



**DG NEAR**

Addressing capacity development in  
planning/programming, monitoring  
and evaluation

A Guidance note

December 2017



## PREFACE

In candidate countries and potential candidates and in neighbourhood east and south countries, capacity development is an important component of Directorate General Neighbourhood and Enlargement Negotiations' (DG NEAR) support to partner countries in their efforts to achieve national development targets and mutually-agreed policy objectives (be it EU accession or more tailor-made objectives for neighbourhood countries). This often implies supporting partner countries' efforts in building and developing their institutional, technical and human capacities in the public and private spheres.

Institutional capacity development is specifically relevant to DG NEAR actions, in the framework of our support to candidate countries and potential candidate' efforts reforming their societies and modernising their public administration in view of EU accession. Stronger capacities also contribute to neighbourhood countries' stabilisation and far-reaching reform processes.

Capacity development is also a priority in our support to non-state actors (such as the private sector, or civil society organisations) which have a key role to play in achieving national sustainable, inclusive and smart development.

Nevertheless, lessons drawn from past and current experience, call for an enhanced DG NEAR's approach on capacity development consideration into planning/programming, monitoring and evaluation.

Therefore, I am pleased that our DG has now prepared this guidance note. It provides DG NEAR actors (e.g. operational task managers) and national stakeholders with a different paradigm that, if actually soundly considered, would increase the impact and sustainability of our support. Indeed, the focus would be primarily put on the capacities that our beneficiary institutions (in both the public and private spheres) need to fulfil their own missions. In order to do so, the document builds on these capacities and provides questions for reflexion, as well as examples of indicators to soundly measure actual capacity development, moving from a quantitative approach to a sounder qualitative results-oriented one.

It has been prepared after careful consultations with staff members across Directorates of our DG. The note will remain a living document which can be further improved.

I am confident that the implementation of this guidance will help you and also our beneficiaries to better consider and assess of the effect that our interventions have at both the individual and institutional levels.

*Christian Danielsson*



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## 1. INTRODUCTION

According to an OECD-DAC definition<sup>1</sup>, “Capacity development [is] the process by which individuals, groups, organisations, institutions and countries develop their abilities, individually and collectively, to perform functions, solve problems and achieve objectives”.

**The purpose of this document is to provide guidance on how to better address capacity development in DG NEAR interventions at planning/programming, monitoring and evaluation stages. Capacity development interventions considered in this note target public administration institutions and non-state actors (private sector, associative, other).**

This note takes stock of already existing guidance in the Commission in this area, including:

- ✓ the 'Evaluation Methodology & Baseline Study of European Commission Technical Cooperation support' (2011)<sup>2</sup>, which provides a thorough and quick evaluation methodology of capacity development<sup>3</sup>.
- ✓ Toolkit for capacity development' (2010)<sup>4</sup>.
- ✓ Reforming Technical Cooperation and Project Implementation Units - A Backbone Strategy'<sup>5</sup> (2008).

In addition, this note takes into account the work done by DG NEAR with OECD/SIGMA on public administration reform<sup>6</sup> since 2014. The Principles of Public Administration provide the key reference framework for addressing the capacity of public institutions. This note, therefore, aims to specifically support:

- ✓ DG NEAR geographical and regional intervention units, responsible for the planning/programming, follow-up on implementation, monitoring and/or evaluation of IPA II and ENI actions;
- ✓ DG NEAR monitoring and evaluation officers;
- ✓ EU Delegations/office (EUDs) in the Neighbourhood and Enlargement regions and in particular intervention managers, monitoring and evaluation focal points, Head of operations, etc.;
- ✓ National authorities in ENI and IPA II partner countries – monitoring and evaluation experts at the NIPAC office, NAO office, Operating structures, etc.;

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<sup>1</sup> DAC (Development Assistance Committee) definition build on the UNDP's definition in UNDP - Governance for sustainable human development - A UNDP policy document - Glossary of key terms - 1997

<sup>2</sup> Refer to: [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/reports/2012/1310\\_en.pdf](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2012/1310_en.pdf)

<sup>3</sup> This study provided a broad-scoped literature review of technical cooperation in development contexts. The literature review provided an overview of the main conclusions and lessons learned in relation to capacity and capacity development consideration in development and non-development fields. It provided useful insights for capacity development consideration for planning/programming, monitoring and evaluation exercises. The literature review was based on a very wide cross-section of domains including development cooperation, business, health, infrastructure and knowledge management. The over two hundred books, articles, reports and other products consulted were the result of studies undertaken by or for bilateral and multilateral donors, international financial institutions, business schools and journals, academic and civil society organisations. This study also builds on Netherlands' experience in the evaluation of CD (that uses the 5Cs model as part of its methodology; Refer to Annex 1)

<sup>4</sup> Refer to: <https://europa.eu/capacity4dev/t-and-m-series/document/reference-document-nr-6-toolkit-capacity-development-2010>

<sup>5</sup> Refer to: <https://europa.eu/capacity4dev/public-cd-tc/document/reforming-technical-cooperation-and-project-implementation-units-backbone-strategy>

<sup>6</sup> Refer to: <http://www.sigmaxweb.org/publications/principles-public-administration.htm>

- ✓ Implementing partners, other than those mentioned in the previous bullet point; and
- ✓ External evaluators and monitoring (ROM) contractors.

The document is divided in four parts:

**Part 1** defines capacity & capacity development concepts thus laying the basis for a common understanding of those terms.

**Part 2** presents the key questions to consider when planning/programming a capacity development process.

**Part 3** presents issues to consider when assessing - monitoring and evaluating - a capacity development process.

**Part 4** presents the annexes. Annex 1 presents the 5Cs (5 capacities framework). Annex 2 is particularly important since it presents examples of indicators, by type of capacity, which can be used at the planning/programming, monitoring and evaluation stages of an intervention. Annex 3 presents the key elements for a Rapid Assessment of Capacity Development (RAC). Annex 4 includes a didactic PowerPoint presentation on the RAC 4-steps approach. Annex 5 links to the standard ToR for a RAC.



# PART 1: HOW CAN CAPACITY & CAPACITY DEVELOPMENT BE DEFINED?

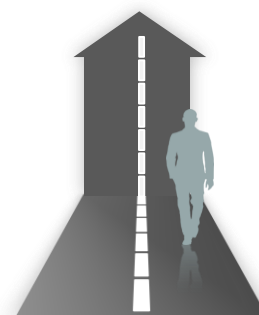
## 2. KEY DEFINITIONS

The following OECD-DAC definitions<sup>7</sup> are used in the present document:

- **CAPACITY**<sup>8</sup>: understood as the ability of people, organisations and society as a whole to manage their affairs successfully<sup>9</sup> & <sup>10</sup>.
- **CAPACITY DEVELOPMENT (CD)**: the process by which individuals, groups and organisations, institutions and countries develop, enhance and organise their systems, resources and knowledge. Actual CD is reflected in their individual and collective abilities, to perform functions, solve problems and achieve objectives<sup>11</sup>.

Capacity development is therefore to be considered as a *learning process*. The temporal aspect of the process is crucial since capacity development is complex and involves different stakeholders and levels (societal, institutional and sectorial) within a delimited timeframe.

- ✓ **PROCESS**: this refers to the learning path for the deployment of certain capacities. This trajectory is the product of knowledge and practice<sup>12</sup>.
- ✓ **PROCESS OR INDIVIDUAL LEARNING PATH**: this refers to the individual's processes of acquiring knowledge and practices spanning from higher education and college to past and present work experiences.
- ✓ **PROCESS OR ORGANISATIONAL LEARNING PATH**: By pooling the knowledge of individuals, organisations have a specific process to absorb and integrate this knowledge in a way that contributes to their own identity.



