**ROM Handbook for Monitors in Turkey**

**(Version 4.0)**

**Project / Document Information**

|  |  |
| --- | --- |
| Contract No | ALTUN/ROM2/TR2010/0740.01-2/SER/089 |
| Reference Number  | Europe Aid/135216/IH/SER/TR |
| Contracting Authority | Central Finance and Contracts Unit (CFCU) |
| Beneficiary / Client | Ministry for European Union Affairs (MEU) |
| Report Name | ROM Handbook for Monitors in Turkey |
| Document Filename | ROM Phase II - ROM Handbook for Monitors in Turkey – v4 |
| Publication Date | 17/12/2014 |
| Prepared by | INTEGRATION GmbH |
| Reviewed by | Team Leader |
| Status | Version 4.0  |

**Document History**

|  |  |  |  |
| --- | --- | --- | --- |
| Revision No | Revision Date | Revision By | Summary of Changes |
| 4.0 | 17/12/2014 | Project Team Leader | INTEGRATION Release |

This document has been produced with the financial assistance of the European Union.

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# Acronyms

|  |  |
| --- | --- |
| ACP | Africa, Caribbean and Pacific |
| AF | Action Fiche |
| BCS | Background Conclusion Sheet |
| CFCU | Central Finance and Contracts Unit |
| CRIS | Common RELEX Information System |
| CSP | Country Strategy Paper |
| DAC-OECD | Development Aid Committee – Organisation for Economic Co-operation and Development |
| DCI | Development Cooperation Instrument |
| DG | Directorate General |
| DIS - EDIS | (Extended) Decentralised Implementation System |
| DTL | Deputy Team Leader |
| EC | European Commission |
| ECD | European Consensus on Development |
| EDF | European Development Fund |
| ENPI | European Neighbourhood and Partnership Instrument |
| ENR TP | Environment and Sustainable Management of Natural Resources Thematic Programme |
| EU | European Union |
| EUD | European Union Delegation |
| FA | Financing Agreement |
| FCD | Financial Cooperation Directorate of MEU |
| FSTP | Food Security Thematic Programme |
| GAR | Gap Assessment Report |
| GBS | General Budget Support |
| HLF | High Level Forum |
| IF | Identification Fiche |
| IfS | Instrument for Stability |
| IPA | Instrument for Pre-accession Assistance |
| LFA | Logical Framework Approach |
| LF | Logical Framework |
| M & E | Monitoring and Evaluation |
| MEDA | Mediterranean partner countries |
| MEU | Ministry for EU Affairs |
| MIPD | Multi-annual Indicative Planning Document |
| MR | Monitoring Report |
| MTR | Midterm Review |
| NAO | National Authorising Officer |
| NIPAC | National IPA Coordinator |
| NIP | National Indicative Programme |
| NSCI | Nuclear Safety Co-operation Instrument |
| OCTs | Overseas countries and territories |
| ODA | Official Development Aid |
| OO | Overall Objective |
| OVI | Objectively Verifiable Indicator |
| PAO | Programme Authorising Officer |
| P/P | Project/Programme |
| PCM | Project Cycle Management |
| PG | Partner Government |
| PIA | Project Implementation Arrangement |
| PIU | Project Implementation Unit |
| PM | Project Manager |
| PMR | Progress and Monitoring Report |
| PP | Project Purpose (Specific Objective) |
| PS | Project Synopsis |
| QA | Quality Assurance |
| QSG | Quality Support Group |
| ROM | Result-Oriented Monitoring |
| ROMIS | Result Oriented Monitoring Information System |
| ROM-TR | Result-Oriented Monitoring in Turkey |
| RP | Regional Programme |
| RS | Response Sheet |
| RTA | Resident Twinning Advisor |
| SBS | Sector Budget Support |
| SMART | Specific, Measurable, Achievable, Realistic and Time-bound |
| SP | Sector Programme |
| SPO | Senior Programme Officer |
| SPSP | Sector Policy Support Programme |
| SoV | Sources of Verification |
| SWAp | Sector Wide Approach |
| TA | Technical Assistance |
| TAT | Technical Assistance Team |
| TACIS | Technical Aid to the Commonwealth of Independent States |
| TAIB | Transition Assistance and Institution Building |
| TL | (Monitoring) Team Leader |
| ToR | Terms of Reference |
| UN | United Nations |
| WP-EFF | Working Party on Aid Effectiveness and Donor Practices |

#

# Introduction

This Handbook on Result Oriented Monitoring (ROM) in Turkey is a comprehensive document containing all relevant information on the background of ROM, its conceptual basis, mission practice and the use of ROM templates.

The document is regularly reviewed with the aim to keep it permanently up-to-date on new developments regarding the ROM methodology and practice, in line with the latest version of the EC ROM Handbook (currently April 2012), adapted to the ROM approach in Turkey.

Two additional documents have been developed to further detail the ROM TR Handbook with adaptations to the country context:

1. the ROM TR Operational Manual (Annex 1), which provides practical information with regard to how ROM shall be implemented in accordance with the Extended Decentralised Implementation System (E-DIS) as explained in detail in section 2 of this Handbook;
2. the ROM TR Quality Guidelines (Annex 2), which have been developed with a view to ensure quality throughout the monitoring process covering all stages of a ROM mission (pre-mission, during the mission and post-mission). Given the fact that the output of a ROM mission is the ROM report, the Quality Guidelines provide guidance on how to ensure that the reports fully meet the requirements of the ROM methodology while contributing, to the largest extent possible, to improvement of the project performance with its findings, conclusions, recommendations and lessons learned.

It is to be ensured that the Handbook is not only up-to-date in terms of the ROM methodology but also with regard to the context of cooperation under the Instrument for Pre-Accession (IPA) with Turkey.

## Foreword by the Ministry for European Union Affairs

Having proved its success in a vast amount of projects financed by the European Union in different countries, ROM, after its introduction to Turkey, has become an indispensable tool for the effective financial management of EU financial assistance to Turkey. In contrast to conventional monitoring, the ROM methodology, with its broader perspective for the monitoring activities, is envisaged to provide all project beneficiaries under IPA Component I with an external view and comments based on certain criteria. It also gives beneficiaries an opportunity to convey their responses to the criticisms/comments made by the monitors that would provide an interactive monitoring process between the project implementing institution and the monitoring body. Since the Ministry for European Affairs (MEU) is the sole institution taking up the whole responsibility for the implementation of ROM, the content of the Handbook, without diverting from the original ROM methodology, needed to be adapted to the needs and structure of the MEU and the requirements of the DIS in Turkey.

The aim of this adaptation is not only to customize the ROM TR Handbook to the current structure and practices in Turkey, but also to render it to a document setting out the rules and procedures to be followed in conducting the ROM activities and be complementary to the NIPAC Manual. Since it is obligatory for the M&E Coordinator to perform all the duties assigned in accordance with the procedures specified in the NIPAC Manual, the relation between the ROM TR Handbook and the NIPAC Manual is essential and will therefore require the two to be complementary to each other.

##

## ROM Basics

The ROM system was first introduced in Turkey in 2011. The aim of the system is to assist the Turkish Authorities, and in particular the Ministry for European Union Affairs (MEU) and the Central Finance and Contracts Unit (CFCU), in applying the monitoring of EU funded projects in Turkey falling under IPA Component I – Transition Assistance and Institution Building (TAIB).

The ROM system in Turkey is based on the worldwide-applied ROM system of the European Commission (EC). Since more than 10 years, this system is providing the EC Services with a wide range of quantitative and qualitative data on the performance of the cooperation projects and programmes which receive EC financial support. ROM was launched in response to the recommendation of the Council of the European Union of May 1999, which aimed at strengthening monitoring, evaluation and transparency of Community development aid.

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

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

**In Turkey, ROM is executed through a technical assistance project which is being coordinated by the Monitoring and Evaluation Unit at the Financial Cooperation Directorate of the MEU. The main tasks of the project are to:**

- Produce **monitoring reports** on the projects financed under IPA Component I

- Deliver **special reports** (e.g. synthesis/analysis of ROM results by sector)

- Present the work and the **ROM findings** to stakeholders

- Maintain a **R**esult **O**riented **M**onitoring **I**nformation **S**ystem (**ROMIS**) to keep an overview on the project portfolio and to analyse the performance of the monitored projects and programmes

- Implement **capacity building** measures for MEU monitoring staff regarding ROM

##

## EU and Turkey

**The European Union aims at the extension of peace, democracy and prosperity in the world.**

The European Union (EU) builds partnerships with countries that share the same basic values of democracy, human rights and market economy. The EU contributes to the economic and social development of these countries through a variety of financial instruments. Some of these countries seek EU membership. If accepted as candidate countries, they receive increased financial support under pre-accession assistance. **The goal of EU pre-accession funding is to help candidate countries prepare for EU membership.** The membership criteria, known as the Copenhagen Criteria, were established in 1993 to make sure that potential member states share the EU’s values, goals and policies and that they will be able to take full advantage of the membership. The criteria refer to political, economic, legislative and administrative measures that need to be taken by the country to bring it closer to EU standards.

To achieve this, the EU helps candidate countries to establish the national policies that have been applied successfully in EU member states over the years and have brought about a better standard of living for EU citizens.

**Decentralisation**

Decentralisation involves the transfer of responsibility from the European Commission services to the Contracting Authority of the recipient country. The Contracting Authority becomes responsible for tendering and contracting, as well as for the financial and administrative management of the projects. Two steps in the decentralisation process concern the programming and implementation of the pre-accession instruments: the first one is based on ex-ante approval and the second "extended" one is based on ex-post control.

The Commission exercises a systematic ex-ante control, which means that decisions concerning the procurement and award of contracts are referred to the Commission Delegation for prior approval before they are taken by the Contracting Authority in the recipient country.

**The ex-ante decentralisation procedure**

In practice the ex-ante control decentralisation procedure, carried out by the Commission Delegations, involves four essential checks:

* Approving the content of the tender dossier before the tender is launched
* Approving the composition of the evaluation committee (which is responsible for recommending a bidder to the Contracting Authority)
* Checking and approving the evaluation report
* Endorsing the contract through the signature of the Head of Delegation on the contract itself, not as a party to the contract but to confirm that the project can receive EU financing.

The main actors in the process are the National IPA Co-ordinator (NIPAC), the National Authorising Officer (NAO), the National Fund, and the Programme Authorising Officer (PAO) in the respective Implementing Agency, the EU Delegation and the final beneficiaries.

The NIPAC is responsible for ensuring co-ordination at the level of programming (with the aim of ensuring a close link between the general accession process and the use of Community financial assistance).

The NAO is the NIPAC's financial counterweight (also appointed by the Government) and is responsible for the National Fund, which (since 1998) is the only channel through which Community pre-accession funds flow. It is the sole financial entity that deals with:

* Financial management of all programmes
* Requests to and the receipt of funds from the Commission
* Re-distribution of funds to the relevant beneficiaries
* Financial reporting to the Commission

In short, the NAO bears the overall responsibility for financial management, including the observance of the Financing Memoranda and the «Practical Guide to contract procedures financed from the EC general budget in the context of external actions ». It is located in a national ministry with central budgetary competence, such as the Ministry of Finance.

The Implementing Agencies (IA) might be ministries themselves or sometimes are represented by sub-public bodies located within a ministry or administration in the recipient country. They are responsible for the implementation of the projects falling under a certain component of IPA under the authority of the NAO. A PAO is in charge of each Implementing Agency and is nominated by the NAO in consultation with the National IPA Co-ordinator in accordance with Article 75(2) of the IPA Implementing Regulation (EC/718/2007). The PAO is responsible for the sound financial management of the programme(s) to be implemented by the IA, including the observance of tendering and contracting procedures, and the monitoring of project implementation[[1]](#footnote-1).

One of the implementing agencies is the Central Finance and Contracts Unit (CFCU). The role of the Implementing Agencies is to carry out the tendering and contracting elements of the programme, whereas programming and monitoring remain the responsibility of the ministries/administrations directly benefiting from the assistance with a leading role of the MEU.

**Extended Decentralisation**

The principal reasons to evolve from a system of ex-ante control to a system of ex-post control are two-fold. Firstly, the participation of a new Member State in Community funds (above all in the area of regional and agricultural policy) requires the Member State to adapt its administrations in order to cope with a framework of ex-post control. Secondly, the phasing out of Delegations in the new Member State will lead to a significant transfer of human and financial resources away from the Delegation in this country, which will be replaced by a smaller Representation with the primary function of information and communication.

Turkey is presently moving towards an Extended Decentralisation Implementation System (E-DIS), whereby the Commission’s ex-ante approval on project selection, tendering and contracting is waived in accordance with Council regulation 1266/1999.

With the assistance of the Commission, candidate and acceding countries are required to undertake the following three stages themselves:

1. Gap assessment: This involves carrying out an assessment of the target national institutions (principally the National Fund and the Implementing Agencies) in order to determine to what extent the conditions for E-DIS are currently met and to identify specific actions, changes and improvements required.

2. Gap filling: the national authorities must make the necessary changes and improvements to the target institutions and procedures through implementation of the recommendations of the Gap Assessment Report (GAR).

3. Compliance Assessment: this exercise enables the responsible national authorities to determine whether the pre-conditions are fulfilled so that a formal application of E-DIS can be submitted to the Commission.

The fourth and final stage is the Preparation for a Commission decision, which remains the exclusive responsibility of the Commission services that analyse the E-DIS application to enable them to decide whether to confer decentralised management under Article 12(2) of the Co-ordination Regulation 1266/1999.

**EU financial support for Turkey is increasing rapidly.**



*Figure 1 – EC Cooperation with Turkey – financial portfolio*

EU funding aims at long-term progress. The ultimate aim of pre-accession funds is to improve the lives of individuals.

