufficient time left to take corrective measures.
- if a project has recently been or will soon be subject to a mid-term-review (MTR), in which case a ROM is overlapping with the evaluation (the evaluation has precedence).
- if a ROM review would be unproductive. This may be the case if the risks or reasons for underperformance are well known and not much can be done about it through a ROM review, such as in case of civil war, natural disaster or other circumstances. Finally, ROM reviews on limited stand-alone activities, such as seminars or conferences, are as a rule not to be seen as useful.

On the other hand, even if KPI-5 and KPI-6 have both been flagged green, the EUD/EC HQ operational unit may request a ROM review in the following cases: the EUD/HQ Unit has not the required expertise to review the project, had no possibility to visit the project, or the project is innovative.

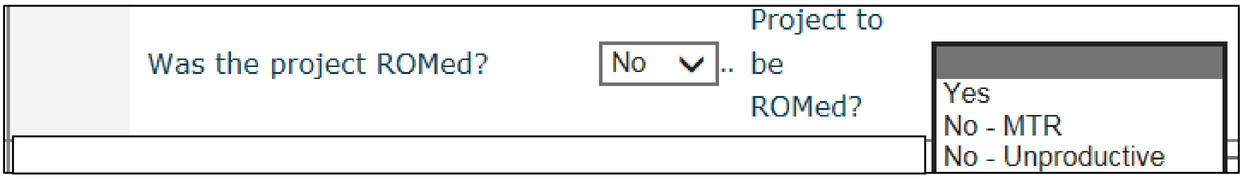
In the EAMR list, a tick-box "Is the project to be ROMed" has therefore been added to the EAMR projects' list to indicate whether a project is to be ROMed.



If the flags on KPI-5 and 6 are green, the options for encoding are as shown in the table below:



If at least one of the flags on KPI-5 or 6 is <u>not</u> green, the options for encoding are as shown in the table below:



The ROM Coordination Unit extracts from the EAMR / EAMR HQ the lists including all projects, with or without a request for ROM review. DG NEAR also produces a specific list with projects for which flagging and request for ROM review by EUD/HQ Unit have been made.

Projects financed under the Africa-ITF or the new EU Trust Funds do not necessarily appear in the EAMR list of projects and may therefore be added on the ROM workplan when a ROM review is needed.

3.3 Preparation of the ROM Review workplan

In this Handbook the term "days" is used both for calendar days and working days. When referring to deadlines for commenting or submitting reports, the term refers to calendar days (i.e. including weekends or public holidays). When referring to the number of days to perform a specific task and which are invoiced by the contractors through the timesheets, the term "days" means working days (effectively worked).

3.3.1 Preparation of the workplan

The diagram below presents the steps for the preparation of the ROM review workplan.

Figure 2. Preparation of the ROM review workplan

The ROM Coordination Unit imports the list of projects in the ROM Module

ROM Review status in the ROM Module:	*Uploaded*

ROM contractors identify potential conflict of interest at consortium level

ROM contractors submit experts' CVs to ROM coordinators, who approve through the ROM Module

ROM contractors flag all the P/P that can be reviewed within their budget (14 W/D)

ROM Review status in the ROM Module:	*Confirmed by contractor*

OMs provide complimentary information (14 W/D)

ROM Review status in the ROM Module:	*Confirmed by OM*

ROM contractors propose approved experts and mission dates (14 W/D)

ROM Review status in the ROM Module:	*Experts selected by Contractor*

OM verifies conflict of interest at expert level (within 14 W/D or silent procedure)

ROM Review status in the ROM Module:	*Experts confirmed by OM*

ROM coordinators approve the ROM mission (14 W/D)

ROM Review status in the ROM Module:	*ROM review approved*

In case of absence of the OMs in charge, their actions can be performed by ROM focal points.

1. Identification of ROM contractors' conflict of interest with projects and programmes subject to a ROM review

When receiving the list of Projects and programmes, ROM contractors identify projects and programmes with which their consortium may have a conflict of interest and flag it accordingly in the ROM module.

Conflict of interest at consortium level

If a member of a consortium has been involved in preparing and implementing the project or programme subject to a request for ROM services, it cannot implement the related ROM services and must alert the ROM coordinator accordingly.

Once the ROM coordinators and the ROM contractors have decided how to settle the conflict, the ROM contractor shall tick on the box 'Solve conflict of interests at consortium level' and explain what solution has been found.

The ROM contractor who has the conflict of interest will remain in charge of all actions to be done in the ROM module for the project or programme concerned, while the alternate ROM contractor implements the mission.

2. Estimation of the budget and submission of the experts' CVs by ROM contractors

ROM contractors have 14 working days to pre-estimate the number of projects they are able to cover with ROM services on the basis of the budget available under their contract. Once the estimation is done, the status of the ROM review in the module labelled as "Confirmed by Contractor". Simultaneously, ROM contractors enter the credentials and sector of expertise of all Key and non-Key experts including QC experts in the ROM module and submit their CVs to the ROM coordinator for approval. Experts can also be added at the later stage; no limitation is foreseen.

3. Provision of complimentary information by OMs

Once ROM contractors have submitted their estimation, OMs are requested to add through the ROM module complementary information within 14 working days:

- **Component(s) to be visited for multi-country projects**. For multi-country projects, a maximum of four countries are to be visited by the mission. In the specific case where more countries are to be visited, the OM shall explain why.
- **Request for more/less days**. In the specific case where more than 9 days (for single country projects) or less than 5 days per component of multi-country projects are requested, the OMs shall justify why.
- **Proposed time for ROM review**: OMs shall give ROM contractors an indication regarding time frames to be considered or excluded by contractors when organizing the field mission.

Other information that can be added:

- **Related CRIS reference**: CRIS documents attached to such projects will automatically be available in the "CRIS Library" and ROM contractors/experts will be able to consult them.
- **Contact details** of the implementing partner to allow the ROM contractor to start organizing the field mission.
- **General comments**

Once the complementary information has been added, the status of the ROM review becomes "Confirmed by OM".

Exclusion of ROM reviews

ROM Reviews cannot be conducted less than 8 months before the end of the project and not less than 6 months after the start of the project. An evaluation within 6 months of a ROM review should have superiority and lead to the cancellation of the ROM review.

4. Approval of experts by ROM coordinators

ROM contractors can now pre-select experts, identify mission leaders in case of multi-country projects, and propose dates for the field mission(s). The status of the ROM review becomes “Experts selected by contractor”. At this stage, the pre-selection of the QC expert is possible but not mandatory; nevertheless, it will have to be added before the submission of the ROM draft report.

5. Confirmation of experts and identification of Conflict of Interest by the OMs

OMs shall identify whether there is a conflict of interest for the expert(s) proposed. If OMs identify a conflict of interest, the ROM contractor is notified and the ROM review status goes back to “Confirmed by OM”. If no conflict of interest is identified, the ROM review status is set to "Experts confirmed by OM". After 14 days, if the OMs have not entered any information regarding the Conflict of Interest, the system advances automatically to status "Experts confirmed by OM".

OM or ROM focal points are not expected to approve or not the CV of the proposed experts for the mission on the basis of the quality of the CV. They only provide an opinion on potential conflict of interest of the proposed expert.

Conflict of interest at expert level
ROM contractors ensure that proposed ROM experts have no conflict of interest with the Project/Programme subject to a ROM review, the objectivity and quality of ROM experts' judgments being crucial for the credibility of the system. ROM experts must not have been involved in the preparation or management of the project or programme subject to a ROM review.

Any change of expert already approved for a mission, must be re-approved by the ROM coordinator.

6. Approval of ROM reviews by ROM coordinators

Once all previous steps have been completed, ROM coordinators can approve ROM reviews in bulk or one by one.

Single/grouped field missions
When several projects in a country must be ROMed the same year, it is not necessary or not always recommended to have a grouped mission, for the following reasons: 1) not all adequate experts may be available at the same time period and more flexibility in planning missions allow the most adequate ROM experts to implement more ROM reviews (professionalization); 2) all OM and other stakeholders are not necessarily available at the same time; 3) flexibility in planning allows to prioritize the ROM reviews on projects and programmes with issues; 4) team building and exchanges of experience between ROM experts may be organized by ROM contractors under other modalities than in the field; 5) general debriefings providing a general overview of the portfolio are much less relevant considering that ROM reviews are meant to support individual project and not to provide a portfolio overview.

3.3.2 COMPUTATION OF COSTS

ROM contractors compute the total costs of ROM reviews on the basis of the following standards (as defined in the technical specifications annexed to the ROM contract):

For each single country project and programme other than BS programmes (and including regional programmes implemented in one country[5]) and for each multi-country project and programme, ROM contractors preferably assign one ROM expert – exceptionally and in duly justified cases a maximum of two ROM experts covering different countries. In the latter case, one of the two experts is designated as a mission leader. In case of special needs, the ROM contractor will motivate his proposal to take those special needs into account. While preparing the workplan, the ROM contractor will consider the standard allocation of days for ROM reviews given in the tables below.

[5] When the project has an overall objective of a regional or sub-regional scope and its outputs are implemented in one country. These projects cover support to regional institutions and organisations such as the African Union, Andean Community, the ASEAN, Mercosur, SAARC, ECOWAS, ECCAS and, WAEMU

Table 2. Allocation of days for ROM reviews for single- and multi-country projects:

Allocation of days (*)	For single country projects and programmes	For multi-country (**) projects
Desk phase	1	1
Field phase (***) (including travel time, briefing and debriefing with EUD or HQ)	9	20
Drafting of report and QC phase (****)	2	4
Total days	12	25

(*) In some exceptional duly justified cases, the contractor may request a deviation (more or less days) from the standard number of days.
(**) A maximum of 3 experts may be assigned a ROM review for a multi-country project.
(***) For multi-country projects and programmes, 4 country visits (field phase) of 5 man-days each is the standard.
(****) These two days do not include the QC done by key experts but only cover the work carried out by the ROM expert

Preparation of travels and mission agendas as well as document research are not included in the ROM experts' workload but are part of the ROM contractor core team and backstopping tasks.

In some cases, after the ROM missions, the ROM contractor may be requested by the ROM coordinator to provide a debriefing of the mission at EC HQ. Such debriefings are covered, as a rule, by the Team Leader (TL) or the Deputy TL (as both of them are based in Brussels). In duly justified cases, they may be covered by the ROM expert or the relevant core team expert. These man-days are not covered by the number of days foreseen for the field phase.

Table 3. Indicative allocation of days for QC of reviews for single- and multi-country projects:

Indicative allocation of days (*)	For single country projects and programmes	For multi-country projects
Quality Control	1.5	2

As specified under section 2.3.2 the core team and more specifically the QC experts are in charge of internal quality control. In exceptional and duly justified cases, non-key experts may be assigned missions of Quality control. The prior approval of the ROM coordinator is required.

Priorities in planning ROM reviews

In case the budget available to a contractor is insufficient to cover all requests for ROM missions, the following order of priorities will be applied:

i) Projects and programmes subject to a mission for support to results reporting (see chapter 4),
ii) ROM reviews according to the priorities as set in Table 4.

Table 4. Priority criteria for budget estimation of P/P to be subject to ROM review

Projects and programmes are to be selected according to the following criteria:
1. Projects and programmes above 750 000 EUR signalled as having implementation problems.
2. Projects and programmes below 750 000 EUR signalled as having implementation problems.
3. Projects and programmes with EUD/HQ unit lacking sector expertise above 750 000 EUR, and for which the EUD/Unit HQ has flagged a priority request.

4. Projects and programmes with EUD/HQ unit lacking sector expertise below 750.000 EUR, and for which the EUD/Unit HQ has flagged a priority request.

5. Projects and programmes with EUD/HQ unit lacking sector expertise above 750.000, and for which the EUD/Unit HQ has flagged a priority request.

6. Projects and programmes with EUD/HQ unit lacking sector expertise below 750.000 EUR, and for which the EUD/Unit HQ has flagged a priority request.

7. Projects and programmes above 750.000 EUR that are innovative, and for which the EUD/Unit HQ has flagged a priority request.

8. Projects and programmes below 750.000 EUR that are innovative, and for which the EUD/Unit HQ has flagged a priority request.

9. Projects and programmes above 750.000 not visited, and for which the EUD/Unit HQ has flagged a priority request.

10. Projects and programmes below 750.000 not visited, and for which the EUD/Unit HQ has flagged a priority request.

11. Innovative projects and programmes.

12. Projects and programmes not visited.

The ROM coordinators adjust the lists to fit the available budgets, consult the ROM focal points if necessary and return the adjusted list to the ROM contractor. The latter will adjust the workplan accordingly.

3.4 Preparatory tasks for Desk and Field Phase

The diagram below presents the steps for the ROM review missions.

Figure 3. Workflow of ROM Review missions

ROM Contractors download the ROM report and monitoring questions templates	
ROM Review status in the ROM Module:	*Desk phase started*
ROM Contractors upload draft ROM report and monitoring questions (14 C/D after end field mission)	
ROM Review status in the ROM Module:	*Draft report*
OM comments on and grades the draft report (21 C/D)	
ROM Review status in the ROM Module:	*Draft report comment*
ROM Contractor uploads the final ROM report and monitoring questions (14 C/D)	
ROM Review status in the ROM Module:	*Final report*
OM comments and grades the final report, and prepares a follow-up plan (21 C/D)	
ROM Review status in the ROM Module:	*ROM review completed*

3.4.1 Preparation for the Desk Phase

Once the list of projects and programmes is approved, OMs must verify that all relevant documents related to the projects and programmes are uploaded in CRIS so that they can then be accessed by the ROM contractor through the ROM Module **no later than three weeks before the start of the ROM review mission**.

The templates in **Annex A2** (Monitoring Questions for ROM reviews) include in their section 3 a table on sources and contacts. The ROM expert will later use the same list and tick the documents which were made available in time. It must be noted that the documents listed are not all necessarily distinct documents and are sometimes included or annexed to other documents (e.g. TAPS are generally attached to the Financing Agreement). If some documents are missing the expert may ask the OM about the availability of the documents.

The OMs should provide all the documents for projects and programmes not appearing in CRIS, such as CBC projects for the Neighbourhood Region.

The ROM contractor will save all documents collected in the field and/or not available in CRIS in a **database specific to the Contractor**. The documents will be saved with the following format:

- for Decision level documents: "D" – Decision number – Title
- for Contract level documents: "D" – Decision number – "C" (Contract number) – title

This conservation of documents will serve the purpose of internal quality control and quality assurance by the QA Contractor — who must be able to access all documents easily — and for easy reference if need be in the discussion on the report.

ROM contractors keep the database of documents corresponding to their lot. The database remains the property of the Commission. The contractors and ROM experts are not allowed at any time during and after their contract to share documents to other people than the ROM experts, QA contractor and Commission staff without prior approval of the European Commission. At the end of their contract, the ROM contractors submit the database to the EC.

3.4.2 Preparation for the Field Phase

The table below presents the steps for the preparation of the field phase.

Table 5. Steps in the preparation of the field phase

For projects/ programmes		
Actor	**Breakdown of tasks**	**When**
Operational Manager	✓ Upload additional project documentation in a timely manner in CRIS ✓ Announce the provisional mission schedule to key stakeholders ✓ Brief them on the main objectives of a ROM review ✓ Communicate them the name(s) of ROM experts ✓ Provide contact details of the implementing partner and of the other key stakeholders to ROM contractors	At least 3 weeks before the field phase starts
ROM contractors	✓ Provide appropriate guidance and templates to ROM experts ✓ Arrange first contacts with ROM experts and EC services to schedule meetings prior to the field phase starts	Once the ROM review has been approved by the ROM coordinator

	✓ Ensure that documentation is made available to ROM experts	At least 3 weeks before the field phase starts
ROM experts	✓ Based on their documentary review of the project or programme, ROM experts identify needs for collecting information.	During desk phase

3.5 DESK PHASE – REVIEW OF DOCUMENTATION

This section addresses some specifics to be kept in mind for when the ROM expert reviews the documentation and for related support by the Contractor.

During implementation of the desk and field phases, ROM contractors provide technical and methodological support to ROM experts.

3.5.1 TASKS

Table 6. Steps in desk phase

	Actor	Breakdown of tasks	When
For projects and programmes	ROM experts	✓ Get familiar with all documents including the project's intervention logic reflected in the most recent logframe, implementation plans, the allocated resources and budget, all progress reports by implementing partners and EC internal progress reports by OM, any previous ROM report and mid-term evaluation. ✓ Identify key issues that need to be addressed during the field phase for ROM reviews for projects and programmes. ✓ In order to prepare the briefing, ROM experts develop a preliminary list of specific questions that they consider useful to ask based on their document review and the standard ROM monitoring questions.	During the desk phase

To support understanding and assessment of project implementation, ROM experts collect all relevant documents, such as action documents, logframe and budget (normally annexed to the contractual agreement), planning of activities as included in implementation plans and progress reports by implementing partners and OM, including the project's visibility and communication action plan. In the case of a project selected by a call for proposals, the guidelines for the call for proposals are also to be analysed.

When reviewing their documentation, ROM experts pay attention to the fact that projects and programmes may cover numerous implementing contracts (services - in particular Technical Assistance, and works and/or supplies contracts).

It is also important to consider the policy and other context in which a project or programme has been developed in order to analyse the relevance of a project. Country analyses, where relevant, are available from different sources like the EU, Regional Development Banks (ADB, AfDB, IDB), UNDP (report on Human Development), and other UN agencies and think tanks. The ROM experts should also take into account the link between the project and the geographic or thematic programming document covering it.

3.5.2 LOGFRAME/LIST OF PERFORMANCE INDICATORS

ROM experts will analyse the Logical Framework matrix (logframe). The logframe provides a synthetic overview, but it should not lead to concealing the complexity of the project. ROM experts should review the overall project or programme, not limited to the logframe.

As a matter of reference, the table below contains the Logframe template as included in annex to the standard Action document templates applicable to the preparation of new projects and programmes as of 1 January 2015. The template may be used as a reference document for analysis and recommendations by the ROM experts.

Table 7. Logical Framework template

(as annexed to standard Action Document template as of 1 January 2015)

	Intervention logic	Indicators	Baselines	Targets	Sources and means of verification	Assumptions
Overall objective: Impact	The broader, long-term change which will stem from a number of interventions by the partner government and development partners, which the EU-funded action will (indirectly) influence	Measures the long-term change at country or sector level. For example, literacy rate disaggregated by sex. However, it is normally not appropriate for the project itself to try and collect this information	Ideally drawn from the partner's strategy	Ideally drawn from the partner's strategy	To be drawn from the partner's strategy.	
Specific objective: Outcome	The medium-term effects of the action which tend to focus on the changes in behaviour resulting from project/ programme outputs. The EU funded action will contribute to these changes	Measures the change in factors determining the outcome. For example, number of children enrolled/completing school disaggregated by sex	Starting point or current value of the indicator	The intended value of the indicator	Sources of information and methods used to collect and report (including who and when/how frequently)	Factors outside project management's control that may impact on the outcome-impact linkage
Outputs	The direct/tangible **outputs** (infrastructure, goods and services) delivered by the action. These can be controlled directly and as such can be linked to the donor-funded assistance	Measures the degree of delivery of the outputs. For example, number of schools built and teachers trained disaggregated by sex	Idem as above for the corresponding indicator	Idem as above for the corresponding indicator	Idem as above for the corresponding indicator	Factors outside project management's control that may impact on the output-outcome linkage

The experts will analyse the quality and relevance of the results indicators and verify the existence and quality of the baselines and monitoring systems in place.

It may happen that a different format from the one presented above or a different terminology is used when the implementation is delegated to agencies which have their own PCM instruments, differing from the EU format, such as UN agencies. In that case, ROM experts ensure that all the key elements of the above template are well identified and taken into account for conclusions to be drawn from the review.

When a logframe does not exist or is of poor quality (e.g. confusion between activities and outputs and between outputs and outcomes; missing baselines or targets), ROM experts point out the absence of coherence of the logframe with the intervention logic during the briefing with OMs, provide appropriate assessments in the monitoring questions and ROM report, and discuss and recommend the improvements which appear necessary.

3.5.3 PROJECT IMPLEMENTATION PROGRESS REPORTS

Implementation is documented by the implementing partners through periodical progress reports which might be released on a quarterly, six-monthly or annual basis. Their quality differs, obliging ROM experts in some cases to dig for relevant information. Implementation progress reports include the activity and resource schedule of the previous reporting period and the provisional activity and resource schedule of the following period. Another important source are the progress reports drafted by OM themselves on the projects and programmes they are in charge of.

ROM experts review actual progress of activities, in content and timing, and use of resources, in amount and timing, against what is planned and examine whether that also corresponds to what is reasonably needed. This is a key part of the analysis to be undertaken by the ROM experts for all project reviews, be it for those signalled as having problems or those which have been proposed for ROM review for other reasons. In case the project has deviated from the activity schedule and the use of resources, ROM experts should highlight this in their answers to the monitoring questions and address it in the ROM report and recommend corrective action. Progress reports including structured and accumulated data according to the logframe are the most useful. Where data are not accumulated, ROM experts will need to consolidate data produced during each period, analysing the whole set of progress reports at their disposal in order to obtain the necessary overview, ensure solid analysis and draw conclusions.

3.6 FIELD PHASE

The approach and the format of briefing and debriefing in the field phase depend on the type of programme concerned.

3.6.1 FORMAT OF BRIEFING AND DEBRIEFING

Briefings and debriefings during the field phase shall be organized in accordance with the specifications contained in Table 8.

Table 8. Format of briefing and debriefing

For projects and programmes				
Type of project or programme	**Location**	**Timing of the briefing**	**Timing of the debriefing**	**Attendees**
For single country projects and programmes managed by EUDs	EUD	on the very first day of the ROM field phase	on the very last day of the ROM field phase	ROM expert and OM[6] plus any key stakeholders the participation of whom is considered relevant by the EUD
For multi-country projects and	EUD	on the very first day of the ROM field phase	on the very last day of the ROM field phase	ROM expert and OM plus any key stakeholders the participation of whom is considered relevant by the EUD

[6] On the EC side, apart from the OM, the ROM focal point and any other staff member can be present.

programmes managed by EUDs	In each country component	on the first day of the country component visit	on the last day of the country component visit	ROM expert and main stakeholders in each country-component, the EUD being systematically invited.
For centrally managed projects and programmes	EC HQ	on the very first day of the ROM field phase	on the very last day of the ROM field phase	Team Leader (TL) or Deputy TL or, in duly justified cases, by the ROM expert or the relevant core team expert and OM
	In the country	on the first day of the country component visit	on the last day of the country component visit	ROM expert and main stakeholders in each country-component, the EUD being systematically invited.

For the particular attention of OM:

- If it was not possible to set all meetings with stakeholders prior to the field phase, OM may be requested to assist ROM experts in setting the missing meetings.
- It is at the discretion of the EUD/EC HQ whether or not to invite implementing partners to the briefing or the debriefing with ROM experts.
- For multi-country projects and programmes either centrally managed or managed by the EUD, OM at EC HQ or the regional EUD explain how the selection of the components to be visited by ROM experts give a comprehensive overview of the overall programme.
- If a joint debriefing is foreseen, it is not supposed to be a forum to develop a common assessment shared by stakeholders and ROM experts; it mainly serves to clarify issues and correct factual errors. In any case, the OM facilitates and moderates exchanges with ROM experts and key stakeholders, respecting the independence of ROM experts. In the case of centrally managed projects and programmes, this joint briefing and/or debriefing will not normally be possible.

3.6.2 Role of actors in the Briefing

The role of the various actors in the briefing is as specified in Table 9.

Table 9. Role of actors in the briefing

Actor	Checklist - During briefing
OM	✓ When stakeholders are invited, OMs introduce the reasons and purpose of a ROM review ✓ Hold face-to-face discussions with ROM experts jointly reviewing documents, discussing further elements of context which are important to ROM experts (changes in project's team, reorganisation in the beneficiary's organisation, new developments in the sector, and quality of policy dialogue and donor coordination, etc.) ✓ Stress the specific points to be analysed by ROM experts and more generally underline issues of special interest that are relevant to the ROM review ✓ Brief ROM experts on previous phases of a project or programme and or any complementary support deemed as important to the ROM review ✓ Provide a progress summary on the basis of benchmarks and indicators, their strong elements and weaknesses in terms of results ✓ Recall the last major events regarding the project such as mitigation measures which have already been undertaken, specific follow-up and internal monitoring efforts which have been implemented ✓ A date for the debriefing is set and its format defined, including or not any key stakeholders.
ROM expert	✓ Clarify, if need be, the purpose of ROM reviews with OM ✓ Share with OM how the ROM review may add value in terms of support to project management
OM and ROM expert	✓ <u>For projects having problems</u>: set the specific purpose of the ROM review whether to identify or confirm any preliminary solutions to issues which might have occurred during implementation ✓ <u>Projects or programmes not visited by the EUD or HQ services in the year concerned</u>: they identify the reasons and concerns which are behind the request for a ROM review ✓ <u>Innovative projects and programmes</u>: they jointly assess the first elements of innovation as identified by OM in order to allow ROM experts to further elaborate or not on those elements, thereby drawing upon their thematic/sector expertise and experience ✓ ROM experts check with OM if they are in possession of the last update of the documentation already provided during the desk phase ✓ Together they review who is to be involved in the field phase, and if other meetings than those already scheduled

	during the desk phase with implementing partners, key stakeholders and, beneficiaries are needed ✓ ROM experts share with OM how they intend to organise field visit(s) and provide a quick summary of logistics to ensure the right balance between travel time and site visits

After briefing, ROM experts should:

- ✓ Finalise their final itinerary for visits/interviews, taking into account logistic constraints and in accordance with the provisional budget provided by the ROM contractor prior to starting the field phase (i.e. transport/fuel, accommodation, meeting rooms, etc.).
- ✓ Confirm interviews with all stakeholders where needed.
- ✓ Finalise the specific questions where needed, complementary to the monitoring questions, to be addressed to stakeholders based on the elements obtained during the briefing and specify the needs for collecting and analysing information (meetings, interviews, focus groups, etc.) as pre-identified during the desk phase.