*Capacity development is a learning process with a past, a present and a future in which an EU intervention interacts strengthening and valorising acquired knowledge and/or introducing new knowledge.*

<sup>7</sup> Such DAC (Development Assistance Committee) definitions build on the UNDP's definition: "Capacity development [is] the process by which individuals, groups, organisations, institutions and countries develop their abilities, individually and collectively, to perform functions, solve problems and achieve objectives". UNDP - Governance for sustainable human development - A UNDP policy document - Glossary of key terms - 1997

<sup>8</sup> Whilst Capacity regards the comprehensive successful management of either the mission of an institution, or the affairs of an individual, capability regards the ability of these subjects to manage a specific function in the framework of their mission and affairs. Capability' is never used when referring to the comprehensive dimension of capacity; it is rather applied to specific capacity areas. For instance, the global capacity of an institution is defined as the coherent expression of four fundamental capabilities (refer to **LEVEL 3 OF THE IL: CAPACITY OUTCOMES**).

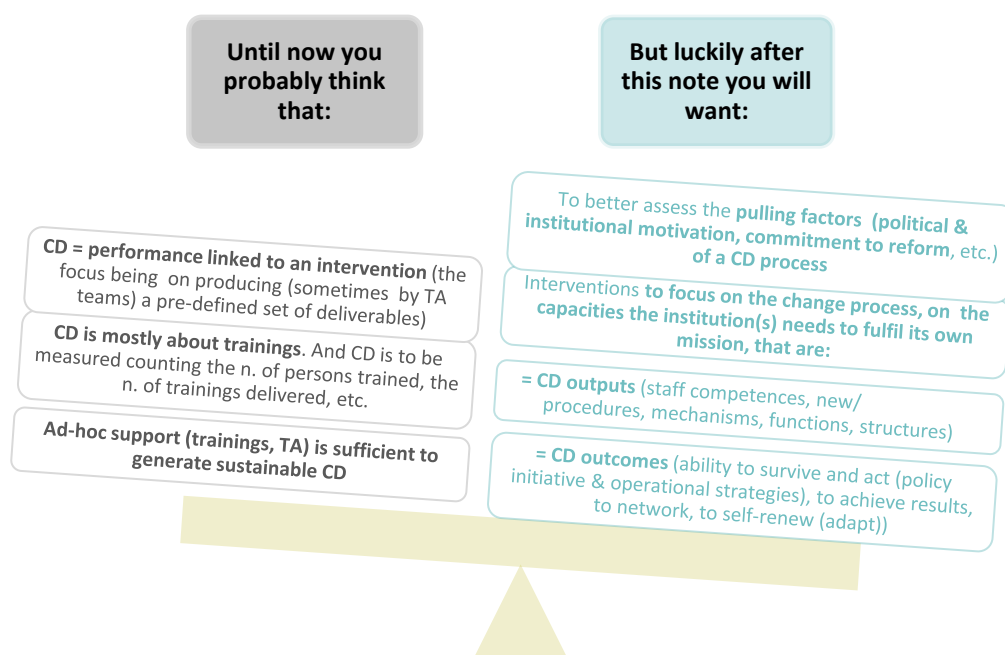
<sup>9</sup> The terms "Capacity outputs" and "Capacity outcomes" are used in a CD-related intervention logic to distinguish between the sequential steps of a capacity development process. For detailed information, refer to **WHAT** to consider when planning/programming capacity development-related interventions.

<sup>10</sup> Examples of capacity development related activities, outputs and outcomes can be found in the following sections.

<sup>11</sup> OECD-DAC - Guidelines and Reference Series Applying Strategic Environmental Assessment: Good Practice Guidance for Development Co-operation, OECD, Paris, 2006

<sup>12</sup> Formal and informal, the latter resulting from the interaction of individuals in different positions and functions.

## PART 2: HOW TO ADRESS CAPACITY IN AN INTERVENTION LOGIC: KEY ISSUES & QUESTIONS WHEN PLANNING/PROGRAMMING



### 3. KEY ISSUES TO CONSIDER WHEN CAPACITY DEVELOPMENT IS ADDRESSED IN AN INTERVENTION

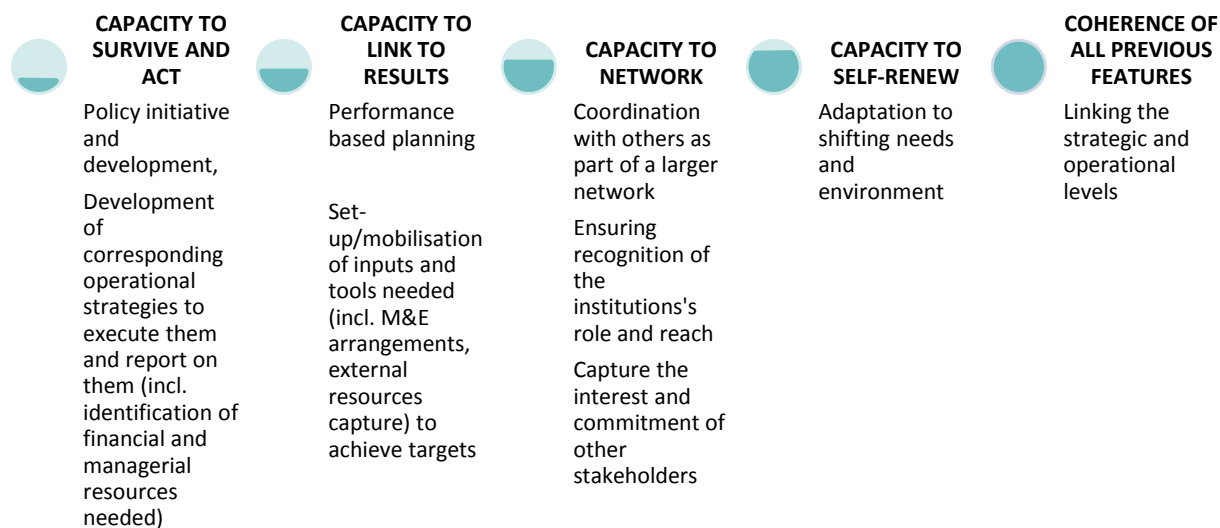
#### 3.1. Capacity development is not *only* about individuals

Whilst the development of **an individual's capacity is key, individuals are part of an institution, an organisation, which does not operate in isolation but with other organisations, and these are also to be considered in the equation.** Indeed, the endogenous learning process includes both:

- ✓ the **acquisition of individual and organisational capabilities, and**
- ✓ **their mainstreaming and transformation into an overall institutional capacity to fulfil its own mission** encompassing a coherent improvement in a number of basic features summarised below (which need to be adapted to the specific nature of the institution or system and to the characteristics of the context):

Institutional capacity development can cover various aspects of an institution's mission and thus produce a variety of outcomes, as presented in the figure below:

FIGURE 1: INSTITUTIONAL CAPACITY DEVELOPMENT OUTCOMES



### 3.2. Performance (in producing pre-defined deliverables) is not capacity. Support to change processes is the key to promote capacity.

An institution's performance is not a proxy for its capacity. The **focus of donor-supported capacity development efforts should be on facilitating change processes and on key stakeholders' ability to easily engage in resource mobilisation, motivation, uptake, ownership and accountability.** It should not be, on the performance of key stakeholders in producing pre-defined deliverables.

### 3.3. Capacity development is an endogenous and iterative process

Capacity Development is **a process whereby the organisation and its staff are equipped to better fulfil their own missions.** External and internal drivers might be demands for service delivery and accountability stemming from citizens, clients, politicians, development partners, etc.

A **significant and sustainable change in the capacity of a given institution or system,** which enables that institution or system to improve its efficiency and effectiveness in the accomplishment of its own mission, while ensuring coherence with other institutions' missions within the system, **is the result of a deep internal learning process.** Capacity resides and develops internally.