The projects eligible for funding are mainly carried out by state institutions or non-governmental organizations. The institutions receiving EU funding are those in charge of designing and implementing public policies in fields ranging from health and education to infrastructure and rural development. A part of this funding is also channelled through civil society organisations supporting reform in these fields.

EU funding is not for quick-fix solutions. It aims at long-term changes of the society and economy as a whole. The pace of reform and that of the accession process are closely related with each other.

Instrument for Pre-accession Assistance (IPA)

EU pre-accession funding is channelled through a single instrument designed to deliver focussed support to both candidate countries (currently Albania, Iceland, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey) and potential candidate countries.

The overall objective of pre-accession assistance is to support the countries’ efforts to comply with the Copenhagen accession criteria and to help prepare the countries for meeting the challenges of future EU membership.

Similar to Structural Funds, pre-accession funds underwent a significant policy reform as of 1st January 2007. The most visible effect of this reform was the replacement of several European Union programmes and financial instruments (PHARE, PHARE CBC, ISPA, SAPARD, CARDS and the financial instrument for Turkey) with one single instrument and legal framework - the Instrument for Pre-Accession Assistance (IPA).

Financing under this single umbrella is provided through five components:

1. Transition Assistance and Institution Building: EC Directorate General for Enlargement
2. Cross-Border Co-operation (with EU Member states and other countries eligible for IPA)
3. Regional Development (providing support to transport, environment infrastructure and enhancing competitiveness and reducing regional disparities);
4. Human Resources Development (strengthening human capital and combating exclusion): EC Directorate General for Employment and Social Affairs
5. Rural Development (rural development type of measures): EC Directorate General for Agriculture.

Turkey, as a candidate country for EU membership, is entitled to benefit from all five components. An overview of IPA Structures and Authorities are detailed in the NIPAC Manual.

The European Commission Directorate General for Regional Policy is responsible for the implementation of Components II and III.

Components I and II are open to all beneficiary countries, whereas Components III, IV and V are open to the Candidate Countries only. They are designed to mirror closely structural, cohesion and rural development funds, in preparation for the management of such funds upon accession. Thus, IPA allows beneficiary countries to prepare themselves for the successful participation in the Community's Cohesion Policy and its instruments upon accession, with a view to a better and more effective absorption of these funds once they become available.

**IPA II (2014-2020)**

A section on IPA II will be included in the course of the ROM TR Phase II project

## EC development aid modalities

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

* Clearly identified stakeholders (incl. target group and final beneficiaries)
* Clearly defined coordination, management and financing arrangements
* A monitoring and evaluation system to support performance management
* An appropriate level of financial and economic analysis

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

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

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

As a result of a SWAp, a government progressively develops a Sector Programme (SP). SPs are based on the following core elements:

* An approved sector policy document and overall strategic framework (such as a Poverty Reduction Strategy Paper)
* A sector expenditure framework for the medium term and an annual budget
* A sector coordination framework to review and update sector strategy, action plans and budget
* A co-ordination process amongst the donors in the sector, led by the Government

A Sector Policy Support Programme (SPSP) is an EC programme which provides financial support to a Partner Government’s SP.

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

* Sector Budget Support (SBS), which is the preferred modality, whenever appropriate and feasible
* Financial contributions to Common Pooled Funds (or “common basket funds”)
* Commission specific procedures (EC budget or EDF) based on the traditional project approach

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

General Budget Support (GBS) is the transfer of financial resources of an external financing agency directly to the national treasury of a partner country. These financial resources form part of the partner country’s global resources and are consequently used according to its public financial management system and procedures. Nevertheless, the aid is subject to certain conditions of eligibility and implementation.

*Figure 2 – Aid and Financing modalities*

**EC spec. budget procedure**

**Pool funds**

**Sector budget support**

Donor Partner Gov. (PG)

Donor PG via natl. budget

Control over external resources

Targeting of resources

Limited Substantial

Donor influence on PG policy & budget

Higher Lower

Transaction costs

**Donor pool fund**

**Direct EC funding procedures**

**General budget support**

**Direct support to projects and regional programmes**

**Sector Policy Support Programmes SPSP**

**Budget Support**

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

## Monitoring and Evaluation

## Monitoring, Evaluation and Audit

***Monitoring*** is the systematic and continuous collection, analysis and use of information to support effective decision-making. Monitoring is a regular review to keep track of how a project is progressing in terms of resource use, implementation, delivery of outputs, and achievement of results and management of risks. It is a management activity that allows a continuous adaptation of the intervention if problems arise or if changes in the context have an influence on the performance of the operation.

One can differentiate several types of monitoring that are currently in use for tracking aspects of project performance, depending on the scope of information that is gathered and the position of the person who is gathering the information in relation to the Project Cycle: either being part of the cycle or not. Project administrators, contractual - or financial units, project implementers (contractors and beneficiaries), project managers as decision makers at various institutions are all part of the Project Cycle and, thus, perform so called ‘internal’ monitoring, like administrative or contractual monitoring, financial monitoring, implementation monitoring. Monitoring assesses interventions or projects against a set of criteria, input-output ratio and progress in implementation of activities or delivered outputs. Its use is usually thought to be greatest on the level of administrative and operational management decision.

‘Result or benefit monitoring’ is based on the assessment of the achievements of results as they are derived from beneficiaries utilizing the project delivered outputs. This requires a wider view at target groups (planned, unplanned) and at the change in project surrounding conditions. For the sake of objective and independent assessment of the gathered information, this has to be done by an agent outside the Project Cycle, thus justifying the term ‘external’ monitoring. Benefit monitoring encompasses, to a defined extent, information on implementation, but goes beyond this part in two ways: Firstly, by assessing the sectoral change to which the intervention should contribute, and secondly by feeding back lessons learnt to the programming and formulation stages of the Project Cycle. It can therefore be of great value for analyses of aggregated monitoring results per programmes, sectors and lessons learned that are fed-back into programming and for networking opportunities above the single-project-level.

Key Features of Implementation Monitoring versus Result Monitoring[[2]](#footnote-2)

**Elements of Implementation Monitoring**

**(Traditionally used for projects)**

• Description of the problem or situation before the intervention

• Benchmarks for activities and immediate outputs

• Data collection on inputs, activities, and immediate outputs

• Systematic reporting on provision of inputs

• Systematic reporting on production of outputs

• Directly linked to a discrete intervention (or series of interventions)

• Designed to provide information on administrative, implementation and management issues as

opposed to broader development effectiveness issues

**Elements of Result Monitoring**

**(used for a range of interventions and strategies)**

• Baseline data to describe the problem or situation before the intervention

• Indicators for outcomes

• Data collection on outputs and how and whether they contribute toward achievement of outcomes

• More focus on perceptions of change among stakeholders

• Systemic reporting with more qualitative and quantitative information on the progress toward outcomes

• Done in conjunction with strategic partners

• Captures information on success or failure of partnership strategy in achieving desired outcomes.

***Evaluation*** is generally a systematic and in-depth assessment of merit, worth and significance of a range of interventions concerning the programme level or strategies, using criteria against a set of standards. Besides the accountability function, evaluations serve to capitalize the experiences and to learn from each intervention. It also scrutinizes the objectives and strategies chosen for an intervention.

Evaluation usually feeds more into policy-making and strategic planning (rather than operational management decision making processes), involves in-depth data collection and analysis and is consequently undertaken at a time when results are available and merits and worth are detectable (i.e. at the time of completion of a programme).

Evaluation is often distinguished from monitoring in terms of its purpose, its empirical basis, its depth of analysis, its duration, frequency, human resources and costs involved.

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

## Internal versus External Monitoring

The term ‘internal monitoring’ is usually used to refer to monitoring that is undertaken by those responsible for the project implementation. Done with varying degrees of methodological elaboration, it gives the manager instant feedback necessary for the day-to-day operation. Internal monitoring and reporting often overlap.

External monitoring on the other hand separates clearly the management and the monitoring function. Independent monitors carry out this type of monitoring and present their final results to management.

## Joint Monitoring

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

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

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

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

* Joint planning and management of monitoring visits (e.g. coordinated missions with mixed teams, jointly prepared ToR, etc.)
* Use of jointly agreed methods / tools (e.g. indicators, assessment criteria, rating systems)
* Joint analysis and dialogue on the results of monitoring (e.g. joint reviews)

*Figure 3 – Monitoring, Evaluation, Audit – from an EC perspective*

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Who is responsible?** | **When is it required?**  | **Why is it necessary?** |
| **Implementation Monitoring**  | Project implementing partners/contractors  | On-going process | Allow PM to check the progress, take remedial action, update plans |
| **EC Internal Monitoring by EC Project Manager** | EC Project Manager (PM)Delegations | Half yearly update via CRIS Implementation Report  | Follow up of projects performance;Support informed decision making by PM on project cycle and contract management |
| **Joint Monitoring** (planned)  | EC PM EC DelegationsPartner GovernmentOther Donors | According to frequency - to be decided | Follow up on project performance;Step towards implementation of Paris Declaration (coordination, alignment, harmonization of monitoring systems);All stakeholders play their role in monitoring contributing to greater ownership. |
| **ROM (EC external monitoring)** | Responsibility with HQ and Delegations; executed by external independent monitors | Usually annual missions to a country or region | Provides input and recommendations for project management;Gives overview of EC aid portfolio performance;Contributes to lessons learned. |
| **Evaluation** | EC Evaluation Unit w/ external expertise  | At particular milestones: Mid-term, completion or ex-post | Mid-term: project major shifts / re-adjustments wherever necessary; completion/ex-post: contributes to lessons learned, policy review, etc. |
| **Audit** | EC Audit, Incorporates external expertise | Ex-ante (systems reviews), regular and upon completion | Provides assurance to stakeholders;Provides recommendations for improvement of current and future projects. |

While it is useful to make a distinction, in practice there are often grey areas between what is considered to be implementation monitoring, results monitoring and evaluation. At the same time, a progressive transition from implementation monitoring, via results monitoring toward evaluations are apparent in terms of aims, frequency and inputs.

## Result Oriented Monitoring (ROM)

## Features of ROM

* It provides an assessment of the current relevance of project objectives
* It provides an overview of project implementation at a given point in time, which is carried out against a set of criteria
* It provides a performance assessment of key players with prospects for impact and sustainability of achieved results at a given point in time

**Features of the ROM system as applied by the EC:**

* Project management tool: ensures that projects remain on course to reach their objectives, with any adjustments made with minimal disruption (information 🡪 EC PMs)
* Analysis tool: a standard approach which allows the EC to have comparable data across all regions
* Transparency tool: supports reporting to the Member States, the European Parliament and the Council of the EU
* Support to programming: ensures feedback from project implementation to subsequent project design
* A service provided to the key project players for transparency
* A facilitator for good project management
* An early-warning system for stakeholders while corrective action can still be made

ROM must be:

* Independent (free of bias and of influence from key actors)
* Participatory (involving stakeholders and beneficiaries)
* Constructive (providing conclusions and recommendations)
* Timely (regular or at certain project stage)
* Transparent (promoting a dialogue)
* Followed-up, which is essential to be effective

## ROM History

In May 1999 the Council of the European Union invited the European Commission to strengthen monitoring, evaluation and transparency. One of the actions implementing these recommendations was the creation of the result oriented monitoring system (ROM), which is fully applied since 2004.

ROM is based on short and focused on-site assessments by independent experts. Using a highly structured and consistent methodology, through which projects and programmes are reviewed against the criteria relevance & design, efficiency, effectiveness, impact prospects and potential sustainability. ROM is used as an alternative and/or complement to in-depth evaluations when a quick, external perspective can help improve performance. Thanks to its scoring system, ROM gives an appreciation of a project's quality, highlights shortfalls and provides an overview of the quality of the development cooperation portfolio.

For each project, a short ROM report provides an overall assessment along with recommendations for quality improvements. The Commission reviews on-going projects that have already seen six months of implementation and that run for a further six months. They must also be of a certain minimum size to undergo ROM assessment, equivalent to an EU contribution of about €1 million. For projects funded below this amount, a sample of 10% is assessed.

## ROM in the Project Cycle

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

**PCM helps to ensure that:**

* Projects are supportive of overarching policy objectives of the EC and of development partners
* Projects are relevant to an agreed strategy and to the real problems of target groups/beneficiaries
* Projects are feasible, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies
* Benefits generated by projects are likely to be sustainable

To support the achievement of these aims:

**PCM**

* Uses the Logical Framework Approach (as well as other tools) to support a number of key assessments/analyses (including stakeholders, problems, objectives and strategies)
* Requires the active participation and local ownership of key stakeholders
* Incorporates key quality assessment criteria into each stage of the project cycle
* Requires the production of good-quality key document(s) in each phase (with commonly understood concepts and definitions) to support well-informed decision-making

Monitoring, as a regular review “snapshot” of a project’s or programme’s performance, is part of the fourth and fifth step of the project cycle. It can trigger immediate changes in the implementation by providing feedback to managers and implementers, and provide helpful data and lessons learned feeding into the programming phase of the project cycle.