3.6.3 FIELD VISITS AND INTERVIEWS

Field visits are tailored according to the nature of the project (where activities take place and/or outputs are delivered). During field visits ROM experts meet with key stakeholders and check the quality of the outputs. The emphasis is on observing and ascertaining credible information on progress with regard to expected results (outputs and outcomes) as well as their quality and sustainability, and on observing and ascertaining credible information about problems that emerged and possible solutions while making sure that the exchanges with the interlocutors are meaningful to the purpose of the review, taking into account as much as possible their views and opinions. In that wider sense field visits are meant to collect evidence. It is important to interact with final beneficiaries without the presence of implementing partners, to obtain insight into the effects of the project on their lives and behaviour: meetings with small groups of final beneficiaries may provide information about access to services and/or outputs to be provided/obtained during the project. In some cases, interviewing women separately from men may encourage them to speak more freely.

Field visits to civil society groups and local authorities can also be undertaken, even if they are not directly involved. Sharing information with them can be a valuable additional source of insights into what is happening within the broader project environment. Furthermore, while a project may be implemented by or benefit one specific institutional implementing partner, there may be other government agencies that are working in related or complementary fields and which collect information relevant to monitoring a project's performance. For example, departments of finance and planning, and national statistics offices may have information which can complement that being collected through internal monitoring systems. Donors active in a sector other than the EU are met in order to assess the interactions of the project with their initiatives and/or to identify the follow-up given to a project after the end of its implementation.

Interviews are separately conducted with the National Authority (where applicable), project implementation partner(s), other key stakeholders including donors and Member States working in the same sector, and direct beneficiaries. Interviews should preferably be conducted on an individual basis to avoid potential "bias". Separate meetings may be needed with women and men. Inspection of a sample of outputs spread across different locations is relevant.

The primary purpose of all interviews is to obtain key stakeholders' reactions and suggestions which can confirm, refute or complete information already gathered on the project by the desk review and the briefing with the EUD or EC HQ. ROM experts should establish a list of all key stakeholders' names and positions and make sure with the OM and through contacts and interviews that they are all included.

ROM experts uphold a professional and respectful attitude. They do not offer their professional services. They do not accept gifts from stakeholders. They may accept transport to project offices, to project sites or to groups of beneficiaries if agreed in advance with the OM. ROM experts should make sure they briefly remind and, where needed, clarify the objectives of the ROM review in order to prevent stakeholders from having false perceptions: ROM reviews are neither an audit nor an evaluation. They also recall that findings, conclusions and recommendations are the sole responsibility of ROM contractors and do not necessarily reflect the views of the EU, and that the subsequent implication of the stakeholders will remain the OM's responsibility. For all ROM services, ROM experts must also be very clear regarding the dissemination of reports, which remains the responsibility of EC services.

In some cases, EC services may provide advice on the availability of transport means, security, support for issuing visas and internal travel authorisations. Even though EC services as such are not responsible for the security of ROM experts, they should ensure that the experts receive assistance and advice in this regard.

If OMs accompany ROM experts on stakeholders' consultations, they must not interfere in the work of the ROM experts and should as much as possible adopt an observatory role.

> The ROM expert should be able to call on the ROM contractor at any stage of his mission for the necessary methodological or technical back-stopping by the latter.

3.6.4 Debriefing and role of actors

Debriefing takes place following consultations with the stakeholders. In principle, all relevant key stakeholders could be debriefed separately, but EC services are advised to explore inviting them for a joint meeting.

Table 10. Role of actors in the debriefing

Actor	Checklist for debriefing	When
ROM experts with OM	✓ May, where needed, meet the Contracts and Finance section to assess the feasibility of the recommendations presented to the OM and later drafted in ROM reports.	Prior to debriefing
OM	✓ After the snapshot of strong and weak points presented by ROM experts, OM are also debriefed on more specific issues of concern as identified during the briefing. Profitable exchanges for both parties take place in order to enrich the overall analysis presented by ROM experts	During debriefing
ROM experts	✓ Present the most significant preliminary findings, the problems encountered and solutions adopted to collect data in the field as well as the proposed recommendations for further action.	During debriefing

3.7 Reporting phase

3.7.1 Deliverables and reporting process

3.7.1.1 Deliverables of the ROM review mission

The ROM expert must produce a ROM report following the templates given in **Annexes A**. Standard templates support ROM experts in achieving their tasks and ensure methodological consistency and coherence across regions and experts. Their use by ROM experts is mandatory. All templates are pre-filled with key information and automatically retrieved through the ROM module. Quality control

(QC) checklists are to be used by the ROM experts and an internal QC report established for each ROM review mission is to support internal QC of the mission and the report of the ROM expert.

The ROM review report to be established by the ROM expert will provide the ROM expert's motivated findings, his/her opinion on the relevance, efficiency, effectiveness and sustainability of the project — following the guidance provided in the following sections — and will also provide a set of recommendations. The report should not exceed 7 pages in total. The reports should be in one of the following languages: **French, English, Spanish or Portuguese**. S/he will attach her/his quality control checklist to the report, using the template provided in **Annex A3**.

For multi-country projects and programmes, a single set of Monitoring Questions and a single ROM report covering all components shall be uploaded into the Module. Monitoring Questions templates by component shall also be drafted and shared via emails only with relevant OMs and FPs in EUDs or Units at HQ.

After submission of the ROM report by the ROM expert, OM and stakeholders will provide their comments and eventually the OM will produce a follow-up plan on the recommendations to be used for the OM's internal monitoring. The various steps in the process between the end of the field mission and the production of the follow-up plan by the operational manager are described in the following sections.

3.7.1.2 Reporting process and time sequence

The reporting process and time sequence is as follows:

- At the latest 14 days after the end of the field phase, the ROM expert and the QC expert respectively prepare and quality control the draft ROM report. They interact as necessary to improve the report. The draft report is uploaded by the ROM contractor into the ROM module, where it can be accessed by the OM.
- At the latest 21 days later, the OM submits consolidated comments to the ROM contractor.
- At the latest 14 days after receipt of the comments, the ROM expert submits his final report to the ROM contractor for uploading to the ROM module with due consideration of the comments received.
- At the latest 21 days later, the OM completes directly in the ROM module any comments he still may have on the final ROM report as well as a follow-up plan (see section 3.9) which will subsequently form the basis of further regular internal monitoring of the project by the OM.

As a result, the process to complete the ROM review report by the ROM contractor and the ROM expert and the comments and follow-up by the OM is to take place within 8 weeks of the end of the ROM review mission.

Once a ROM review is completed, its outputs will be stored in the module and accessible only via the Search functionality through the CRIS reference, the project title, or any other indication that can be used to identify a specific review.

Important note on dissemination of reports

ROM contractors and experts are not entitled to disseminate any draft or final reports to stakeholders but shall communicate requests for dissemination to EUD/EC Services. By default, all ROM reports may be disseminated by EUD/EC Services.

3.7.2 ANALYSING KEY DOCUMENTATION AND INTERVIEWS WITH STAKEHOLDERS

3.7.2.1 Analysing quantitative data

Results and inputs are analysed to detect significant deviations from the plans. It focuses on elements which are measurable: outputs, direct outcomes, inputs (financial, human, and material resources), delays, milestones, number/category of target groups.

Measuring the percentage of achievement of an output or milestone versus plans is useful to provide sound items of evidence of how close one is to achieving what was initially planned. Low figures immediately highlight areas of concern and trigger an analysis of causes and of remedial action.

Drawing on their experience as sector experts and their knowledge of usual costs both for inputs and outputs in the sector, ROM experts elaborate on deviations in order to provide an insight as to why the project or programme is costing more (or less) than what may be considered normal. This approach is important to draw conclusions on the cost-effectiveness of outputs delivered or to be delivered.

Deviations are also analysed at the level of the implementation schedule in order to explain any delays.

ROM experts also investigate if projects and programmes continue to target the intended beneficiaries in terms of number and categories (low-income /middle-income population, women/men, etc.).

3.7.2.2 Analysing qualitative data

The interpretation of qualitative data focuses on the relevance of the project or programme, the expected ownership and leading role of partners in its management, the nature and level of capacities developed by partners, and its potential sustainability.

Qualitative data analysis is the process of interpreting and understanding the data collected during the desk phase and, more exhaustively, during the field phase. The interpretation of qualitative data completes the analysis of quantitative data.

To make a sound interpretation of qualitative data, ROM experts may use different sources. All information and data (reports by implementing partners, interviews with stakeholders, and, when relevant according to the nature of the project or programme, observations of final beneficiaries) are cross-checked, analysed and compared (triangulation of data or sources of information).

Regarding inputs relevant for a sector analysis of an action, senior sector experts will mainly develop their know how in questions 1.4 and 3.4.

3.7.2.3 Strengths and weaknesses of both methods of analysis

The mix of quantitative and qualitative approaches should support ROM experts in drafting their replies to monitoring questions and the resulting ROM reports.

Figure 4. Strenghts and weaknessess of quantitative and qualitative analysis

	Quantitative analysis	Qualitative analysis
Strengths	Provides precise, quantitative, numerical data which are credible and reliable for all stakeholders Data analysed are independent from ROM expert's own judgement	Useful for gaining insight and understanding into process and context May fill gaps and enrich the variance analysis Allow to use ROM expert's own knowledge and sector expertise to make sense of collected data Add depth to understanding the project and programme
Weaknesses	Many pieces of information may be difficult to obtain through structured data collection due to uncompleted logframes The correlations produced (e.g. between costs and benefits, gender, and access to services or benefits) mask or ignore underlying causes or realities	Interpretation introduces bias during analysis Findings may be subjective and can be interpreted differently by different stakeholders

3.7.3 Monitoring questions for projects and programmes

Monitoring questions as set out below and in **Annex A2** are to provide guidance to ROM experts on the scope and key elements subject to analysis.

The answers to the monitoring questions are drafted during and at the end of the field phase by taking into account all empirical data, interviews and possible clarifications provided by stakeholders during the debriefing.

As regards each of the four DAC criteria to be used for ROM reviews (relevance, efficiency, effectiveness and sustainability), a number of issues have been identified and grouped in the monitoring questions template, which is meant to help and steer ROM experts in assessing the projects and programmes.

Monitoring questions do not intend to limit the scope of the four DAC criteria concerned. Should the ROM expert consider that, for a specific project or programme, part of the analysis corresponding to a DAC criterion is not fully addressed by the monitoring questions, this analysis should not be omitted and it should be incorporated in the report itself. Design is not a criteria per se but it is implicit that all answers to monitoring questions are elements which help to inform on the quality of design and its adaptability during the implementation of the action.

Monitoring questions are used during the desk phase and field phase in order to structure the analysis of documentation and of empirical data to be collected during interviews with stakeholders.

As monitoring questions are a working document supporting and structuring key findings and conclusions, ROM experts answer them before drafting the ROM report, bearing in mind that they are submitted together with the ROM report, the two deliverables being subject to internal quality control. All monitoring questions have to be answered. If a question is considered irrelevant, a justification needs to be provided. If irrelevant, the question is graded Green. ROM experts do not answer by just a single "yes" or "no" or by simply entering a grade in answer to any of the monitoring questions, but use evidence from the analysis of quantitative and qualitative data to allow for a factual statement (findings). Answers must be specific and not just general assertions.

For each of the four DAC criteria to be used, ROM experts draft conclusions which point out strengths or weaknesses underlining the factors of success and failure of the project or programme. Conclusions are presented through a transparent chain of arguments. Main conclusions are reported in the ROM report.

ROM experts specifically also comment on three issues which are not as such covered by DAC criteria: (1) the follow-up of recommendations from a mid-term evaluation or from any previous ROM review of the project or programme, (2) the implementation of any communication and visibility actions, and (3) the possible identification of the project or programme as a good practice. These questions are not graded, only comments are to be provided. In the same monitoring questions template, ROM experts, before starting to draft the ROM report, include their analysis of the documents and of the information and views provided by the stakeholders interviewed during the field phase.

The grading system included in the template with the monitoring questions (**Annex A2**) is to provide a quick overview of the main conclusions at the level of each monitoring question. It is not designed for statistical purposes. A three-grade scale is adopted using the following categories: (i) Green – good or very good; (ii) Orange - with problems; (iii) Red – off track or with serious deficiencies. The justification of grades is clearly deduced from the analysis and therefore must be coherent with findings provided in relation to each of the respective monitoring questions and with the conclusions provided at the level of each criterion.

Table 11. Grading reference table for criteria and monitoring questions

Qualitative	Grading reference table for criteria and monitoring questions
Good/very good	The situation is considered satisfactory, but there may be room for improvement. Recommendations are useful, but not vital to the project or programme.
With problems	There are issues which need to be addressed, otherwise the global performance of the project or programme may be negatively affected. Necessary improvements do not however require a major revision of the intervention logic and implementation arrangements.
With serious deficiencies	There are deficiencies which are so serious that, if not addressed, they may lead to failure of the project or programme. Major adjustments and revision of the intervention logic and/or implementation arrangements are necessary.

The completed document with monitoring questions and their answers will be made available to the EC services, QC and QA experts together with the ROM review report. For multi-country programmes such a document is to be established for each component of the programme[7].

[7] In case more than one expert is involved in the review of multi-country projects, one expert is designated as mission leader for the coordination of the ROM report.

Clarification on terminology
For definitions of output vs outcome, see Handbook Annex B4 "An overview of results and indicators". For other terminology, refer to OECD Glossary of key terms in evaluation and results based management.

3.7.3.1 Relevance

Relevance is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. Retrospectively, the question of relevance often becomes a question of whether the objectives or intervention logic of an action are still appropriate given changed circumstances.

Table 12. Monitoring questions related to relevance

1. RELEVANCE
1.1. Does the action presently respond to the needs of the **target groups / end beneficiaries**?
1.2. Is the action adapted to the present institutional, human, financial **capacities of the partner government and/or other key stakeholder(s)**?
1.3. Do all key stakeholders still demonstrate effective commitment **(ownership)**?
1.4 Is there an effective government led system of sector coordination (including Capacity Development) involving the relevant local stakeholders and donors?
1.5. Are there any **complementarity issues** with other ongoing/planned action(s) (including Capacity Development) managed by donors that need to be addressed?
1.6. Have all **relevant circumstances and risks** been taken into account to update the **intervention logic**?
1.7 **Indicators** a) Are the indicators to measure results well defined and relevant to measure the achievement of the objectives? b) Are all related data available? c) Are all indicators sex-disaggregated if relevant? d) Are baselines set and updated for each indicator? e) Are target values set for the indicators and are they realistic or do they need to be updated?

ROM reviews are not meant to cover to what extent any project/programme is coherent and aligned with EU strategy and politics. This is the role of peer review of EC Services (namely Quality Support Groups) at formulation and identification phase. Assessment of coherence and alignment is restricted to strategies and politics of the partner country for single country projects and programmes and of the partner countries for multi-country projects. For actions supporting a partner's policy in a sector of concentration, ROM experts assess the today's relevance of the action towards the partner's policy and its implementation in practice. For actions in project modality supporting a specific thematic area worldwide or in a number of countries, ROM experts explain the relevant links to the selected partner countries' policies.
The focus under question 1.1 is to assess to what extent the Project/programme responds to the present needs ***of the target groups/end beneficiaries***. The term 'target group' refers to the end beneficiaries of the action, irrespective of their participation in the process of action development and implementation. If the intervention logic or the strategy has not been revised and/or should be rapidly addressed to increase the relevance towards the target groups, elements have to be elaborated under question 1.6 and be reflected in the appropriate recommendations.

More specifically for regional programmes, ROM experts complete their assessment of ownership under question 1.3 assessing to what extent partner countries and EUD or EC HQ are involved at the right level when they may only get fragmented information and have only been requested to provide minimal input.

Question 1.2 is not focused on implementing partners. Under this question, ROM experts are tasked to assess the relevance of the project/programme towards the existing capacities of the partner government and/or other key stakeholders in the country for single country projects and programmes and of the partner governments and/or other key stakeholders in the countries for multi-country projects. For actions under indirect management through a member state agency, a third donor country agency, an EU specialized agency, an international organisation, or in the case of grants with international NGOs, ROM experts are also tasked to assess the adequacy of the action towards the present capacity of partner government (s) and/or other key stakeholders in the countries. For regional projects and programmes, ROM experts reflect on their answers to the monitoring questions and synthetize in the consolidated ROM report the differences in capacity levels between countries in the same region: partner countries may not have the same capacities either to contribute or to absorb new resources.

Question 1.4 is about government led sector coordination in which the action is embedded and not about the Project Steering Committee which may be treated under efficiency. It refers to sectorial coordination led by the government and not to coordination between donors.

Under question 1.5, ROM experts are tasked to assess complementary issues with other ongoing/planned projects or programmes which should be addressed and which would not have been sufficiently taken into account through changes in the action intervention logic. The environment in which the action has been formulated may be different from the environment in which it is implemented. During briefing and through interviews with other donors and main local partners, ROM experts have to verify that there is no overlap between the project and other projects.

Under question 1.6 and 1.7, ROM experts proceed to an analysis of the project's intervention logic including the region dimension, if relevant, its level of flexibility (capacity to take into account any changed circumstances and consequent updates), and the robustness of the indicators system as developed in the last updated logframe in order to assess whether the project is still relevant. Indicators are central as far as monitoring and evaluation are concerned. They are meant to reflect the 3 levels of the intervention logic/results chain (overall objective/impact - specific objective/outcome, outputs), therefore it is requested to grade all the sub questions, comment on them and provide when necessary the related recommendations. Questions 1.6 and 1.7 are closely linked. Please refer to the Logical Framework in place since the 1st of January 2015 and presented in Table 7 of section 3.5.2 as in ROM handbook.

In the ROM reports, ROM experts underline factual statements using evidence to reflect the extent to which profile, numbers and location of beneficiaries are properly targeted in the last updated intervention logic/logframe. They also comment on any deviations and analyse the extent to which participation of target groups and stakeholders are supporting (or impeding) the project. ROM experts thus elaborate on the relevance of the intervention logic, including indicators. They synthetize the extent to which the project responds to the capacities of stakeholders, and also elaborate on the level of harmonisation and alignment of capacity development support under stakeholder leadership. In the project synopsis (i.e. the first part of the ROM report), they reflect on the set of indicators, baselines and targets as in the last updated logframe (or as updated by the OM and implementing partners together with the ROM expert). They elaborate on the replies to the relevant monitoring questions regarding the reasons for proposals and/or updates to the intervention logic.

3.7.3.2 Efficiency

Efficiency is the measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into outputs.

Table 13. Monitoring questions related to efficiency

2. EFFICIENCY
2.1 Are the chosen **implementation mechanisms** (incl. choice of implementation modalities, entities and contractual arrangements) conducive for achieving the expected results?
2.2 Do partner government and other partners in the country effectively **steer the action**?
2.3 **Inputs** a) Do the resources funded by the action and actually made available correspond to the needs of the action? b) To what degree are other resources which are not EU funded made available? c) To what degree are resources (inputs) available on time from other stakeholders?
2.4 **Delays** a) If there are delays, how important are they and what are the consequences? b) What are the reasons for these delays and to what extent have appropriate corrective measures been implemented? c) To what extent has the planning been revised accordingly?
2.5. Have the outputs been produced/ delivered in a cost-efficient manner?
2.6. Is the action adequately monitored by implementing partners, partner government(s) and other key stakeholders?

ROM experts verify if the following elements are conducive for achieving the expected results:

1) the choice of implementation modalities: grants through call for proposals or direct award; procurement for works, supplies or services (direct management); implementation through a member state agency, a third donor country agency, and EU specialized agency, an international organisation, a regional organization or the partner country (indirect management); 2) the choice of the implementing partners involved (external assistance, EU Member States' agencies, NGOs, local Authorities, international organizations etc.); 3) the arrangements specific to the action (the functioning of the Project Steering Committee or other arrangements other stakeholders contractors

They verify to what extent **partner government and other partners in the country** are really steering the project and its expected results, and not just endorsing decisions (or explain the reasons for other project management arrangements).

They verify the clarity in sharing responsibilities (planning, implementation of activities, monitoring of results).

To that end, ROM experts also analyse and take into account the quality of the flow of information between EC services, local partners and implementing partners. For regional programmes, ROM experts also analyse the level of coordination between EC HQ and EUD and between different EUD involved in the same Regional Programme. For those questions, ROM experts use the quantitative analysis as presented in section 3.7.2.1. They analyse the state of inputs (human, material and financial means) and delays in the planned situation in order to identify any significant deviations. More specifically for monitoring question 2.5 which is related to the cost efficiency of outputs, ROM experts make comments and draw conclusions on the basis of their sector experience. In commenting on efficiency, ROM experts check the appropriateness of financial/expenditure records as monitored by implementing partners.

ROM experts assess to what extent resources from all committed parties in terms of quality and quantity (%) put at the disposal of the project correspond to its needs. ROM experts comment on problems or positive aspects detected in relation to partners' contributions, be they financial or in kind. Under question 2.3 a) ROM experts are tasked to analyse the state of inputs and identify any significant deviations with the actual situation. Under question 2.3 b) ROM experts are tasked to assess to what local partners provide the appropriate resources/inputs to enable the action to be efficient.

ROM experts analyse the causes of delays and the measures already adopted or to be adopted to correct them. They report on the progress of the implementation of the project with respect to the calendar and assess to what extent delays in implementation may or not represent an obstacle in achieving the expected results. They also characterise the reasons for delays, e.g. technical issues or insufficient management capacities.

Question 2.5 is not focusing on activities but on outputs, the implementation of activities being meant to deliver outputs. For more concern about definitions, please refer to Table 7 of section 3.5.2. In this specific question, ROM experts make comments and draw conclusions on the basis of their sector experience regarding the cost/efficiency of outputs. Please refer also to section 3.7.2.1. in ROM Handbook.

In the ROM reports, the efficiency of project management arrangements is analysed and any issues are duly justified. Factual statements on the quality and quantity of inputs are provided, delays are measured by means of comparison with the latest update of the planning. Any significant deviations are analysed. Conclusions on cost efficiency of outputs are drawn.

3.7.3.3 Effectiveness

Effectiveness is the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

Table 14. Monitoring questions related to effectiveness

3. EFFECTIVENESS
3.1. Is the **progress** of each **output** conforming to plan?
3.2 Is the **quality of outputs** (including those of Capacity Development support) satisfactory?
3.3 Are the outputs (including Capacity Development) still likely to lead to the **expected outcomes**?
3.4 Does the action effectively support the **partner's policy and actions**?

ROM experts assess the progress of outputs' delivery and quality. Question 3.1 focus is on outputs/products, not on activities.

As far as question 3.2, the ROM handbook will not elaborate an adapted definition of quality for each project/programme, sector etc. Senior ROM experts are expected to elaborate on the issue of the quality of outputs taking into account their experience and sector expertise. They verify to what extent expected progress in terms of outputs is satisfactory according to the planned situation, explain any causes of deviations and the implications thereof for milestones and targets. With regards to this challenge, ROM experts support their analysis with recommendations for indicators, baselines, milestones and targets. The probability that outputs meet expectations of beneficiaries is fully commented in the replies to the monitoring questions.

Regarding question 3.3, ROM experts have to consider the definition of effectiveness as in ROM Handbook and have to focus on an assessment of the level of achievement of results as reflected by indicators covering the specific objective (outcome). Please see Table 7 section 3.5.2.

ROM experts report whether the planned final results will be obtained within the timeframe of the project and elaborate on any related need for corrective measures. They elaborate on any negative effects of the project or risks of such effects.

Answers to monitoring question 3.4 have to be coherent with answers provided to previous monitoring questions, namely 1.4, 2.2 and 2.6.

In the ROM reports, ROM experts elaborate on the quality of outputs. They provide a transparent chain of arguments characterising the capacity of the project to transform outputs into outcomes. The link between project implementation and development of or changes to the partner's policy or actions is fully assessed.