**Capacity Development (and change generally) needs to be considered as a long-term iterative process.**

### 3.4. A capacity development process is subject to two types of stimuli: pull and push factors

#### 3.4.1. Pull factor: The driving force of the context in which the institution is embedded

The context or 'opportunity framework'<sup>13</sup> and the quality of the learning process are determined by the **extent to which the political, societal and economic environment** in which the beneficiary institution or system is embedded is an enabling (or limiting) one. Drivers for capacity development are the international environment, partnerships and the domestic political leadership. **An enabling environment** will drive the change process through the provision of adequate opportunities, visions and inputs. **Political motivation inherent in socially-important objectives** (such as those negotiated in the framework of EU enlargement strategy, association agreements, on policy dialogue on different issues, such as on economic governance or public administration reform, etc.) can drive **ownership of and support to CD.**

<sup>13</sup> Refer to **THE CONTEXT / OPPORTUNITY FRAMEWORK (OF)**

**CD is accelerated or enabled by political pull** enhanced by perceived positive motivation of the decision-maker, political timing and the support of external lobbies. The motivational leadership is - or is not - provided from the highest levels of government.

The political context, support from potential beneficiaries, links between the motivation of the decision-maker and changes sought, and so forth, are often key to enabling the organisation to use the new capacity it has acquired (through empowerment and delegation).

#### 3.4.2. *Push factors: The quality of the externally-supported interventions*

Externally-supported interventions are generally used to build/strengthen systems, processes and structures (through various strategies including training, peer-to-peer exchanges and mentoring) as part of a CD-push strategy.

In a typical CD-push strategy, CD concepts are relatively fixed in terms of the requisite “steps” prescribed for success. These steps create a hierarchy and a series of products. This is what donors need for their project cycles, contract management, and so forth. While this is important for donor's accountability, **a CD-pull approach should be prioritised to ensure sustainability.**

### 3.5. Capacity development is not only about training

Although training individuals, transferring capacity and developing more efficient systems is important, **capacity depends more on improved institutional set-up and management that is able to ensure the integration (and internalisation) of new abilities, skills and knowledge into everyday work.**

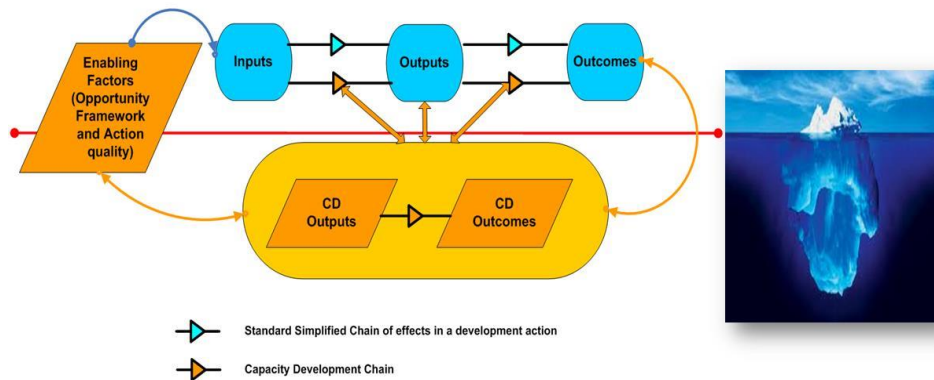
### 3.6. The intervention logic (IL) of a capacity development intervention is typically nested in the IL of an intervention<sup>14</sup>

This is shown in the figure below in which the implicit CD process (the hidden part of the iceberg) is unpacked. The figure shows that **the inputs<sup>15</sup> and outputs of a support intervention contribute to a capacity development process, with the latter in turn contributing to the generation of the effects of the intervention (namely the outputs and outcomes).**

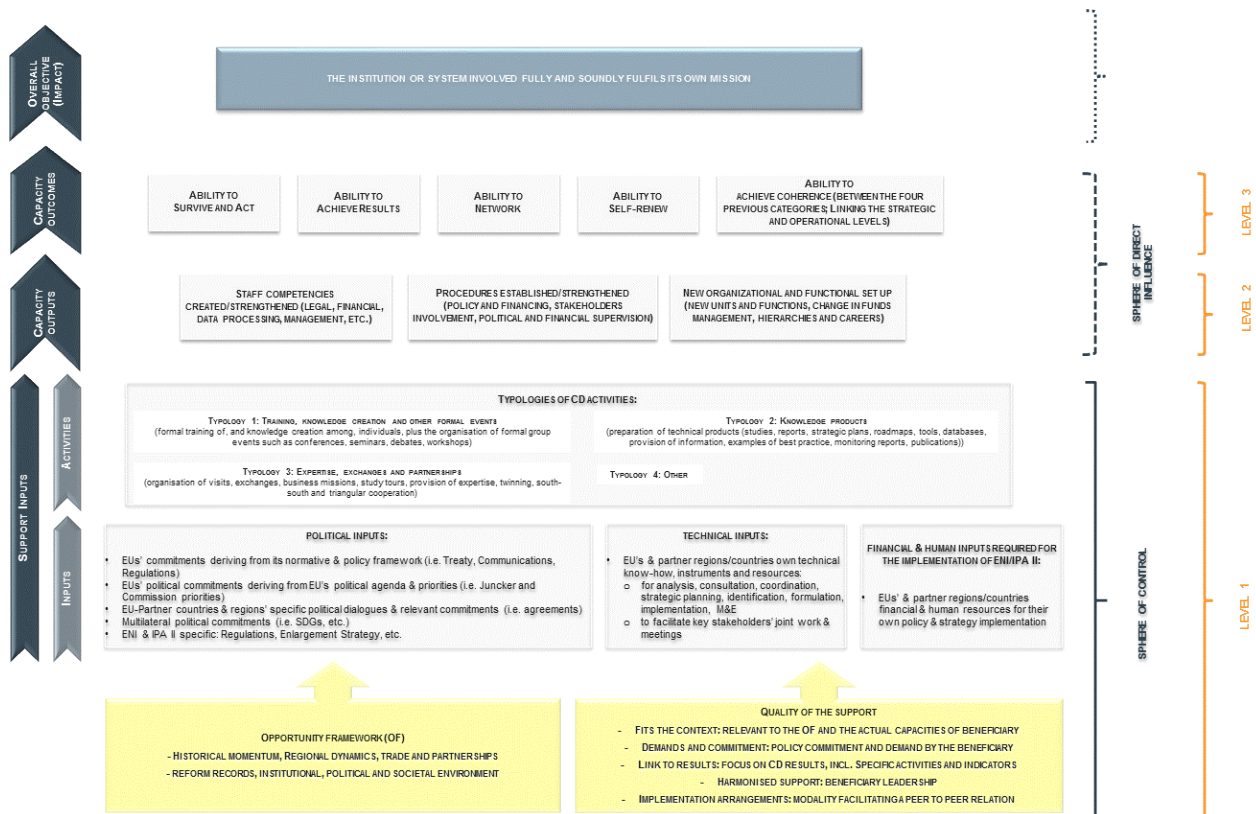
<sup>14</sup> As recalled in DG NEAR Guidelines on linking planning/programing, monitoring and evaluation (refer to: [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf)), while Action documents' templates do not provide for intervention logic diagrams to be included (contrary to log frame matrices), it is highly recommended to include them as these allow showing visually the full set of direct and indirect linkages between and within levels, as well as the opportunity framework in which the intervention occurs. This acquires an increased importance when considering the expected contribution and influence of an EU intervention to beneficiaries' capacity development.

<sup>15</sup> The term 'Input' is used here in a broader way than in 'DG NEAR Guidelines on linking planning/programing, monitoring and evaluation', in which it is defined as 'The political, technical, financial, human, and material resources put in place to generate activities'. Indeed, it considers both these elements but also the activities generated by them. To clearly show these different levels, the standard capacity development IL has been adapted.