*Figure 4 – DEVCO Project Cycle*

###

**Programming**

**Identi-**

**fication**

**Formulation**

**Implementation**

**Follow-**

**Up**

**Ex-Post M&E**

**Ongoing M&E**

**QSG**

**Step 2**

**QSG**

**Step 1**

**Id Fiche + Checklist**

**Action Fiche + Checklist**

**MR, MTR**

**MR, ER**

***PCM Guidelines***

EC Development Policy

Partner Government Policy

**QSG**

**CSP**

**NIP**

## Quality Assurance (QA) with ROM worldwide

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

*Figure 5 – DEVCO Quality Assurance Cycle*

|  |  |  |  |
| --- | --- | --- | --- |
| PCM Step | Stage | Quality Assurance | Key documents produced |
| Programming | Strategic | Quality Support Groups (QSG) | Country Strategy Paper (CSP), National Indicative Programme (NIP) |
| Identification | Ex-ante  | QSG 1 | Identification Fiche (IF) |
| Formulation | Ex-ante | QSG 2 | Action Fiche (AF) |
| Implementation | On-going | ROM, Medium Term Evaluation | Monitoring Report, Medium Term Review |
| Evaluation | Ex-post | ROM, Evaluation | Monitoring Report, Evaluation Report |

DG EuropeAid has put in place an ex-ante peer review mechanism, the Office Quality Support Groups (QSG)[[3]](#footnote-3), to help improve the design of external operations at the identification and formulation stages. The QSG builds on in-house expertise, as well as on best practice from previous/on-going measures.

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

* Support the capacity of TM both in EUDs and at HQs to identify and formulate high-quality operations;
* Undertake systematic assessments of the design quality;
* Identify improvements that need to be incorporated to ensure the quality of external actions;
* Ensure reporting on and dissemination of conclusions and recommendations, transfer of good practices and provide statistics based on the analysis of operations submitted to the QSG.

The QSG intervenes at the end of two stages in the design process: the **identification** and the **formulation** phase.

1. At the end of the **identification**, the QSG reviews the proposed intervention as outlined in an “identification fiche” (IF) produced by the EUD or centralised operational unit. The identification fiche outlines the problem requiring EU development assistance and the proposed intervention’s response to this problem. It includes a summary of the suggested intervention logic, the sector context (incl. PG policies, Lessons learned and donor coordination), a preliminary Logframe, information on crosscutting issues. A checklist for each implementation modality (stand-alone project, SPSP and general budget support) allows the QSG to coherently screen the identification fiches according to relevance and intervention logic, potential impact and sustainability.
2. The QSG intervenes again at the end of the **formulation** phase reviewing the proposed intervention based on the “Action Fiche” (AF) and the draft Technical and Administrative Provisions (TAPs) submitted by the EUD or centralised operational unit. The review at formulation stage also verifies if the recommendations made by the QSG at the end of the identification phase were taken into account during formulation.

The coordination function of the QSGs is based in EuropeAid in the same unit which coordinates ROM.

ROM checks whether the recommendations of the QSG have been actually implemented. The QSG documents can draw attention to issues which might cause potential problems in the project implementation.

# ROM Implementation Approach for Turkey

## History of the ROM system applied in Turkey

The ROM application was introduced in Turkey in the beginning of 2011 with the launching of a Technical Assistance contract for Result Oriented Monitoring in Turkey (ROM TR). The prime beneficiary of the services was the Ministry for European Union Affairs (MEU). The Contracting Authority was the CFCU who was also a co-beneficiary.

The overall objective of ROM TR was to gather result oriented information on projects and programmes and to report on progress in order to maintain and, where possible, improve the quality of external co-operation activities through timely, independent, well-targeted information on implementation. The aim of the project was to assist the Turkish authorities - and in particular the MEU and the CFCU - in applying the ROM methodology to the monitoring of EU funded projects (2007 onwards) in Turkey falling under Component I of IPA.

This ROM contract was implemented between January 2011 and December 2013. The introduction of the ROM monitoring system in Turkey was an important element supporting the overall performance of IPA and the evolution from the Decentralised Implementation System to an Extended Decentralised Implementation System (E-DIS).

In October 2014 implementation of ROM Turkey Phase II started, building on the achievements of the previous phase. Throughout the Technical Assistance project, the MEU will continue to be assisted in applying the ROM methodology for the monitoring of EU funded projects, both on-going and completed (ex-post monitoring) falling under IPA Component I - TAIB.

With the coming into force of the IPA II period (2014-2020) targeting a sector-based approach, projects and programmes that will start to be implemented under IPA II will gradually be included in the ROM TR Phase II work plan.

## Uses of ROM in Turkey

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

ROM’s main objective is at the micro level, as it informs project stakeholders and helps project managers “to think in result oriented terms”. It provides direct feedback on success and problems during the implementation and gives recommendations on how to improve operations. It enables project managers to take informed and timely decisions.

However, for its day-to-day management needs, project management will need more detailed information than ROM can deliver. Therefore, additional internal monitoring and reporting schemes are in place by CFCU and at beneficiary level.

The monitoring process itself, including the discussions the monitors initiate with and among the stakeholders, can stimulate thinking in result oriented terms and encourage improvements of project performance.

As an added value, ROM provides statistical data on the overall programme, component and sector development portfolio performance in respect of the five main criteria (relevance & design, efficiency, effectiveness, impact prospects and potential sustainability). Performance can be compared across regions and over time. The statistical information can support key management and strategic decisions.

## ROM Coordinator at MEU

The MEU’s Financial Cooperation Directorate (FCD) is responsible for the execution of ROM services as the beneficiary of the ROM TR II project. An organisational set up is displayed in the following figure.



*Figure 6 – Functional Structure MEU-FCD*

Main tasks of the ROM Coordinator at MEU are:

* Coordination of the annual work plan and the selection of eligible projects for monitoring
* Coordination of the participation of MEU Monitoring Experts in ROM missions
* Day-to-day operation of the ROM service
* Decisions on implementation issues
* Checking the planning of monitoring missions with regard to mid-term reviews and evaluations
* Validation of the planning of missions and communication with all stakeholders
* Mediation between parties involved in ROM
* Coordination of the capacity building activities on ROM for MEU Monitoring Experts jointly with ROM TR II TA team

## Applying the Logical Framework Approach

The Logical Framework Approach (LFA), which is today adopted in one form or another by most aid agencies and donors, is a very effective analytical and management tool. The ROM system in Turkey is duly following this approach. It provides a framework for structured thinking of goals, means and stakeholders. The LFA process is synthesised in the LogFrame Matrix (LFM), which includes a hierarchy of inputs, activities, outputs/results and objectives, as well as the indicators and sources of verification, risks and assumptions about internal and external factors.

The Logical Framework Approach and the LogFrame itself are not a substitute for experience and professional judgement and must also be complemented by the application of other specific tools (such as economic and financial analysis and environmental impact assessment) and through the application of working techniques, which promote the effective participation of stakeholders.

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

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

**The first and central element** of the LFA is the hierarchy of objectives, which encourages reflecting on how the project is supposed to contribute to a solution of the initially stated problem.

* **Input/Means**: resources used, e.g. *vaccines purchase*
* **Activities**: the steps undertaken to transform inputs into outputs, e.g. *establishment of mobile vaccination clinics*
* **Output**: the goods and services produced, e.g. *children vaccinated*
* **Outcome**: the intermediate results generated relative to the objectives of an operation, e.g. *reduction of the number of children that have contracted measles*
* **Purpose**: defines the specific objective of a project or programme, e.g. *improvement of child health*
* **Overall Objective**: longer-term effects or changes produced directly or indirectly, intended or unintended by an operation, e.g. *the reduction of infant mortality rate in a region*

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

**Secondly**, indicators are used to measure progress towards goals. They specify what to measure in order to monitor and evaluate the performance and achievements in a quantitative or qualitative way. As they are only useful if objectively verifiable, i.e. not based on subjective, arbitrary judgments, they are called Objectively Verifiable Indicators (OVI) in EC terminology.

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

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

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

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

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

**Efficiency** stands for the extent to which the inputs are transformed into outputs and outcomes.

**Effectiveness** measures the degree to which the project’s outcomes (results) contribute to the achievement of the Project Purpose.

**Impact** describes how and to which degree the project results have contributed to the wider sector objectives summarised in the project’s Overall Objective. Actual impact can only be measured ex-post. ROM monitoring for on-going projects nevertheless scrutinizes the impact prospects, i.e. the project’s likely contribution to the project’s Overall Objective.

**Sustainability** introduces a time dimension into the monitoring. It measures the likelihood of a continuation in the stream of benefits produced by the project after the external support has ended. ROM monitoring scrutinizes the potential sustainability.

*Figure 7 – Hierarchy of objectives and evaluation criteria*

##

**LogFrame and possible proxies**

The LogFrame is the guiding document for ROM monitors. However, whilst it is a useful tool, certain things should be kept in mind:

* The LogFrame is a simplification. This is an advantage (in terms of providing an overview and allowing for comparison) as well as a danger (hiding the complexity of development cooperation behind a simple table).
* The LogFrame suggests a linear logic and mechanistic relation of cause and effect, which can be anticipated and planned ahead of time. This seemingly rigid, rational structure might not match the reality on the ground where the links between the different steps in the LFA hierarchy of objectives might be elusive, difficult to ascertain and unpredictable.
* The LogFrame does not specify the underlying decision process. Some decisions regarding its design might be due to negotiations between stakeholders which are unknown to the monitors and which can make the implementation of certain recommendations difficult.

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

* In some (rare) cases a LogFrame might be altogether missing even though its use is obligatory.
* The format of the LogFrame might differ from EC standards, especially when the project implementation is delegated to organisations with their own institutional project management framework and LFA specifications (e.g. UN agencies).
* A LogFrame might exist, but the terminology and especially the different levels of objectives (output, outcomes, project purpose, and overall objective) are used incorrectly leading to confusion and contradictions. This may be for the same reason stated above, or simply because the staff of the implementing partner is not sufficiently familiar with the matter.
* A LogFrame might exist, but it does not (fully) reflect the actual project implementation strategy and it is not used as a management tool. Implementing partners only pay lip service to the LFA, as they are not convinced about its potential, or because they lack sufficient training how to properly prepare a LogFrame.

Taking these realities into account, the ROM methodology does not narrowly focus on the LogFrame, but refers in a more general way to the “project framework” or the “intervention logic”. If a project does not provide a useful LogFrame according to EC standards, monitors should develop a “proxy” i.e. they should analyse the material available to them with the LFA logic in mind. Especially important is the distinction between the overall objective, the project purpose, the results, activities and inputs as these are the key categories to determine the efficiency, effectiveness and impact of a project.

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

## The ROM Cycle

The following section describes the practice of the different stages in the preparation, realisation and follow-up of ROM missions in Turkey. These are based on the standard practices applied worldwide and in Turkey – to apply best practice! For information purposes and to better understand the system, comparisons between ROM worldwide and ROM Turkey are added.

This section’s main objective is to present the steps necessary to produce good quality ROM outputs. The instructions are meant to be indicative rather than obligatory.

*Figure 8 - The ROM cycle*

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

*Figure 9 – Table ROM cycle*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Step** | **Done by** | **Documents used** | **Documents** **produced** |
| 1 | Identification of Portfolio | ROM team, M&E Unit-FCD, CFCU | Project fiches, working lists | List of Portfolio |
| 2 | Selection of projects for monitoring | ROM team, M&E Unit-FCD, CFCU | List of portfolio | Work plan |
| 3 | Mission Planning | Senior Monitor and Co-Monitor | Work plan | List of project documents to be analysedInterview ScheduleProject Data Sheet |
| 4 | Execution of Mission | Monitor and Co-Monitor, beneficiary | Policy, country + project docs | PS and Draft BCS |
| 5 | Writing of Monitoring Report | Monitor + Co-monitor | Personal notes, project docs | PS, MR, BCS |
| 6 | Quality Assurance (QA) of Monitoring report and encoding in ROMIS |  QA managers at TAT (DTL/TL) | PS, MR, BCS |  |
| 7 | Dissemination of ROM report | ROM TR II Project Office | PS, MR, BCS |  |
| 8 | Responses on ROM report;Follow-up on recommendations | Co-monitor | PS, MR, BCS, RS |  |

*Figure 10 – Comparison of ROM worldwide versus ROM Turkey*

|  |  |  |
| --- | --- | --- |
| **Criterion** | **Worldwide ROM** | **ROM Turkey** |
| **Contracting Authority** | EC Headquarters in Brussels | CFCUROM internalised by the MEU with assistance of external experts in order to support independence of the system |
| **Purpose** | One single Purpose: Monitoring | Dual Purpose: Monitoring and Capacity Development |
| **Medium-term perspective** | External, independent view | Conferral of ROM to national stakeholders |
| **Work planning** | Centrally managed country missions  | Rolling annual work-plan  |
| **Representativity** | Representative sample (once a year) | Coverage of TAIB Component on-going and completed projects (in general once a year) |
| **Database Management** | Internal EU Database (CRIS) | Internal ROM Information System (ROMIS) |
| **Expertise** | Single monitoring expert | Tandem approach (2 monitors): TA senior monitoring expert and MEU monitoring expert as co-monitor |
| **Report Distribution**  | Responsibility of EC Services | Distribution to all stakeholders by ROM Project Office |
| **Response Sheets** | Prepared by EC Services  | All stakeholders are invited to send Response Sheets to the ROM Team |

## Stages of the monitoring process in ROM in Turkey

*Figure 11 – Flow chart – Procedural stages of monitoring process*

ROLLING ANNUAL WORK PLAN

2-6 weeks before

field visit

**1**

**2**

PREPARATION

 Collect project documents; other relevant docs; prepare field visit/ interviews

 ,

**3**

Announcement of mission

Selection through ROM mandate by MEU and CFCU

INTERVIEWS and

FIELD VISITS

INTERVIEWS and FIELD VISITS

## Identification of Projects/Programmes for Monitoring

EU funded projects (2007 onwards) in Turkey falling under Component I of IPA (Transition Assistance and Institution Building - TAIB) are subject to ROM. Financial assistance is delivered through Twinning, Service, Supply and Works contracts following competitive tendering procedures. It is also channelled through Grant schemes subject to a competitive call for proposals and through Direct Grant agreements.

A project may contain only one or a number of contracts (such as Twinning and/or Service) and any other of the aforementioned project components (such as supplies or works).