3.7.3.4 Sustainability

Sustainability is the continuation of benefits from a development intervention after major development assistance has been completed, the probability of continued long-term benefits, and the resilience to risk of net benefit flows over time.

Table 15. Monitoring questions related to sustainability

4. SUSTAINABILITY
4.1 Are key stakeholders acquiring the necessary **institutional and human capacities** to ensure the continued flow of benefits?
4.2 Is the role of the EUD/HQ in the management and the monitoring of the operation sufficiently respectful of the **leading role of the partners** in order to enhance their capacities?
4.3 Is **access to the benefits** affordable for **target groups** on the long term?
4.4 Have the **relevant authorities** taken **the financial measures** to ensure the continuation of services after the end of the action?
4.5 Has the **private sector** been involved to ensure the sustainability of the action?
4.6 Have the necessary measures been taken to address the **environmental sustainability**?
4.7. Have the necessary measures been taken into account to enhance the **role of women**?

Sustainability conditions are developed from identification and formulation of the action and all along implementation, taking into account the fact that development of capacities is a central element. Human, organisational (including policies and institutions) and financial factors, as well as environmental and gender viability, are the main sustainability factors.

Question 4.2 targets in the first place the analysis of the role of the EUD/HQ in the management and the monitoring of the operation. In the same question ***capacities*** cover laws, policies, internal structure, skills, experience, and knowledge… of partners. Under question 4.4, relevant authorities are partner government (s) at all levels - national, regional, local).

The ROM reports synthesise the potential continuation of the stream of benefits produced by the project after external support has ended.

3.7.4 ROM REVIEW REPORT

The ROM review report includes a concise overview of the programme's intervention logic (project or programme synopsis), the analysis and findings on the basis of the answers to the monitoring questions, and a summary of conclusions and recommendations. **Annex A1** provides the template for the ROM review report.

Throughout the report, ROM experts should use clear language and avoid highly technical vocabulary, overuse of abbreviations and repetitions.

3.7.4.1 Project or programme synopsis

The project or programme synopsis serves as an introduction and provides background information. It therefore includes a short text on the objectives of the project or programme and issues to be addressed by it, a description of the target groups and a summary of its intervention logic, including the indicators at the three levels of the intervention logic: overall objective/impact, specific objective/outcome, outputs. In case of a multi-country project or programme, the synopsis covers the entire programme and not just the components which have been covered by the ROM review. The synopsis does not include appreciations and observations on issues related to the project or programme implementation.

3.7.4.2 Findings

In the second part of the report, ROM experts highlight the most important findings relating to the performance of the project or programme and elaborate on them in detail while also pointing out any critical issues and/or serious deficiencies. Findings are accurate, concise and direct. They must be based on and coherent with their answers to the monitoring questions.

ROM experts provide a self-sustaining explanation of their assessment which must be understandable by any person unfamiliar with the project while at the same time providing useful elements of information to the stakeholders. ROM experts should avoid the following weaknesses: not evidence based, lack of technical content (e.g. ROM experts provide an analysis which does not take into account the state of the art of knowledge in a given sector or topic).

Pursuant to DEVCO's Anti-fraud strategy, all facts noted during the mission and pointing to the possible existence of serious irregularities, corruption and fraud must be reported - as appropriate - by ROM experts and EC staff to the anti-fraud focal point in the Delegation concerned or to DEVCO Unit R.2 at Headquarters.

3.7.4.3 Conclusions and recommendations

In the third part of the report, ROM experts set out the main conclusions and recommendations based on the answers the experts have given to the monitoring questions and which are summarised in the findings section.

Recommendations are derived from the conclusions and address issues of major importance to the performance of the project or programme. Recommendations must be realistic, feasible and drafted in a way that the stakeholders to whom they relate are clearly identified. They must take in consideration applicable rules and other constraints, related for example to the context in which the project or programme is implemented. They must not be phrased in general terms but constitute clear proposals for solutions and they target the most important issues rather than minor or less relevant aspects of a project or programme.

3.8 INTERNAL QUALITY CONTROL

The activities of ROM contractors and experts and their deliverables are to be subject to internal quality control (QC) by the ROM contractors. The quality control needs to be undertaken at different stages of the ROM review process. Therefore, the internal QC by the ROM contractors starts with establishing a systemic approach for such a control as regards the day to day implementation of the contract. Such a quality control should cover:

- availability of project and related background documents as a basis for the review and any problems encountered by the expert in this respect (see also the QC checklist established by the expert)
- the completeness of the ROM report
- the quality of the report in terms of language and clarity
- the adequacy and reliability of the data used and the data assessment by the expert
- the soundness of data analysis, the coherence of the answers to the monitoring questions and the coherence of conclusions
- the motivation of the findings
- the consistency in grading
- the quality and usefulness of recommendations.

The ROM contractor will brief each ROM expert on these quality criteria and provide guidance as necessary. He will explain the quality control process and responsibilities and provide the necessary templates and checklists. To ensure an appropriate level of information amongst its experts throughout implementation of the contract, the ROM contractor will produce his internal quality manual, describing the quality criteria and the processes to facilitate the best quality of ROM reports.

As part of the internal quality control system, the ROM expert completes for each review a QC checklist as provided in **Annex A3** where he assesses the conditions of his mission, in particular in terms of availability of relevant documentation and ability to interact with stakeholders. The completed checklist will be sent by the expert to the ROM contractor together with his draft ROM review report.

Upon receipt of the draft ROM report by the ROM contractor, QC is initiated for the reporting phase. For each ROM report, the ROM contractor's core team expert in charge of internal QC assesses the quality of the ROM report using the QC report in **Annex A4.** He draws up a draft ROM QC report and shares it with the ROM expert concerned. The ROM expert modifies or corrects his ROM review report accordingly and returns it to the ROM QC expert. This interactive process may potentially take repeated returns between the expert and the QC expert.

The ROM QC report records all aspects relating to procedural quality issues (e.g. meeting deadlines, revisions of ROM reports), quality control efforts undertaken and provides a score for the various quality issues based on the quality control template. In case the quality control discussions imply several returns between the expert and the QC expert, the latter updates the initial QC report each time by adding additional comments related to the quality of the revised ROM report. The purpose of this is to be able to demonstrate to the QA contractor (see chapter 7) the quality control efforts that have been undertaken by the ROM contractor.

The duration of the overall internal QC process, including the production of comments on both sides (ROM expert and ROM QC expert) and the incorporation of any necessary changes, take into account the fact that the draft ROM report is to be uploaded to the ROM module by the ROM contractor no more than 14 days after the end of the field phase, so the OM can then access the draft report. Regarding the timing for the delivery of the ROM report by the ROM expert, ROM contractors may have special arrangements with their experts. Draft ROM review reports are uploaded only after the internal QC process between the ROM expert and the QC expert has taken place.

The draft and the final versions of the report are kept available to the QA contractor in the ROM module.

ROM reports from ROM experts who are members of the core team and therefore also QC experts are preferably quality controlled by the Team Leader or Deputy Team Leader. In the quality control process, the ROM contractor, in his function of backstopping, adopts all necessary measures to verify at his level the quality of the process.

The comments which may be provided by the OM on the draft reports (see section 3.9) are equally an element of overall quality, which should be taken into account by the ROM expert and ROM contractor within the framework of their own quality care and control.

QC and ROM module

Quality Control by ROM contractors and interactions between the OM and the contractor after the draft ROM report are outside the ROM module.

3.9 Comments by EC services and follow-up

3.9.1 Comments by EC services

No later than 14 days after the ROM review mission has ended, the OM accedes to the draft ROM report in the ROM module. The OM shares the draft ROM report with the implementing partner (and other stakeholders as relevant) and invites them to provide comments or indicate any factual errors. The OM will formulate his comments on the draft report, taking into account the comments made by the partners and stakeholders, and send his comments to the ROM contractor within 21 days.

In the comments, the OM provides an overall opinion on the quality of the ROM report and each of its components (synopsis, findings, conclusions and recommendations), taking into account the feedback received from stakeholders. For each recommendation, the OM states to what extent (Yes, Partially, No) he agrees with the recommendation and reports the opinion of the consulted stakeholders.

The ROM expert takes note of these comments and decides whether or not to revise his report and, where appropriate, succinctly explains why comments cannot be taken into account. Within 14 days he submits his final report to the contractor for uploading to the ROM module. The OM has 21 days to provide in the ROM module his final comments on the final report and to simultaneously submit a follow-up plan.

3.9.2 Follow-up to the ROM report

Following the ROM review, the OM prepares a follow-up plan. The follow-up plan consists of the lists of the various actions (including deadlines and actors) which the OM considers should be undertaken as a result of the recommendations in the report.

To prepare this follow-up plan, he consults the implementing partner(s) and other stakeholders as he sees fit. Within 21 days after the ROM expert has submitted the final version of his report (see section 3.7.1.2), the follow-up plan is completed by the OM directly in the ROM module together with the comments the OM still may have on the final report. Subsequently, the implementation of the follow-up plan is to become part of the regular internal monitoring ensured by the EUD or EC HQ operational services.

4 SUPPORT TO END OF PROJECT RESULTS REPORTING

<u>Content of this chapter</u>

This chapter of the ROM Handbook covers the implementation of support to end-of-project results reporting (hereinafter simply referred to as support to results reporting). It describes the various stages, from the establishment of the workplan to the desk, field and reporting phases and on to the quality control process. The main steps linked to results reporting support missions, including the roles of the actors involved and timelines they are working to, are presented in this section.

NOTE: The arrangements for the first and second exercises were different compared to subsequent years. In 2015, there were two results reporting exercises; one related to the reporting on results for the complement to the Annual report over 2014 issued by the Commission in second quarter 2016; and a second one related to the reporting on results for the Annual report over 2015 to be issued by the Commission at the end of 2016. The calendar below refers to the timings for when the results reporting exercise is well established, starting in summer 2016.

The first step in the results reporting support process is the establishment of a list which details those projects and programmes that will be covered as part of that year's results reporting support missions. **By mid-May** each year, the ROM Coordination Unit establishes the initial list of projects and programmes which have been identified as having ended in the specified time period (see below for details) and are required to report the end-of-project results in that year, and which are subject to support missions to results reporting.

The list includes all projects and programmes, including bilateral, regional and thematic, with a value of over EUR 750 000 and which ended between 1 July of the previous year and 30 June of the year of reporting. This list needs to be verified by both the ROM coordinators and ROM focal points.

The list is encoded in the results reporting workplan template. This workplan template therefore constitutes also the list of selected projects for results reporting.

By the end of May, the ROM Coordination Unit will share this initial list of projects and programmes with ROM coordinators and ROM focal points for verification and, if necessary, amendment followed by validation **by the end of-June** to make sure that projects have been correctly identified as having ended.

On that basis, the ROM Coordination Unit establishes the final consolidated list and, **by mid-July** at the latest, sends it to the ROM coordinators for its communication to the ROM contractors in order to prepare the workplans by further completing the workplan template.

4.1 PREPARATION OF THE WORKPLAN FOR RESULTS REPORTING SUPPORT MISSIONS

4.1.1 STEPS IN PREPARING THE WORKPLAN

4.1.1.1 Making essential documents available to the ROM contractor

Once the list of projects and programmes to be covered by results reporting support missions has been established and validated, OM must verify that all relevant documents related to the projects and programmes are uploaded in CRIS. Those documents will be extracted under the responsibility of the ROM Coordination Unit and passed to ROM contractors as a "CRIS library" of documents for each Decision/Contract. A list of essential project/programme documents to be made available in CRIS is provided in **Annex B3**.

The documents listed are not all necessarily distinct documents and are sometimes included in or annexed to other documents (e.g. TAPS are generally attached to the Financing Agreement). The OM will check if the essential documents are available in CRIS.

During preparation of the ROM results reporting support missions, the ROM contractor will verify availability of the documents in the CRIS library. If key documents remain missing, the ROM contractor can request the OM to make the documents available. OM ensure that all missing key project and programme information is made available to the ROM contractor/expert as soon as possible. For any document collected in the field and not in the CRIS library, the ROM contractor will place them in Dropbox, a restricted document sharing tool where documents can be made available to ROM results stakeholders. If, at the time of the mission, essential documents are not made available or with delay, the ROM expert will mention this in his/her narrative report.

Availability and referencing of data sources

It is essential that all documents are available to QC experts by ROM contractors and ROM coordination unit. **ROM** experts cannot directly upload to the Dropbox as they have a limited access. Only the core team of each ROM contractors do it.

- **Case 1**: the ROM expert directly receives documents from the OM: s/he will send it to the ROM contractor who will add it to the folder.
- **Case 2**: the OM uploads a new document in CRIS. The core team of each ROM contractor sends an email to the correspondent selected by the ROM coordination unit providing the CRIS number. The document will be added in the relevant sub-folder.

As for ROM reviews (see section 3.4.1), the ROM contractor will keep all documents in a database. The ROM contractor will save data sources referred to in the RRT in a separate folder by project. The documents will be saved with the following format and in a separate folder:

- for Decision level documents: "D"- <Decision number> – Title
- for Contract level documents: "D" – <Decision number> – "C" <Contract number> – Title

This database of documents will serve as an easy reference and, if need be, in the discussion on the results reporting. The database remains the property of the Commission. The contractors and ROM experts are not allowed at any time during and after their contract to share documents to other people than the ROM experts, QA contractor and Commission staff without prior approval of the

European Commission. At the end of their contract, the ROM contractors submit the database to the EC.

4.1.1.2 Completion of the workplan by the ROM contractor

Once the workplan with the list of projects has been transmitted to the ROM contractor, the latter will assign the missions to experts that have been identified. In cases where the number of projects and the degree of complexity of the related results reporting would not justify a mission, remote support will be considered. In general, if more than 3 Decisions or Contracts are subject to results reporting, then a field mission is justified. If not, remote assistance should be envisaged. Missions are to take place between beginning of October of the year concerned and end of December.

By mid-September, the draft workplan together with the CVs of the proposed experts are to be submitted by the ROM contractor to the ROM coordinator, with copy to the ROM Coordination Unit. **By end September,** after consultation with the ROM Coordination Unit, the ROM coordinator either approves the workplan, including the proposed experts, or requests modifications.

It is expected that the ROM contractors will update the ROM coordinators (with copy to the ROM Coordination Unit) on the implementation of the workplan on a weekly basis so as to enable EC HQ to monitor it in connection with the timeframe set for aggregated results reporting.

4.1.2 ASSIGNING ROM EXPERTS TO RESULTS REPORTING MISSIONS

Only one expert is assigned to implement a results reporting support mission to a EUD/ HQ Unit. The allocation of expert days is standardised across the different type of projects and programmes including BS programmes. In the workplan ROM contractors allocate the number of days to ROM experts according to the table below:

Table 16. Allocation of expert days for results reporting support missions

Phase(*)	Average allocated days [8]
Desk phase	
Review documentation and pre-identify indicators, baselines and targets	1 day per Decision including BS OR ½ day per Contract
Field phase	
Briefing session on the EU Results Framework (EU RF); debriefing session highlighting key points from the narrative report	½ day in EUD On demand in HQ Units
Verification of available data, consultation with EC services and completion of the results templates with EC services	1 day per Decision including BS OR ½ day per Contract
International transport	2 days[9]
Reporting phase	1½ days per mission
Quality Control by ROM expert	½ day for each Decision or Contract

(*) In some special and duly justified cases, the Contractor may request a deviation (more days) from the standard number of days.

[8] In the workplan a project or programme is equivalent to a Decision in the case of Financing Agreements; or a Contract in other cases.

[9] Travel days for distant Delegations may be more than two days.

For example, a mission in a EUD comprising of 3 Decisions and 4 Contracts according to the workplan will imply an estimated duration of:

- Desk phase – 5 allocated days
- Field phase – 7½ allocated days (including briefing/debriefing and transport)
- Reporting phase – 1½ allocated days
- Quality Control -3½ allocated days

TOTAL: 17½ allocated days

A mission including 1 Decision with a large number of grants/contracts, the average allocated days are calculated at contract level excluding audit and evaluation contracts, but the reporting in the RRT is done at decision level.

For Quality Control by QC experts of the ROM Contractor the same rule as for QC by ROM expert applies.

4.1.3 Communication with EUD and EC HQ operational units

The ROM focal points ensure appropriate information flows and good coordination between OM and ROM contractors for the upload of complementary documentation of projects and programmes subject to support missions to results reporting.

OM will confirm their availability during the proposed mission dates with ROM focal points.

4.2 Preparatory tasks for Desk Phase and for the Expert's Mission to the Delegation/HQ unit

The ROM contractor will access the essential documents for each project and programme subject to results reporting. For projects not available in CRIS (e.g. Neighbourhood CBC projects), the documents will be made available by the OM separately and will be made available by the ROM contractor in Dropbox.

OM contractors provide ROM experts with the most up-to-date available documentation for each project and programme, a PowerPoint presentation on the EU RF and on the ROM results reporting exercise (provided by the ROM Coordination Unit) to be used by the ROM expert in the briefing session.

During the preparatory phase the ROM contractor liaises with Focal Points in EUD/HQ Units with regard to the details of the mission schedule as pre-defined during the preparation of the workplan, including the timing of the briefing (which should not last more than 2 hours) and debriefing session (which should not be more than 1.5 hours) which should take place on the first and last day of the mission. This should also include dates for meetings with individual OM and separate meetings with the Head of Cooperation/Head of Unit to agree on the selected country/ regional/ thematic results.

ROM focal points coordinate with the ROM contractor on the mission schedule. They also keep the ROM contractor informed of the level of attendance expected at the briefing sessions. EC services must ensure availability of a meeting room for discussions with OM and equipment such as projectors are on hand for presentations.

4.3 DESK PHASE - RESULTS REPORTING SUPPORT MISSIONS

Before the start of each mission, ROM experts will read through the project or programme documentation as provided to them by the ROM contractors — paying particular attention to indicators included in the logframes (which may be available at both Decisions and Contracts level). To this end, ROM experts will identify the most up-to-date version of the logframes and relevant results information outside logframes. See Annex B4 for further guidance on this issue.

For bilateral country and regional projects and programmes, following an assessment of the nature and structure of the Decision, results data will be sought for indicators either at Decision or Contract level. For thematic projects and programmes, indicators at Contract level will be taken. Experts will report at the level as defined in the RRT already populated by all decisions and contracts subject to results reporting.

Table 17. Identifying results information- Checklist

Identifying results information- Checklist	Actor
✓ Results data may be included and structured in (a) logframe(s) which records results achieved as part of a progress or final or completion report submitted by the implementing partner ✓ Results information may also be presented in a less structured manner, for example in a table not including all the information in the logframe, or in the narrative of a document such as progress or completion reports, ROM reviews, ad-hoc TA reports, mid-term or final evaluations ✓ Progress and completion reports may also include other results that were not prioritised in the logframe, but which were produced as the project or programme progressed and which should be considered as part of the results reporting exercise	ROM expert

For results information, whether in a logframe or not, when the most relevant reports with results information have been identified, ROM experts should:

i. list results/indicators included that are measurable, i.e. well defined and with named data sources; it should be borne in mind that the data source for the results can sometimes come from outside the existing project/programme documentation, and can be used - providing that results information can be directly linked to the project or programme.

ii. pre-identify results/indicators that are linked to indicators of the EU Results Framework;

iii. review with the operational managers project and programme reports with a view to identifying and recording results reporting information included within these against any of the indicators identified under i) and ii);

iv. as far as possible, carry out an initial assessment of the quality and reliability of the results information source, noting any inconsistencies of data recorded in the various reports to which they have access.

Table 18. Initial assessment of data quality - Checklist

Initial assessment of data quality - Checklist	Actor
✓ What is the data source? ✓ Has it been independently verified? ✓ Are there any reasons to assume over or under-reporting? ✓ Do any other sources of potential bias exist?	ROM expert

This initial analysis of project and programme information carried out during the desk phase will ensure that ROM experts optimise the use of time set aside for their meetings with OM during the field phase.

ROM contractors provide technical and methodological support to ROM experts during the desk phase. The main point of contact on the ROM contractor's side will be the statistics and performance measurement expert who is part of the ROM contractor's core team.

Before the arrival of the ROM expert, OM are expected to familiarise themselves with the documents related to the project/programme and particularly look for results, indicators and related data that can be retrieved. In a similar way, OM are expected to review the documents transmitted by the ROM Coordination Unit, namely the Staff Working Document of 26 March 2015 establishing the EU Results Framework (including the list of indicators for the EU RF), the indicator methodological notes for the EU RF indicators that are relevant to the project/programme they are responsible for, the results reporting template in Annex B2 as well as the guidance included in Annex B4 which gives an overview of results and indicators to be recorded.

4.4 THE RESULTS REPORTING SUPPORT MISSION

4.4.1 BRIEFING

Each mission starts with a briefing session on the results reporting (including the EU Results Framework) which is delivered by the ROM expert and based on the PowerPoint presentation that is provided by the ROM Coordination Unit. OM, ROM focal points, Heads of Cooperation (and in HQ context Heads of Unit) as well as Heads of Section will be expected to participate in the briefing sessions. On day one of the mission, as part of the briefing session, each OM should confirm appropriate arrangements with ROM experts to ensure sufficient time is allocated for meetings on each selected project and programme. At the meetings OMs will then be expected to discuss with ROM experts what results information can and should be reported, including any assessment of data quality, and possible links to the EU Results Framework indicators.

4.4.2 COMPLETING RESULTS REPORTING TEMPLATE WITH OM FOR EACH PROJECT OR PROGRAMME

ROM experts conduct the required number of meetings with OM in order to jointly complete the results reporting template, for each individual project or programme and to work with the OM in order to resolve any difficulties that may arise. I

Results to be recorded in the reporting template involve the following results:

1. Results measured by indicators judged to be key project results. Key project results are those results that best reflect the objectives of the project or programme. There is no

predetermined absolute limit on how many key project results the OM can record, but the experience from previous results reporting exercise was that we should not normally have more than around ten key results per project or programme.

2. Amongst results judged to be key project results, experts will identify those that can be linked to the EU RF indicators.

The results information (and associated indicators) to be recorded in the results reporting template need be clear as for what is being measured, and what has been achieved, with robust data sources.

Table 19. Recording results – Checklist

Recording results – Checklist	Actor
✓ Results have to be recorded at the right level decision and/or contract as pre-defined in the RRT ✓ Results recorded cover the entire duration of the project or programme in question ✓ Results recorded reflect the overall results achieved for a project or programme, even in instances where these are co-funded with other donors and/or partner country governments[10] ✓ Project and programme beneficiaries should be broken down into boys/girls; men/women ✓ An explanation is provided to clarify why the target has been met or has not been met	ROM expert/ OM

ROM experts provide appropriate guidance on results reporting to OM during the individual meetings. ROM experts furthermore identify any data quality issues, flagging to OM any concerns they may have with regard to the consistency of data from final project reports compared with other data sources and regarding the potential bias of information included in those reports.

Once the ROM expert has completed all individual meetings in collaboration with the OM concerned, he/she will ensure that administrative information on the nature of the mission has been entered (name of expert, names of operational managers contacted, dates of mission). The ROM expert will then will share the consolidated results recorded during the mission with the Head of Cooperation/Head of Unit and the ROM focal point in order to obtain, for the purpose of reporting in the EC's Annual report and for communication purposes managed at the level of the EUD/HQ operational unit concerned, the selected country/regional/ thematic results for that unit. The choice of selected results, and the criteria used to make the choices, will be made by the Head of Cooperation/Head of Unit. Criteria that could be taken into account for that choice could for example be:

- Results being most aligned to the EU Agenda for Change.
- The importance of the results for the partner country and the partner country's national or sector strategy
- The linkage with the programming document
- The extent to which results met or exceeded their targets

This choice will most likely be made by the Head of Cooperation/Head of Unit in consultation with OMs. The ROM expert should ensure that this choice is made **before** the end of the mission, through a meeting with the Head or by other means of consultation.

[10] See section 1.2.1 for details on how to calculate results to be reported

These selected country/regional/ thematic results cover both results that are linked to EU RF indicators and results that are not linked to the EU RF. Unlike for results linked to EU RF indicators, there is no need for the EC to aggregate these results across multiple countries, meaning that the identification of the selected country/regional/thematic results provides an opportunity for each EUD/EC HQ operational Unit to reflect results from the specific interventions financed by the EU at country or regional level or at global level. In order to ensure the exercise remains manageable, the number of those results identified as the selected country/regional/thematic results selected must be greater than 5 (in order to justify the presentation of sufficient results for that delegation/operational unit) and no greater than ten.

4.4.3 Debriefing

On the last day of the support mission, the ROM expert will, in a debriefing session with the EUD/HQ operational unit, provide feedback on the mission, including challenges and constraints linked to results reporting such as completeness of results reporting provided by implementing partners, quality of logframes, and capacity of EUD/HQ Units to report results. They also record these points in the narrative reports which will be analysed by the ROM Coordination Unit (which is also in charge of the EU RF) with a view to improving the overall results reporting process. Attendance at the debriefing session will be the same as for the briefing session.