**FIGURE 2: NESTED STANDARD SUPPORT INTERVENTION AND CD ILS**



**FIGURE 3: STANDARD CAPACITY DEVELOPMENT INTERVENTION LOGIC**

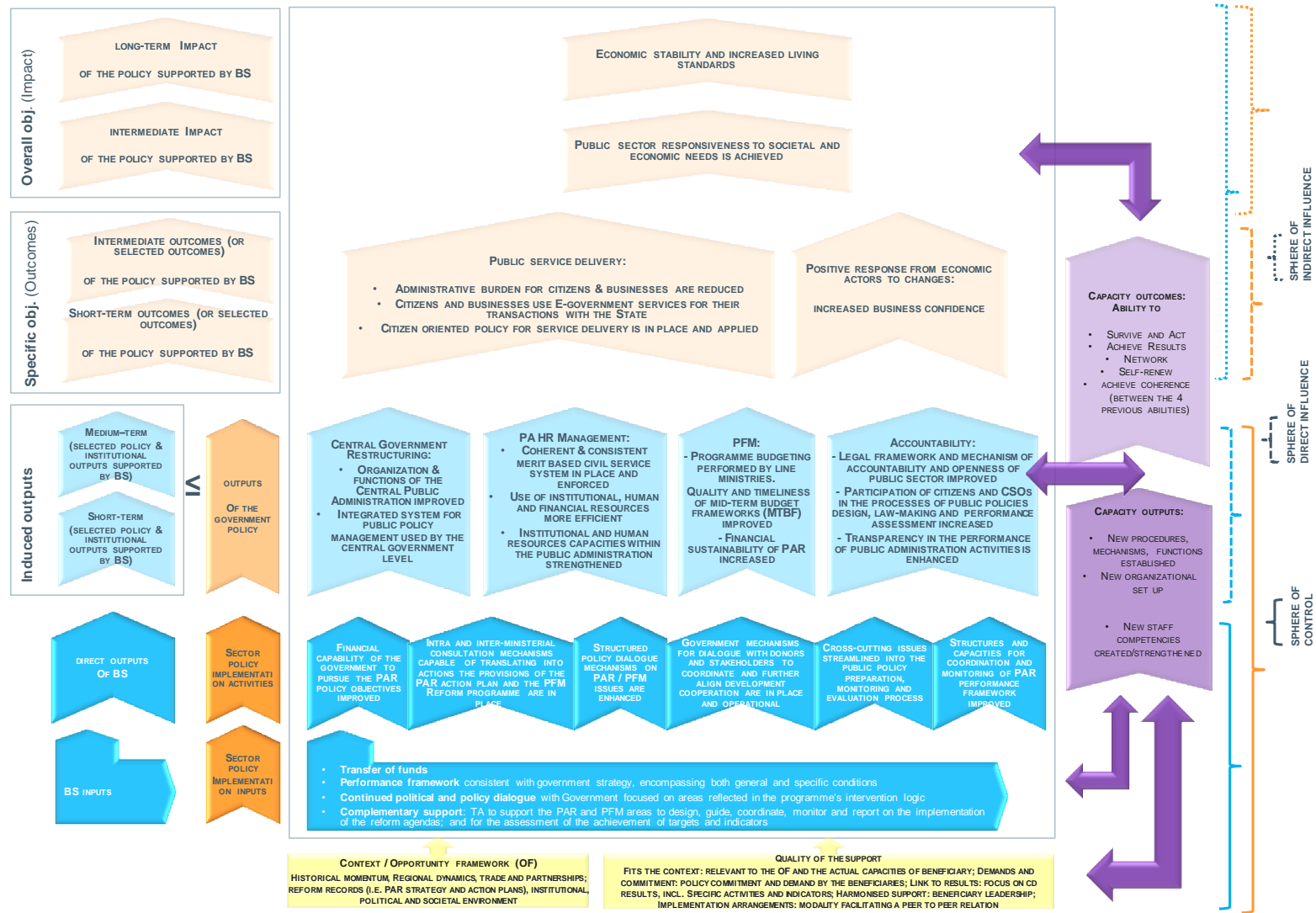


In the case of a Budget support programme and of a standard project/programme, the nested IL<sup>16</sup> could be represented as follows:

<sup>16</sup> The description and examples of what capacity related activities, capacity-outputs and capacity-outcomes are given in Chapter 4.

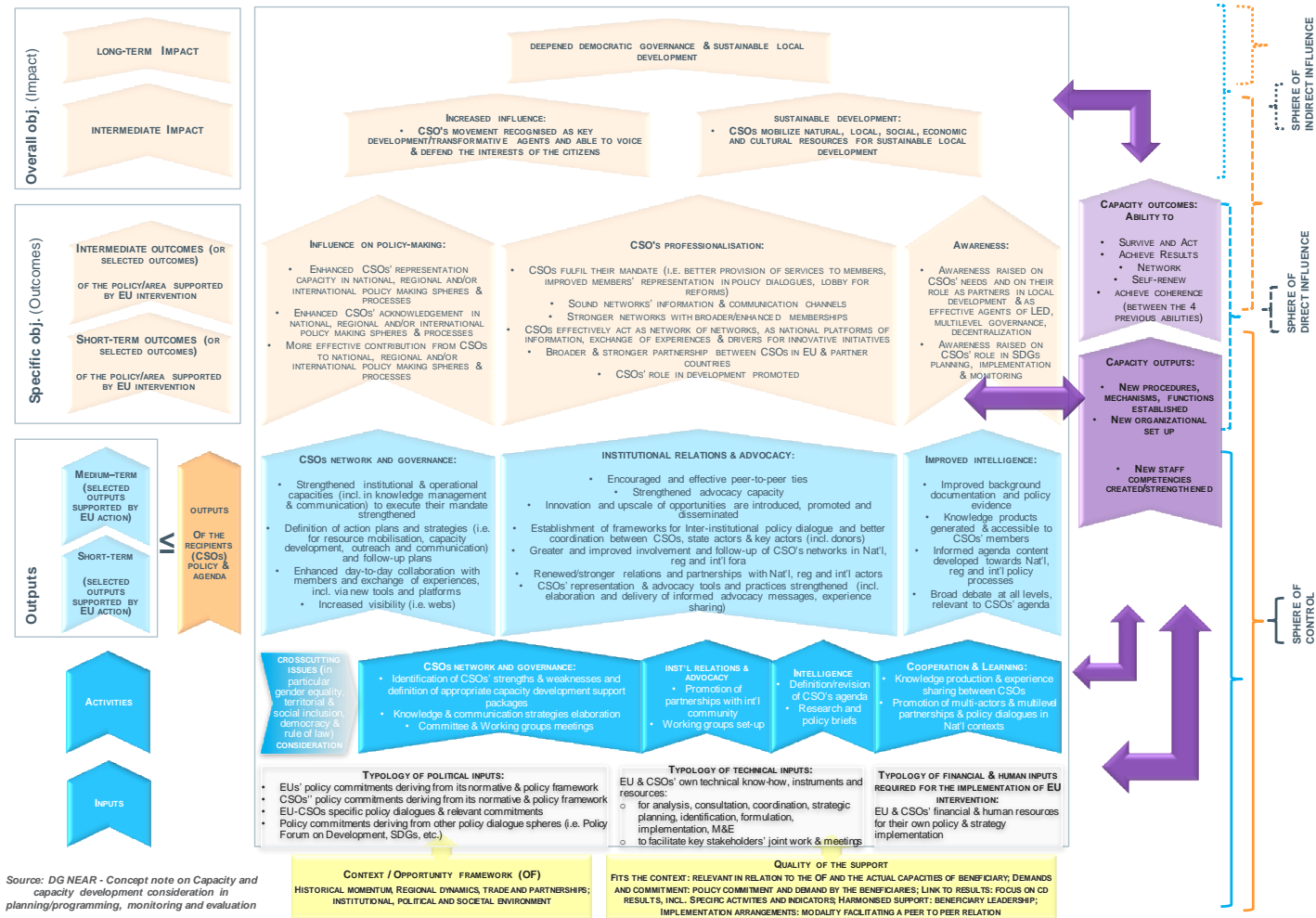
PART 2: CAPACITY DEVELOPMENT INTERVENTION LOGIC IN PLANNING/PROGRAMMING EXERCISES