## Selection of Projects/Programmes for Monitoring

Determination of eligibility

Selection is based on the portfolio of all operations financed under IPA Component I. The selection has to follow a number of criteria regarding the size of the operation’s budget and the timing of the monitoring. These criteria are to be applied with certain flexibility.

The following general criteria for selection of on-going projects/programmes apply:

* Projects/programmes are eligible if, at the time of monitoring, they have been operational for at least 6 months.
* Projects should have an EC financial contribution of more than € 1 million.
* Selection is based on the project list formally provided by the CFCU.

Timing of on-going monitoring missions

For the timing of monitoring of **on-going** projects/programmes during the year, the following should be observed:

* Timing has to respect the 6 months eligibility criteria (i.e. first monitoring earliest 6 months after the actual project start). The ROM Project Office needs to confirm if the planned start/end dates have been modified.
* Ideally, at least a 6-month gap should be respected between monitoring visits and mid-term evaluations.
* Re-monitoring should take place within 12 months after any given monitoring visit, unless the previous ROM monitors recommended an earlier re-monitoring.

Establishment of an annual Work Plan

Once the eligibility of projects/programmes in the portfolio is determined, the work plan can be established. The work plan defines how many missions are planned, which EC operations will be monitored and when, the timing and duration of the missions, the names of the senior and co-monitors who will conduct the missions. The WP is finalised upon the approval of the ROM Coordinator at the FCD and the ROM Contract Manager at the CFCU.

Flexibility in planning is always necessary. The initial work plan established at the beginning of the year may undergo a number of adaptations during the year. Revisions can be due to changes in the situation on the ground, delays in the start of a project or difficulties arising from staffing arrangements and logistics. Also coordination with other M&E activities is an important quality factor. FCD and EUD should regularly cross-check the planning of ROM missions with other M&E missions. MEU monitoring staff will have to keep all stakeholders informed about these revisions with sufficient time ahead of the mission.

**Work planning is an on-going exercise as the portfolio and timing is constantly changing, hence it is called a ‘rolling’ work plan. The individual work plans of the ROM monitors need to be updated regularly in parallel with the rolling WP.**

## The ROM Monitoring Teams

Within the ROM TR Phase II, senior monitors from the TAT with substantial experience in ROM conduct monitoring missions in tandem with a MEU monitoring experts with specific sector knowledge. MEU monitors are independent experts under the M&E Coordinator at FCD. Tasks of TAT senior monitors and MEU co-monitors are agreed upon by both parties.

The ROM monitors (MEU co-monitors and TAT senior monitors) carry out their functions as independent experts. This ensures full independence of the monitoring task.

At all times the ROM monitors will maintain strict confidentiality about any internal MEU/CFCU and EU issues. Individual monitors must not have any conflict of interest arising from the assignment.

*Figure 12 – Profile of Monitors*

|  |
| --- |
| Profile of Monitors |
| Technical Skills: | Interpersonal Skills: |
| Monitoring and / or evaluation experience | Intercultural sensitivity |
| Knowledge of monitoring / evaluation methodologies and techniques | Good communication and interviewing skills |
| Appropriate academic degree | Team player |
| Adequate years of experience in monitoring and hands-on experience in ROM | Self-driven, quick learner |
| Analytical skills |
| Good knowledge of development/cooperation programmes in Turkey and in particular knowledge of EC funded projects and programmes | Stress resistant and frustration tolerant |
| Neutral and objective attitude |
| Sectoral expertise relevant to the EC projects implemented in Turkey | Committed to loyalty and confidentiality |
| Proficiency in English  | Flexibility to quickly adopt to changing conditions and different environments |
| Knowledge of PCM and LFA |  |

##

## Announcement of missions

The ROM Project Office makes the first contact with the project (Announcement Letter 1) in order to introduce the monitoring process and announce the mission. The MEU co-monitor is responsible for all subsequent communication with the project stakeholders before, during and after the monitoring mission. Mission timing follows the established work plan to the maximum extent.

The TAT has developed clear guidelines, where tasks and the division of labour between the senior and the co-monitor are specified in order to avoid confusion and duplication. After the announcement of the mission by the ROM Project Office, monitors should consult the project implementing parties regarding the planning of their visit (including meetings with stakeholders, field visit, local travel and accommodation).

For further details on operational issues concerning how to conduct ROM missions, please refer to the ROM TR Operational Guidelines in Annex 1.

## Establishing the project document base

**Quality factor: Availability of documents:**

ROM Monitors should know which documents (and updates) they already have and which ones they need to obtain on-site.

It has to be ensured that the latest versions are made available to the Monitors.

Active support for the ROM team is required from the beneficiary institutions, EUD, CFCU and MEU sector directorates in obtaining the relevant documents.

In order to provide a well-informed assessment of the performance of a project / operation, monitors need to have all relevant information on the project and its context. Monitors should make themselves familiar with relevant documents prior to mission start. Documentation collection should guarantee that:

* All necessary documents have been collected
* Monitors have access to the documents, preferably in electronic format, well in advance of the mission start
* The number of people involved in the collection is kept to a minimum to avoid duplication of work

The MEU co-monitor in the FCD takes the initiative to collect the basic project documents for the first monitoring mission, e.g. Project Fiche. Some other basic documents are available through CFCU / EUD sources. Additional documents and material may be obtained during the interviews with contractors, Twinning partners and beneficiaries.

**🡪 For efficient mission preparation it should be ensured that sufficient time is allocated for document review. In case of ex-post ROM missions, additional days for document review should also be considered in the work plan.**

The following list of documents should guide the ROM co-monitors in their collection of background documents:

*Figure 13 – Documents to support monitoring*

| Policy and country context documents |  | Project documents |
| --- | --- | --- |
| IPA Decisions, latest Annual Progress Report |  | Project Fiche, Description of Action, ToR,Financing Agreement |
|  |  | TA/Twinning /works/supply Contracts (Technical Proposal), (Direct) Grant agreements |
| NPAA, AP, MIPD, |  | Amendments modifying the Contract  |
| Sector Policy/Strategy/Action Plans |  | LogFrame (including updates) |
| Sectoral EC development policy documents |  | Budget |
| Relevant national policy papers (development programmes, sectoral policy documents) |  | Progress and Monitoring Reports (PMRs), Minutes of Management/Steering Committee Meetings |
| Country annual reviews (if available) |  | Inception Report, Progress Reports (Contractor, Twinning Partners) |
| Other donors’ strategy documents (if available) |  | Annual and overall work plan and activity schedules |
| Other documents |  | Implementation Reports |
| PCM guidelines |  | Communication and visibility plan |
| Latest version of ROM Handbook |  | Previous ROM reports, including Response Sheets |
| Toolkit on mainstreaming gender equality in development cooperation |  | Evaluation Reports (Interim, Thematic, Mid-term Reviews) |
| EC Communication and Visibility Guidelines |  |  |

***During the preparation phase the Co-monitor conducts the following tasks:***

* Establish and share with the senior monitor (SM) and ROM Project Office the **Project Data File**, composed of the Project Communication Form, draft PS, LogFrame and implementation schedule.
* Communicate/coordinate with SM regarding the interview schedule, document collection and field visit (if any).
* Distribute the 2nd Announcement Letter to the main stakeholders and interviewees, i.e. SPO/SPO Delegate, Project Co-ordinator, CFCU Contract Manager, MEU Sector Expert, EUD Sector Manager and key members of the TAT, Supply/Works Contractor, Twinning Partners and final beneficiaries, as applicable.
* Contact project stakeholders to make personal contact and introduce the ROM monitors coming to visit the project and to ensure that the 2nd Announcement Letter has been received.

**n-4 weeks:** collect project documentation from the project stakeholders including, but not limited to, the following:

|  |  |
| --- | --- |
| INSTITUTION | Requested Documentation in soft-copy |
| CFCU | Budget, addenda (if any), dates of report approvals |
| EUD | Any relevant documents (Evaluation reports, Sector Studies) |
| BENEFICIARY | Minutes of Steering and Management Committee Meetings, PMRs |
| CONTRACTOR | Inception and Progress Reports, awareness raising / training materials |
| MEU | PMRs, updated Project Fiche, contact details of sector resource persons / institutions |
| ROMIS DATABASE | Previous ROM reports and RS, if available |

* Submit copies of the obtained documents to the SM.
* Review project documents in order to understand the present state of implementation of the project.
* Update the PS in accordance with the recent project information (current LogFrame, amendments, etc.), and provide preliminary input to the MR and BCS templates from the ROMIS Database and the obtained documents.
* Submit the draft PS to the SM.
* Arrange mission programme/interview schedule, ensuring that sufficient number and scope of interviews are carried out to ensure an informed opinion and allow an objective report.
* Agree with the SM on the final interview schedule.
* If the mission involves field visits, send the draft mission programme to the ROM Project Office ***at the latest*** **2 weeks before the mission starts** (Interview Schedule Template).
* Discuss and finalise logistical arrangements (i.e. travel, accommodation) with the SM.
* If necessary, prepare and send 3rd Announcement Letter to ask for missing documents (n-2 weeks).
* Prepare and discuss with the SM interview questions.

## Realisation of ROM missions

The primary responsibility for managing and ensuring effective teamwork is with the TAT and the MEU/FCD. Monitors must be team players and committed to share information and knowledge.

It is essential that the TAT continuously updates the monitors on good practices and changes in the ROM system. The TAT must ensure that monitors are aware of and understand the current guidelines including all updates of templates, instructions and methodologies. MEU co-monitors shall be provided with continuous specific coaching and guidance by the senior monitors while on mission.

## Briefing

Monitors are conducting meetings with all the main stakeholders. Some of the meetings, according to the individual projects, can have the character of briefings, like with the EUD Sector Manager, the SPO and the CFCU Contract Manager. During briefing, stakeholders share latest project information with the monitoring team and highlight questions of possible concerns. Therefore, it is advisable to conduct such briefing meetings at an early stage during the mission.

## Interviews and Field Visits

The monitoring team conducts a series of meetings in the form of interviews with all relevant stakeholders in accordance with the earlier arranged meeting schedule. Relevant stakeholders in the ROM TR context are:

* MEU Sector Expert
* EUD Project or Sector Manager
* CFCU Contract Manager for TA/Twinning/works/supply contract, as appropriate
* Managers of the beneficiary institution(s)
* SPO Project Coordinator and/or RTA counterpart, Project Implementation Unit
* TA Team Leader/TW RTA
* Representatives of the target group(s), final beneficiaries

The target group and final beneficiaries are a particularly valuable source of information to assess the relevance, outcome, impact prospects and potential sustainability of the operation. Monitors should gather their point of view through individual or group interviews, and/or questionnaires.

**Specificities of ex-post ROM field visits**

From the ROM experts’ point of view, ex-post ROM differs from on-going ROM by its focus on the assessment of real impact and real sustainability, but also by the practical difficulties in its execution.

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

Ex-post ROM visits should therefore take the following into account:

Sufficient time has to be devoted to identify interlocutors, explain the ROM mission and make arrangements for meetings. In that case, the support from all available stakeholders is crucial;

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

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

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

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

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

**Monitors’ Personal Notes**

When monitors are in the field they should make notes of their observations and the responses of the interlocutors. These notes help to substantiate the BCS and MR. They will also be helpful in case the findings in the MR and BCS are questioned at a later stage (e.g. in the Response Sheet) and the monitor needs to justify them.

## Report Writing

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

***After the mission: report writing***

* Agree on the division of report writing with the Co-monitor (within the ROM TR II, the MEU co-monitors are expected to provide input on all 5 main criteria in order to understand the state of the project as a whole, and be able to ensure consistency in the produced reports.
* Draft the ROM outputs and prepare monitoring reports according to the ROM TR Handbook and the Quality Guidelines.
* Ensure that identified strengths and weaknesses are highlighted in the report. The report draws conclusions and makes recommendations to address identified weaknesses.
* Submit finalised ROM report (PS, MR, BCS) by e-mail to the ROM Project Office for Quality Assurance (QA).
* Provide constructive feedback to possible queries during the QA process.

## Quality Assurance of ROM Reports

The standard ROM methodology includes a quality assurance (QA) mechanism, particularly for ROM reporting, which is also applied for the ROM practice in Turkey. Team Leader and Deputy Team Leader of the TAT have the prime responsibility to assure quality throughout the ROM missions, particularly for the ROM reports before their distribution to the stakeholders. QA of ROM reports ensures that all reports meet the same quality standards in conformity with the **ROM TR Quality Guidelines** (Annex 2).

* All factual information must be filled in (PS and first sections of the MR and BCS);
* All sections of the MR and BCS must be addressed;
* The language used must be clear, unambiguous, without unexplained terminology and acronyms, and spelling errors.

In addition to editing linguistic and factual mistakes, QA reviews the content of the reports for consistency and clarity of explanations. This includes verifying whether:

* Sections of MR are linked with those in the BCS;
* Grading/Scoring is fully supported by and coherent with the texts;
* Conclusions/recommendations/observations are well justified and consistent between MR and BCS;
* Text is sufficiently clear for readers who are not familiar with the project;
* Potentially sensitive information is appropriately worded, justified and recorded.

All actors involved, especially the monitors, should respect the timeline for submission of the deliverables. Under the current ROM TR Phase II Contract, PS, MR and BCS have to be ready for dissemination 10 working days after the end of the monitoring mission.

## Dissemination

The TAT is responsible for the dissemination of reports to the stakeholders.

The monitoring mission is only completed with the dissemination of the full set of the report (PS, MR, BCS and Response Sheet) to the respective implementing agencies and stakeholders.

For monitoring to be successful as a management tool, it is essential that the Monitoring Reports are disseminated to all relevant stakeholders.

###

## Follow-up on Recommendations

**Quality factor: Follow-up on recommendations:**

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

Precise comments in the RS on the ROM report are expected. Feedback shall clearly report on the planned implementation of recommendations and include all feedback from stakeholders correctly.