The ROM contractor provides technical and methodological support to ROM experts during the field phase. The main point of contact will be the statistics and performance measurement expert who is part of the ROM contractor's core team.

4.5 Results reporting mission outputs

4.5.1 Consolidated results reporting templates

As mentioned, ROM experts consolidate into one template **per mission** indicators and related results data, which are considered key project results and for which results information has been found in available reporting, linked and not linked to the EU RF indicators. They record this information in the results templates that have been provided for this purpose (see **Annex B2**).

Table 20. Completion of the results reporting template - Checklist

Completion of the results return - Checklist	Actor
✓ Are the result achieved and the associated indicator easily understandable? If not then then please clarify, even if it means changing the wording compared to what is used in formal documents ✓ Is the results information the most up-to-date information available? Have baselines been recorded? ✓ Are sex-disaggregated data available? ✓ Do results recorded against EU RF indicators meet the definitions provided in the relevant methodological notes? ✓ Have details of data calculations for EU contribution to EU RF indicators been provided? ✓ Do concerns remain around data quality that could not be resolved? Have these been documented? ✓ Have explanations been provided for missing information? (For example, if the baseline is missing or sex split is not provided, reasons for this should be included in the comments field.)	ROM expert jointly with OM

Before submitting the consolidated results report to the ROM contractor, ROM experts — in coordination with OM — carry out a quality check considering the points in the checklist below.

Table 21. Results reporting quality - Checklist

Results reporting quality - Checklist	Actor
✓ Have all fields have been completed. If not, has the reason for this been provided? ✓ Have results been reported in consistent units? (For example, if the indicator is about number of beneficiaries, or population percentages, the numbers provided should reflect this.) ✓ When reporting EU RF indicators, there may be instances where calculations need to be made to convert percentages into number of people. Has this been done and underlying assumptions/calculations been recorded? ✓ Where non-zero baselines have been provided for the start of the project or programme, is it clear whether the final value includes that baseline or not? ✓ In instances where two or more projects or programmes report results against the same indicator, has any risk of double counting the same result been noted in the "comments" cell, as well as at least an estimate of the degree of double counting ✓ Have data sources been properly named, referred to in the RRT and made available to the ROM contractor in electronic format? ✓ Have data sources linked to results information been assessed? Is it known who collected the original source information and for what purpose? For example, if data come from a survey, has the sampling methodology, the sample size and the response rate been assessed as providing solid statistics? If data come from administrative sources (either project specific or national), has an assessment been made of whether there would be an incentive to either inflate or deflate numbers?	ROM expert jointly with OM

Once agreed with the EUD/HQ operational unit before the end of the ROM expert's mission, the consolidated results reporting template is emailed by the ROM experts to the ROM contractor for quality control. The emails are to be clearly labelled as draft results reporting template in the subject heading and must be copied to OM.

4.5.2 Narrative reports

One narrative report per mission should be provided by ROM experts **within one week of the end of the mission**. They should follow the structure provided in the template provided for this purpose (see **Annex B3**) and not exceed four pages (Calibri size font 11). Narrative reports should contain the following: the main issues encountered during the mission, including a general quality assessment of the results data reported in the consolidated results reporting template, an assessment of the quality of logframes/performance frameworks (for BS), the completeness of results reporting provided by implementing partners, capacity of EUD/ HQ Units to report results and any suggestions on areas of support it may be useful to provide in the future. They stress key elements of results reporting which can be further analysed by the ROM Coordination Unit. For the following End of Project Results Reporting Exercise, the narrative report can be an update of the previous exercises, signalling the changes, both positive and negative.

Table 22. Checklist to assess logframe quality

Checklist to assess logframe quality	
✓ Is the results chain reasonable, i.e. are the links between impact, outcome and outputs established and clear? ✓ Have risks/assumptions been set out? ✓ Are indicators measurable, i.e. clearly defined? ✓ Are data sources referenced under sources of verification robust, i.e. already established data sources? ✓ Have baselines been included? ✓ Are targets time-bound and realistic?	ROM experts

Following the quality control by the ROM Contractor (to be completed **within two weeks following the end of the mission**) the narrative reports will be shared with the OM for comment, who also have **one week** to provide their comments. However, different to the results reporting template completed by the ROM expert in collaboration with the OM, the narrative reports are completed by the expert and should be understood as the expert's views on the data quality and capacity issues they identified as being linked to results reporting.

4.6 QUALITY CONTROL

The quality control process for the completed consolidated results reporting templates may take up to four weeks after the end of the mission. ROM experts must continue to be available to address any of the data-quality issues raised by the ROM contractor or EU services during that time. In responding to quality queries, ROM experts are required to liaise with the OM involved.

4.6.1 INITIAL QUALITY CONTROL BY ROM CONTRACTOR

Upon receipt of the draft consolidated results reporting template from ROM experts, the statistics and performance measurement key expert, who is part of the ROM contractor's core team, will start the quality control checks. Any questions related to data quality identified by the statistics and performance expert which need to be followed up are recorded in the quality columns of the consolidated results reporting template (see **Annex B2**). The template with any questions/comments from the ROM contractor are transmitted by the latter to the ROM expert to be dealt with by the ROM expert in cooperation with the OM.

Table 23. Quality control - Checklist

Quality control - Checklist	Actor
✓ Are the result achieved and the associated indicator easily understandable? If a results/indicator is not clear, then the ROM contractor can recommend the deletion of the result/indicator. ✓ Have all fields of the results reporting template been completed, and have explanations been provided for missing fields? Including those related to target met/not met. ✓ Are results reported in consistent units? (For example, if the indicator is about number of beneficiaries, or population percentages, the numbers provided should reflect this.) ✓ Where non-zero baselines have been provided for the start of the project or programme, is it clear whether the final value includes that baseline or not? ✓ Where relevant, has data been sex disaggregated? ✓ Have data sources for the results information been provided?	ROM contractor - Statistics and performance measurement key expert

✓ Are there any project-specific results that have been recorded and could be linked to an EU RF indicator, but which have not been captured as such? ✓ In instances where a project-specific indicator/result has been recorded as also being able to report against an EU RF indicator, has sufficient information in the cell 'explanation of calculation of EU contribution' been provided?	

In instances where questions for follow-up have been identified and noted in the results reporting template by the ROM contractor, these will be sent by the latter to the ROM expert for follow up. The ROM expert, in consultation with the OM, responds to the questions raised in the quality control column of the results reporting template and, where necessary, updates the actual results information. The ROM expert transmits the revised draft report to the ROM contractor, copying the OM into the correspondence. The ROM contractor will email the latest versions of the completed consolidated results reporting templates to the ROM coordinator, copying in the functional mailbox DEVCO EU Results and any other correspondent as decided by the ROM coordination unit. The initial quality control should be completed no later than **two weeks after the mission end date**.

The ROM contractor ensures the appropriate QC for narrative reports. He carries out this task within **one week following their submission by ROM experts**. The updated narrative reports are to be shared with EUD/HQ Operational Units for their validation. EUD/HQ Operational Units have **one week** to challenge any assertion within the narrative reports. If, within this timeframe, no response has been received, the reports will be considered final and sent by the ROM contractor to the ROM coordinator, copying in the functional mailbox DEVCO EU Results and clearly labelling the subject line as a final narrative report. Should the EUD/ HQ Operational Unit provide comments, the narrative reports will, if necessary, be completed/adjusted **within a further week** from the receipt of the comments and then sent to the ROM coordinator, copying the functional mailbox DEVCO EU Results.

4.6.2 Additional quality control by ROM Coordination Unit on results reporting

As set out in the previous section, following the initial QC by the ROM contractor, the ROM Coordination Unit will check the latest versions of the results reporting templates, interacting as appropriate with other HQ Units. Any questions about data quality which are to be followed up are recorded in the quality control columns of the results reporting template (**Annex B2**) and sent to the ROM contractor who, in turn, will forward any additional data quality concerns raised by EC services to the ROM experts for their response. ROM experts will address the questions in cooperation with OM and transmit the responses to the ROM contractor, copying the OM into the correspondence. There may be several iterations of correspondence between the ROM Coordination Unit and the ROM contractor to ensure that the questions raised are satisfactorily answered.

Table 24. Additional quality control - Checklist

Additional quality control - Checklist	Actor
✓ All checks carried out by ROM expert and ROM contractor as defined in table 24. In particular, if a result/indicator is not clear, then the ROM Coordination Unit can recommend the deletion of the result/indicator. ✓ Are there any potential overlaps between results reported within one country, from country vs regional programmes or country vs thematic programmes?	ROM Coordination Unit

ROM contractors are responsible for ensuring an appropriate flow of communication between ROM experts and OM in EUD or at HQ up to the agreement of the final results reporting template. ROM contractors continue to interact with ROM experts until all issues set out in the questions columns of each results template have been addressed in a satisfactory manner. The updated results reporting template should be sent to the ROM coordinators, copying in the functional mailbox DEVCO EU Results as well as to the relevant OM, ROM expert and ROM focal point. It should be clearly labelled in the email subject line as the updated results return version following the additional quality control.

This second phase of the quality control should be completed **no later than two weeks** following the end of the initial QC by the ROM contractor.

Reference is made to section 5.3 for the quarterly and annual QC reports of the ROM contractor.

4.6.3 FINALISATION OF RESULTS REPORTING TEMPLATE

Once all the questions raised in the quality control phase have been addressed by the ROM expert in consultation with the OM, the ROM Coordination Unit will write to the ROM coordinator, copying in the ROM contractor, and to the ROM focal points involved to say that no further questions remain on the completed results reporting templates. At this point, the final results reporting template, including the choice of selected country/ regional/ thematic results, will be verified by the Head of Cooperation or Head of operational Unit or his/her representative. This is done by taking the following steps in the Dispatch screen of the template.

1. The Head of Cooperation/operational Unit confirms his/her agreement to all the results recorded. You can agree to all results in one step by pressing the **"Yes to all" button** at the top of column M.

2. The Head of Cooperation/operational Unit confirms his/her validation of the RRT and selection of main results by pressing the **"Validation of encoded results"** button at top of columns O-P. At this point he/she will asked to enter name and title.

Once done, the template should be sent to the functional mailbox **DEVCO EU Results**, copying in the **ROM coordinator**. The completed results reporting templates should be clearly marked as the final results reporting template in the email subject line. If no reply is received from the Head of Cooperation or Head of Operational Unit within 5 working days, then it is assumed that the RRT is final.

The final completed results reporting template should be received **no later than four weeks after completion of the mission**.

4.7 Annual Calendar for ROM support to results reporting

Table 25. Calendar for ROM support to results reporting

Phase	Tasks and actors responsible	Timeframe
Timeframe for results reporting		
Preparation of draft list of projects and programmes which are to be included in end-of-project results reporting support missions	✓ ***ROM Coordination Unit*** *prepares initial list of projects and programmes which are to be included in that specific year and then* ***ROM Coordination Unit*** *shares list with ROM coordinators and EUD ROM focal points and HoC) and HQ Units (ROM focal points and HoU) concerned*	*By mid May* *By end May -*
Validation of list of projects and programmes to be included in results reporting support missions	✓ ***ROM Focal points/ROM coordinators*** *verify list of projects and programmes to be included in results reporting support missions, and provides feedback to ROM Coordination Unit* ✓ ***OM*** *in EUD and HQ Services upload key documents for selected projects and programmes to CRIS*	*By end June* *At least three weeks prior to a mission*
Finalisation of list of projects and programmes to be included in results reporting support missions	✓ ***ROM Coordination Unit*** *shares final list of projects and programmes to be included in results reporting support missions with ROM coordinators*	*By mid-July*
Send list of projects and programmes to be included in results reporting support missions to ROM contractors	✓ ***ROM coordinators*** *send final list of projects and programmes to ROM contractors*	*By mid-July*
Preparation and submission of draft workplan	✓ ***ROM contractors*** *schedule missions and select ROM experts* ✓ ***Rom contractors*** *share draft workplan with ROM coordinator and ROM Coordination Unit* *(for action by ROM contractor)*	*By mid September*
Approval of workplan	✓ *Verify workplan* *(for action by ROM coordinators, in agreement with ROM Coordination Unit)*	*By end-September*
Results reporting support missions – Preparation phase *Desk phase*	✓ *Set up agenda for mission* *(for action by ROM contractor, ROM Focal point, ROM expert)* ✓ *Document review* *(for action by ROM expert)*	*At least 3 weeks prior to a mission* *One week before mission at the latest*
Results reporting support missions – Field phase	✓ *Completion of results reporting template* *(for action by ROM expert and OM)*	*From Start October - to end of December*
Submission of completed results reporting template	✓ *Email consolidated results reporting template to ROM contractor for QC* *(for action by ROM expert)*	*Final day of mission*
Submission of narrative report	✓ *Email narrative report to ROM contractor for QC* *(for action by ROM expert)*	*One week after the end of the mission*
Quality control of results reporting template	✓ *Initial checks by ROM contractor (statistics*	*Two weeks for each phase of QC*

	and performance expert) ✓ *Additional check by ROM Coordination Unit*	
Quality control of narrative report	✓ *QC by ROM contractor* ✓ *Send final draft to EUD/ HQ Service for validation* *(for action by ROM contractor)* ✓ *Validation of final draft report by EUD/ HQ Service* ✓ *(for action by ROM focal point)*	*One week after the receipt of the draft narrative report* *One week after the receipt of the report*
Finalisation of results reporting templates	✓ *Submission of finalised results return to ROM Coordination Unit* *(for action by Head of Cooperation or Head of Unit or his/her representative)*	*No later than four weeks following the end of the mission.*
Finalisation of narrative report	✓ *Submission of finalised narrative report to ROM coordinator with copy to ROM Coordination Unit* *(For action by ROM Contractor)*	*No later than four weeks following the end of the mission*

5 CONSOLIDATED ANALYSIS REPORTS BY ROM CONTRACTORS

The ROM contractor will submit the following consolidated analysis reports:

- Consolidated analysis of ROM reviews by country/region, sector and financial instrument
- Consolidated analysis of results reporting support missions reports.

Other ad hoc reports, to be defined at a later stage, may be requested as well.

5.1 Annual and Final (end of contract) Consolidated analysis of ROM reviews

Each year, the ROM contractor establishes a consolidated analysis of ROM reviews carried out in the framework of his annual workplan, which identifies the common features of the key findings of all ROM reviews carried out. This consolidated analysis report will be attached to the annual contract implementation report (see section 6.1).

This analysis, to be drafted by the ROM contractor's core team of experts, provides such an analysis:

- for each country in which ROM reviews were carried out and for the geographical area covered by the contract;
- for each sector covered by the ROM reviews carried out, with particular attention paid to the common features relating to the mainstreaming of gender and climate change; and
- on the basis of the foregoing analysis, for the main thematic programmes and each of its components.

In performing this analysis, the ROM contractor will pay particular attention to the analysis of the results focus, both in terms of identifying strengths and weaknesses and opportunities and constraints.

The reports should be in Word/Windows compatible format and in English.

The thematic/sector related analysis and findings of the consolidated reports of all five ROM contractors will be presented and discussed (per thematic domain) in a common workshop organised by the ROM Coordination Unit. A similar presentation and discussion will be organised during the same workshop in relation to the overall general findings for each of the geographic areas with the aim of identifying common findings.

5.2 ANNUAL CONSOLIDATED ANALYSIS OF RESULTS REPORTING SUPPORT

The ROM contractor also establishes — for the first time in 2016 (year n) — an annual report related to support to results reporting carried out for the period from 1 July of year n-2 to 30 June of year n-1. This report will be attached to the annual contract implementation report.

This report draws out key issues noted in individual narrative reports, including in particular an assessment of the quality of results indicators, the completeness of reporting provided by implementing partners, as well as constraints encountered by EUD/EC HQ operational services and any suggestions on areas where it may be useful to provide support in the future or for which further analysis by the EC HQ services may be needed. It should be structured along the headings included in the narrative reporting template that experts are asked to use (**Annex B3**). The ROM contractor is *not* required to provide aggregated results information as part of this report.

The reports should be in Word/Windows compatible format and in English.

A presentation and discussion of the analysis and findings of the consolidated reports on results reporting of all five ROM contractors is to take place as part of the workshop referred to in section 5.1 with the aim of identifying common findings – unless otherwise decided by the ROM Coordination Unit.

5.3 QUARTERLY AND ANNUAL QUALITY CONTROL REPORTS

Every three months, the ROM contractor provides the ROM coordinator with a consolidated QC report concerning their quality control (QC) efforts and the most important corrective measures taken during the reporting period.

In the **first part**, the ROM contractor gives an overview of the following:

- issues from among those referred to in sections 3.8 and 4.6 raised by their experts in charge of QC, including the identification of good and bad practices in terms of ROM reviews;
- issues that can be concluded from the QC checklists established by the ROM experts for each review or support mission;
- any cases where the mission is of a (shorter or longer) duration than the standard allocation of mission days as defined in chapter 3, including the justification and issues encountered in implementing the workplan;
- any changes which had to be implemented in the choice of ROM experts (with the approval of the ROM coordinator), attaching the list of the expert(s) replacing the one(s) initially proposed and approved;
- any cases of conflict of interest which had to be solved.

In the **second part,** the ROM Contractor reports on:

- the follow-up and improvement measures undertaken where necessary by the ROM contractor (and/or expert(s) concerned) during the quarter since the previous QC and QA reports;
- the follow-up and improvement measures to be developed in the next quarter.

A template for reporting is provided in **Annex A4**.

In the annual QC reports, the ROM contractor provides a consolidated overview of the four quarters based on the same approach as for quarterly QC reports.

The QC reports are submitted by the ROM contractor to the ROM coordinator together with the contract implementation report where such an implementation report is foreseen (see chapter 6). The report is also copied by the ROM contractor to the functional mailbox of the ROM Coordination Unit.

6 REPORTING ON IMPLEMENTATION BY ROM CONTRACTORS

6.1 Six-monthly progress reports

The ROM contractor submits twice a year a six-monthly implementation progress report in accordance with the template in **Annex C** of this Handbook. The report shall include the list of all projects and programmes reviewed/supported during the period.

The report will provide an analysis of implementation problems encountered, including the methodologies set out in the present Handbook. The ROM contractor comments on the reasons for any unforeseen changes he had to make with respect to the workplan (changes in the situation on the ground and delays in starting a project that impacted on the workplan, difficulties arising from staffing arrangements of stakeholders, problems with availability of experts, etc). The ROM contractor comments on the delays in the delivery of ROM reports, results reports and narrative reports whether on the side of ROM experts or on the side of the ROM contractor, on technical issues which might have arisen in the use of IT tools, such as the ROM module or the reporting templates, as well as any other issue which he wants to bring to the attention of the EC.

Timesheets detailing for each ROM mission the number of services days rendered and the fee category/ies applicable to each service day rendered are annexed to the progress reports. These timesheets are the main basis for the invoicing in the category “fees and non-reimbursable costs” and are signed by the ROM expert concerned. Upon signature of the invoice, the ROM contractor assumes responsibility for the correctness of the timesheets.

The ROM coordinator provides comments within 60 days. The ROM contractor submits a revised report within 30 days, taking into account the comments of the ROM coordinator. The reports should be in Word/Windows compatible format and in English.

The ROM coordinator shares the report with the ROM Coordination Unit and makes the report accessible to all staff of the concerned Directorate General.

6.2 Final report

Within 45 days of the end of the last contract period[11], the ROM contractor submits by email and in two hard copies to the ROM coordinator a draft end-of-contract report describing the activities undertaken during the entire contract period and in accordance with the same template. The report includes an overview of the contract period, the organisation of the contractor during the contract

[11] The contracts are for one year and may be renewed three times. If not renewed, the final report must be submitted within 45 days of the end of the last contract. If the contract is renewed, the final report is replaced by the regular six-monthly report.

period, the activities carried out during the contract period and the related rate of accomplishment of ROM workplan, a description of problems encountered during the contract implementation process, the financial execution and the list of handover documents and any other related material. The report shall also include a list of all projects and programmes reviewed/supported.

All reports, including the consolidated analysis reports and QC reports, established during the contract period should be annexed to the electronic version of the end-of-contract report, being understood that the individual ROM review and support mission reports will be stocked in the Commission's ROM IT system and therefore do not need to be annexed to the final reports.

The ROM contractor submits to the ROM coordinator the database with all the documents stored for the implementation of the ROM services (see section 3.4.1 and 4.1.1.1)

The reports should be in Word/Windows compatible format and in English.

The ROM coordinator provides comments or approves the report within 60 days. In the former case, the ROM Contractor submits a revised final version of the report within 30 days, taking into account the comments of the ROM coordinator.

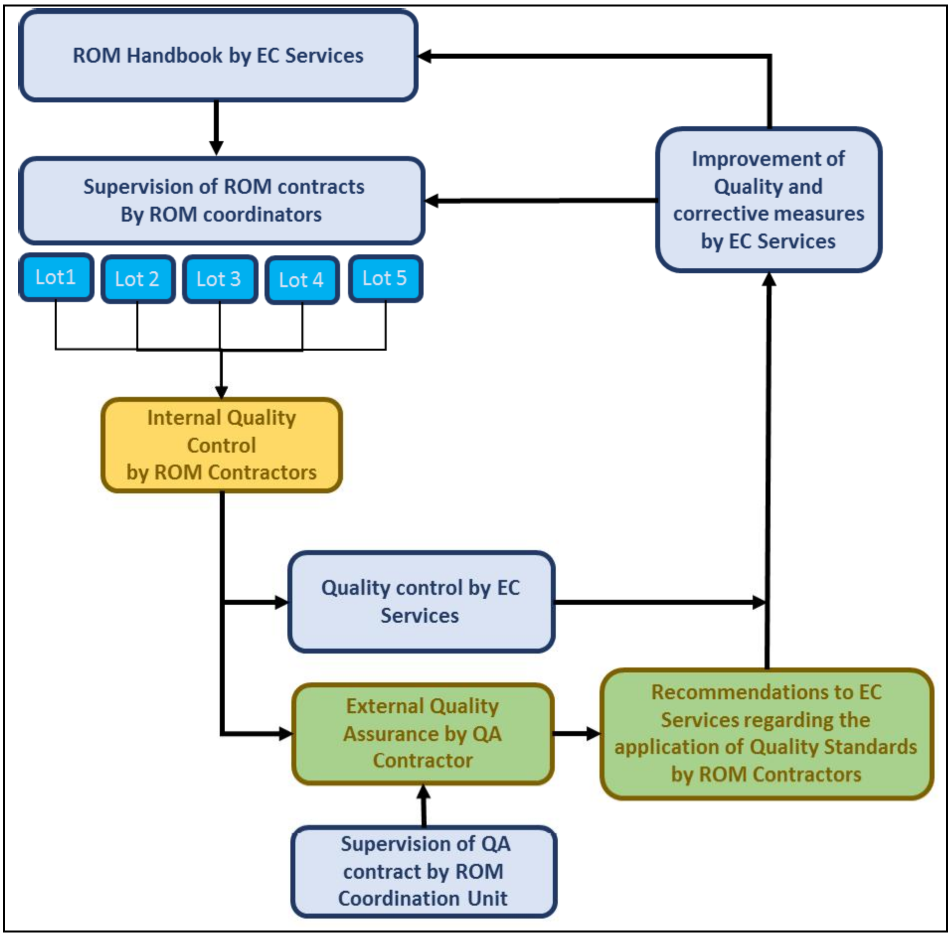
The ROM coordinator shares the report with the ROM Coordination Unit and makes the report available to all staff of the concerned Directorate.

7 ROM QUALITY ASSURANCE

7.1 The ROM quality cycle and the place of the ROM Quality assurance

The monitoring of quality within the ROM system will, in addition to the quality control and other quality related measures mentioned in the other chapters of the present Handbook, also comprise the intervention of a Quality Assurance (QA) contractor, independent of the other ROM contractors. The role of ROM Quality Assurance within the ROM quality cycle is shown in the following chart.

Figure 5. The ROM quality cycle



The ROM quality cycle thus includes:

- the quality standards as foreseen in the present Handbook (and as further communicated in the regular coordination meetings with ROM contractors),
- the internal quality control system of each ROM contractor,
- the comments by EUD and EC HQ operational units on the ROM reports,

- the Quality Assurance assessing the quality of ROM services,
- the overall supervision of ROM service contracts by ROM coordinators and ROM Coordination Unit.

The specific responsibilities of ROM contractors, ROM experts, external QA Contractor and EC services related to the overall ROM quality system are summarised below.