**FIGURE 4: INTERVENTION LOGIC OF A PUBLIC ADMINISTRATION REFORM (PAR) BUDGET SUPPORT (BS) PROGRAMME WITH SPHERES OF CONTROL AND INFLUENCE (EXTERNAL AND COUNTRY PARTNERS) & CAPACITY DEVELOPMENT (CD) POSITIONING**



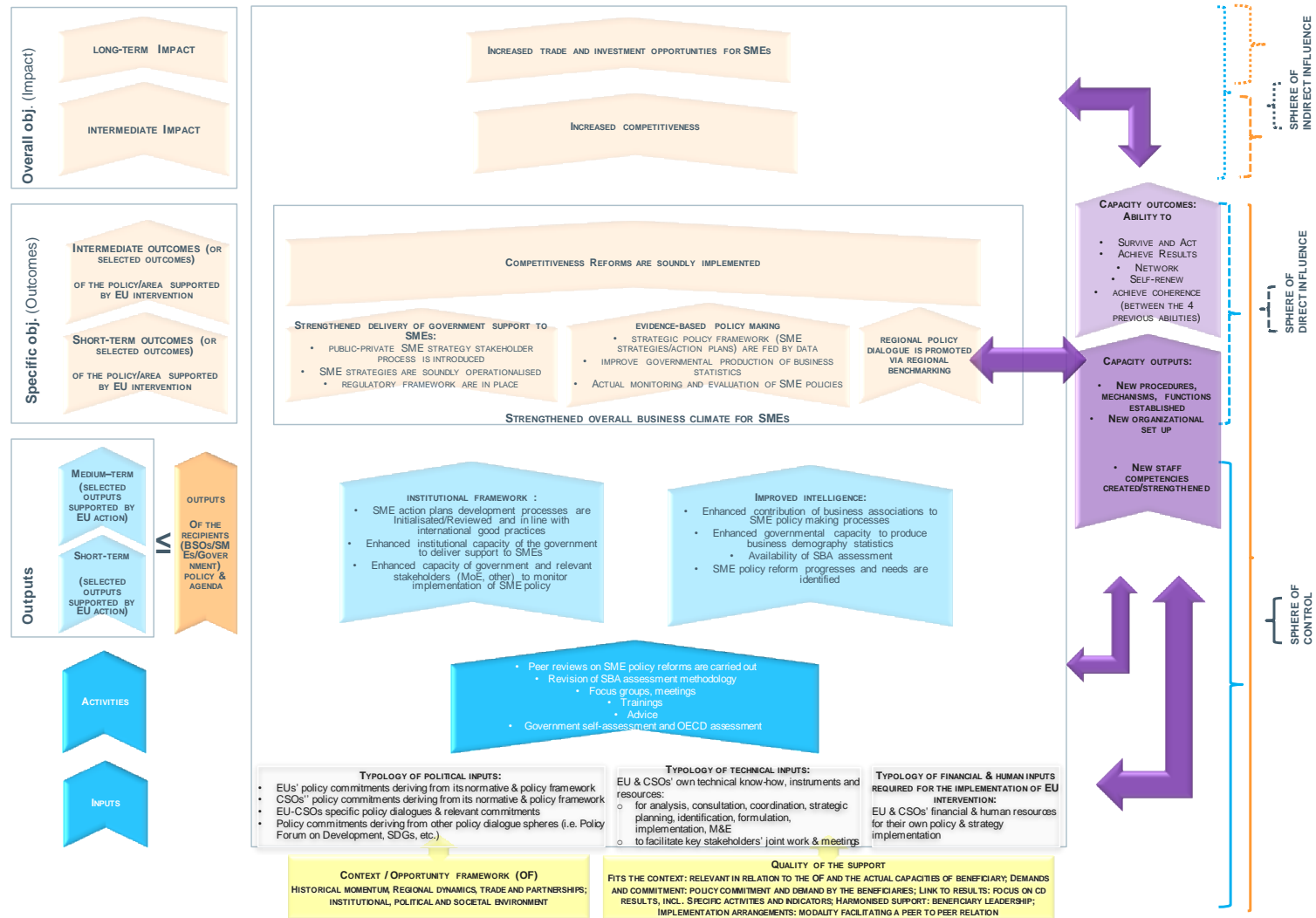


**FIGURE 5: INTERVENTION LOGIC OF A CSO RELATED STANDARD PROJECT/PROGRAMME WITH SPHERES OF CONTROL AND INFLUENCE (EXTERNAL AND COUNTRY PARTNERS) & CAPACITY DEVELOPMENT (CD) POSITIONING**



PART 2: CAPACITY DEVELOPMENT INTERVENTION LOGIC IN PLANNING/PROGRAMMING EXERCISES

**FIGURE 6: INTERVENTION LOGIC OF A BUSINESS AND COMPETITIVENESS RELATED STANDARD PROJECT/PROGRAMME WITH SPHERES OF CONTROL AND INFLUENCE (EXTERNAL AND COUNTRY PARTNERS) & CAPACITY DEVELOPMENT (CD) POSITIONING**





The figures also show other features:

- ✓ The Enabling Factors influence both chains of effects – the one of the actual support intervention and the CD process one, although they are more determinant for the CD chain
- ✓ The CD process contributes to the chain of effects of the support intervention, but is also affected by its results, by way of the loops shown in the figure.

#### 4. WHAT TO CONSIDER WHEN PLANNING/PROGRAMMING CAPACITY DEVELOPMENT-RELATED INTERVENTIONS<sup>17</sup>

As specified in DG NEAR Guidelines on linking planning/programming, Monitoring and evaluation<sup>18</sup>, 'it is recommended [in planning/programming exercises] to use a participatory approach<sup>19</sup> by involving key stakeholders (DG NEAR/EUD programme manager, representative of the national/regional authorities and of direct addressees, if these do not correspond to the authorities), e.g. by means of a group discussion or similar. In the case of planning/programming (joint programming for ENI), or in the case of budget support, this participatory approach is requested by definition.

**As recalled in the above-mentioned Commission's 'Toolkit for capacity development', capacity development assessments should be part of the design of any project/programme supporting CD processes.** How, when and by whom the assessments are made is therefore crucial to the success or failure of subsequent CD processes. **The CD assessment proposed in this note is mainly focused on gap analyses.** However, **the key questions to be asked by the persons involved in planning/programming have been drafted in a manner designed to highlight both weaknesses and strengths. The answers to these questions will define the scope of the intervention and establish the baselines, milestones and targets.**

*It should be noted that the questions refer to 'institution' and that this term must be understood in the present note in a broad manner; referring to an organisation, establishment or the like, founded for a public, social, or similar purpose. In the public/governmental sphere it can therefore refer, for example, to a Ministry, a public entity, etc.; while in the non-governmental sphere it can refer to a civil society organisation, such as an NGO or a private sector institution (i.e. an SME), etc.*

*Some of the questions appear to be more relevant for the public/governmental sphere, mainly in relation to Budget support programmes, or other types of sector approach interventions for example, but most of them can also be adapted on a case-by-case basis to be relevant for other types of standard project/programmes benefiting, for example, non-governmental actors.*

<sup>17</sup> And in relevant Monitoring and evaluation systems. Refer to Part 3 of the present note.

<sup>18</sup> DG NEAR Guidelines on linking planning/programming, Monitoring and evaluation (refer to [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf))

<sup>19</sup> In the framework of DG NEAR actions, a participatory design has proven to be a key success factor for actions. Indeed, the most recent ROM results for ENI (a total of 144 actions were monitored in 2015 for ENI South and East) and IPA (a total of 82 actions were monitored in 2015/2016 in six Western Balkan EU candidate or potential candidate countries; the regional actions covered Croatia and Turkey as well) showed that in cases in which this collaborative approach was followed, it resulted depending on the cases in: i) an improved tailoring of services and activities, ii) an enhanced ownership and commitment from both EU and partner countries, iii) an increased active leadership by the actions' local counterparts and iv) positive repercussions on performance under all DAC criteria. More generally speaking, quality in programming has also proven to have a positive impact on efficiency and effectiveness.