ROM teams should always consult the RSs in order to improve their services.

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

The M&E Coordinator and sector directorates in the MEU ensure follow-up on the recommendations. This most critical part in the monitoring process deserves particular attention by MEU, CFCU and EUD.

The response Sheet (RS) is a structured reply to the ROM monitoring exercise and its findings and recommendations. It provides an opportunity for comments on the quality of the ROM report and on the intended follow-up on recommendations.

***Figure 14 – Follow-up on recommendations***

|  |  |  |  |
| --- | --- | --- | --- |
|  | Follow-up on Recommendations | Reporting on Implementation of Recommendations | Remarks |
| MEU  | Follow-up on recommendations addressed to programming of projects and programmes | Supervision of reporting on all recommendations.  | Systematic collection of relevant information is ensured via the MEU internal channels.  |
| Beneficiary | Follow-up on recommendations addressed to PG | Provides information to MEU on recommendations  | Co-responsibility with MEU for follow-up |
| Implementing Agency  | Follow-up on recommendations for Implementing Agency | Reports to national authority on progress in regular progress reporting | See guidelines for progress reporting in PCM Guidelines chapter 7.2.8  |

##

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# Instructions for writing ROM reports

## Perspective and focus of the methodologies

This third part of the handbook, which is mainly geared towards use by monitors, focuses on methodological issues. Firstly, the perspective of each type of monitoring is explained, highlighting the added value of the exercises. Secondly, general instructions on the ROM TR II tools and documents are provided. Particular attention is paid to the Background Conclusion Sheet (BCS), which is the central element of the analytical process of ROM.

## ROM on-going

**ROM and the project’s time frame**

ROM should take into account the advancement of the project in its life cycle. During the early stages of a project (within the first year), design, efficiency, and effectiveness are key as there is sufficient time to implement proposed recommendations and to put a project back of track, if necessary. Potential impact and sustainability issues will be more significantly reviewed when close to the end of a project.

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

In any case, every section of the BCS has to be filled in.

Taking into account previous ROM exercises and evaluations, several aspects need to be considered in a subsequent ROM:

* Follow-up on recommendations of the previous ROM exercise will be scrutinised;
* Capability of the project to adjust to its environment;
* Quality of the revised log-frame including indicators, if deemed necessary in the previous ROM.

If there are changes in the project background and in the intervention logic, they should be reported in the PS and assessed in the MR accordingly.

Differences in grades between current and previous ROM have to be explained in the report, particularly if they are significant (e.g. “b” to “d” or vice versa).

If, during a re-monitoring, the ROM monitor does not observe any significant change in a specific aspect of the project, a reference to the previous report can be made.

## ROM ex-post

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

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

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

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

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

Lessons learned can have different “reach”: they might only relate to operations, which are very similar to the project they have been drawn from in terms of sector, intervention logic and geographical location. Others can be generalised across sectors, or within a region. Finally some lessons learned can have “universal” validity applying to virtually all development aid operations. When ROM monitors establish lessons learned, they should think about and specify the potential reach. Therefore lessons learned in the MR and BCS should be at the same time sufficiently specific and general.

## Instructions for report writing

## Good quality writing of ROM TR products

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

* Use a concise, clear writing style
* Be concise but specific, e.g. do not respond only with “yes” or “no” in the BCS
* Be original, do not copy and paste from project documents
* Structure the writing by using paragraphs, ideally one issue per paragraph
* Be prudent with using EC jargon
* If acronyms are used, explain them upon first use
* Ensure coherence between BCS and MR
* Grades must match the assessment in the BCS and MR text
* Do not alter/extend BCS and MR beyond space provided/authorized. If important issues need detailed explanation provide separate document/annex
* Address all relevant issues raised by BCS guiding questions.

###

## Project Synopsis (PS)

The Project Synopsis gives a concise overview of the project/programme background. It is an abstract of the project containing basic contractual data, a brief description of the project background and its intervention logic as stated in official documents, e.g. the Project Fiche. It does not include appreciation or observations on the actual implementation of the project.

The PS is the first document to be prepared by the ROM team. If the project has been monitored previously, the co-monitor can use the existing PS, but should check thoroughly whether it needs updating. For example, has the intervention logic changed? Does the LogFrame include new activities or results? Have there been any amendments affecting the end dates, budget etc.?

The PS template for ROM TR reports is provided in the Operational Manual (Annex 1).

## Monitoring Report (MR)

The Monitoring Report is the “executive summary” of a ROM review. It is the key product receiving the most attention from the main stakeholders. It has to contain the most important findings and recommendations in a precise and concise form.

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

The MR for on-going projects consists of five sections containing the intervention data, financial data, the grades, and the summary of conclusions for the five monitoring criteria as well as key observations and recommendation or lessons learned.

The monitor copies the scoring (grading) for each of the five monitoring criteria manually from the BCS to the MR. The values can be found at the bottom of the respective BCS sheet.

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

The MR templates for ROM on-going and ex-post differ in details, but have the same overall structure. Monitors have to make sure they use the correct template depending on the type of the ROM exercise (on-going or ex-post). As differences between templates concern only details and are often not visible at first glance, there is a risk of mixing the different versions.

Never re-use an old PS, MR or BCS as a template for a new project by deleting its content. Always use the most recent template provided to create a new document.

Previous versions of templates, although looking similar, may no longer be valid. Please delete all previous templates from your computer to avoid confusion.

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

The maximum permitted length of the MR is three pages, with mandatory font Arial 10.

**The template for ROM ex-post reports** has a similar layout but with some different data boxes. Similar to the general practise of on-going projects, ex-post assessments considers the entire project with all its components rather than single components. Content-wise, it takes a ***retrospective view*** at the relevance of the intervention and the degree to which the project purpose has been achieved at the project completion date, and a ***current view*** at actual impact and sustainability of the continuing benefits that derive from the results achieved during the project lifetime.

The MR templates for ROM TR reports for on-going and ex-post projects are provided in the Operational Manual (Annex 1).

## Background Conclusion Sheet (BCS) - General structure

The Background Conclusion Sheet is the central methodological tool in ROM. It ensures methodological consistency and is therefore of crucial importance for the success of the ROM exercise.

The BCS provides additional and more detailed information, which should substantiate the main report’s findings, conclusions and recommendations. It reflects the structure of the MR and its *5 main criteria*. These main criteria are further broken down into *16 sub-criteria*, which are compulsory to be assessed. They are important to identify the strengths and weaknesses of the project intervention.

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

As the BCS serves as a background document supporting the synthesis presented in the MR, it is advisable to complete it before drafting the MR.

The BCS has separate parts addressing the five OECD-DAC monitoring criteria (Relevance & Design, Efficiency, Effectiveness, Impact and Sustainability), as well as the lists of persons interviewed and documents analysed.

The lists of persons interviewed and documents analysed ensure the empirical foundation of the monitoring exercise. Furthermore, they can be very helpful for future monitoring visits, especially for ex-post ROM. If individual identification is not possible or appropriate, for example in field meetings with large groups of beneficiaries, it is recommended to specify the type and size of the beneficiary group. Should individuals not wish to be identified, it is up to the discretion of the monitors to list them by giving relevant information without compromising their anonymity.

## Guiding Questions and Self-Monitoring

To facilitate the monitoring exercise, to harmonize findings and conclusions and to eliminate subjectivity to the widest extent possible, some “***Guiding Questions***” have been elaborated complementing the 5 main and 16 sub-criteria.

These questions, however, are not compulsory. They only serve as guidelines or orientation. They do not need to be answered one by one; they may also be amended as needed and deemed helpful by the monitoring team.

It should be remembered that the **BCS is not a questionnaire**; questions under each prime issue (sub-criterion) seek to guide the ROM monitors on what they should address. By no means do these questions intend to limit the scope of the prime issue. It is up to the judgement of the monitors to decide - on a case by case basis - whether or not these guiding questions address the prime issue in an appropriate way. If not, the analysis should not be omitted, but different questions should be formulated.

The ROM instrument in Turkey is based on utmost transparency. The methodology, its basic principles as well as the guiding questions are shared with all relevant stakeholders.

This transparency has a double purpose:

(1) It underlines the principle that monitors are no ‘inspectors’ or ‘controllers’ but consider themselves as part of the project management structure: monitors are not the main actors but may initiate the necessary dialogue among the main decision making stakeholders on shortcomings and recommended corrective action.

(2) It informs and sensitizes stakeholders, which questions are considered relevant and may be asked by the monitors.

Best use of the BCS would therefore be, if the decision-making stakeholders pose these questions to themselves and jointly discuss them, for example during management meetings. In its ultimate consequence, this could make external monitoring redundant in the long-run.

With this aim, BCS-based questions are distributed prior to each ROM mission together with an announcement letter to enable stakeholders to prepare themselves for the forthcoming mission on their basis of these questions.

The Guiding Questions for both on-going and ex-post projects are provided in the Operational Manual (Annex 1).

## 3.2.6. Grading/Scoring

The grading of a project regarding the five monitoring criteria gives a quick overview of its performance. In addition, it allows for a comparison between different projects and for the aggregation of performance data. However, grades strongly reduce the complexity of the issues at hand and their context.

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

*Figure 15 – Grading of prime issues in the BCS*

|  |  |  |  |
| --- | --- | --- | --- |
| Grading | Numerical | Qualitative | Comment |
| A | 3.51-4.00 | Very good | The situation is considered highly satisfactory, largely above average and potentially a reference for good practice.**Recommendations focus on the need to adopt these good practices in other operations.** |
| B | 2.51-3.50 | good | The situation is considered satisfactory, but there is room for improvements. **Recommendations are useful, but not vital for the operation.** |
| C | 1.51–2.50 | problems | There are issues which need to be addressed, otherwise the performance of the operation may be negatively affected.**Corrective actions are necessary, however they do not require major revisions of the operations’ strategy.** |
| D | 1.00-1.50 | serious deficiencies | There are deficiencies which are so serious that, if not addressed, they may lead to failure of the operation.**Major adjustments and revision of the strategy are necessary.** |

ROM Monitors should ***not***:

1. Give an “A” grade because of sympathy for the project’s approach or relevance.
2. Give a “D” grade simply to attract attention to an issue which they consider important, but which does not warrant such a grade.
3. Modify the grades of sub-criteria/prime issues to obtain the desired grade on the main criteria level.

The overall grade for each monitoring criterion is automatically calculated from the weighted grades of the prime issues (sub-criteria). To calculate the overall grade for each criterion, monitors should use the below “score calculator” by marking the grade for each sub-criterion. The overall grade will be calculated automatically, however the monitors need to manually transfer them into the BCS.



An excel version of the score calculator is provided in the Operational Manual (Annex 1).

###

## Specific BCS templates

For making best use of the BCS it is crucial to fully understand the terminology of ROM regarding results and objectives (cf. also Section 2.5):

**Outputs**: Goods and services delivered by the project (e.g. a training session);

**Outcomes**: Benefits derived from the outputs of the project (e.g. improved capacity of those who attended training);

**Project Purpose**: Specific objective addressing the core problem(s) (e.g. improvements in area of intervention due to the improved capacity of the target group);

**Overall Objective**: Broader, long-term changes (directly or indirectly; intended or unintended) in the environment of the project. The project *contributes* to the overall objective, but cannot

achieve it alone.

The BCS templates for ROM TR reports for on-going and ex-post projects are provided in the Operational Manual (Annex 1).

Additional instructions and information to guide monitors in the use of the on-going and ex-post BCS templates are provided in the ROM TR Quality Guidelines (Annex 2).

## Response Sheet (RS)

Attached to each monitoring report, a blank Response Sheet is distributed to the project stakeholders in order to give them the opportunity to comment on the report, correct factual mistakes or express dissenting views, but also to explain what kind of follow-up actions on the monitors’ recommendations they intend to initiate.

It is important to note that ROM only provides an independent view. The monitoring report offers a balanced opinion derived from interviewing all parties involved in the project implementation. ROM is not part of the decision-making structure; hence its findings, conclusions and recommendations do not necessarily have to be shared by all stakeholders. The decisions to be taken remain entirely with the project partners including the Contracting Authority.

In most cases, RSs are received from at least three institutions and stakeholders, usually all varying in content and opinion. Due to time constraints, monitors do not have the means to enter into a dialogue with the stakeholders with a view to harmonizing differences in opinion. However, the expressed views and comments are duly documented and provide an important input for the next monitoring visit. The RS will also be attached to the re-monitoring report in order to underline the transparency and objectivity of the ROM exercise.

The project stakeholders are asked to return the RS to the ROM Project office within 10 calendar days of receipt of the monitoring report.

Response sheets ensure that monitors receive feedback on the quality of their reports and indicate plans for follow-up on the recommendations.

Monitors should verify the implementation of recommendations when they re-monitor the project.

The RS template for ROM TR reports is provided in the Operational Manual (Annex 1).

## Encoding of ROM Reports in ROMIS

Instructions for the encoding of the ROM reports, including RS, are available for download in ROMIS.

###

## Searching in ROMIS

Instructions for searching of ROM data in ROMIS are available in the ROMIS Manual (Annex 3).

###

Use of ROMIS requires access to the password protected ROMIS website.

##

*Figure 16 – ROMIS functional diagram*

# EC External Aid

The EU is a major source of development aid in the world. Taken together, the development aid of the EU and the bilateral aid of the EU Member States amount to more than half of all official development aid (ODA) reported to the Organisation for Economic Cooperation and Development (OECD). More than160 countries benefit from this aid.

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

## Objectives and focus areas

The primary and overarching objective of EU development policy is the eradication of poverty in the context of sustainable development, including the achievement of the Millennium Development Goals. The EU takes into account the multi-dimensional aspects of poverty, including limitations of economic, human, political, socio-cultural and protective capabilities. The development policy seeks to promote common values such as respect for human rights, democracy, rule of law, justice and freedom.