Table 26. Actors in the quality assurance cycle

	Actors	Specific responsibilities
Internal QC by ROM contractor	**ROM experts**	• Apply the ROM Handbook in the implementation of ROM services as specified in the Handbook, in particular: • Establish quality checklists for each ROM review. • Keep, track and transfer reports and related documents to the ROM contractor in a form accessible to the external QA Contractor and EC services.
	ROM contractors	• Apply the ROM Handbook in the implementation of ROM services as specified in the Handbook, in particular: • Key experts complete a specific QC report for each ROM review, except for ROM reviews implemented by the Team Leader (TL) or Deputy Team Leader which are subject to QC by the back-stopping team of the ROM contractor • If the team of key experts only has one "statistics and performance/measurement" expert, then his work is quality controlled by the back-stopping team of the ROM Contractor. Otherwise, the work of such an expert is quality controlled by another "statistics and performance/measurement" expert. • Share QC report with the ROM expert. • Screen the draft report made by the ROM expert on the basis of the results reporting support mission and make comments as required. • Ensure timely follow-up of QC comments by ROM experts. • Take corrective measures to ensure quality of ROM services. • Reflect QC efforts and corrective measures taken in the quarterly and annual QC reports to be submitted to the ROM coordinator. • Keep records of all QC documentation. Records must be available upon request in a form accessible to the external QA Contractor and EC services.

<table>
<tr><td>External QA</td><td>External QA Contractor</td><td>

Applies the ROM Handbook in the fulfilment of its mission.
Reviews across the five ROM contracts specific ROM review reports on the basis of a sample selected each month by the ROM Coordination Unit in consultation with the ROM Coordinators.
Completes a specific QA report for each ROM review verified.
Reviews the level of compliance with ROM service standards by each ROM contractor and establishes quarterly QA reports, signalling and setting out critical issues or addressing specific issues not covered by the scores.
Submits the corresponding 20 quarterly QA reports (four reports for each ROM contract over a year) to the ROM Coordination Unit and the ROM Coordinators.
Submits the draft annual consolidated QA report on the implementation of the five ROM contracts to the ROM Coordination Unit, including the recommendations for the improvement of the rules, modalities, specifications and quality standards governing the ROM system.

</td></tr>
<tr><td rowspan="3">EC services</td><td>EC HQ ROM Coordination Unit</td><td>

Receives from ROM contractors a copy of the draft quarterly and annual QC reports, a copy of the six-monthly and annual contract implementation reports which the ROM contractor submits to the ROM coordinator and sends them to the external QA Contractor.
Shares QA report with the ROM coordinator.
Approves quarterly and annual QA reports in consultation with ROM coordinators.
Agrees with the ROM coordinators and the ROM contractors concerned any follow-up needed on the QA reports (including possible discussion with the ROM contractors).
Defines and proposes at EC HQ level any follow-up needed.
Ensures appropriate overall coordination of the ROM system.

</td></tr>
<tr><td>ROM coordinator</td><td>

Receives from ROM contractor draft quarterly QC reports, six-monthly and annual contract implementation reports and verifies that the ROM Coordination Unit is in copy.
Shares QA reports with issues on individual ROM reviews and quarterly QA reports with the ROM contractor.
Agrees with the ROM Coordination Unit and the ROM contractor any follow-up needed on the quality assurance reports.
Participates in the approval process of QA reports
Participates in the overall ROM coordination process.

</td></tr>
<tr><td>Operational Managers in EUD or EC HQ</td><td>

Contributes to the preparation of the ROM mission by providing all the necessary documentation and other information on the projects to be ROMed.
Ensure that draft and final ROM review reports and draft and final narrative results reporting reports are duly and timely commented on, taking into account the comments from other stakeholders in the project.
Agree with the ROM results-reporting experts on the response or follow-up on QC observations made by the ROM contractor or ROM Coordination Unit on draft completed results reporting templates.

</td></tr>
</table>

7.2 Scope of the QA contract

The ROM QA Contractor provides assistance to EC services for the monitoring and overall supervision of the quality of ROM services implemented by ROM contractors in accordance with the rules, modalities, specifications and quality standards set out in the present Handbook. The QA Contractor's deliverables aim to contribute to continual improvement of the ROM system by (1) monitoring quality of compliance and application of the ROM Handbook with regard to implementation of services delivery by ROM contractors in respect of ROM reviews through a quality check by means of random sampling of ROM services and through direct interviews with a sample of ROM actors, namely EC services, ROM experts, ROM contractors and other ROM stakeholders; (2) providing where appropriate recommendations to EC services for improvement of the quality of the ROM services of ROM contractors or of the ROM system or its components. Where appropriate, this may result in a revision of the present Handbook.

The QA applies to ROM services implemented by ROM contractors through ROM reviews, including the ROM contractors' organisation and QC of and support to the reviews. It neither relates to the delivery of the results reporting support missions, nor to the consolidated analysis reports and implementation progress reports by the ROM contractors.

The ROM Coordination Unit is responsible for the direct supervision of the QA contract and for coordination with ROM coordinators with respect to implementation of the QA system, including any corrective measures which could be recommended by the QA Contractor. The ROM Coordination Unit also establishes the monthly random sampling of ROM services to be reviewed by the QA Contractor and can request additional QA reviews on the basis of specific duly justified requests from ROM coordinators.

7.3 QA experts team

The core team of key experts is composed of a Team Leader, a Deputy Team Leader and 4 ROM QA experts. All of these experts are employed full-time (220 man-days/year). To ensure proper coordination at all times with the EC services, the ROM QA Contractor sets up an office in Brussels. The QA Contractor participates in regular coordination meetings with the ROM Coordination Unit and, at the request of the latter, in coordination meetings with the ROM coordinators and ROM contractors.

To ensure independence of the QA process, QA experts shall not have any conflict of interest with regard to the project and programme to be reviewed: no QA expert may review a project or programme in which they or the firm employing them under this contract has been previously involved to any significant degree, which could in turn lead to suspicion of bias. No QA expert may implement any ROM services under a ROM service contract. In the case of ROM reviews for BS programmes, no QA expert shall have been assigned a Tranche Release Assessment (fixed or variable) for the BS programme in question, nor shall they have been involved in the identification and formulation of the programme.

The QA experts have specific professional experience in providing services in the field of certification of management systems, in providing services in training and consulting businesses or public entities with regard to the introduction of quality assurance and/or management systems in accordance with international standards (e.g. ISO 9000 series), and in setting up and/or consulting on quality assurance-related systems in companies or public institutions (setting quality standards, assessing and monitoring processes, etc.).

The Team Leader (TL) holds overall responsibility for the implementation of the QA assignment, coordination of the entire QA process, procedures and deliverables (submission of the QA workplan, QA reports, quarterly and annual QA reports, coordination with EC services and QA implementation progress reporting). The TL shall work in close cooperation with the ROM Coordination Unit. He should organise and support training sessions on ROM services and the ROM quality system for his team of ROM QA experts.

The Deputy Team Leader supports the Team Leader in fulfilling his tasks and responsibilities and is also in charge of all statistical analysis, in particular with respect to the quality of information provided by ROM contractors in their quarterly and annual QC reports.

The TL and DTL and the other four QA experts ensure timely delivery of ROM QA reports and report to the TL on ROM review reports with negative scores in a timely manner.

7.4 Tasks of QA Contractor

The QA Contractor reviews an estimated yearly number of 250 ROM review missions. ROM services to be reviewed by the QA Contractor are selected by means of random sampling across the projects and programmes for which ROM reviews have been carried out by the five ROM contractors. Random sampling is performed each month by the ROM Coordination Unit in consultation with the ROM coordinators, on the basis of which the ROM Coordination Unit provides the QA Contractor with a list of projects and programmes to be reviewed.

The ROM Coordination Unit may request additional QA reviews on the basis of duly justified requests from the ROM coordinators.

In order to proceed, the QA Contractor is provided with all key information on the project and programmes to be reviewed and on the QC implemented by the ROM contractors. To this end, all QC documentation is kept available by the ROM contractors in a form accessible to the QA Contractor.

In order to understand ROM implementation issues and difficulties, each QA expert will implement a limited number of missions to Delegations and HQ operational units for information and exchange with the latter and with involved local key stakeholders as regards the implementation of ROM reviews by the ROM contractors and experts. The selection of the Delegations and HQ Units to be visited by the QA experts will be performed by the ROM Coordination Unit in consultation with the ROM coordinators. An indicative number of 24 field missions are to take place alongside a few additional missions to EC HQ operational units.

7.5 Expected QA deliverables

7.5.1 QA reports on individual ROM reviews

For each ROM review reviewed by the QA Contractor, the QA Contractor completes a QA report based on the template provided in **Annex D1**. He includes in the QA report the critical issues or specific issues not covered by the scores in the template with the monitoring questions for ROM reviews. The reports are submitted to the ROM Coordination Unit as an annex to the quarterly QA reports.

QA reporting has two objectives:

i) To review the quality of ROM reviews and related processes as implemented by the ROM experts, including the technical profile and interpersonal skills of the ROM experts.

ii) To review the quality and consistency of the internal quality control ensured by the ROM contractors, taking the following into particular consideration:

- QC checklists by ROM experts reflecting the level of compliance with quality standards defined in the present Handbook.
- ROM QC reports by the ROM contractors.

7.5.2 QUARTERLY QA REPORTS

The QA Contractor prepares and submits a draft quarterly QA report for each ROM contract to the ROM Coordination Unit based. It reviews on a quarterly basis the level of compliance with ROM review standards by each ROM contractor. Hence, over a year, the QA Contractor prepares and establishes a total of 20 quarterly QA reports (four per ROM contract over a year).

The ROM Coordination Unit shares these reports with the ROM coordinators concerned, who will in turn share the QA reports with the ROM contractor for comment and discussion. These are to be followed by conclusions and, where appropriate, recommendations/requests for measures to be adopted by the ROM coordinator in agreement with the ROM Coordination Unit and to be communicated by the ROM coordinator to the ROM contractor.

The reports will be structured as follows:

- The **first part** reports on the quality of individual ROM reviews and related services which have been subject to a QA report during the quarter. Key findings relate to the compliance of ROM contractors with the present Handbook: ROM experts profile, allocation of days to ROM experts, consistent workplan for ROM reviews with justified deviations from the initial list of projects and programmes provided by EC services, analysis of issues signalled with respect to the reviews.

- The **second part** reports on the quality of the quality checklists of ROM experts and of internal QC reports, assessing the ROM contractor's quality control system. The quality and performance of the organisational, supporting and back-stopping services provided by ROM contractors are also reviewed.
- The **third part** provides key conclusions on quality issues which might have occurred during the quarter as well as any improvement recommendations.

7.5.3 ANNUAL QA REPORT

The QA Contractor submits a consolidated annual QA report to the ROM Coordination Unit, including reporting on the follow-up of key recommendations to and corrective measures implemented by ROM contractors with respect to the ROM process and reviews. The QA Contractor will submit the report together with the second six-monthly progress report involving the year in which the reporting takes place.

The consolidated annual QA report analyses the compliance of ROM contractors with the ROM Handbook. It includes a special focus on the overall quality of the expertise provided by the ROM experts. It proceeds in particular through interviews with ROM coordinators, OM in EUD and HQ, other key stakeholders, the QA Contractor, and provides analysis on:

- the relevance and effectiveness of the communication flow with EC services during the preparation of the workplan, the implementation of ROM reviews;
- examples of good and bad practice;
- the quality of briefing, debriefing, availability of documentation and data;
- the level of perception/understanding of ROM services by ROM stakeholders.

The consolidated annual QA report is a key part of the ROM review's overall quality system as a result of the findings identified and recommendations proposed.

The QA Contractor will present the report and its conclusions and recommendations in an annual workshop organised by the ROM Coordination Unit that involves ROM coordinators, ROM contractors and a group of ROM experts. Where appropriate, the conclusions and recommendations may result in a revision of the present Handbook.

7.5.4 QA IMPLEMENTATION PROGRESS REPORTS

The QA Contractor submits six-monthly implementation progress reports to the ROM Coordination Unit within 30 days of the end of the reporting period, according to the template in **Annex C2**. The progress reports will provide analysis of the problems encountered during implementation of the assignment and methodological issues with respect to the QA to be addressed.

The ROM Coordination Unit shares the report with the ROM coordinators and provides, in consultation with the latter, comments within 30 days. The ROM contractor submits the final six-monthly progress report within three weeks of this deadline, taking into account the comments of the ROM Coordination Unit.

The reports should be in Word/Windows format and in English.

7.5.5 QA END-OF-CONTRACT REPORT

Within 45 days of the end of the last contract period, an end-of-contract report is submitted by the QA Contractor to the ROM Coordination Unit, describing the activities undertaken during the entire contract period. Amongst other things it will include the rate of accomplishment of the assignment, problems encountered and methodological issues raised during the period of the contract, financial execution, and a hand-over to the next ROM QA contract (if given). The ROM Coordination Unit shares the report with the ROM coordinators and provides, in consultation with the latter, comments within 45 days. The QA Contractor finalises his report within three weeks of this deadline, and the delay for approval by the ROM Coordination Unit is also three weeks.

A list of all projects and programmes reviewed should also be included. All reports established during the contract period should be annexed to the end-of-contract report in electronic form.

The reports should be in Word/Windows compatible format and in English.

ANNEXES

Annexes for ROM reviews

Annex A1. *ROM report*

ROM report

The first page of the ROM report is automatically filled by the ROM module (project data is retrieved from CRIS)

Type of ROM review	**Projects and programmes**
Project title	
Project reference	
EUD/Unit in charge	
Status	
Report date	

Project - Key information	
Domain (instrument)	
DAC Sector	
Zone Benefiting from the Action	
Action Location	*(only for contract)*
Type of Project/Programme	
Geographic Implementation	
Entity in Charge	
OM in Charge	
Contracting Party	*(only for contract)*

Project - Financial data on dd/mm/yyyy	
Total Budget	€
EU Contribution	€
Contracted Amount	€ *(only for decision)*
Paid Amount	€

Project – Dates *(for decision only)*	
Signature Date of Financing Agreement by Beneficiary Country (FA date)	
Final Date for Contracting (FDC ILC)	
End Date of Operational Implementation Period (LMO/EOI)	

Project – Dates *(for contract only)*				
Contractor Signature Date				
Activities	**Start Date**		**End Date**	
Final Date for Implementation (FDI)				

ROM review - Key information				
Reason for ROM review				
Countries visited	*(only for multi-country)*			
ROM expert(s) name(s)				
Field phase	Start date		End Date	

Project Synopsis
Context
Up to 4000 characters (with spaces) The ROM report pdf template is automatically formatted in Arial 8
Description of the Intervention Logic
Up to 7000 characters (with spaces)

Findings
1. Relevance
Up to 12000 characters (with spaces) per finding
2. Efficiency
3. Effectiveness
4. Sustainability

Conclusions	
No.	**Conclusion**
C1	Up to 3000 characters (with spaces) per conclusion, max 10 conclusions
C2	

Recommendations	
No.	**Recommendation**
R1	Up to 2000 characters (with spaces) per recommendation, max 10 recommendations
R2	

Comments from EC services	
Date of EC services comments	DD/MM/YYYY

Comments on Synopsis

Comments on Findings	
Criteria	**Comments from EC services**
Relevance	
Efficiency	
Effectiveness	
Sustainability	

Comments on Conclusions	
No.	**Comments from EC services**
C1	
C2	
C3	

Comments on Recommendations		
No.	**Agreeed**	**Comments from EC services**
R1	Partially	
R2	Yes	
R3	No	

Quality of the report	
Is the report complete, clear and well-argued and does it allow operational follow-up?	☆☆☆☆☆
(General comments on the quality of the report)	

Follow-up Plan			
Action	**Linked Rec.**	**Implemented by**	**Deadline**

Annex A2. *Monitoring questions*

ROM Monitoring questions

Automatically filled by the ROM module

Type of ROM review	**Projects and programmes**
Project title	
Project reference	
Unit / EUD in charge	

Automatically filled by the ROM module (project data is retrieved from CRIS)

Project - Key information				
Domain (instrument)				
DAC Sector				
Zone Benefiting from the Action				
Type of Project/Programme				
Geographic Implementation				
Contracting party	(only for contracts)			
EU Contribution				
Project Implementation Dates	**Start date**		**End date**	
Reason for ROM review				
Countries visited	(only for multi-country)			
ROM expert(s) name(s)				
Field phase	**Start date**		**End date**	

Automatically filled based on the score of each question (colours are given as example)

Scoring overview											
Relevance	1.1	1.2	1.3	1.4	1.5	1.6	1.7 a)	1.7 b)	1.7 c)	1.7 d)	1.7 e)
Efficiency	2.1	2.2	2.3 a)	2.3 b)	2.3 c)	2.4 a)	2.4 b)	2.4 c)	2.5	2.6	
Effectiveness	3.1	3.2	3.3	3.4							
Sustainability	4.1	4.2	4.3	4.4	4.5	4.6	4.7				

Automatically filled (numbers are given as example)

Persons interviewed	**Number**
EC services	10
Partner country	5
Implementing partner	5
Final Beneficiaries	*5*
Other	2

Key documents	**Number**
Essential Project/Programme documents	10
Other documents	10

1.Relevance	Select: Good/ Very good · Problems · Serious deficiencies
1.1 Does the action presently respond to the needs of **the target groups / end beneficiaries?**	
For each question and conclusion: up to 6000 characters (with spaces) The monitoring questions pdf template is automatically formatted in Arial 8	
1.2 Is the action adapted to the present institutional, human, financial **capacities of the partner government and/or other key stakeholder(s)?**	
1.3. Do all key stakeholders still demonstrate effective commitment (**ownership**)?	
1.4 Is there an effective government led system of sector coordination (including Capacity Development) involving the relevant local stakeholders and donors?	
1.5 Are there any **complementarity issues** with other ongoing/planned action(s) (including Capacity Development) managed by donors that need to be addressed?	
1.6 Have all **relevant circumstances and risks** been taken into account to update the **intervention logic**?	
1.7 Indicators 1.7 a) Are the indicators well defined and relevant to measure the achievement of the objectives?	
1.7 b) Are all related data available?	
1.7 c) Are all indicators sex-disaggregated, if relevant?	
1.7 d) Are baselines set and updated for each indicator?	
1.7 e) Are targets values set and are they realistic or do they need to be updated?	
Conclusion	

2.Efficiency	Select: Good/ Very good · Problems · Serious deficiencies
2.1 Have the chosen **implementation mechanisms** (incl. choice of implementation modalities, entities and contractual arrangements) proved to be conducive for achieving the expected results?	
2.2 Do partner government and other partners in the country effectively **steer the action**?	
2.3 Inputs 2.3 a) Do the resources funded by the action and actually made available correspond to the needs of the action?	
2.3 b) To what degree are other resources which are not EU funded made available?	
2.3 c) To what degree are resources (inputs) available on time from other stakeholders?	
2.4 Delays 2.4 a) If there are delays, how important are they and what are the consequences?	
2.4 b) What are the reasons for these delays and to what extent have appropriate corrective measures been implemented?	
2.4 c) To what extent has the planning been revised accordingly?	
2.5. Have the outputs been produced/delivered in a cost-efficient manner?	
2.6 Is the action adequately monitored by implementing partners, partner government(s) and other key stakeholders?	
Conclusion	

3.Effectiveness	Select: Good/ Very good · Problems · Serious deficiencies
3.1 Is the **progress** of each **output** conforming to plan?	
3.2. Is the **quality of outputs** (including those of CD support) satisfactory?	

3.3. Are the outputs (including CD) still likely to lead to the **expected outcomes**?	
3.4 Does the action effectively support the **partner's policy and actions**?	
Conclusion	

4.Sustainability	Select: Good/ Very good Problems Serious deficiencies
4.1 Are key stakeholders acquiring the necessary **institutional and human capacities** to ensure the continued flow of benefits?	
4.2. Is the role of the EUD/HQ in the management and the monitoring of the operation sufficiently respectful of the **leading role of the partners** in order to enhance their capacities?	
4.3 Is **access to the benefits** affordable for **target groups** on the long term?	
4.4. Have the **relevant authorities** taken the **financial measures** to ensure the continuation of services after the end of the action?	
4.5. Has the **private sector** been involved to ensure the sustainability of the action?	
4.6. Have the necessary measures been taken to address the **environmental sustainability**?	
4.7. Have the necessary measures been taken into account to enhance the **role of women**?	
Conclusion	

5. Horizontal issues
5.1. To what extent have recommendations raised in QSG/previous ROM/ or previous evaluations been taken into account?
5.2. Have the **communication and visibility** actions been implemented in an appropriate manner?
5.3. Are there **good practices** inherent to the project which could be useful to share beyond the project context?

Sources of Information: List all documents analysed	
Essential Project/Programme documents	**Availability**
Country Programming documents	Select Yes No N/A
Action Documents	Select Yes No N/A
QSG checklists	Select Yes No N/A
Financing/Contribution/Delegation/Administration Agreement or grant contract (or in some cases service contracts). In these documents, all annexes are to be included such as Technical and Administrative provisions, Implementation schedule, logframe (incl. updates)...	Select Yes No N/A
Project contracts/programme estimates	Select Yes No N/A
In case of projects selected through calls for proposals: Guidelines for calls for proposals	Select Yes No N/A
Riders to all the documents listed above and their explanatory notes	Select Yes No N/A
Annual and overall activity schedules/implementation plans	Select Yes No N/A
Implementation progress reports	Select Yes No N/A
Previous ROM Reports	Select Yes No N/A
Mid-term evaluations	Select Yes No N/A
Final evaluations of previous phases (if any)	Select Yes No N/A
Thematic studies and consultancy reports related to Project	Select Yes No N/A
Other documents	
Up to 25	

Sources of Information: List of persons interviewed				
Categories	**Name**	**E-mail**	**Position**	**Institution**
Select				
Up to 45				

Annex A3. *Quality Checklist by ROM expert*

Projects and programmes title					
CRIS reference					
ROM Report reference					
ROM expert name					
Nr of days ROM Review	Desk:	Travel:	Field:	Reporting:	TOT:

		Comments by ROM expert
1. I received complete project and contextual documentation to carry out ROM service 3 weeks before the starting date.	*Yes/no*	
2. I am satisfied with the level of documentation received.	*Yes/no*	
3. Meetings were set with the main country partner and the implementing partners one week before the ROM field phase starts (in case of a ROM review).	*Yes/no*	
4. Briefing with EUD/HQ took place at the very first day of the ROM field phase.	*Yes/no*	*Including date of the briefing*
5. Briefing took place with other stakeholders.	*Yes/no*	*Including date of the briefing*
6. I was sufficiently briefed on the P/P to implement the ROM mission	*Yes/no*	
7. I had easily access to all relevant stakeholders during the field phase (in case of a ROM review).	*Yes/no*	
8. I had sufficient time to meet stakeholders including final beneficiaries (in case of a ROM review).	*Yes/no*	
9. Debriefing with EUD/HQ took place at the very last day of the ROM field phase.	*Yes/no*	*Including date of the debriefing*
10. Debriefing took place with other stakeholders (in case of a ROM review).	*Yes/no*	*Including date of the debriefing*
11. Any other issues to be reported.	*n.a.*	
Overall assessment	**Overall score**[1]	

Scoring for the overall assessment: (5: excellent; 4: very good; 3: good; 2: insufficient; 1: poor)

Annex A4. *QC report by ROM QC expert*

Projects and programme title	CAPITAL LETTERS (no bold) Font Calibri 8
CRIS reference	
Reason for ROM	
ROM report reference	*This should include the CRIS Reference and the date of upload of Final ROM report and MQ*
ROM expert name	SURNAME Name
QC Expert name	SURNAME Name
Date of the QC	00/00/2016 *(Copy Annex 10 date if not available use date of first draft sent by ROM expert to QC expert*
	Scoring (5 = excellent, 4 = very good, 3 = good, 2 = weak, 1 = very weak)

1. Reason for and focus of the ROM review process

Colour of KPI 5 (Implementation in progress): Green, Yellow or Red	*G/Y/R*	This can be seen in the ROM module, Production, Project information tab: Additional information from EAMR
Are there any remarks under KPI 5?	*Y/N*	Copy paste the remarks from the ROM module, Project information tab: Additional information from EAMR
Colour of KPI 6 (Achieving objectives): Green, Yellow or Red	*G/Y/R*	This can be seen in the ROM module, Production, Project information tab: Additional information from EAMR
Are there any remarks under KPI 6?	*Y/N*	Copy paste the remarks from the ROM module, Project information tab: Additional information from EAMR
Is the reason for ROM coherent with the KPIs	*Y/N*	Unless both KPI 5 and 6 are green then the coherent reason for ROM is *"Problematic"*
Has the OM provided any further explanation about the reason for ROM in the ROM Module?	*Y/N*	Please check the Comment on specific case from OM/ROM FP in the ROM information tab of the Production section. Copy paste the comments (if any) If the reason is *"Problematic"* this could include some further explanation on the reasons why. If the reason is "Innovative", the ROM Handbook specifies that the OM should identify which are the innovative aspects of the p/p. If the reason given is *"Not visited"* or *"Lack of expertise"* it could be expected that the OM explains why. DEVCO 05 is going to inform the OM's that they need to provide more detailed information on the reason for ROM, especially if there is inconsistency with the two KPI's.