#### 4.1. Level 1 of the IL: enabling factors and CD inputs

Level 1 of the standard CD IL (REFER TO ERROR! REFERENCE SOURCE NOT FOUND.) contains the **Enabling Factors of a D process**, which **act as both preconditions for, and key inputs into, the process to take place.**

These include three different groups of items that affect the entire chain of effects described in the IL: i) the context or opportunity framework, ii) qualitative criteria/standards that should be present in the way the EU intervention is conceived, appropriated and implemented, and iii) the inputs that provide the resources for CD.

They are presented in detail in the sub-sections below.

##### 4.1.1. The Context / Opportunity Framework (OF)

When an intervention is being conceived, a thorough analysis identifying the key features of the context in which it is about to take place needs to be made. Indeed, some features can act as facilitators for our intervention to be implemented smoothly; others can, on the contrary, represent important risks that could hamper the intervention. The sooner we are aware of them, the sooner mitigation measures can be identified and employed.

The **context includes features that, in general, cannot be influenced by an externally-provided support intervention.** To a certain extent however, and under certain conditions, the context may be affected by significant partnership arrangements; including political dialogue and related economic and institutional opportunities. The context / opportunity framework includes **two combined dimensions**:

- First, the momentum of the country/region in a given phase of its development process. This is the real engine of growth and development, and affects the opportunities and motivations of the institution - or system. Within this framework, external support interventions should be tailored to play a facilitation role. This dimension includes such vectors as the historical momentum, the regional context and related integration, and the specific partnership agreements.
- Second, the reform commitment of the institutions and the political economy that affects the institution - or system - involved. This dimension includes recent political records of change, and the institutional, political and societal context that supports it. Change management is key in this regard.

The key questions to be asked when conceiving the intervention would be:

**TABLE 1: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: THE OPPORTUNITY FRAMEWORK**

<i>To what extent would the country's historical momentum, growth and partnership opportunities, and other existing contextual factors affect the institutional, political and societal context of the intervention?</i>
<b>And in this framework, and depending on the specific case:</b>
<u><i>Momentum of the country:</i></u>
<i>Are growth and trade opportunities of the country creating a positive context for the targeted institution(s) to strengthen their strategic responsibility and financial capacity?</i>
<i>Are the regional partnerships subscribed by the country providing adequate stimuli in terms of improved governance and empowerment for the targeted institution(s)?</i>
<i>Is EU participation in the regional partnerships and trade agreements with the country based on a dialogue framework allowing specific leverage on the targeted institution(s)?</i>
<u><i>Reform commitment of the (public, private, associative, other) institution:</i></u>

*Are the reform records and the general reform orientation of the government providing a favourable policy and financial environment for the targeted institution(s)?<sup>20</sup>*

*Are the ongoing policy/reform processes focusing on the targeted institution(s) as key actor(s) and providing them with the necessary means to respond to their mission?*

*Is there a credible change process that can convince sceptics, overcome resistance, accommodate losers, seek win-win situations, forge alliances, keep CD on the agenda, drum up additional financial support, ensure adequate technical quality and manage the daily business of implementing reforms?<sup>21</sup>*

*Is there an effective framework of political dialogue allowing the EU to participate in joint monitoring of the development results and actual discussions on the policy/reform implementation?*

*Is there an effective framework allowing the targeted institution(s) to participate in the definition, implementation and monitoring of policy/reforms?*

The answers to these questions will help you understand and consider the actual levels of ownership, the actual dynamics and the external driving or limiting factors of the institution or system which would affect both the production of the capacity outputs and the generation of the capacity outcomes generated by the intervention.

#### 4.1.2. The Quality Criteria (QC)<sup>22</sup> of the intervention

This is the quality of the support provided, the way it is conceived, appropriated and implemented. This is not specific for CD support but is more so important as the core of this new approach for CD is to target the capacities required by the institutions to fulfil their mandate; and therefore sustainability is at stake here.

NEAR staff is therefore invited to pay attention to the following elements when planning/programming interventions with CD components:

- **Fitness to context.** This includes the relevance of the intervention in relation to the context / opportunity framework and the existing capacities of the beneficiary.
- **Demands and commitment.** This includes the level of policy commitment of the beneficiaries at various levels (e.g. government, specific beneficiary institutions) involved in the sector or themes addressed by the support; and the actual demand for, and ownership of, the content of the intervention.
- **Harmonised support.** This includes the establishment and consolidation of a dialogue framework on the content of the intervention driven by the beneficiary. It should take place within the institutional system in which the targeted institution is 'only' one of the affected institutions (in the case of public

<sup>20</sup> To be noted that this reform record consideration is also part of the policy credibility assessment (in the framework of the eligibility for contract approval) prescribed by the September 2017 'Budget support guidelines' jointly elaborated by DEVCO and NEAR.

<sup>21</sup> 'Toolkit for capacity development', European Commission, 2010

<sup>22</sup> The Quality criteria used here are adapted from those used by DG DEVCO in the framework of the *Guidelines on Making Technical Cooperation More Effective* (refer to Annex 4 on the Guidelines: <https://europa.eu/capacity4dev/t-and-m-series/document/guidelines-nr-3-making-technical-cooperation-more-effective>)

In the specific case of NEAR support to PAR, it is highly recommended to also refer to the document 'Mainstreaming of PAR in the EU sectoral assistance – General PAR compliance check of sectoral projects and checklists for preparing Twinning Fiches and Terms of Reference'. It presents what can be considered as PAR-specific quality criteria and would be complementary to those presented in the present note. They are also translated in the newly revised Twinning Manual.

administration for example, this institutional system can be that of a sector in which different institutions coexist and might even have overlapping competencies).

When relevant, a dialogue framework on the content of the intervention, driven by the beneficiary, should also take place with other donors. The adoption of joint mechanisms, consultation among donors, possible complementarities and other strategic design factors should also be considered.

- Link to results and expected outcomes. This includes consideration by the intervention of specific CD effects in terms of both outputs and outcomes, with specific indicators.
- Implementation arrangements. This includes the supply modality and addresses the decision-making process (who manages the intervention – an external programme implementation unit (PIU)<sup>23</sup> or the beneficiary?), and how the support is delivered (through a peer-to-peer approach, a traditional consultant-based support approach, or another).

The key questions to be asked when conceiving the intervention would be:

TABLE 2: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: QUALITY CRITERIA ON INTERVENTION'S DESIGN, APPROPRIATENESS AND COMMITMENT FROM THE COUNTRY

<i>To what extent does the intervention respond to the Quality Criteria?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Is the intervention's design - including the quantity and quality of inputs to be provided and the type of activities planned – appropriate to the specific political, institutional and managerial contexts within which the capacity objectives are required?</i>
<i>Are the local partners effectively engaged in the relevant sector policy/reforms or themes addressed by the support and have they a leadership position in the planning and management of the intervention?</i>
<i>Is the intervention's design explicitly focusing on CD effects and providing means and indicators to ensure their achievement?</i>
<i>Would the intervention be carried out in a framework of dialogue and coordination led by the beneficiary, including harmonized / joint practices among donors?</i>
<i>Does the intervention respond to 'peer-to-peer' modalities, emphasizing the learning and CD processes, and reducing to the minimum the external management of TC (PIU)?</i>

#### 4.1.3. The inputs

The IL considers the inputs that provide the **resources for CD** from a triple point of view:

- ✓ Support intervention's design, appropriation and delivery methods. The above-mentioned quality criteria scrutiny should tell if and to what extent the inputs of the support intervention (including their design, quality and delivery methods) fit and are apt to (and actually) support the CD process. If they are positively assessed they should, in combination with a positive context / opportunity framework, ensure the development/strengthening of significant capacity outputs and outcomes.