The European Consensus on Development (ECD)[[4]](#footnote-4) identifies nine thematic areas in which the EU has a particular role and comparative advantage. These are its main areas of activity with expertise and capacity to be developed further:

* trade and regional integration
* environment and sustainable management of natural resources
* infrastructure, communications and transport
* water and energy
* rural development, territorial planning, agriculture and food security
* good governance, democracy, human rights and support for economic and institutional reforms
* conflict prevention and fragile states
* human development, social cohesion and employment

## Documents defining EC aid delivery

Monterrey Consensus 2002

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

The Monterrey Consensus emphasized the need to:

* harmonize development approaches among donors
* reduce transaction costs for recipient countries by aligning donor resources
* increase country-level absorption capacity and improve financial management systems through capacity building
* increase local ownership in the design and implementation of poverty reduction frameworks at the country level

Rome Declaration on Harmonisation 2003

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

The Forum's concluding statement commits to:

* ensure that harmonization efforts are adapted to the receiving country’s context, and that donor assistance is aligned with the recipient's priorities
* expand country-led efforts to streamline donor procedures and practices
* review and identify ways to adapt institutions' and countries' policies, procedures, and practices to facilitate harmonization
* implement the good practices principles and standards formulated by the development community as the foundation for harmonization

Paris Declaration on Aid Effectiveness 2005

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

1. developing countries will exercise effective leadership over their development policies, strategies, and coordinate development actions (Ownership)
2. donor countries will base their overall support on the receiving countries' national development strategies, institutions, and procedures (Alignment)
3. donor countries will work so that their actions are more harmonized, transparent, and collectively effective (Harmonization)
4. all countries will manage resources and improve decision-making for results (***Managing for Results***)
5. Donor and developing countries pledge that they will be mutually accountable for development results (Mutual Accountability)

Twelve indicators [[www]](http://www.oecd.org/dataoecd/57/60/36080258.pdf) of aid effectiveness have been developed as a definitive prescription and a road map guiding and tracking progress against a set of partnership commitments with clear targets to be met by the year 2010 and a system to monitor progress towards the targets to be put in place.

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

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

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

* Harmonise donors’ operational procedures to the highest standard so as to reduce transaction costs and make ODA disbursement and delivery more flexible, taking into account national development needs and objectives under the ownership of the recipient country
* Establish good practice on how donors can enhance their operational procedures with a view to strengthening partner country ownership
* Suggest changes donors can make to their own systems and culture in order to strengthen the ownership of partners and reduce the cost of managing aid

The European Consensus on Development of 2005

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

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

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

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

* to provide all capacity-building assistance through coordinated programmes with an increasing use of multi-donor arrangements
* to channel 50% of government-to-government assistance through country systems, including increasing the percentage of EU assistance provided through budget support or SWAp arrangements
* to avoid setting up any new project implementation units (PIUs) for Technical Assistance/Technical Cooperation (TA/TC)
* to reduce the number of uncoordinated missions by 50%

Accra Agenda for Action 2008

The third High Level Forum on Aid Effectiveness in 2008 in Accra, reiterated the commitments of the Paris Declaration, and concluded with the Accra Agenda for Action (AAA) [[www]](http://www.oecd.org/dataoecd/58/16/41202012.pdf). This provides for an agreement on increased predictability of aid, a preference for partner country systems over donor systems, transparency about aid plans and aid use, reduction of conditionality and untying of restrictions. Having taken stock of developments since the Paris Declaration, the AAA points out that progress needs to be made especially regarding country ownership and accounting for results. In addition, the AAA recognizes the increasing role of civil society, global funds and middle-income countries' contribution to development aid and calls for an inclusive partnership reflecting the diversity of actors in development cooperation.

Agenda for Change of 2011

In October 2011 the Commission presented its Agenda for Change and reform proposals for EU budget support, setting out a more strategic EU approach to reducing poverty, including a more targeted allocation of funding.

The Agenda states the EU should encourage more inclusive growth, characterised by people’s ability to participate in, and benefit from, wealth and job creation. The EU must seek to focus its offer to partner countries where it can have the greatest impact and should concentrate its development cooperation in support of:

* human rights, democracy and other key elements of good governance
* inclusive and sustainable growth for human development

To ensure best value for money, this should be accompanied by:

* differentiated development partnerships
* coordinated EU action
* improved coherence among EU policies

## Guiding principles to improve EC development aid

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

National Ownership

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

Partnership

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

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

Alignment

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

Harmonisation

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

Managing for Results

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

## Practice of EC development aid

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

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

Four purposes of Technical Cooperation can be identified:

* capacity development of organisations and individuals providing policy and/or expert advice
* strengthening implementation (of services, investments, regulatory activities)
* preparation/facilitation of EC cooperation (or broader donor cooperation)

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

* Strengthen capacity by co-ordinated support: 50% of technical co-operation flows are to be implemented through coordinated programmes consistent with national development strategies
* Strengthen capacity by avoiding parallel implementation structures: Reduce by two-thirds the stock of parallel project implementation units (PIUs)

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

* **Provide quality TC** that supports country-led programmes, based on a strong partner demand, which focuses on achieving sustainable development results
* **Provide support through partner-owned implementation arrangements**, with a substantial reduction in the use of parallel Project Implementation Units (PIUs)

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

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

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

* democracy and human rights, including children’s rights and the rights of indigenous people
* environmental sustainability
* gender equality
* HIV/AIDS

# Glossary of terms

DAC

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

Decentralisation

Decentralisation (also “Devolution”) means passing responsibility for project and programme management from the Commission to the beneficiary country.

Delegation

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

Devolution

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

Development Indicators

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

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

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

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

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

Effectiveness

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

Efficiency

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

Evaluation

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

Feasibility Study

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

Financing Agreement (FA)

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

Financing Proposal

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

Formulation Phase

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

Gender

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

Gender Equality

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

Identification Phase

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

Impact

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

Implementation Phase

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

LogFrame

The matrix in which a project’s intervention logic, assumptions, objectively verifiable indicators and sources of verification are presented.

Logical Framework Approach (LFA)

A methodology for planning, managing and evaluating programmes and projects, involving stakeholder analysis, problem analysis, analysis of objectives, analysis of strategies, preparation of the LogFrame matrix and Activity and Resource Schedules.

Means (also known as ‘input’)

Means are physical and non-physical resources (often referred to as “inputs”) that are necessary to carry out the planned activities and to manage the project. A distinction can be drawn between human resources and material resources.

Milestones

A type of OVI providing indications for short and medium-term objectives (usually activities), which facilitate measurement of achievements throughout a project rather than just at the end. They also indicate times when decisions should be made or action should be finished.

Monitoring

The systematic and continuous collecting, analysing and using of information for the purpose of management and decision-making.

Objectively Verifiable Indicators (OVI)

Measurable indicators that will show whether or not objectives have been achieved at the three highest levels of the LogFrame. OVIs are crucial to monitor progress.

Outcome

ROM outcomes are the benefits of a target group as a consequence of the project’s output. Example: The skills and knowledge acquired by the participants of a workshop on irrigation methods organized by a project. This is the type of result focused on under effectiveness.

Output

ROM outputs are the tangible goods and services a project delivers to the target group, e.g. vaccines, training workshops, roads and bridges built, etc... This is the type of result focused on under efficiency.

Overall Objective (also known as ‘goal’)

The Overall Objective explains why the project is important to society, in terms of the longer-term benefits to final beneficiaries and the wider benefits to other groups. They also help to show how the project/programme fits into the regional/sector policies of the government/organisations concerned and of the EC, as well as into the overarching policy objectives of EC co-operation. Projects *contribute* to the achievement of the Overall Objective. The Overall Objective will not be achieved by one project alone, but will require the contributions of other projects and programmes as well.

Ownership

Guiding principle of EC development cooperation as underlined in European Consensus on Development and Paris Declaration of 2005: The increased responsibility and control of the partners over planning and implementation with the objective to “bring aid closer to the beneficiaries”. Generally, ownership applies to partner governments; in other contexts it can also refer to the EC Delegations, implementing partners and target groups.

Partner

The individuals and/or organisations that collaborate to achieve mutually agreed upon objectives. The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society, non-governmental organizations, universities, professional and business associations, multilateral organizations, private companies, etc.

Problem Analysis

A structured investigation of the negative aspects of a situation in order to establish causes and their effects.

Programme

Can have various meanings, either: (i) a set of projects put together under the overall framework of a common Overall Objective/Goal; (ii) an on-going set of initiatives/services that support common objectives (i.e. a Primary Health Care Programme); (iii) a Sector Programme, which is defined by the responsible government’s sector policy (i.e. a Health Sector Programme).

Progress Report

An interim report on the progress of work in a certain project submitted by the project management/contractor to the partner organisations within a specific time frame. It includes sections on technical and financial performance.

Project

A project is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.

Project Cycle

The project cycle follows the life of a project from the initial idea through to its completion. It provides a structure to ensure that stakeholders are consulted and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at each phase in the life of a project. It draws on evaluation to build the lessons of experience into the design of future programmes and projects.

Project Cycle Management (PCM)

A methodology for the preparation, implementation, monitoring and evaluation of projects and programmes based on the principles of the Logical Framework Approach.

Project Purpose (also known as Specific Objective)

The central objective of the project. The Purpose should address the core problem(s) and be defined in terms of sustainable benefits for the target group(s). For larger/complex projects there can be more than one purpose (i.e. one per project component).

Relevance

The appropriateness of project objectives to the real problems, needs and priorities of the intended target groups and beneficiaries that the project is supposed to address, and to the physical and policy environment within which it operates.

Resource Schedule

A breakdown of the required project resources/means linked to activities and results, scheduled over time. The resource schedule provides the basis on which costs/budget and cash flow requirements can be established.

Results

The term “result” is used in different, sometimes seemingly contradictory ways in the language of aid delivery. In the EC’s LogFrame Matrix hierarchy of objectives, as spelt out in the PCM, results are the tangible products/services delivered as a consequence of implementing a set of activities. ROM and some other donors and EC programmes refer to these results as ‘Outputs’ and distinguish them from ‘Outcomes’, which are the benefits derived from the outputs.

Risks

A Risk is the probability that an event or action may adversely affect the achievement of project objectives or activities. Risks are composed of factors internal and external to the project, although focus is generally given to those factors outside project management’s direct control.

Sector Approach

A Sector Approach is defined as a way of working together between the government and development partners. The aim is to broaden the Government ownership over public sector policy and resource allocation decisions within the sector, to increase the coherence between policy, spending and results and to reduce transaction costs. It involves progressive development of a comprehensive and coherent sector policy and strategy or a unified public expenditure framework for local and external resources and of a common management, planning and reporting framework.

Sector Policy Support Programme (SPSP)

A SPSP is a programme of the European Commission by which financial support is provided to the partner Government’s Sector Programme. An SPSP may follow three types of operating (financing) modality, namely: (i) SBS; (ii) Financial contributions to pooled Common Funds which fund all or part of the Sector Programme; (iii) Commission specific procedures (European Commission budget or EDF).

Sector Programme

As a result of following a Sector Approach, Governments in consultation with partner donors and other stakeholders may develop a sector policy and action plan. This is identified as a Sector Programme if it includes the following three components: (i) an approved sectoral policy document; (ii) a sectoral medium term expenditure framework; (iii) a coordination process amongst the donors in the sector, led by the Government.

Sources of Verification (SoV)

They form the third column of the LogFrame and indicate where and in what form information on the achievement of the Overall Objective, the Project Purpose(s) and the Results can be found (described by the Objectively Verifiable Indicators). They should include summary details of the method of collection, the person responsible and the frequency of information collection and report.

Stakeholder

Any individuals, groups of people, institutions or firms that may have a relationship with the project/programme are defined as stakeholders. They may – directly or indirectly, positively or negatively – affect or be affected by the process and the outcomes of projects or programmes. Usually, different sub-groups have to be considered.

Sustainability

The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended. Key factors that impact on the likelihood of sustainability include: (i) ownership by beneficiaries; (ii) policy support/consistency; (iii) appropriate technology; (iv) environment; (v) socio-cultural issues; (vi) gender equity; (vii) institutional management capacity; (viii) economic and financial viability.

Target Group(s)

The group/entity that will be positively affected by the project at the Project Purpose level.

Technical Assistance

Specialists, consultants, trainers, advisers etc. contracted for the transfer of know-how, skills and the creation and strengthening of institutions, i.e. the personnel delivering technical cooperation.

Terms of Reference (ToR)

Terms of Reference define the tasks required of a contractor and indicate project background and objectives, planned activities, expected inputs and results/outputs, budget, timetables and job descriptions.

Work Plan

The schedule that sets out the activities (and may include the resources) necessary to achieve a project’s Results and Purpose.

# DAC Codes

General

The sector of destination of a contribution should be selected by answering the question “which specific area of the recipient’s economic or social structure is the transfer intended to foster”. The sector classification does not refer to the type of goods or services provided by the donor. Sector specific education or research activities (e.g. agricultural education) or construction of infrastructure (e.g. agricultural storage) should be reported under the sector to which they are directed, not under education, construction, etc.

Some contributions are not susceptible to allocation by sector and are reported as non-sector allocable aid. Examples are aid for general development purposes, general budget support, actions relating to debt, humanitarian aid and internal transactions in the donor country.