2. Remarks by EC services

Were there any specific remarks sent to the ROM Contractor regarding the ROM expert and/or the ROM review?	*Yes / No*	*Comments by ROM QC expert*

3. Remarks by the ROM expert

Overall score in the Quality checklist of ROM expert (copied from Annex A9 – Quality checklist))	*Score*	*Main comments of the ROM expert in the quality checklist*

4. Delivery of answers to monitoring questions and of ROM Reports

Timely delivery of ROM Report and answers to monitoring questions	*Yes/no*	*Comments by ROM QC expert*

5. Comments by ROM QC expert

1. Overall consistency and clarity of the report Are all sections of the ROM report and monitoring questions addressed? If sections are judged not applicable, is a brief explanation provided? Is the language used clear, unambiguous, without unexplained terminology, abbreviations and spelling errors? Are sections of the ROM report linked with those in monitoring questions? Is information provided in the right place?	*Score*	Note that there are some changes here from the previous version of the QC template

2. Reliable data available Are any key documents missing from the list of documents consulted? Are any key stakeholders missing from the sources and contact list?	*Score*	Note the difference between this and the previous version of the QC template – the important aspect here is not whether reliable data is used – but whether it is available.
3. Sound data analysis Is the report sufficiently analytical or mainly descriptive? When only weak data is available or key data is missing, has the ROM expert explained the reasons for this and the limitations of the data used? Is the analysis of quantitative and qualitative data appropriately and systematically done so that ROM monitoring questions are informed in a valid way, and does it include quantitative and qualitative evidence? Are cause and effect relationships between planned and actual results fully explained (gap analysis)? Are the risks and assumptions included in the Log-Frame reviewed in the ROM report? Does the triangulation of data collected provide reliable analysis?	*Score*	
4. Credible findings and conclusions Are ROM expert findings based on evidence? (tangible, clear, poor, anecdotal evidence) see Karen on overlap above Do findings follow logically from and are justified by the data analysis? Are the significant findings included in the conclusions (i.e. those findings that have impact on the project's performance and achievement of results?	*Score*	
5. Consistency between sections Are grades consistent with the analysis? Are Relevance comments in line with project/programme context, purpose and objectives? Do efficiency comments address the rate of project/programme targets achievement against the rate of planned resources (cost, time, human power) used? Do the effectiveness comments address the extent to which the objectives (expected results) have been achieved or are expected to be achieved? Do Sustainability comments address beneficiaries' capabilities to maintain and enhance P/P results and added value?	*Score*	The question addresses both the Consistency between sections in the ROM report and the MQ
6. Useful recommendations Are the recommendations linked to the conclusions? Are the recommendations specific, justified and operational (implementable)? Are recommendations clearly addressed to the respective stakeholders responsible for their follow up?	*Score*	

Quality Control Report by QC Expert – 2nd or more checks

In case, the QC by the ROM Contractor and related interaction between the QC expert and the ROM expert has been done in several steps, the QC expert updates each time the QC report.

Quality Control Report by QC Expert – after OM comments

Were there many issues underlined by the OM? Please provide a short summary, if relevant.	*Yes / No*	*Comments by ROM QC expert*
Have they been properly considered by ROM experts?	*Yes / No*	*Comments by ROM QC expert*

Annexes for end-of-project results reporting

Annex B1. Results reporting workplan

		CRIS references		Project Information		Management			Sector	
ROM lot	Type of ROM	Project/Programme Reference	Related Project/Programme Reference(s)	Project or programme title	Domain (instrument)	Entity in charge	EUD/Unit in charge	OM in charge	Main DAC sector code	Sector

Project/Programme dates (if ROM at DEC level)			Project/Programme dates (if ROM at CTR level)				Budget		Implementing partner (if ROM at CTR level)		Geographical focus			
FA date	FDC ILC	LMO/EOI	Contr	Start date of activities	End date of activities	Final Date for Implementation (FDI)	Total Budget	EU Contribution	Main contracting party	Type of IP	Zone benefitting from the action	Type of P/P	Geographic Implementation	Components to be visited

Field phase		Reporting phase										
Field phase start date	Field phase end date	Planned date for draft report	Planned date for final report	Deadline for EC comments	Names of ROM experts	Type of ROM expert	OM comments on potential conflict of interest	ROM expert - CV approved (NKE)	Comments on approval of ROM expert	Name of QC expert	Type of QC expert	code of QC ex

Specific cases		Approval				
Specific cases	Comments from OM	To be approved	Comments from ROM coordinator / EC HQ services	ROM review / Result reporting mission approved	Priority	Numbering

	CRIS data Automatic data from CRIS
OMs / ROM Focal points	Additonal Project/Programme information To be completed by OMs / Focal points
ROM contractors	Planning missions and ROM reviews (dates and experts) To be completed by ROM contractors
ROM coordinators	Approval of CVs, experts, specific cases To be completed by ROM coordinators
Automatic	Type expert, ROM review confirmed, priority Automatic calculation based on other columns

Definitions and abbreviations in Annex B1

CRIS number	
Decision number	5 or 6 digit key sequence number attributed to each decisions encoded in CRIS
Contract number	6 digit key sequence number attributed to each contract encoded in CRIS
Entities in charge	
Delegation in charge	Name of the EUD in charge (HQ if the decision or contract is managed by Headquarter)
Person in charge	Operational manager in charge of the decision or contract
Entity in charge	Directorate in charge of the Decision or Contract.
Financing and implementation modalities	
Domain	Geographical or thematic programme.
Implementing partner type	Type of implementing partner
Contractor (Name)	Name of the contracting entity
Budget data	
Threshold	The extraction from CRIS indicates the budget is above EUR 750 000 or not
Total Cost	Overall costs including those parts of the costs covered by other contributions (amount of EU contribution + amount of other contributions)
EU Contribution	Amount that is financed by the EU for the implementation of activities foreseen under the project or programme (in CRIS, either (financing) Decisions or Contract).
EU Paid Amount	EU Amount Paid on the Decision or Contract
Decision key date	
Signature date	Date of signature of the Financing Agreement by the beneficiary country. It only exists for Financial Agreements.
FDC ILC	Final date for contracting individual legal commitment
LMO/EOI	End date of the operational implementation phase of principal activities (which does not include final audits and evaluations, technical and financial closure of contracts...).
FDI FA	For Decisions finances on the EU Budget (i.e. not financed on the EDF), with a Financing Agreement, it is a date on which all the contracts (evaluations, audits, etc.) must have been be carried out from the operational point of view as well as from the financial point of view.
Contract key date	
Contractor signature date	Date of the signature by the contractor.
Start Date of activities	Start date of activities at contract level
End Date of activities	End date of activities at contract level
FDI	Final date of implementation of the contract. By this date, all activities foreseen in the Contract must be implemented.
Location data	
Benefitting zone	Region or country benefitting from the activities covered by the project or programme
Action location	Target group and/or location of the action (country, region, town, etc.)
Nature of the project or programme	
Title	Title of the Decision or Contract.
DAC	5-digit purpose codes representing the sector of the Decision or Contract
Other	

Annex B2. Results reporting template (including quality control)

Results which are to be recorded in the reporting template with data are available from reporting by implementing partners in final reports or, (where available) from other sources:

-Those indicators for which results are available and which are aligned to the EU Results Framework indicators must be recorded in the results reporting template (results reporting tab).

-Indicators for which results are available and which are not aligned to the EU Results Framework indicators should also be recorded where they are judged to be key project results. Key project results are those results that best reflect the objectives of the project or programme. There is no predetermined limit on how many key project results the OM can record.

Project/Programme identification						**Project/programme indicators**	
Add an indicator							
EUD/HQ Operational Unit in charge	Decision number	Contract number	Project/programme title	Is the project/programme General or Sector Budget Support?	Unique indicator ID	Project/programme results indicator name	Project/programme result indicator ID

Baselines					**Targets**				
		Sex disaggregation					Sex disaggregation		
Baseline	Baseline reference year	Baseline for women / girls	Baseline for men / boys	Comments	Target	Target reference year	Target for women / girls	Target for men / boys	Comments

Final value					**Data Sources**		
		Sex disaggregation					
Latest value	Latest value reference year	Latest value for women / girls	Latest value for men / boys	Comments	Report/data source from which results were obtained.	Have the results been independently verified?	Please provide any other information on possible bias

EU Results Framework (EU RF)							
					Sex disaggregation		
EU RF indicator	EU RF indicator ID	Value for EU RF indicator	Explanation on any calculation to derive a value for EU RF indicator	Please confirm ("check") that the corresponding EU RF methodological	Value for women / girls	Value for men / boys	Comments

Project/programme target achievement				***Quality control (QC)***			
				1. QC stage		*2. QC stage*	
Type of indicator	Progress %	Target met	Comments	*ROM Contractor QC questions*	*Responses by ROM expert*	*ROM Coordination Unit quality check*	*Responses by ROM Contractor*

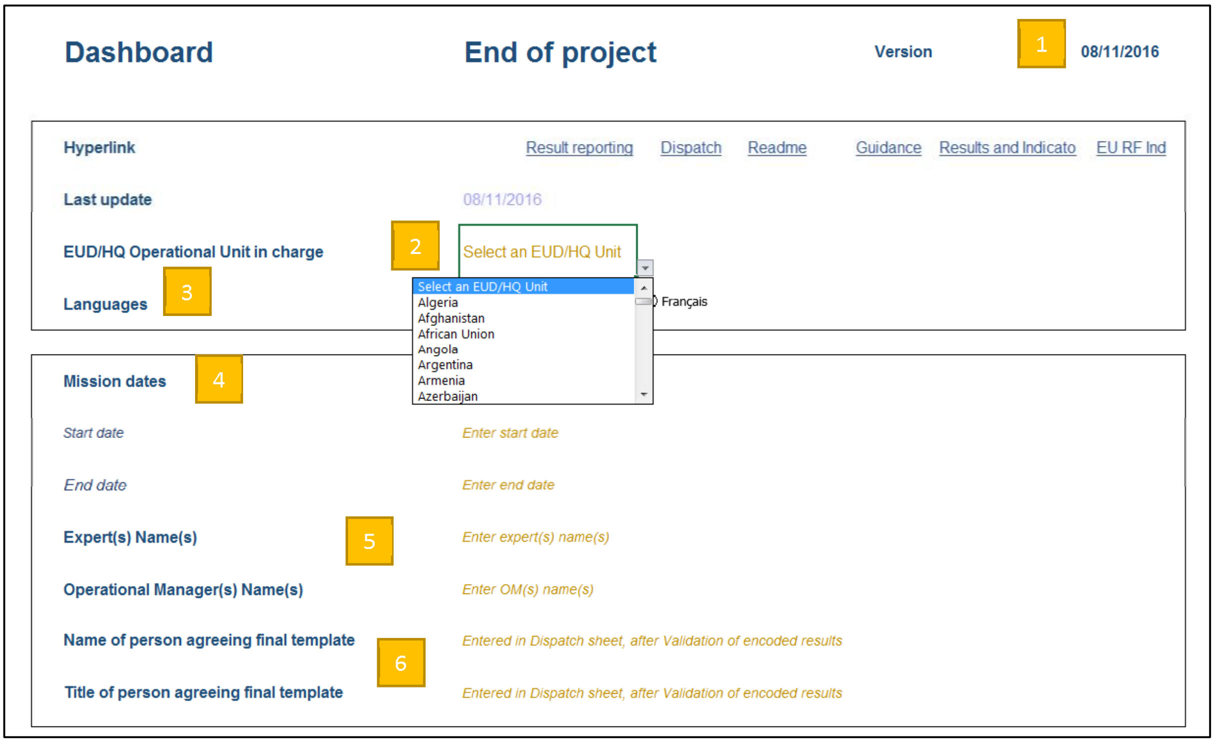
This template is where results information from projects and programmes should be recorded by the ROM expert in collaboration with the Operational Manager (OM). It is composed of three main sheets:

I. **Dashboard sheet**: basic information on the mission
II. **Results Reporting sheet**: main sheet, where the information on the indicators, quality comments and responses are encoded,
III. **Dispatch sheet:** overview of the results, selection of Main Results and approval of the results

Dashboard sheet

This sheet presents the basic information on the Results Reporting mission.

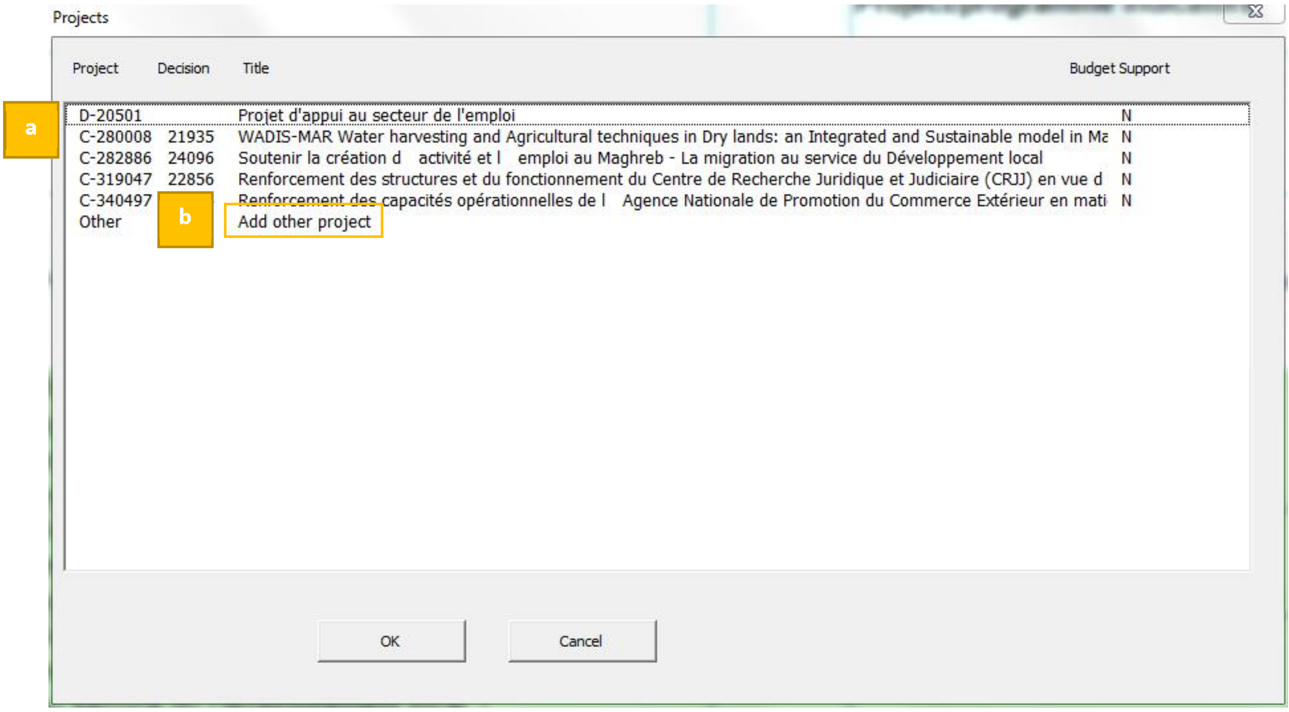
1) ***Ensure you are using the latest updated version of the RRT***
2) Select the *"**EUD/HQ Operational Unit**"* from the list:
   - You have to select the EUD/HQ Operational Unit before encoding any other information in the results' reporting tab.
   - Once the EUD/HQ operational Unit is selected, it is not possible to change it unless the Results reporting sheet is empty.
3) Select the **language** English/French. You can change it at any moment.
4) Insert ***"Mission dates"*** (start date/end date).
5) Insert *"**name(s) of expert(s)**"* and *"**operational manager(s)**".*
6) ***"Name of person agreeing final template"*** and *"**Title of person agreeing final template**"* will be encoded in the Dispatch sheet in a later moment (see below Dispatch of final results reporting template).



Results reporting sheet

This is the main sheet to report and quality control all your work on results reporting. Each row corresponds to an indicator.

1) To start encoding, click on ***"add an indicator"***. A list opens with all Programme/Project (P/P) under the responsibility of the EUD/HQ unit selected in the Dashboard. This list includes all projects of the Results reporting workplan.
   a. Select the P/P for which you want to record results.
   b. You can add a project manually which is not in the list by clicking on ***"add other project"*** (exceptional case)



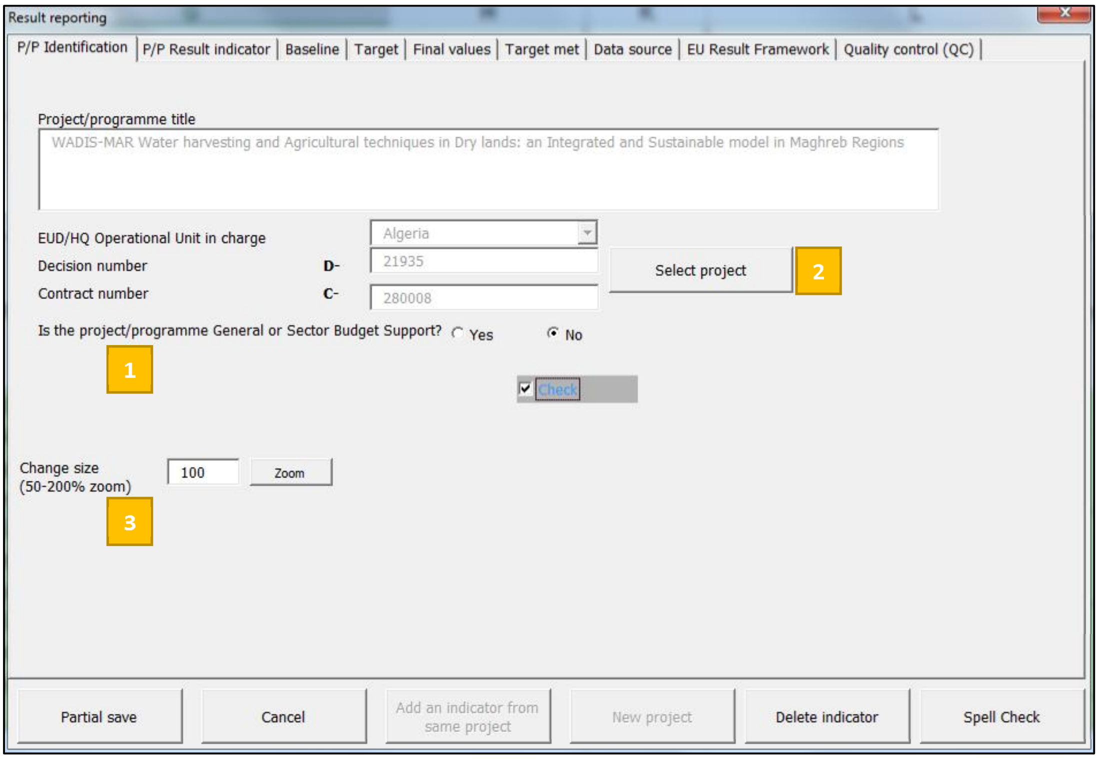
2) A pop-up with **9 different tabs** will open. All the information on the indicators will be encoded here.
   a. In each tab, you have to confirm the information encoded ticking the ***"Check"*** box at the bottom. If you tick a check box, and there is missing or incorrect information, then you will see an error message, and you will be asked to correct accordingly.
   b. At the bottom of the pop-up you have several options:
      i. ***"Save"*** or ***"Partial save"***:
         ➢ If you haven't encoded all information and/or you haven't confirmed all tabs, you can still click on ***"Partial save"*** and complete the encoding in a later moment. In this case, the indicator row will be displayed in green. You can simply double-click on the indicator row to re-open the pop-up.
         ➢ If you have encoded and confirmed all information, you can click on **"Save"**.
      ii. "***Cancel*"**: the pop-up will close without saving any change.
      iii. "***Add an indicator from the same project***": for P/Ps that have been added manually, it is possible to encode any new or additional indicator without typing the P/P information: when clicking on this button, a new pop-up box appears and all data on the P/P identification are automatically filled.
      iv. ***"New project"***: the pre-populated list of P/P will open and it will be possible to select the P/P for which you want to encode a new indicator.
      v. ***"Delete"***: to delete an indicator.

vi. ***"Spell check"***: to review the text in the pop-up.

Tab Project/Programme identification

The P/P identification tab fills in automatically: Project/programme title, EUD/HQ unit in charge, Decision number, Contract number.

1) Confirm if the ***"the project/programme is a General or Sector Budget Support or not"*** This information is also pre-filled information but can be changed by the user if incorrect.
2) In case you did not select the right project: ***"Select project"*** and go back to the projects list
3) You can ***"change size"*** of the Tab by selecting the zoom.



Tab Project/Programme results indicator

In this tab you will have to encode the information about the indicator.

- **Name.** Please give the full title of the indicator, including spelling out any acronyms. Where possible, the indicator should be taken from formal documents such as the TAPS, logframe or the end of project report. If a result and/or its associated indicator is vague in what is being measured, then the OM and ROM expert can clarify its wording for the results reporting template, to make it more precise to reflect what was achieved. The wording of an indicator should be in the recommended indicator format and does not have to replicate what is stated in project documentation. The indicator name should include the unit of measurement (for example million Euro, hectares) and state if the values shown are percentages.

2) **Project/programme results indicator ID.** If the indicator is taken from a formal document such as a logframe, then it may be that these indicators are numbered. In such cases, please give here number assigned to the indicator to better identify the indicator in the data sources. This field is not mandatory.

- ***Unique ID***: each indicator is also ***automatically*** attributed a number that is not modifiable. This number is used as a reference during quality control and any further communication. It is not visible in the pop-up but displayed in column K of the spreadsheet. If an indicator is deleted, the number will not be reassigned; therefore the numbering may not be consecutive.

3) **Is this a quantitative indicator?** Indicate whether the indicator is quantitative (“***Yes”***) or qualitative (***“No”***). A quantitative indicator is defined as “*an indicator where change can be expressed using numerical values*”. If you select quantitative, you can only insert *numerical* values in baseline, target, and final values. For qualitative indicators, please provide textual descriptions for baselines, target and final values and use the comment box for any clarification, which might be useful when drafting country/regional/thematic pages on selected results by EUDs and or HQ Units. Please note 1) text regarding qualitative indicators must remain succinct but informative, 2) binary indicators are not relevant for this exercise, they have to be treated as qualitative indicators (Please refer to the guidance for further explanations).

Tab Baselines

In this tab you will encode the information about the baselines.

1) **Baseline value.** The value before the start of the intervention (component of a project or overall project); or as close as possible to the start of the intervention. If, for example, a baseline study was commissioned once the project started, then this should be recorded here. For certain indicators without baseline information, the baseline can reasonably be assumed as zero and in those cases please report "0" even if it was not stated in project documentation. For most indicators, the assumption is that there were zero results before the start of the project. For instance, indicators like number of people trained, number of people with a new water facility built by the project, number of schools built, etc. obviously should have a zero baseline since there was nothing before the project. For qualitative indicators, you may have as an indicator "Status of guidelines to update the 30 management plans for Globally Significant Protected Areas” and a baseline encoded as “no existing guidelines”. For indicators which refer to existing conditions like number of cases judged by the human rights tribunal, % of children vaccinated, etc. for budget support and also for sector support through project modality, the baseline is likely to be non-zero. For example, the percentage of over 60 year olds who receive social benefits at the start of the intervention will be recorded here (so that this can then be taken into consideration when calculating the final value). In very rare cases, if you cannot assume that baseline is zero or if there is no reference to the baseline in the project documentation, you should type N/A, but more relevant, not report the indicator. If your value is defined in the indicator name as a %, note this in the comment box (only type the number in the value field, and not a decimal), e.g. 35%.
2) **Reference year.** Year the baseline value refers to.
3) **Sex disaggregation Value women / girls, Value for men / boys.** If a baseline has been sex disaggregated, please record separate baselines for females and males. To ensure that the value for females and value for males properly add up, there is an automatic check in the template, you will then be able to correct the values, if needed.
   - If sex disaggregation is not available, please state "N/A".
   - If sex disaggregation is not relevant (ex. number of schools built), please state "N/A".

4) **Comments.** If the ROM expert/OM wishes to make any comments on the information on baselines (for example how they were set, why sex-disaggregated data is not available and any other disaggregation of total values), you can record the information here. Always explain the baseline: why there is no baseline, why it is ‘0’, who and how supports/supported the baseline, if it is not zero.

Tab Targets

In this tab you will encode the information about the targets.

1) **Target.** Encode the values for what results should be achieved by the end of the project/programme. If there is no such value, please state "N/A" (meaning not available). If your value is expressed in %, note this in the comment box (only type the number in the value field and not a decimal), e.g. 85%.
2) **Target reference year**. If target values exist, please record here the year by when they were supposed to be achieved. If there is no such year, please state "N/A".
5) **Target for women / girls, Target for men / boys.** If the target has been sex disaggregated, please record separate targets for females and males. To ensure that the value for females and value for males properly add up, there is an automatic check in the template, you will then be able to correct the values, if needed.
   - If sex disaggregation is not available, please state "N/A".
   - If sex disaggregation is not relevant (ex. number of schools built), please state "N/A".
3) **Comment**. If the ROM expert/OM wishes to make any comments on the information on targets (for example when the targets were set, why sex-disaggregated data is not available and any other disaggregation of total values) that information can be recorded here. Always, explain the target: why there is no target (is this an unplanned result?); whether it includes the baseline, if there is a non-zero baseline value.