<sup>23</sup> It is important to recall that the Paris Declaration on Aid effectiveness and the Accra Agenda for Action call for strengthening and using country systems to the maximum extent possible. Should donors choose to use another option and rely on aid delivery mechanisms outside country systems (including parallel project implementation units), they will transparently state the rationale for this and will review their positions at regular intervals. Where use of country systems is not feasible, donors will establish additional safeguards and measures in ways that strengthen rather than undermine country systems and procedures. Refer to: [www.oecd.org/dac/effectiveness/34428351.pdf](http://www.oecd.org/dac/effectiveness/34428351.pdf).

- ✓ Specific inputs, including: (i) the political and policy dialogue, which affects and interacts with the context / opportunity framework; (ii) possible financial support to ease the institution’s mission and operations, etc.
- ✓ Specific CD activities, including: (i) possible knowledge-sharing initiatives, such as inter-institutional exchanges, with regional or international sister institutions, peer-to-peer approaches or twinning experiences; (ii) various types of training; (iii) different types of technical assistance, etc.

#### 4.2. Level 2 of the IL: capacity (mostly induced) outputs

These are the **changes in the internal competences and skills that are found in the beneficiary institution(s)**; they may be **directly determined, induced or facilitated by the implementation of a given intervention**.

Such outputs do not represent new capabilities *per se*, but identify areas where institutional competence is likely to be increased through the contribution of the support intervention or other resources available in the context.

The **changes in competences may be reflected in staff, procedures, mechanisms, functions and structures** of an institution or system:

- ✓ When associated with specific support actions, they appear as direct outputs (e.g. increased knowledge).
- ✓ When conceived as a second-order (indirect) consequence of the support’s implementation, they are considered as induced outputs (e.g. new functions that can be fulfilled by the upgraded staff without the benefit of additional CD inputs or outputs).
- ✓ Finally, there may be cases where such competences are acquired through inputs not directly related to specific support actions, but available in or provided by the context. The IL also makes it possible to capture and assess such competences.

Splitting “outputs” into two parts (i.e. first and second order effects, more simply described as “direct” and “induced”) can be done if considered relevant<sup>24</sup>. **It is recommended to focus on the induced outputs<sup>25</sup>** - which contain greater value-added than direct outputs - while addressing the direct outputs as a lower level of effects.

The first key questions to be asked when conceiving the intervention would be:

TABLE 3: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: GENERAL ON OUTPUTS

*What is the beneficiary institution already delivering in terms of outputs?*

*What is the beneficiary institution supposed to deliver in the future to generate the intended change(s)?*

The IL identifies three categories of outputs that may be categorised as: i) staff, ii) procedures, mechanisms, functions; and iii) structures.

<sup>24</sup> In budget support and non-budget support interventions this is already requested.

<sup>25</sup> The term 'induced outputs' is already used in Budget support programmes. In standard projects/programmes, these correspond to a first level of outcomes.

#### 4.2.1. Staff

Staff with new/strengthened expertise or new/strengthened competences among existing staff, with a view to responding better to the institution's mission, may be the consequence of various actions promoted or facilitated by the support intervention. Such actions may include staff recruitment, training and upgrading, exchange of experience, and so forth. The new/strengthened expertise and competences acquired should enable the institution to fulfil new functions or improve the existing functions (e.g. production of legal and regulatory documents, financial reports, statistical and monitoring reports, etc.).

The key questions to be asked when conceiving the intervention would be:

**TABLE 4: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: STAFF COMPETENCIES**

<i>To what extent can the intervention contribute to the production of objectively verifiable changes in staff competencies (legal, financial, data processing, management...)?</i>
<i>Are there external factors that can affect such intended changes?</i>
<i>Are there external factors that can affect the staff to use their competencies (i.e. other institutions working in the same area, hence contradicting policy making, etc.)?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Which staff competences related to the strategic objectives of the institution should/could be developed/strengthened<sup>26</sup>?</i>
<i>Does the institution have the capacity to design and put into place a comprehensive professional development?</i>
<i>Are structures in place for the staff to use their new competencies?</i>
<i>Which specific inputs and activities would be needed for the intervention to promote such changes in the staff competences?</i>

#### 4.2.2. Procedures, mechanisms, functions<sup>27</sup>

A support intervention may contribute to changing and standardising some strategic procedures of the institution, for instance the introduction of systematic stakeholder consultation or the introduction of a Mid-term expenditure framework exercise.

The key questions to be asked when conceiving the intervention would be:

**TABLE 5: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: PROCEDURES, MECHANISMS, FUNCTIONS**

<i>To what extent can the intervention contribute to the production of objectively verifiable changes in institutional procedures, mechanisms and/or functions (policy and financing, stakeholders' involvement, human resources management, accountability, supervision, other)?</i>
<i>Are there external factors that can affect such intended changes (i.e. overlapping functions with other</i>

<sup>26</sup> In this framework, it is important to recall that in the framework of NEAR support to PAR, the draft Policy note on Mainstreaming of PAR in sectoral policy work and EU assistance, drafted by DG NEAR A3 in June 2016 recommends to establish when relevant coordination with national training institutions (where they exist) and where possible, organise any training in cooperation with them. The same draft Poly note says that 'as a rule, creation of new sectoral training institutes should be avoided'.

<sup>27</sup> Refer to Annex 2 for examples of indicators to be used for answering this type of questions in planning/programming, monitoring and evaluation exercises. **When used during planning/programming exercises, they allow the defining of the baseline(s).**

<i>institutions, weak central coordination, etc.)?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Does the institution have the capacity to set up the necessary procedures, mechanisms and/or functions for supporting the development of implementable policies/reforms?</i>
<i>Which procedures, mechanisms and/or functions related to the strategic objectives of the institution should be created/ strengthened? <sup>28</sup> Is there appetite/willingness for it?</i>
<i>Which specific inputs and activities would be needed for the intervention to contribute to the determination of such changes in the procedures mechanisms and/or functions<sup>29</sup>?</i>

#### 4.2.3. Structure <sup>30</sup>

Changes in institutional structures, possibly facilitated by the support intervention, range from the creation of new units, for example monitoring and evaluation, to the reduction of organisational overlapping, the adoption of a decentralized structure, and so on.

The key questions to be asked when conceiving the intervention would be:

**TABLE 6: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: STRUCTURE**

<i>To what extent can the intervention contribute to the production of objectively verifiable changes in the organisational and internal functioning (institutional structure, decision process, internal mobility and competition)?</i>
<i>Are there external factors that can affect such intended changes (i.e. other institutions with conflicting competencies, weak central coordination leading to scattered decision-making processes, etc.)?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>How could the executive structure and the internal management increase their efficiency and effectiveness, set-up better decision processes and/or define career development? What changes would be needed?</i>
<i>Which specific inputs and activities would be needed for the support intervention to contribute to the determination of such changes in the internal structures and functioning?</i>

<sup>28</sup> In the framework of NEAR support to PAR, the above-mentioned draft Policy note on Mainstreaming of PAR ... recommends avoiding the promotion of substantial re-organisation and re-arrangement of functions: 'In order to avoid fragmentation and politicisation of state administration and to ensure rationality and value for money, establishment of new public administration organisations without clear accountability lines towards parent ministries should be avoided, unless clearly supported by wide EU Member State practice or needed for specific legal requirements. Proposals for substantial re-organisation and re-arrangement of functions should be avoided, unless external analyses show organisational causes for malfunctioning. Should creation/strengthening of new public institutions be absolutely necessary, the decisions should also be accompanied with a commitment by the national authorities to grant the sufficient legal powers, resources and staffing necessary to discharge their mandate'.

<sup>29</sup> The same draft Policy note of PAR... states that 'Any IT development, including establishment of new registries, should respect the national standards for interoperability. In cases when these are missing, relevant consultations with the coordinating state authority for ICT should be a prerequisite for launch of any tenders, regardless of the area of the EU funded project'.