CRS Purpose Codes

In the CRS, data on the sector of destination are recorded using 5-digit purpose codes. The first three digits of the code refer to the corresponding DAC5 sector or category. Each CRS code belongs to one - and only one - DAC5 category. The last two digits of the CRS purpose code are sequential and not hierarchical, i.e. each CRS code stands for itself and can be selected individually or grouped to create sub-sectors. The sequential numbers, however, have been standardised for codes with similar functions as follows:

1. The **most general** CRS codes end in the sequential number **10**.It refers to policy, planning and programmes; administration, institution capacity building and advice; combinations of activities and unspecified activities falling outside other code headings.
2. The **main codes** have sequential numbers **20, 30, 40** and **50**.
3. The **detailed codes** have sequential numbers in the range **61 - 79**.
4. Sector-specific **education, training and research** codes have sequential numbers in the range **81 - 89**. Sector-specific **services** have codes with sequential numbers in the range **91**‑**99**.

As stated above, sector coding identifies the specific areas of the recipient’s economic or social development the transfer intends to foster.

Within each sector, care should be taken to allocate supplies, equipment and infrastructure to the most specific code available.

Sector specific education activities are to be included in the respective sectors, either in a specific education code or in a general code.

When the purpose code does not match precisely the activity being reported

Within each sector or category, the first purpose code listed (sequential number “10”) is defined to include activities falling outside the other code headings.

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 110 |  | EDUCATION |  |
| 111 |  | Education, level unspecified | The codes in this category are to be used only when level of education is unspecified or unknown (e.g. training of primary school teachers should be coded under 11220). |
|  | 11110 | Education policy and administrative management | Education sector policy, planning and programmes; aid to education ministries, administration and management systems; institution capacity building and advice; school management and governance; curriculum and materials development; unspecified education activities. |
|  | 11120 | Education facilities and training | Educational buildings, equipment, materials; subsidiary services to education (boarding facilities, staff housing); language training; colloquia, seminars, lectures, etc. |
|  | 11130 | Teacher training | Teacher education (where the level of education is unspecified); in-service and pre-service training; materials development. |
|  | 11182 | Educational research | Research and studies on education effectiveness, relevance and quality; systematic evaluation and monitoring. |
| 112 |  | Basic education |  |
|  | 11220 | Primary education | Formal and non-formal primary education for children; all elementary and first cycle systematic instruction; provision of learning materials. |
|  | 11230 | Basic life skills for youth and adults  | Formal and non-formal education for basic life skills for young people and adults (adult education); literacy and numeracy training. |
|  | 11240 | Early childhood education | Formal and non-formal pre-school education. |
| 113 |  | Secondary education |  |
|  | 11320 | Secondary education | Second cycle systematic instruction at both junior and senior levels. |
|  | 11330 | Vocational training | Elementary vocational training and secondary level technical education; on-the job training; apprenticeships; including informal vocational training. |
| 114 |  | Post-secondary education |  |
|  | 11420 | Higher education | Degree and diploma programmes at universities, colleges and polytechnics; scholarships. |
|  | 11430 | Advanced technical and managerial training | Professional-level vocational training programmes and in-service training. |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 120 |  | HEALTH |  |
| 121 |  | Health, general |  |
|  | 12110 | Health policy and administrative management | Health sector policy, planning and programmes; aid to health ministries, public health administration; institution capacity building and advice; medical insurance programmes; unspecified health activities. |
|  | 12181 | Medical education/training | Medical education and training for tertiary level services. |
|  | 12182 | Medical research | General medical research (excluding basic health research). |
|  | 12191 | Medical services | Laboratories, specialised clinics and hospitals (including equipment and supplies); ambulances; dental services; mental health care; medical rehabilitation; control of non-infectious diseases; drug and substance abuse control [excluding narcotics traffic control (16063)]. |
| 122 |  | Basic health |  |
|  | 12220 | Basic health care | Basic and primary health care programmes; paramedical and nursing care programmes; supply of drugs, medicines and vaccines related to basic health care. |
|  | 12230 | Basic health infrastructure | District-level hospitals, clinics and dispensaries and related medical equipment; excluding specialised hospitals and clinics (12191). |
|  | 12240 | Basic nutrition | Direct feeding programmes (maternal feeding, breastfeeding and weaning foods, child feeding, school feeding); determination of micro-nutrient deficiencies; provision of vitamin A, iodine, iron etc.; monitoring of nutritional status; nutrition and food hygiene education; household food security. |
|  | 12250 | Infectious disease control | Immunisation; prevention and control of infectious and parasite diseases, except malaria (12262), tuberculosis (12263), HIV/AIDS and other STDs (13040). It includes diarrheal diseases, vector-borne diseases (e.g. river blindness and guinea worm), viral diseases, mycosis, helminthiasis, zoonosis, diseases by other bacteria and viruses, pediculosis, etc. |
|  | 12261 | Health education | Information, education and training of the population for improving health knowledge and practices; public health and awareness campaigns.  |
|  | 12262 | Malaria control | Prevention and control of malaria. |
|  | 12263 | Tuberculosis control | Immunisation, prevention and control of tuberculosis. |
|  | 12281 | Health personnel development | Training of health staff for basic health care services. |

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

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

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| --- |
| **Note:** To assist in distinguishing between “basic drinking water supply and basic sanitation” on the one hand and “water supply and sanitation – large systems” on the other, consider the number of people to be served and the per capita cost of provision of services. Large systems provide water and sanitation to a community through a network to which individual households are connected. Basic systems are generally shared between several households. Water supply and sanitation in urban areas usually necessitates a network installation. To classify such projects, consider the per capita cost of services. The per capita cost of water supply and sanitation through large systems is several times higher than that of basic services.  |

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 150 |  | GOVERNMENT AND CIVIL SOCIETY |  |
| 151 |  | Government and civil society, general | N.B. *Use code 51010 for general budget support.*  |
|  | 15110 | Public sector policy and administrative management | Institution-building assistance to strengthen core public sector management systems and capacities. This includes macro-economic and other policy management, co-ordination, planning and reform; human resource management; organisational development; civil service reform; e‑government; development planning, monitoring and evaluation; support to ministries involved in aid co-ordination; other ministries and government departments when sector cannot be specified. (Use specific sector codes for development of systems and capacities in sector ministries.) |
|  | 15111 | Public finance management | Fiscal policy and planning; support to ministries of finance; strengthening financial and managerial accountability; public expenditure management; improving financial management systems; tax policy and administration; budget drafting; inter-governmental fiscal relations, public audit, public debt. (Use code 33120 for customs.) |
|  | 15112 | Decentralisation and support to sub-national government | Decentralisation processes (including political, administrative and fiscal dimensions); intergovernmental relations and federalism; strengthening departments of regional and local government, regional and local authorities and their national associations. (Use specific sector codes for decentralisation of sector management and services.)  |
|  | 15113 | Anti-corruption organisations and institutions  | Specialised organisations, institutions and frameworks for the prevention of and combat against corruption, bribery, money-laundering and other aspects of organised crime, with or without law enforcement powers, e.g. anti-corruption commissions and monitoring bodies, special investigation services, institutions and initiatives of integrity and ethics oversight, specialised NGOs, other civil society and citizens’ organisations directly concerned with corruption. |
|  | 15130 | Legal and judicial development | Support to institutions, systems and procedures of the justice sector, both formal and informal; support to ministries of justice, the interior and home affairs; judges and courts; legal drafting services; bar and lawyers associations; professional legal education; maintenance of law and order and public safety; border management; law enforcement agencies, police, prisons and their supervision; ombudsmen; alternative dispute resolution, arbitration and mediation; legal aid and counsel; traditional, indigenous and paralegal practices that fall outside the formal legal system.Measures that support the improvement of legal frameworks, constitutions, laws and regulations; legislative and constitutional drafting and review; legal reform; integration of formal and informal systems of law.Public legal education; dissemination of information on entitlements and remedies for injustice; awareness campaigns. (Use codes 152xx for activities that are primarily aimed at supporting security system reform or undertaken in connection with post-conflict and peace building activities.) |
|  | 15150 | Democratic participation and civil society | Support to the exercise of democracy and diverse forms of participation of citizens beyond elections (15161); direct democracy instruments such as referenda and citizens’ initiatives; support to organisations to represent and advocate for their members, to monitor, engage and hold governments to account, and to help citizens learn to act in the public sphere; curricula and teaching for civic education at various levels. (This purpose code is restricted to activities targeting governance issues. When assistance to civil society is for non-governance purposes use other appropriate purpose codes. Use codes 920xx for core support to NGOs.) |
|  | 15151 | Elections | Electoral management bodies and processes, election observation, voters' education. (Use code 15230 when in connection with UN post-conflict peace-building.) |
|  | 15152 | Legislatures and political parties | Assistance to strengthen key functions of legislatures/ parliaments including sub-national assemblies and councils (representation; oversight; legislation), such as improving the capacity of legislative bodies, improving legislatures’ committees and administrative procedures, research and information management systems; providing training programmes for legislators and support personnel. Assistance to political parties and strengthening of party systems. |
|  | 15153 | Media and free flow of information | Activities that support free and uncensored flow of information on public issues; activities that increase the editorial and technical skills and the integrity of the print and broadcast media, e.g. training of journalists. (Use codes 22010-22040 for provision of equipment and capital assistance to media.) |
|  | 15160 | Human rights | Measures to support specialised official human rights institutions and mechanisms at universal, regional, national and local levels in their statutory roles to promote and protect civil and political, economic, social and cultural rights as defined in international conventions and covenants; translation of international human rights commitments into national legislation; reporting and follow-up; human rights dialogue.Human rights defenders and human rights NGOs; human rights advocacy, activism, mobilisation; awareness raising and public human rights education.Human rights programming targeting specific groups, e.g. children, persons with disabilities, migrants, ethnic, religious, linguistic and sexual minorities, indigenous people and those suffering from caste discrimination, victims of trafficking, victims of torture. (Use code 15230 when in connection with UN post conflict peace-building.) |
|  | 15170 | Women’s equality organisations and institutions | Support for institutions and organisations (governmental and non-governmental) working for gender equality and women’s empowerment. |
| 152 |  | Conflict prevention and resolution, peace and security | N.B. *Further notes on ODA eligibility (and exclusions) of conflict, peace and security related activities are given in paragraph 39 of the DAC Statistical Reporting Directives.* |
|  | 15210 | Security system management and reform | Technical co-operation provided to parliament, government ministries, law enforcement agencies and the judiciary to assist review and reform of the security system to improve democratic governance and civilian control; technical co-operation provided to government to improve civilian oversight and democratic control of budgeting, management, accountability and auditing of security expenditure, including military budgets, as part of a public expenditure management programme; assistance to civil society to enhance its competence and capacity to scrutinise the security system so that it is managed in accordance with democratic norms and principles of accountability, transparency and good governance. |
|  | 15220 | Civilian peace-building, conflict prevention and resolution | Support for civilian activities related to peace building, conflict prevention and resolution, including capacity building, monitoring, dialogue and information exchange. |
|  | 15230 | Post-conflict peace-building (UN) | Participation in the post-conflict peace-building phase of United Nations peace operations (activities such as human rights and elections monitoring, rehabilitation of demobilised soldiers, rehabilitation of basic national infrastructure, monitoring or retraining of civil administrators and police forces, training in customs and border control procedures, advice or training in fiscal or macroeconomic stabilisation policy, repatriation and demobilisation of armed factions, and disposal of their weapons; support for landmine removal). Direct contributions to the UN peacekeeping budget are excluded from bilateral ODA (they are reportable in part as multilateral ODA). |
|  | 15240 | Reintegration and SALW control | Reintegration of demobilised military personnel into the economy; conversion of production facilities from military to civilian outputs; technical co-operation to control, prevent and/or reduce the proliferation of small arms and light weapons (SALW) – see paragraph 39 of the DAC Statistical Reporting Directives for definition of SALW activities covered. [Other than in connection with UN peace-building (15230) or child soldiers (15261)]. |

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 160 |  | OTHER SOCIAL INFRASTRUCTURE AND SERVICES |  |
|  | 16010 | Social/ welfare services | Social legislation and administration; institution capacity building and advice; social security and other social schemes; special programmes for the elderly, orphans, the disabled, street children; social dimensions of structural adjustment; unspecified social infrastructure and services, including consumer protection. |
|  | 16020 | Employment policy and administrative management | Employment policy and planning; labour law; labour unions; institution capacity building and advice; support programmes for unemployed; employment creation and income generation programmes; occupational safety and health; combating child labour. |
|  | 16030 | Housing policy and administrative management | Housing sector policy, planning and programmes; excluding low-cost housing and slum clearance (16040). |
|  | 16040 | Low-cost housing | Including slum clearance. |
|  | 16050 | Multi-sector aid for basic social services  | Basic social services are defined to include basic education, basic health, basic nutrition, population/reproductive health and basic drinking water supply and basic sanitation. |
|  | 16061 | Culture and recreation | Including libraries and museums. |
|  | 16062 | Statistical capacity building | Both in national statistical offices and any other government ministries. |
|  | 16063 | Narcotics control | In-country and customs controls including training of the police; educational programmes and awareness campaigns to restrict narcotics traffic and in-country distribution. |
|  | 16064 | Social mitigation of HIV/AIDS | Special programmes to address the consequences of HIV/AIDS, e.g. social, legal and economic assistance to people living with HIV/AIDS including food security and employment; support to vulnerable groups and children orphaned by HIV/AIDS; human rights of HIV/AIDS affected people.  |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 220  |  | COMMUNICATIONS |  |
|  | 22010 | Communications policy andadministrative management | Communications sector policy, planning and programmes; institution capacity building and advice; including postal services development; unspecified communications activities. |
|  | 22020 | Telecommunications | Telephone networks, telecommunication satellites, earth stations. |
|  | 22030 | Radio/television/print media | Radio and TV links, equipment; newspapers; printing and publishing. |
|  | 22040 | Information and communication technology (ICT) | Computer hardware and software; internet access; IT training. When sector cannot be specified.  |