Tab Final values

In this tab you will encode the information about the final values.

1) **Final value.** Encode the value recorded at the end of the project/programme. For example: Number of school personnel trained = 200. It is possible that the final value may not be available by the time of the ROM mission, but interim results information may be available. If the final value in the reference documents is “at least 200” or “over 200” then record 200. Please record the latest results data available. If your value is expressed in %, note this in the comment box (only type the number in the value field and not a decimal), e.g. 75%. Please, always explain whether the final value includes the baseline in the comments’ box, and, if it includes, the, how the project supported the baseline.
2) **Reference year**. Year for when final/latest value was achieved.
3) **Value for women / girls, Value for men / boys.** If the final value has been sex disaggregated, please record separate final values for females and males.
   - If sex disaggregation is not available, please state "N/A".
   - If sex disaggregation is not relevant (ex. number of schools built), please state "N/A".
4) **Comment.** This box should be used for the ROM expert/ OM to state:
   - Whether this is a maximum value indicator rather than a cumulative indicator. Please take in consideration the guidance for further details.
   - Whether this is not final but the latest data.
   - Why sex-disaggregated data is not available.

- Where easily available, any other meaningful disaggregation of total values.
- Whether there is a risk of double counting with other indicator for the same programme, or across two or more project or programmes. This is particularly important to record for indicators matched with EURF. Use the words "RISK OF DOUBLE COUNTING"
- If the project/programme is a multi-country one, then the list of countries covered must be listed here.
- Details of the results and project or programmes: intervention area, beneficiaries, type of training, any relevant context issue or element? that further explains how the result was achieved. This information is needed if the result is a selected country/regional/thematic results, and will later be published.

Tab Target met

In this tab is displayed the information encoded for baseline, target, final value and the progress of the final value over the target (only for quantitative indicators if the target is available). Here, you can confirm if the target has been met (only if the target is available).

1) **Target met?**
   - If the target value is **available** and has been inserted, the user is asked here to answer whether the target has been met or not met.
     i. If the indicator is **quantitative**, there is an automatic calculation to show the progress based on baseline value, target value and final value, based on the formula $\frac{final\ value - baseline}{target - baseline}$ %. This is an orientation to inform the assessment. The **assessment Yes/No can differ from the calculation**, i.e. calculated progress can be 80% but you state that the target has been met. It is a qualitative assessment which takes into account the individual P/P situation.
     ii. If the indicator is **qualitative**, there is no calculated progress to inform this assessment and only the question target met/not met is to be answered.
     iii. Always insert an explanation why you think the target has been met or has not been met.
   - If the target is **not available** (N/A), the question target met/not met is **not relevant** and does not appear.

Tab Data sources

In this tab you will encode the information about the data sources.

1) **1) If data source is a final report or evaluation report, give the exact name of the data file as it appears in the dropbox (in [brackets] after the full title of the document), the full title of the report, page number as it appears in the ribbon on the top of the window, and website if available.**

2) If your data source is a statistics from the partner country, please provide at least website and the link to the page with the data source file. Insert the exact name of the data file, full title and page number of the report from where the results information was obtained. Data file names (e.g. Final Report_2016.pdf) are vital to access data sources at later stages of quality control.

- If the report also refers to the data source (for example management information for a particular sector, a national survey or Census), please provide that as well.

   - If the results data was obtained from a data source that is not specific to the project/programme, (again, such as a national survey or census) please give at least website and the full name of data source, including its reference year.
2) **Have the results been independently verified?** Results data may be obtained from reports from project/programme implementing partners. If these results have been independently verified by someone or somebody outside the operations of the implementing partner (for example by field visits, by comparing the results data with other data sources to assess whether they are credible, or by evaluations), please state "YES" here. If the OM is not sure, then please state “Don’t Know”. Otherwise, state “NO”. Other information on the sources and/or means of verification should also be provided here. For Budget Support operations, please, be sure to check whether there have been reviews by the EU Delegation (annual reviews in the countries, where there are BS operations, independent reviews by hired consultants, and reviews by the HQs). Please, also check periodic reviews, such as PEFA assessments, Country Procurement Assessment Reports by the World Bank, any possible reviews by EU-OECD SIGMA, monitoring reports by DG Trade under the EU GSP and GSP+ scheme for the befitting countries.
3) **Please provide any other information on possible bias.** Please give any other relevant information on bias, for example: if the results information does not appear to be in line with other data sources; if the results data potentially over or under-records for certain sub-groups e.g. parts of the country, certain age groups; how soon after the results have been achieved have they been recorded.

Tab EU Results Framework

In this tab you will encode the information about the potential matching with the EU RF indicators.

1) **EU RF indicator.** If the project indicator is linked to a EU RF indicator, please select the name of EU RF indicator from the list (the EURF ID number will be automatically displayed). Please note that it is NOT necessary for all indicators to be linked to a EU RF indicator – Indicators with weak EURF links should not be matched. Taking in consideration that all indicators with EURF links will be published, they need to be strongly defensible.. This implies that this section will only be relevant and thus completed for some project/programme indicators.
2) **Value for EU RF indicator.** Encode the value of the P/P indicator to the EU RF indicator.
   - In those cases where the project specific indicator and the EU RF indicator are the same.
   - In some cases the value to be reported as “Value for EU RF indicator” in the template may be different from the final value recorded by the indicator of the project/programme. In this case, the template will automatically confirmation that the two values are different.
3) **Explanation on the calculation of value for EU RF indicator.** Any calculation to derive a value for the EU RF indicator should be recorded here, for example to convert percentages in programme/project results to absolute numbers for the EU RF indicator, naming sources (such as the latest census) used for this purpose, or the values used to estimate household sizes for certain indicators such as thos related to cash transfer.
5) **Value for women / girls, value for men / boys.** If the value has been sex disaggregated, please record separate values for females and males. In the rare cases where sex disaggregation is available for the EURF value and not for the final value, the template will ask confirmation of this occurrence.
   - If sex disaggregation is not available, please state "N/A".

- If sex disaggregation is not relevant (ex. number of schools built), please state "N/A".

4) **Please confirm ("check") that the corresponding EU RF methodology has been studied by both the OM and ROM Expert.** Check the box to confirm here that the methodology for the EU RF indicator, as set out in the methodology note, has been followed when calculating the values.
5) **Comments**. If the ROM expert/OM wishes to make any comments on the information on the value (for example, why sex-disaggregated data is not available and any other disaggregation of total values) that information can be recorded here. It is particularly important that indicators which are linked to the EURF are defensible, can be verified, and take into account double counting.
6) Include a reference here to EURF indicators 23, 29 and 32 copied from the other document.

Tab Quality Control (QC)

This tab is to be used for QC1 (quality check by Contractor) and QC2 (quality check by ROM Coordination Unit).

1) **ROM Contractor QC questions.** Once the results reporting template has been completed, the ROM contractor statistics and performance measurement expert will carry out a first set of quality control checks, based on the checklist the ROM Handbook. If he/she has any questions these will be listed here.
2) **Responses by ROM expert.** The ROM expert will respond to each question raised by the ROM contractor here. The ROM expert will consult with the relevant OM before responding.
3) **ROM Coordination Unit quality check.** After the initial quality control by the ROM contractor and the answers provided by ROM Expert, the ROM Coordination Unit will carry out a second set of checks, based on the checklist in the ROM Handbook. Any questions will be listed here.
4) **Responses by ROM contractor.** The ROM contractor will collate responses from the ROM expert for each question raised by the ROM Coordination Unit here. The ROM expert will consult with the relevant OM before responding. Further rounds of comments by the ROM Coordination Unit may occur and should be recorded in CAPITALS in the QC2 comments column. ROM contractors and experts may also use: QC1-1 for the first round and then QC1-2 for follow-up, and so on. At QC2 level, it is QC2-1 and then QC2-2 for any follow up questions.

Dispatch of final results reporting template

Once all indicators have been recorded, go to the dispatch sheet to finalise the template. The sheet provides an overview of the results encoded, where the EUD/HQ unit has to choose the selected results and approve the results encoded.

1. **Main results. "Is this a selected country/regional/thematic result for publication?"** Please state "Yes" if the Head of Delegation/Head of Cooperation/Head of Unit has identified this result as a key result reflecting the main achievements of projects/programmes managed by the EUD/HQ Unit. Otherwise please state "NO". The ROM expert should ensure that the choice of a maximum of 10 the country/ regional/ thematic results is made before the end of the filed mission, through a meeting with the Head of Cooperation/operational Unit or by other means of consultation. If a EUD/thematic unit wishes to combine the results of 2 indicators and present them as one, please note accordingly in the comment box.

2. **Agreement of final result recorded**. Once all the questions raised in the quality control phase have been addressed by the ROM expert in consultation with the OM, the ROM Coordination Unit sends the RRT to the Head of Cooperation of the EUD/HQ Unit for validation, with the ROM Focal Point, the ROM Coordinator, and the ROM contractor in copy. At this point, the final results reporting template, including the choice of selected country/ regional/ thematic results, will be verified by the Head of Cooperation or Head of operational Unit or his/her representative. This is done by taking the following steps in the Dispatch screen of the template.
    a. The Head of Cooperation/operational Unit confirms his/her agreement to all the results recorded. You can agree to all results in one step by pressing the "Yes to all" button at the top of column M.
    b. The Head of Cooperation/operational Unit confirms his/her validation of the RRT and selection of main results by pressing the ***"Validation of encoded results"*** button at top of columns O-P. At this point he/she will asked to enter name and title.
3. **Dispatch of the final template**. Once done, the template should be sent to the functional mailbox DEVCO EU Results, copying the ROM coordinator. The completed results reporting templates should be clearly marked as the final results reporting template in the email subject line. If no reply is received from the Head of Cooperation or Head of Operational Unit within 5 working days, then it is assumed that the RRT is final. The final completed results reporting template should be received no later than four weeks after completion of the mission.

Annex B3. Narrative report related to results reporting

Note: The results reporting template (annex B2) records only those indicators for which results reporting data is available, whereas the narrative report (annex B3) provides space to more general comments on the quality of the logframe, its indicators and results reporting by partners. These comments should be intended to offer guidance to DEVCO services in improving the quality of its monitoring and reporting systems. The narrative report can be an update of the previous exercises, signalling the changes since the first exercise, both positive and negative

1. A general **quality assessment of the results data reported in the consolidated results reporting template.** For this purpose consider amongst others:
   - whether there is there any cause to suspect bias (linked to, for example, the sampling methodology, processing errors, or incentives to over or under-report)
   - whether results data are in line with other available reporting sources
2. **Quality of logframes.** For this purpose consider amongst others:
   - strength of the results chain
   - measurability of indicators (e.g. are definitions clear?)
   - robustness of data sources (e.g. already established data sources)
   - availability of baselines and targets.
3. **Completeness of results reporting** from implementing partners. For this purpose consider whether, amongst others, they:
   - report against logframe indicators (e.g. to what extend are reporting data missing)
   - provide sufficient information on data sources (e.g. frequency of reporting)
   - give reasons for over/under-achievement.
4. **EUD/ HQ Unit capacity** to complete results reporting template without expert support. For this purpose include issues such as:
   - ease of completion of the results reporting templates, including calculation of values for the EU results framework indicators, in instances where these are broader or narrower in definition as used in the project/ programme reporting
   - understanding of the EU results framework indicators methodology notes to help identify those project/ programme specific indicators which are able to report against EU results framework indicators
   - time requirements to complete reporting.
5. **Any other key issues** encountered during the mission. For this purpose include issues such as feedback on country specific results reporting.

6. **Availability of essential documents**

In order to provide an indication on the documents which were available for the results reporting support, the expert will attach the table below to his report after ticking which documents were available.

Essential project/programme documents	
Action document	
Financing/Contribution/Delegation/Administration Agreement or Contract and annexes, incl. Technical and Administrative Provisions (TAPS) annexed to Financing Agreements	
Riders modifying the Contracts or Financing Agreement	
Logframe (including updates)	
Progress and Final implementation reports	
Previous ROM reports	
Mid-term evaluation	
Final evaluation	
Thematic studies and consultancy reports related to Project if relevant in terms of indicators used	

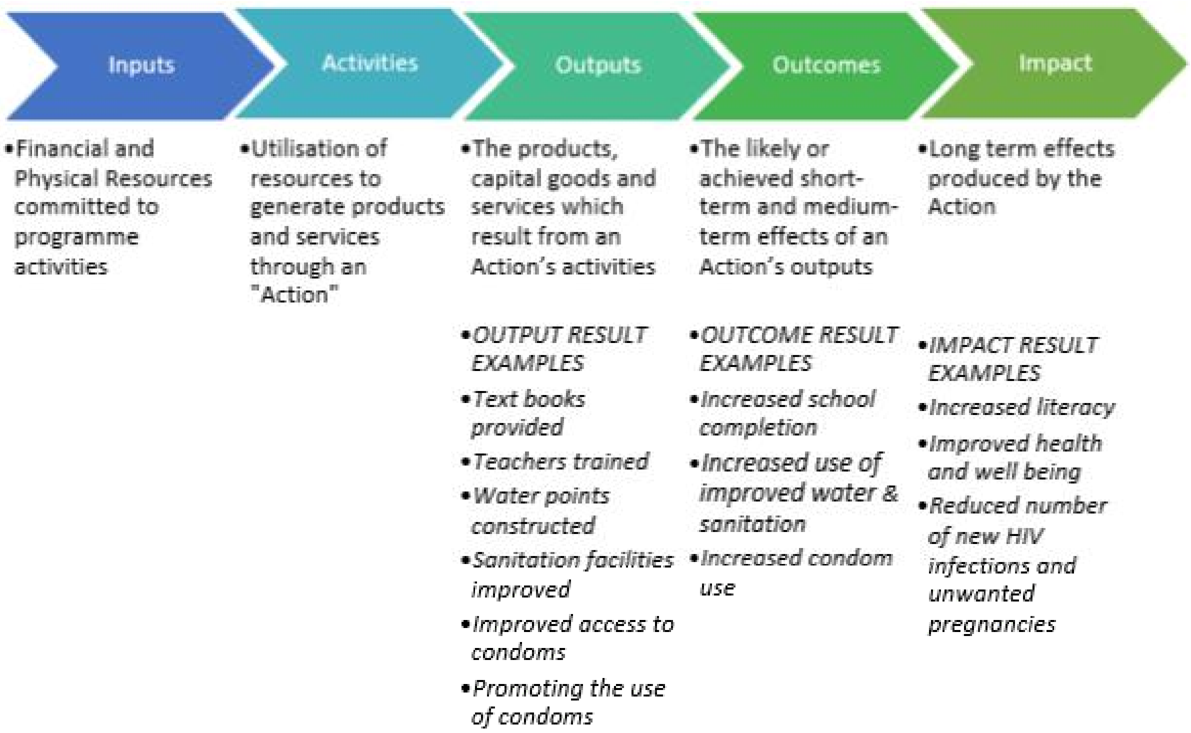
Additional essential documents for Budget Support programmes	
Overall country-level Framework Agreements/MoU for GBS/SBS/SRC	
Performance Assessment Frameworks (where available)	
Multiannual Public Financial Management (PFM)/ policy reports	
Tranche Release Assessments	
PEFA Reviews	

Annex B4. An overview of results and indicators

1. Results Chain

The means by which a project or programme moves from the input of different resources (financial, human and material), through to activities using those resources, and then a demonstration of the achievements, can be viewed as part of a **Results Chain**. **Results are seen at either the output, outcome or impact level.** Examples of such results at these different levels are given hereunder.

1.1. Results Chain



The ROM expert should not report inputs or activities as results. For this exercise, output or outcome results are desired.

1.2. Indicator/Results

An indicator can be defined as a variable that is being used to observe change, and to measure performance and actual **results.** A well-defined **result** or **objective** should be **SMART** i.e. **S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**ime-bound. **Indicators** should be **R**elevant, **A**ccepted, **C**redible, **E**asy and **R**obust, where

- Relevant = closely linked to the objectives to be reached
- Accepted = by staff, stakeholders, and other users
- Credible = accessible to non-experts, unambiguous and easy to interpret
- Easy = feasible to monitor and collect data at reasonable cost
- Robust = not easily manipulated

Results have a time-bound element implying a target. An indicator is only a way to measure change and performance against a desired result and does not itself have a time-bound element. The result is the value of the indicator at a point in the time, thus, may vary over the time, and the target is the value planned for a specific time period.

1.3. Number of results

It is not necessary to record all possible results for an individual project/programme. During the field phase the list of results may be reduced to what the Operational Manager (OM) considers to be key project/programme results, i.e. those results that best reflect the achievements of the project/programme. Key project results are those results that best reflect the objectives of the project or programme. There is no predetermined absolute limit on how many key project results the OM can record, but the experience from the first EPRR was that we should not normally have more than around ten key results per project or programme.

Special highlight on capacity building projects and/or capacity building elements of a project.

Specific aspects of results on capacity building (including institutional development, learning and technology transfer) should be carefully considered. When recording ‘capacity building’ results, there is no need to take every deliverable and service, for example, ‘a study tour to …’, ‘a number of officials participating in … <events>’, ‘an information system on … <institution’s function>’, diverse trainings with diverse sub-groups of beneficiaries. At the same time, it is not recommended to formulate a very broad indicators like ‘the level or status of a capacity built at…<an institution> ’. Those results should be connected to the objectives. If there is an institution building project at a Ministry of Labour and Social Affairs, detect what is the final expected result and the results contributing to its achievement. For example: ‘the number / % of the staff of pension officers are trained on processing and payment’; ‘the status of management and processing information system for pensions and social transfers’; however, not ‘the number of pension officers who participated in a training on best practices in Latvia’ or ‘the number of workstations switched/linked to the new information system’ or ‘the number of copies of leaflets disseminated’.

1.4. Positive results

The purpose of the results reporting exercise is to record "positive results", i.e. results, which at least partly achieved a desired objective. Negative or zero results should not be recorded in the results reporting template.

1.5. Indicator wording

The wording of the indicator does not have to replicate what is stated in project documentation. For example, if an indicator is vague in what is being measured, then the OM and ROM expert can clarify its wording, to make it more precise to reflect what was achieved. **The indicator wording should not include any reference to baseline or target.**

A neutral formulation should be used for the indicator, indicating a clear measurement unit:

For quantitative indicators: "Number of", "Percentage of" or you may use a ratio, a rate, an index, etc.

For qualitative indicators: "Status of", "Existence of", "Level of", etc

The words ‘increased’, ‘decreased’, ‘reduced’ should not be part of the wording of the indicator. The indicator should not describe the preferred direction of progress.

Ill-defined indicators	Well-defined indicators
Increased primary enrolment to 95% by 2020 (ill-defined because the target included)	Net primary enrolment rate per annum
Court system providing effective access to citizens (ill-defined because this is not easily measurable, this is a result)	Percentage of citizens who say that they have access to court systems to resolve disputes
Stages in the passage of a bill through Parliament	Progress of legislation on carbon emissions
Level of satisfaction with justice services	Reported public perception of justice services

1.6. Unit of measurement

Indicators listed in the results reporting template should state what exactly they measure, including the measurement unit. If an indicator merges two measurements together, this indicator should be split into separate indicators in the results reporting template and the data disaggregated accordingly. Where this happens, the ROM expert should explain that they have split the indicator in the comments section.

It is important to proceed as in the two examples below:

1) Number of households with access to public services (water, electricity etc) should be split into 'Number of households with access to the water network', and 'Number of households connected to the electricity grid'.
2) An automated system in revenue department has been introduced and the rate of tax assessments has increased. The two elements should be split and not merged into one phrase.

2. Data sources

2.1. Where to find results

Results and associated indicators can be provided in a variety of formats in project reporting from partners. These may be linked to indicators in the original logframe, or indicators in an updated logframe, or results, which do not have related indicators in the logframe. Other sources may be evaluation reports, Budget Support review reports, and other assessment reports, where you may find a result, and can derive the associated indicator/baseline/target from it.

The OM and ROM expert can also look for results information outside the existing project documentation. Relevant results data may be found in partner country websites for the Ministry of Education or Health, or in reports from co-founders of the projects (e.g. UNDP, World Bank). Such data sources can be used to report results – but only if there is a clear link with the project/programme.

2.2. Data sources

Full source details (including file name, page numbers…) are always to be included in the comments field for the baseline, target and final value, so that the Quality Control can find back the relevant information. Please for more information consider the user's guide, the ROM handbook and the specific instructions provided by Unit 05 regarding data sources management.

2.3. Discrepancy between data sources

In case of discrepancy between figures from different data sources (for example, if the final report says 500 children enrolled and the evaluation report says 400 children), the ROM expert should discuss it with the OM. Each source should be assessed to understand which is more reliable. The general line to take is to be cautious rather than overestimate results. A comment should be made explaining the situation and what decision has been taken.

2.4. Independent verification of sources

For the purpose of the results reporting exercise, independent verification means "verified by somebody other than the implementing partner reporting the data or any entity with a well-known vested interest". An example could include an evaluation or instances where an OM has gone on a field mission to check the results.

2.5. Independent assessment of the ROM expert

The results reported are owned by the EUD/HQ Unit, so they ultimately have the final say over what should be recorded. If the ROM expert has doubts on the solidity of the data relating to Baseline, Target, Final Value and EU Results Framework blocks of the RRT template (for example, if ROM expert believes that the results are over- or underestimated), that should be recorded in the comments section for that block.

3. Quantitative and qualitative indicators

When recording the achievements of a project or programme, the OM and ROM expert can choose qualitative as well as quantitative indicators.

Quantitative indicators	Qualitative indicators
Objective facts that can be easily counted	Subjective
Numerical *Therefore, it can be generally aggregated (subject to consistency of definition)*	Often measures quality, opinions, perceptions, systems development, influencing. *Therefore, it is often more difficult to aggregate*
Measures the scale of an intervention – numbers or % of beneficiaries reached	
Examples	**Examples**
% of population who voted in the national election	Progress of legislation on carbon emissions
Number of people with access to justice services	Reported public perception of justice services
Number of people trained	Status of implementation of new learning & development strategy or action plan

3.1. Qualitative indicators

When using qualitative indicators, please provide brief but informative textual descriptions for baselines, targets and final values and use the comment box for any clarification that might be useful when drafting country/regional/thematic pages on selected results by EUDs/HQ Units of the EU annual global results report (?). Please avoid using 0/1 or Y/N or 'Not done / do not exist' / 'done / Exist' for baseline and target/final values because they are not informative. For example, assuming that the indicator is "existence of a national climate change adaptation strategy". It is preferable to record the baseline (assuming no strategy existed before project) as "no strategy exists / the strategy was in the process of elaboration" rather than 0 or N. The target could be "to have a strategy adopted/enforced by the government/parliament at end of project" rather than 1 or Y. The final value would be "strategy fully developed, approved by pertinent bodies and budgeted" rather than 1 or Y. Also, try to avoid having more than one qualification in the same indicator, baselines, targets or final value. For instance "law is implemented" is preferred to "law is passed and implemented" since one can assume that if implemented, it has also passed. The qualitative description of a result should be clear and include enough information to escape further uncertainty over its status / to provide for disambiguation.

3.2. <u>Quantitative indicators</u>

When using a quantitative indicator, only numerical values can be provided for baselines, targets and final values. The indicator definition will include the unit of measurement and whether or not the value is a number, proportion or percentage.

When a range of results are indicated, i.e. "500-700 teachers were trained", the ROM expert should discuss it with the OM. The general approach to be taken is to be cautious and report the lower figure. If the EUD/HQ Unit wishes to report the higher number, then the range should be mentioned in the comments box, along with any reasons why the higher number was selected.

Some of the results reported are rounded figures, e.g. "500,000 children enrolled in primary education". The aim is to report the most precise value. The ROM expert should discuss with the OM if a less rounded figure is available - otherwise leave the number as it is.

When recording the final values, the ROM expert and OM should make clear whether the results recorded in the final value include the baseline or not.

4. Disaggregation of data

4.1. <u>Sex disaggregation</u>

The data should be disaggregated by sex where it is possible. If during the desk phase no data can be found, the ROM expert can ask the OM to see if they have more information or if they can contact the implementing partner for such information.

For results from general or sector budget support, national statistics that may be available on the sex disaggregation for a particular indicator (e.g. number of boys and girls enrolled in primary school) can be used.

For projects/programmes specifically targeting certain groups of people, project information that shows the male/female split should be recorded, they have to add up to the total. However, where sex disaggregated information is not available from the project monitoring system, the national statistics on sex disaggregation should not be applied to project information.