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

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

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

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 311 |  | AGRICULTURE |  |
|  | 31110 | Agricultural policy and administrative management | Agricultural sector policy, planning and programmes; aid to agricultural ministries; institution capacity building and advice; unspecified agriculture. |
|  | 31120 | Agricultural development | Integrated projects; farm development. |
|  | 31130 | Agricultural land resources | Including soil degradation control; soil improvement; drainage of water logged areas; soil desalination; agricultural land surveys; land reclamation; erosion control, desertification control. |
|  | 31140 | Agricultural water resources | Irrigation, reservoirs, hydraulic structures, ground water exploitation for agricultural use. |
|  |  |  |  |
|  | 31150 | Agricultural inputs | Supply of seeds, fertilizers, agricultural machinery/equipment. |
|  | 31161 | Food crop production | Including grains (wheat, rice, barley, maize, rye, oats, millet, sorghum); horticulture; vegetables; fruit and berries; other annual and perennial crops. [Use code 32161 for agro-industries.] |
|  | 31162 | Industrial crops/export crops | Including sugar; coffee, cocoa, tea; oil seeds, nuts, kernels; fibre crops; tobacco; rubber. [Use code 32161 for agro-industries.] |
|  | 31163 | Livestock | Animal husbandry; animal feed aid. |
|  | 31164 | Agrarian reform | Including agricultural sector adjustment. |
|  | 31165 | Agricultural alternative development | Projects to reduce illicit drug cultivation through other agricultural marketing and production opportunities (see code 43050 for non-agricultural alternative development). |
|  | 31166 | Agricultural extension | Non-formal training in agriculture. |
|  | 31181 | Agricultural education/training |  |
|  | 31182 | Agricultural research | Plant breeding, physiology, genetic resources, ecology, taxonomy, disease control, agricultural bio-technology; including livestock research (animal health, breeding and genetics, nutrition, physiology). |
|  | 31191 | Agricultural services | Marketing policies & organisation; storage and transportation, creation of strategic reserves. |
|  | 31192 | Plant and post-harvest protection and pest control | Including integrated plant protection, biological plant protection activities, supply and management of agrochemicals, supply of pesticides, plant protection policy and legislation. |
|  | 31193 | Agricultural financial services | Financial intermediaries for the agricultural sector including credit schemes; crop insurance. |
|  | 31194 | Agricultural co-operatives | Including farmers’ organisations. |

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

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 321 |  | INDUSTRY |  |
|  | 32110 | Industrial policy and administrative management | Industrial sector policy, planning and programmes; institution capacity building and advice; unspecified industrial activities; manufacturing of goods not specified below. |
|  | 32120 | Industrial development |  |
|  | 32130 | Small and medium-sized enterprises (SME) development | Direct support to the development of small and medium-sized enterprises in the industrial sector, including accounting, auditing and advisory services. |
|  | 32140 | Cottage industries and handicraft |  |
|  | 32161 | Agro-industries | Staple food processing, dairy products, slaughterhouses and equipment, meat and fish processing and preserving, oils/fats, sugar refineries, beverages/tobacco, and animal feeds production. |
|  | 32162 | Forest industries | Wood production, pulp/paper production. |
|  | 32163 | Textiles, leather and substitutes | Including knitting factories.  |
|  | 32164 | Chemicals  | Industrial and non-industrial production facilities; includes pesticides production. |
|  | 32165 | Fertilizer plants |  |
|  | 32166 | Cement/lime/plaster |  |
|  | 32167 | Energy manufacturing | Including gas liquefaction; petroleum refineries. |
|  | 32168 | Pharmaceutical production | Medical equipment/supplies; drugs, medicines, vaccines; hygienic products. |
|  | 32169 | Basic metal industries | Iron and steel, structural metal production. |
|  | 32170 | Non-ferrous metal industries |  |
|  | 32171 | Engineering | Manufacturing of electrical and non-electrical machinery, engines/turbines. |
|  | 32172 | Transport equipment industry | Shipbuilding, fishing boats building; railroad equipment; motor vehicles and motor passenger cars; aircraft; navigation/guidance systems. |
|  | 32182 | Technological research and development | Including industrial standards; quality management; metrology; testing; accreditation; certification. |

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

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

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 331 |  | TRADE POLICY AND REGULATIONS AND TRADE-RELATED ADJUSTMENT |  |
|  | 33110 | Trade policy and administrative management | Trade policy and planning; support to ministries and departments responsible for trade policy; trade-related legislation and regulatory reforms; policy analysis and implementation of multilateral trade agreements e.g. technical barriers to trade and sanitary and phytosanitary measures (TBT/SPS) except at regional level (see 33130); mainstreaming trade in national development strategies (e.g. poverty reduction strategy papers); wholesale/retail trade; unspecified trade and trade promotion activities. |
|  | 33120 | Trade facilitation | Simplification and harmonisation of international import and export procedures (e.g. customs valuation, licensing procedures, transport formalities, payments, insurance); support to customs departments; tariff reforms. |
|  | 33130 | Regional trade agreements (RTAs) | Support to regional trade arrangements [e.g. Southern African Development Community (SADC), Association of Southeast Asian Nations (ASEAN), Free Trade Area of the Americas (FTAA), African Caribbean Pacific/European Union (ACP/EU)], including work on technical barriers to trade and sanitary and phytosanitary measures (TBT/SPS) at regional level; elaboration of rules of origin and introduction of special and differential treatment in RTAs. |
|  | 33140 | Multilateral trade negotiations | Support developing countries’ effective participation in multilateral trade negotiations, including training of negotiators, assessing impacts of negotiations; accession to the World Trade Organisation (WTO) and other multilateral trade-related organisations. |
|  | 33150 | Trade-related adjustment | Contributions to the government budget to assist the implementation of recipients' own trade reforms and adjustments to trade policy measures by other countries; assistance to manage shortfalls in the balance of payments due to changes in the world trading environment.  |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 400 |  | MULTISECTOR/CROSS-CUTTING |  |
| 410 |  | General environmental protection | Non-sector specific. |
|  | 41010 | Environmental policy and administrative management | Environmental policy, laws, regulations and economic instruments; administrational institutions and practices; environmental and land use planning and decision-making procedures; seminars, meetings; miscellaneous conservation and protection measures not specified below. |
|  | 41020 | Biosphere protection | Air pollution control, ozone layer preservation; marine pollution control. |
|  | 41030 | Bio-diversity | Including natural reserves and actions in the surrounding areas; other measures to protect endangered or vulnerable species and their habitats (e.g. wetlands preservation). |
|  | 41040 | Site preservation | Applies to unique cultural landscape; including sites/objects of historical, archaeological, aesthetic, scientific or educational value. |
|  | 41050 | Flood prevention/control | Floods from rivers or the sea; including seawater intrusion control and sea level rise related activities. |
|  | 41081 | Environmental education/ training |  |
|  | 41082 | Environmental research | Including establishment of databases, inventories/accounts of physical and natural resources; environmental profiles and impact studies if not sector specific. |
| 430 |  | Other Multisector |  |
|  | 43010 | Multisector aid |  |
|  | 43030 | Urban development and management | Integrated urban development projects; local development and urban management; urban infrastructure and services; municipal finances; urban environmental management; urban development and planning; urban renewal and urban housing; land information systems. |
|  | 43040 | Rural development | Integrated rural development projects; e.g. regional development planning; promotion of decentralised and multi-sectoral competence for planning, co-ordination and management; implementation of regional development and measures (including natural reserve management); land management; land use planning; land settlement and resettlement activities [excluding resettlement of refugees and internally displaced persons (72010)]; functional integration of rural and urban areas; geographical information systems. |
|  | 43050 | Non-agricultural alternative development | Projects to reduce illicit drug cultivation through, for example, non-agricultural income opportunities, social and physical infrastructure (see code 31165 for agricultural alternative development). |
|  | 43081 | Multisector education/training | Including scholarships. |
|  | 43082 | Research/scientific institutions | When sector cannot be identified. |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 500 |  | COMMODITY AID AND GENERAL PROGRAMME ASSISTANCE | Note: Sector specific programme assistance is to be included in the respective sectors, using the sector programme flag if appropriate. |
| 510 |  | General budget support | Budget support in the form of SWAps should be included in the respective sectors.  |
|  | 51010 | General budget support | Unearmarked contributions to the government budget; support for the implementation of macroeconomic reforms (structural adjustment programmes, poverty reduction strategies); general programme assistance (when not allocable by sector). |
| 520 |  | Developmental food aid/Food security assistance |  |
|  | 52010 | Food aid/Food security programmes | Supply of edible human food under national or international programmes including transport costs; cash payments made for food supplies; project food aid and food aid for market sales when benefiting sector not specified; excluding emergency food aid. |
| 530 |  | Other commodity assistance | Non-food commodity assistance (when benefiting sector not specified). |
|  | 53030 | Import support (capital goods) | Capital goods and services; lines of credit. |
|  | 53040 | Import support (commodities) | Commodities, general goods and services, oil imports. |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 700 |  | HUMANITARIAN AID  | Within the overall definition of ODA, humanitarian aid is assistance designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies. To be classified as humanitarian, aid should be consistent with the humanitarian principles of humanity, impartiality, neutrality and independence. |
| 720 |  | Emergency Response | An emergency is a situation that results from man-made crises and/or natural disasters. |
|  | 72010 | Material relief assistance and services  | Shelter, water, sanitation and health services, supply of medicines and other non-food relief items; assistance to refugees and internally displaced people in developing countries other than for food (72040) or protection (72050).  |
|  | 72040 | Emergency food aid | Food aid normally for general free distribution or special supplementary feeding programmes; short-term relief to targeted population groups affected by emergency situations. Excludes non-emergency food security assistance programmes/food aid (52010). |
|  | 72050 | Relief co-ordination; protection and support services  | Measures to co-ordinate delivery of humanitarian aid, including logistics and communications systems; measures to promote and protect the safety, well-being, dignity and integrity of civilians and those no longer taking part in hostilities. (Activities designed to protect the security of persons or property through the use or display of force are not reportable as ODA.)  |
| 730 |  | Reconstruction relief and rehabilitation | This relates to activities during and in the aftermath of an emergency situation. Longer-term activities to improve the level of infrastructure or social services should be reported under the relevant economic and social sector codes. See also guideline on distinguishing humanitarian from sector-allocable aid.  |
|  | 73010 | Reconstruction relief and rehabilitation | Short-term reconstruction work after emergency or conflict limited to restoring pre-existing infrastructure (e.g. repair or construction of roads, bridges and ports, restoration of essential facilities, such as water and sanitation, shelter, health care services); social and economic rehabilitation in the aftermath of emergencies to facilitate transition and enable populations to return to their previous livelihood or develop a new livelihood in the wake of an emergency situation (e.g. trauma counselling and treatment, employment programmes).  |
| 740 |  | Disaster prevention and preparedness | See codes 41050 and 15220 for prevention of floods and conflicts. |
|  | 74010 | Disaster prevention and preparedness | Disaster risk reduction activities (e.g. developing knowledge, natural risks cartography, legal norms for construction); early warning systems; emergency contingency stocks and contingency planning including preparations for forced displacement.  |

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| **Distinguishing humanitarian from sector–allocable aid**Humanitarian aid will usually be funded from appropriations dedicated to emergencies and their immediate aftermath and/or the prevention thereof or preparedness therefore, and funding from such appropriations is the main criterion for reporting expenditure as humanitarian aid. If the humanitarian nature of expenditure cannot be determined by its funding appropriation, members may for statistical reporting purposes have reference to situation reports by the United Nations and/or the International Movement of the Red Cross/Red Crescent (ICRC/IFRC). These are normally issued throughout an emergency to identify continuing humanitarian needs. If no UN or ICRC/IFRC situation report has been issued for six months, this could indicate that the situation is no longer perceived as an emergency, though international support could nevertheless be needed to address continuing humanitarian needs.  |

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

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 920 |  | SUPPORT TO NON- GOVERNMENTAL ORGANISATIONS (NGOs) | Official funds to be paid over to national and international private voluntary agencies for use at the letters’ discretion. |
|  | 92010 | Support to national NGOs | In the donor country. |
|  | 92020 | Support to international NGOs |  |
|  | 92030 | Support to local and regional NGOs | In the recipient country or region. |

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 930 |  | REFUGEES IN DONOR COUNTRIES |  |
|  | 93010 | Refugees in donor countries |  |

| DAC 5 CODE | CRS CODE | DESCRIPTION | Clarifications / Additional notes on coverage |
| --- | --- | --- | --- |
| 998 |  | UNALLOCATED/ UNSPECIFIED |  |
|  | 99810 | Sectors not specified | Contributions to general development of the recipient should be included under programme assistance (51010). |
|  | 99820 | Promotion of development awareness | Spending in donor country for heightened awareness/interest in development co-operation (brochures, lectures, special research projects, etc.). |

# Annexes

# ROM TR Operational Manual

# ROM TR Quality Guidelines

# ROMIS Manual

1. Based on the explanation in Article 58 of the IPA Implementing Regulation it is inferred that the main responsibility of the monitoring is on the NIPAC. However, combining the statements in Article 58 with the responsibilities of the NIPAC as stated in Article 22, monitoring has a wider meaning. Differently from activity monitoring, it also gives a more comprehensive insight in that it provides a link between the accession process and the financial cooperation. [↑](#footnote-ref-1)
2. Source: Adapted from Fukuda-Parr, Lopes and Malik (2002) *Capacity for Development. New Solutions to Old Problems*, New York: Earthscan Publications Ltd, p. 11. [↑](#footnote-ref-2)
3. <http://capacity4dev.ec.europa.eu/article/european-commission-systems-office-quality-support-groups> [↑](#footnote-ref-3)
4. http://ec.europa.eu/development/policies/9interventionareas\_en.cfm [↑](#footnote-ref-4)