Wherever the sex split for a result cannot be provided in the Baselines, Targets, Final value and EU Results Framework blocks, then an explanation must be given in the Comments section for that block why that is not possible.

4.2. <u>Other disaggregation</u>

It may be the case that other disaggregation of results data are easily available (for example, from the end of project report, or from the national statistics). This further disaggregation could be, for example, for urban/rural population, or by age. In such cases, this additional disaggregation should be provided in the comments section for the Baselines, Targets, Final value and EU Results Framework. For the EU Results Framework indicators, specific disaggregation are requested in the methodology notes and should be recorded where data availability allows.

5. Baseline

The baseline is the value before the start of the intervention; or as close as possible to the start of the intervention. If, for example, a baseline study was commissioned once the project started or can be found in the the documents related to the project, then this should be recorded.

For certain indicators without baseline information, the baseline can reasonably be assumed as zero and in those cases please report "0" even if it was not stated in project documentation. For most indicators, the assumption is that there were zero results before the start of the project. For instance, indicators like number of people trained, number of people with a new water facility built by the project, number of schools built etc. obviously should have a zero baseline since there was nothing before the project.

For indicators which refer to existing conditions like number of cases judged by the human rights tribunal, % of children vaccinated, etc... for budget support and also for sector support through project modality, the baseline is likely to be non-zero. For example, the percentage of over 60 year olds who receive social benefits at the start of the intervention will be recorded here (so that this can then be taken into consideration when calculating the final value).

In very rare cases, if you cannot assume that baseline is zero or if there is no reference to the baseline in the project documentation, you should type N/A, but more relevant, not report the indicator.

The baselines should be explained irrespective of whether these are ‘0’ baselines, values or N/A baselines.

6. Target

To properly encode the baseline is also important regarding the encoding of the target. ROM expert will carefully take in consideration how targets are formulated. They may be formulated as autonomous achievements or as a contribution to wider targets and objectives. When both setting the baseline and the target, e ROM experts will carefully examine if the targets include the baselines. Any adjustment should be reflected in the comments to the targets in the RRTs.

7. Final Value

7.1. Discrete event or period of time

The OM and the ROM experts should identify whether the indicator relates to support provided as a discrete event or over a period of time. Much of the support provided are “discrete events”, particularly for tangible outputs – for example a bed-nets that has been distributed, or a child that has been immunized. However, other forms of support could be “continuous” i.e. last over a period of time, not always with a fixed end-date - for example: cultivating land with a multi-year crop or installing a drip-irrigation system during one year; number of people receiving social transfers, number of births attended by skilled health personnel, a multi-annual programme of support to

HRDs or training of teachers, etc. . Whether support is discrete or continuous will have implications on what data to report. As an example, please see the results data below relating to a EU-supported programme between 2010 and 2012.

Indicator	*Baseline (2009)*	*2010*	*2011*	*2012*	*2013*
Number of teachers trained	0	5.5 million	6.0 million	6.5 million	6.0 million

If the teacher training period was for say, just one week, then one might reasonably assume that the results from each year reflect the number of teachers trained in that year and that these can be aggregated (we are assuming that teachers trained in one year do not have to be trained again); this would give a total result over the lifetime of the project of 5.5 + 6 +6.5+6 = 24.0 million.

However, if the teacher training period was, say, for 3 years, then there would be substantial double counting of results (so, some of the same teachers trained in 2010 will still be included in the number of teachers trained in 2011). In this instance (continuous support), the maximum value reported over the lifetime of the project should be noted as the final value. That way the risk of counting the same teacher multiple times is minimized; but at the same time the maximum extent of support that the EU has contributed to is reflected. Using the data above, this would give a result over the lifetime of the project of 6.5 million.

7.2. <u>Annual or cumulative</u>

The OM and the ROM experts should identify whether results are presented as annual results, or cumulative results. It should be established whether the results presentation reflects results for each particular time period (usually a year); or whether they reflect the cumulative results achieved over several years. For an example of this, please see the information in the table below, giving results relating to an EU-supported project between 2012 and 2014.

Indicator	*Baseline*	*2012*	*2013*	*2014*
Number of children immunised	0	150	200	250

Based on the limited amount of information in the table above, it could be the case that the results relate to the number of children immunized *each year*. In which case the total number of children immunized are 150+200+250=600.

Or, it could be that the results are presented *cumulatively*, and they already include results from the previous year. So, the 200 children immunised in 2013 would include the 150 children immunised in 2012; and the 250 children immunised in 2014 could include the 200 children immunised up to 2013. In which case the total number of children immunised to be reported as the final value is 250.

It is very important to report, firstly on whether the results are discrete or continuous – over a period and, secondly, whether those are reported annually or cumulatively, to exclude double and multiple counting.

7.3. <u>Contribution to Results</u>

Only the results where it is certain that the EU has contributed to should be counted. For certain results data, it may not be clear where or when the EU first started supporting the delivery. For example, take the following indicator covering an EU project that lasted between 2012 and 2014:

Indicator	*Baseline*	*2012*	*2013*	*2014*
Electricity transmissions lined built	100	150	200	250

or upgraded (km)				

It is not clear if the 100km baseline should be subtracted or not; because whilst they have already existed before the start of the EU-supported project, they may have been upgraded as part of the project. If it is not known whether such an upgrade has taken place on the existing 100km transmission line network, then the more cautious option would be to assume that it has not taken place, and to therefore record 250-100=150km of electricity lines built or upgraded with EU support (assuming that the 250 km from 2014 include the 200 km from 2013, which in turn included the 150 km from 2012).

The final values to be reported are those reached on whether the EU has fully or partially funded it. For example, if the EU has partly funded a project to build 500 classrooms in a country or to provide support to 10,000 people with access to legal aid, the total figures of 500 classrooms and 10,000 people should be reported even if funding from other parties has been used to contribute to the achievement of the results.

7.4. Project duration and latest available value

A project may cover three years of monetary contributions from the EU but the results reported only cover two years. In such cases the ROM expert can make a comment in the reporting template that only two years of results are available: in other words the latest data is available, not the final data.

8. Methodological notes and EURF indicators

8.1. Use of methodological notes

When a match with a EU results framework indicator has been made, both the ROM expert and the OM should agree that they have looked at the relevant methodology note before filling in the template.

8.2. Match with EURF indicators

8.2.1. Same final value for the project indicator and the EURF indicator

When the project specific indicator and the EU RF indicator have the same result, the final value of the project/programme indicator may be reported here. For example, if there is an indicator stating “Number of farmers trained on coffee processing technologies" for which the final values is 80,000, this can be linked to the EU RF indicator “Number of people receiving rural advisory services”. In this case, the 80,000 farmers is the final value for both the project indicator the EU RF indicator.

8.2.2. Different final value for the project indicator and the EURF indicator

In some other cases, the value to be reported for a EU RF indicator may be different from the final value recorded by the indicator of the project/programme. This may be due to different calculation methodologies and/or units of measurement, it can also be because the final value includes the baseline value, which may need to be subtracted to calculate the EU RF value, as in the electricity transmission lines example given under section 7.3. Reporting against the value of the EU RF indicator should be done always in accordance to its methodological note. For example: if there is an indicator stating “school personnel trained” for which the final value is 200, this can be linked to the EU RF indicator “Number of teachers trained”. Nevertheless, out of 200 people trained, only 100 are teachers while the others 100 are school managers. Therefore, the EU RF indicator has a final value of 100, while the project/programme indicator reports a final value of 200.

8.2.3. EURF counting the "Number of countries"

For the following EU RF indicators, several results can be linked to them:

- EU RF No. 32: Number of countries where business environment has improved with EU support
- EU RF No. 29: Number of countries whose capacity to trade across borders with EU support has improved (where the overall concept is to assess the trade logistics capacity of a country)
- EU RF No. 23: Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support

These indicators can be seen as quite broad in nature, but the methodological notes are specific and should be cautiously referred to when ROM experts proceed to a matching. In these cases, the OM and ROM expert should look for results that help improve the overall business environment, a country's overall capacity to trade, or can be regarded as a climate change strategy (as defined by the indicator methodological note). As these results may be derived from a single-country project or a multi-country project, the value will be ≥ 1.The consolidated number of countries improving will be calculated at HQ level. Examples are given below.

Project/programme final value	Matching EU RF indicator	Value for the EU RF indicator
Cost to register a business property in a country X falls by 30%	Number of countries where business environment has improved with EU support	1
A joint border project has reduced the average time to clear customs between countries Y and Z from 20 days to 15 days	Number of countries whose capacity to trade across borders with EU support has improved	2
A regional project in five countries has developed strategies for low carbon emissions in three of them	Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support	3

9. Double counting

9.1. Possible cases of double counting

9.1.1. Same beneficiaries under different indicators

It is acceptable to record the same people under different indicators if the EU is providing *different* interventions (for example a child aged under one receives nutrition programme and is also immunised).

9.1.2. Budget support and project in the same country

In a country, there may be a (general or sector) budget support programme and a project being implemented by an NGO, both reporting results against the same indicator. For example, as part of general budget support there could be an intervention to provide nutrition programmes to children aged under 5; and there could also be an intervention to provide nutrition to children under 5 by an NGO in a specific region of a country.

9.1.3. Multi-country and national projects

In a country, there may be an indicator for which there are results from both a multi-country programme and a national project. For example, there may be electricity transmission lines being constructed in a particular country that are being financed both from a regional programme and a budget support programme at country level.

9.1.4. Finalised project and ongoing project

The risks of double counting should be assessed only among those projects that have closed in a given year, i.e. without considering the ongoing projects.

Please note that the risk of double counting **may exist across more than 2 separate projects or programmes**.

9.2. What to do in case of potential double counting

9.2.1. Non EURF matching indicators

In instances where the OM and/or the ROM expert believe that there is a possibility of double counting of results, then the following action should be taken.

- For the indicator in question, the separate recorded values from each project/programme should still be reported as separate lines in the results reporting template.
- In the comments section for the final value, enter "RISK OF DOUBLE COUNTING" and state for which two (or more) sets of results the risk may exist. An initial assessment of the extent of double counting should be made, and also noted in the comments box. For example, if 80000 farmers have been trained in coffee processing, and 7000 tea farmers have also been trained in tea processing, there may be some tea farmers who are also coffee farmers. In this case, the ROM expert/OM should try to estimate how many of the 7000 are included in the figure of 80000, and explain how they arrived at that estimate.
- For multi-country programmes, the countries covered by each result should also be listed under the Comments section of the Final value. This will then be cross-checked by the ROM Coordination Unit against the reporting templates from these countries to assess the risk of double counting.

When the ROM Coordination Unit carries out its data checks, it will review the initial assessment of double counting, and ask further questions where necessary.

9.2.2. EU RF matching indicators

In the case 1 or more indicators within the same project or even across 2 or more projects are matching with the same EURF, be cautious to only match the one indicator with the value ensuring that there is no obvious double counting. In the comments section for the final value provide the same comments as proposed under 8.2.1 under each indicator explaining your assessment.

Annexes for ROM contractors' consolidated analysis and progress reports

Annex C1. Quarterly QC report

1. Introduction

Subject	ROM Contractor's name and region	
Period of execution	From	To

Short overview of main events during this quarter.

2. Compliance with quality standards for ROM Reviews

2.1 ROM experts: profile

Projects and programmes

Non-Key experts newly approved this quarter	Nb of ROM experts	
(ROM) reviews implemented by Key experts during this quarter	Number	%/total
(ROM) reviews implemented by non-key experts during this quarter	Number	%/total

Comment on major issues which had to be solved during the quarter (such as problems of delays in approval of ROM experts, conflict of interest, profile of ROM experts, etc.).

2.2 ROM experts: allocation of days

ROM reviews for projects and programmes with non-standard number of days	Number	%/total

Comment on major issues (project or programme requiring more days, specific requests from EC services, unexpected events, etc.).

2.3 Workplan

Comment on major issues (delays in the delivery of workplan to the EC services, delays in the approval of workplan, etc.). and on the reasons for revisions (changes in the situation on the ground, delays in the start of a project, difficulties arising from staffing arrangements by stakeholders, from availability of expert, etc.).

2.4 Quality Checklist by ROM experts

Projects and programmes

Score allocated in QC Checklist by ROM experts	Average score	
ROM reviews which received a score of 4 or more by ROM expert	Nb of ROM reviews	%/total
ROM reviews which received a score of 3 or less by ROM expert	Nb of ROM reviews	%/total

Provide the list of ROM reviews (CRIS reference) with a quality checklist score strictly below 4. Comment on very good and very bad scores summarising the reasons outlined by ROM experts.

2.5 QC reports by ROM QC Experts

Projects and programmes

Final score allocations in QC reports this quarter	Average score	
Score allocations in QC reports at 1st QC review[1] this quarter	Average score	
ROM reviews which received a score of 4 or more at 1st QC review this quarter	Nb of ROM reviews	%/total
ROM reviews which received a score of 3 or less at 1st QC review this quarter	Nb of ROM reviews	%/total

[1]: *In the table above, 1st QC means quality control on the first draft report of the ROM expert (the following versions are expected to have been improved after quality control and scoring at a later stage would therefore not indicate the degree of improvement through quality control).*

Provide the lists of ROM reviews (CRIS reference) with a QC score below 4 during the 1st and subsequent QC reviews (separately for each of the subsequent reviews). Comment on very good and very bad scores summarising the reasons outlined by the QC experts.

2.6 ROM reports: timely delivery by ROM Contractor

Delivery of draft ROM report by ROM Contractor to EC services within 2 weeks after the end of the field phase	Nb of ROM services	%/total
Delivery of final ROM report by ROM Contractor to EC services within 6 weeks after the end of the field phase	Nb of ROM services	%/total

Comment on major issues (delays in the delivery of ROM reports by ROM Contractor to EC services). Specify to which type of ROM reviews your comments apply.

3. Compliance with quality standards for Support missions to results reporting

3.1 ROM experts: profile

Non-Key experts newly approved this quarter	Nb of ROM experts	
missions implemented by Key experts during this quarter	Number	%/total
missions implemented by non-key experts during this quarter	Number	%/total

Comment on major issues which had to be solved during the quarter (such as problems of delays in approval of ROM experts, conflict of interest, profile of ROM experts, etc.).

3.2 ROM experts: allocation of days

Support missions to end of project result reporting with non-standards number of days	Number	%/total

Comment on major issues (project or programme requiring more days, specific requests from EC services, unexpected events, etc.).

3.2 Workplan

Timely delivery of workplan to EC services	Yes/no/NA
Timely approval of workplan by EC services	Yes/no/NA
Number of revisions approved by EC services	Nb of revisions

Comment on major issues (delays in the delivery of workplan to the EC services, delays in the approval of workplan, etc.). Comment on the reasons for any revisions that may have been needed (from availability of EUD staff or ROM expert, etc.)

3.3 Results and narrative reports: timely delivery by ROM experts

Delivery of results reports by ROM expert to ROM Contractor at the end of the field phase	Nb of support mission	%/total
Delivery of narrative reports by ROM expert to ROM Contractor within 1 week	Nb of support mission	%/total

Comment on major issues (delays in the delivery of results reports by ROM experts to the ROM Contractor and narrative reports to EC Services).

3.4 Results reports – Timely delivery by ROM contractors

Delivery of results reports by ROM contractor to EC Services within 4 weeks	Nb of support mission	%/total

3.5 Results Reporting templates

Comment on major quality issues as mentioned in quality completed results reporting templates, once fully finalized and signed off by EC Services.

3.6 Narrative reports

Provide a summary of major issues regarding results reporting as elaborated in narrative reports using the same structure as for narrative reports.

1. Conclusions

1. Follow up of improvement in previous quarterly QA report

2. Quality issues observed during the quarter

3. Main areas for improvement

Annex C2. Implementation progress report template

Reports should provide at least the following information:

1. **Overview of the reporting/contract period**

The main milestones, which have characterized the reporting period - for the six-monthly report - or the whole contract period - for the final report - will be recalled in this introductory section.

2. **Organization of the contractor during the reporting/contract period and rate of accomplishment of workplan**

The report presents information about the organization and human resources employed during the reporting/contract period in relation to the accomplishment of the ROM Contractor's tasks. The report will also provide information about the rate of accomplishment of ROM services in relation to each of the annual workplans

3. **Activities carried out during the reporting/contract period**

This section reports on the activities implemented during that period: list of projects ROMed, missions, quality control activities, exchanges with QA Contractor, experts recruited.... For the final report, a summary will be provided of information already presented by the ROM Contractor in the six-monthly reports. The resources employed for ROM services, in terms of human resource and related costs of the reviews, are also detailed. Information is also included about the timelines on which ROM services where organized, approved and implemented, and when the respective reports have been uploaded into EC IT ROM module.

4. **Feedback from OMs in EU Delegations and responses from HQ**

Another section of the report deals with the comments that EUDs or HQ services have given after receiving the reports, with a synthesis of the comments and the main issues encountered.

5. **Consolidated analysis reports and related Workshops**

Concerning the consolidated analysis reports and related seminars/workshops carried out during the contract period, details will be provided about the resources employed and the outputs produced.

6. **Problems encountered and methodological issues**

The ROM Contractor comments on the reasons for any unforeseen changes he had to operate with respect of the workplan (changes in the situation on the ground and delays in the start of a project that impacted on the workplan, difficulties arising from staffing arrangements of stakeholders, problems with the availability of experts...).

For each ROM service, the ROM Contractor comments on the delays in the delivery of ROM review reports, results reports and related narrative reports whether on the side of the ROM experts or on the side of the ROM Contractor or on the side of EC services.

Any methodological issues which might have been raised during the reporting/contract period is presented, discussed and solutions proposed in the respective section. This will also cover issues concerning the methodology set out in this Handbook and the use of information technology issues (use of ROM module, of the workplans, functional mailboxes, etc...).

7. **Financial Execution**

This section reports on the detailed information about the contract's financial execution during the period.

8. **Handover material (for the end of contract implementation report only)**

The Contractor will finally indicate what are the products, materials and tools that he is handing over for the continuation of the services in the following contractual phase, in which form they are put at the disposal for future use and information and guidance for their correct use.

9. **Final list of projects and programmes subject to ROM services**

A list of all projects and programmes which were subject to ROM services must be attached to the end of contract implementation report and all reports established during the contract period must be annexed in electronic format.

Annex for *Quality Assurance (ROM reviews)*

Annex D1. *QA report by QA Experts*

Projects and programme title	
CRIS reference	
OM name	
Reason for ROM	
ROM report reference	
ROM expert name	
QC expert name	
Date of the QC	

QA expert name	
Dates of the QA	

Scoring (5 = excellent, 4 = very good, 3 = good, 2 = weak, 1 = very weak)

REASON FOR AND FOCUS OF THE ROM REVIEW PROCESS

Colour of KPI 5 (Implementation in progress): Green, Orange or Red	*G/O/R*	
Are there any remarks under KPI 5?	*Y/N*	
Colour of KPI 6 (Achieving objectives): Green, Orange or Red	*G/O/R*	
Are there any remarks under KPI 6?	*Y/N*	
Is the reason for ROM coherent with the KPIs	*Y/N*	
Has the OM provided any further explanation about the reason for ROM in the ROM Module?	*Y/N*	

ROM REVIEW QUALITY ASSESSMENT

Comments by QA expert

1. Overall consistency and clarity of the report Are all sections of the ROM report and monitoring questions addressed? If sections are judged not applicable, is a brief explanation provided? Is the language used clear, unambiguous, without unexplained terminology, abbreviations and spelling errors? Are sections of the ROM report linked with those in monitoring questions? Is information provided in the right place?	*Score*	
2. Reliable data available Are any key documents missing from the list of documents consulted? Are any key stakeholders missing from the sources and contact list?	*Score*	
3. Sound data analysis Is the report sufficiently analytical or mainly descriptive? When only weak data is available or key data is missing, has the ROM expert explained the reasons for this and the limitations of the data used? Is the analysis of quantitative and qualitative data appropriately and systematically done so that ROM monitoring questions are informed in a valid way, and does it include quantitative and qualitative evidence? Are cause and effect relationships between planned and actual results fully explained (gap analysis)? Are the risks and assumptions included in the Log-Frame reviewed in the ROM report? Does the triangulation of data collected provide reliable analysis?	*Score*	
4. Credible findings and conclusions	*Score*	

Are ROM expert findings based on evidence? (tangible, clear, poor, anecdotal evidence) Do findings follow logically from and are justified by the data analysis? Are the significant findings included in the conclusions (i.e. those findings that have impact on the project's performance and achievement of results?)		
5. Consistency between sections Are grades consistent with the analysis? Are Relevance comments in line with project/programme context, purpose and objectives? Do efficiency comments address the rate of project/programme targets achievement against the rate of planned resources (cost, time, human power) used? Do the effectiveness comments address the extent to which the objectives (expected results) have been achieved or are expected to be achieved? Do Sustainability comments address beneficiaries' capabilities to maintain and enhance P/P results and added value?	*Score*	
6. Useful recommendations Are the recommendations linked to the conclusions? Are the recommendations specific, justified and operational (implementable)? Are recommendations clearly addressed to the respective stakeholders responsible for their follow up?	*Score*	
7. QC process Did the QC process provide sufficient support to the ROM expert?	*Score*	

Overall score seen by QA and QC

Overall QA score	*Score*	
Overall assessment of mission modalities by ROM expert (Annex 9)	*Score*	
Internal QC score	*Score*	

<u>ROM PROCESS</u>

Usefulness of the ROM review against the end date of the project

Was the ROM review conducted in accordance with the specifications in the ROM Hand book i.e. not less than 6 months before the end of the project implementation and not less than 6 months after the start of the project?	*Y/N*	
Were the final comments from the OM uploaded at least four months before the end of the project implementation	*Y/N*	

ROM mission preparation and organisation

Were there any specific issues raised during the ROM mission preparation (planning, date changes by the OM or the expert, visa, travel, adequate period of visit, other)?	*Y/N*	
Was the number of days respected for the ROM mission? If not was the deviation explained?	*X/X*	Number of days spent by the ROM review expert/Number of days planned Reasons for changing the duration of the mission: Impact on the completeness of the information gathered and on the results of the mission: Additional QA expert's comments:

Remarks by EC services on the ROM review report

Were there any specific remarks sent to the ROM contractor regarding the ROM expert and/or the ROM service?	*Comments by QA expert:*

Feedback from EC services on Rom MQs and Report

Were comments to draft ROM report and MQs uploaded on the ROM module on time?	*Y/N*	
Total number of recommendations		
Number of accepted recommendations		
Number of partially accepted recommendations		
Number of rejected recommendations		
Follow-up plan defined in ROM module?	*Y/N*	
Grading by OM (5 stars' system)	*Score (1 to 5)*	

<u>QA QUESTIONNAIRE AND INTERVIEW</u>

OM completed questionnaire and interview

Did the OM complete the questionnaire sent by the QA expert?	*Y/N*	
Was a follow up interview conducted?	*Y/N*	

QA questions to the OM *(NB: this is the questionnaire to be sent by e-mail to the OM - and to be used as a basis for the interviews in order to clarify issues)*

If the reason for The OM's request for the ROM was "Innovative", "Not Visited" or "Lack of Expertise" please expand on this.	*N/A*	
Is the OM satisfied with the content and applicability of the ROM expert's recommendations?	*Y/N*	
Does the OM use a more detailed follow-up plan than the one in the final comments by OM section uploaded in the ROM Module, and does it include clear responsibilities, deadlines and if relevant indicators?	*Y/N*	
How does the OM monitor the implementation of the follow-up plan including the activities of relevant stake holders plan (IP, NAO….)?	*N/A*	
Has the implementation of the recommendations from ROM reviews initiated under workplan 1 (May 2015 – April 2016) shown any improvement in the programme or projects ability to reach the planned results?	*Y/N*	
Does the OM prefer a group of ROM experts conducting their ROM review field mission on different projects at the same time or individual ROM missions?	*G/I*	
Does he/she have any suggestions as to how this service could be made more effective?	*N/A*	

<u>TIMELINESS OF THE ROM REPORTS</u>

Delivery of ROM reports and monitoring questions

Timely delivery of the draft ROM report	*Score*	Deadline of draft report delivery: DD/MM/YYYY Actual date of draft report delivery: DD/MM/YYYY *Comments by QA expert:* • On or ahead of time = 5 • Between 1 and 7 days late = 4 • Between 8 days and 14 days late = 3 • Between 15 and 30 days late = 2 • More than 30 days late =1

Key findings and recommendations by QA expert

Findings	Recommendations
Finding 1: ***Evidence:*** *documents and/or discussions and/ or people met, …….*	***To the ROM Coordination Unit:*** *- ………………….* ***To the ROM Coordinator:*** *- ………………….* ***To the ROM Contractor:*** *- ………………….*
Finding 2: ***Evidence:*** *documents and/or discussions and/ or people met…*	

Sources of information - list of all documents consulted and persons contacted for QA

Documents - …………….
Persons Interviewed - …………….