<sup>30</sup> Refer to Annex 2 for examples of indicators

### 4.3. Level 3 of the IL: Capacity Outcomes

**These capacities are necessary for the accomplishment of the institutions' mission, beyond the duration of any external support intervention, and are therefore the basis for the continuity of the institution.**

These include the acquisition and development, from the beneficiary institution side, of new levels of capacity. They are the sequential effects of the *outputs*. **The relationship between such capacity and the development results targeted by a given support intervention is complex and is not accomplished during the life of the support intervention:**

- On the one hand, such capacity may or may not be translated into the expected performance (induced outputs and outcomes) of the support intervention. This is relatively clear when an intervention aims at the achievement of general development targets. For instance, a support intervention may aim at strengthening the ministry of education and improving access to primary school in rural areas. Having a more powerful ministry and more rural children at school in a relatively short term does not mean that the education system has strengthened. The policy and financial autonomy of the institutions involved, their operational capacity, their relationship with the stakeholders and the final users, and their resilience should all be assessed in order to capture the actual strengthening of the institutional system, and consequent institutional sustainability of any possible achievement.

In evaluation exercises, it should be stressed that the performance indicators of a support intervention may not be used to assess the capacity development process, even if they are specific CD indicators. The CD process must be assessed from within the institution and its system, through outcome indicators that are sufficiently general and flexible to allow an understanding of achievements that were not pre-determined and have occurred during the process itself.

- On the other hand, it must be noted that this capacity is, by definition, absolutely necessary for the accomplishment of the institution's mission beyond the duration of any specific support intervention, and is therefore the basis of the institution's sustainability. There must be a fundamental distinction between the performance indicators of a support intervention and the performance indicators related to the strategic institution's mission.

Capacity outcomes categories are defined as follows<sup>31</sup>:

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<sup>31</sup> The team in charge of the *'Evaluation Methodology & Baseline Study of European Commission Technical Cooperation support'* analysed different experiences from different capacity development studies and evaluation methods. Through a different conceptual framework and diversified priorities, the studies and methods considered converged towards a comparable set of areas. This is important for an understanding that the focus should not be on the specific definitions, but should come instead, from a careful understanding of the contexts. The focus should rather be on the ability of the definitions adopted to identify institutional behaviour and achievements that may guarantee the accomplishment of the institution's mission on a medium-to-long-term horizon under different conditions, including domestic crises and external shocks. Based on this it was agreed with the Commission (with DG DEVCO, that commissioned the study), to capitalise on a best-case experience of the Netherlands evaluation unit. This choice integrates the 5Cs approach (refer to annex 1). Some minor changes in the definitions were introduced to make them more understandable and adaptable to the specific frameworks of EU support interventions. DG NEAR considers this the approach to follow as well.



4.3.1. *Ability to SURVIVE AND ACT: policy initiative and development and corresponding operational strategies to execute them and report on them (incl. identification of financial and managerial resources needed).*

**Capacity of an individual and an institution to generate plans (strategic or at other levels) that reflect their needs, their mission and consideration of the changing contexts; and capacity of mobilisation of resources and of management to execute them.**

The key questions to be asked when conceiving the intervention would be:

**TABLE 7: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: ABILITY TO SURVIVE AND ACT (POLICY INITIATIVE AND DEVELOPMENT AND CORRESPONDING OPERATIONAL STRATEGIES TO EXECUTE THEM AND REPORT ON THEM (INCL. IDENTIFICATION OF FINANCIAL AND MANAGERIAL RESOURCES NEEDED)).**

<i>What would the institution or institutional system need in order to be more capable of generating the plans (strategic or at other levels) that reflect its stated needs, mission and various changing environments and to then mobilise its resources and management to execute them?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Does the institution or institutional system have the capacity to generate a strategic framework with targeted and clear objectives as well as pragmatic and integrated operational strategies which reflect its vision and the needs of the society it serves?</i>
<i>If relevant, are they aligned with the financial circumstances?</i>
<i>If relevant, are they aligned with political cycles and/or other policy processes<sup>32</sup>?</i>
<i>Does the institution or institutional system have the capacity to guide and steer policy/reforms, or other developments, and ensure the professional administration needed for their implementation?</i>
<i>Does the institution or institutional system have the capacity to fulfil all functions<sup>33</sup> critical to a well-organised, consistent and competent policy-making system?</i>

<sup>32</sup> In the case of Public Administration Reform (PAR) for example, as prescribed by the 'Budget Support Guidelines', the designers of budget support programmes (which is presently the main vehicle for DG NEAR support in that area) should verify that the planned support to national or sector public policy is fully in line with horizontal reform efforts. In those countries where there is no comprehensive PAR strategy but where there is a commitment to meeting the SDG 16 targets, the designers of budget support programmes should promote a more inclusive and evidence-based approach to the development of public policies, including having a coherent country monitoring and evaluation system.

The above-mentioned draft Policy note on Mainstreaming of PAR... also highlights the following: 'It has become increasingly evident that whereas EU assistance can contribute to building capacities in one particular sector, it does not always contribute to overall PAR. In fact, the past EU assistance has sometimes contributed to creation of sectoral isolated 'islands of excellence', which are rarely sustainable in the overall administrative environment. (...) The sectoral EU assistance documents (Action documents, Terms of Reference, Twinning Fiches) rarely make any reference to ongoing PAR efforts, even though the often-identified problems in the sector such as institutional fragmentation, politicisation, low administrative capacity, lack of proper policy analysis capacities, poor quality of law-drafting, poor inter-ministerial coordination, etc. are general problems that cannot be solved within one sector alone. This link to PAR has not always been ensured during implementation or projects either, resulting in sectoral legislation, organisational structures, procedures and job profiles that are not in line with what is being advocated under horizontal PAR strategies and projects'.

<sup>33</sup> In the case of central government institutions, according to SIGMA baseline measurement methodological note, the following critical functions should be covered: 1) co-ordinating the preparation of the government sessions; 2) ensuring legal conformity; 3) co-ordinating preparation and approval of the government's strategic priorities and work programme; 4) co-ordinating the policy content of proposals for government decision, including defining the policy preparation process and

*Does the institution or institutional system have the capacity to design and put into place the knowledge, systems and databases necessary to ensure that resource allocation sustainably reflects the strategic directions and operational needs expressed in plans?*

*Does the institution or institutional system have the capacity to design and put into place accounting and reporting practices that ensure transparency and scrutiny (public scrutiny over public resources in the case of support to governmental institutions)?*

*Does the institution or institutional system have the capacity to design, put in place and use mechanisms and modalities that serve to monitor and control resource allocation and therefore also promote accountability?*

- 4.3.2. *Ability to **ACHIEVE RESULTS**: performance based planning, set-up/mobilisation of inputs and tools needed (incl. M&E arrangements, external resources capture) to achieve targets*

### **Capacity of an individual and an institution to reach development results in a sustainable way stated in national development and sectorial policies.**

The key questions to be asked when conceiving the intervention would be:

**TABLE 8: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: ABILITY TO ACHIEVE RESULTS (PERFORMANCE BASED PLANNING, SET-UP/MOBILISATION OF INPUTS AND TOOLS NEEDED (INCL. M&E ARRANGEMENTS, EXTERNAL RESOURCES CAPTURE) TO ACHIEVE TARGETS**

*What would the institution or institutional system need in order to be more capable of achieving and monitoring<sup>34</sup> the “developmental results” stated in national/departmental/institutional plans in a sustainable manner?*

**And in this framework, and depending on the specific case:**

*Does the institution or institutional system have the capacity to define what it requires*

- ✓ *(legislative or strategic development,*
- ✓ *Inclusive, participatory and representative decision-making at all levels and with all interested stakeholders for policy/reform development and implementation,*
- ✓ *(Country/sector level) reliable and timely monitoring and evaluation arrangements (including the definition of RACER and SMART<sup>35</sup> indicators and related targets; a system - with clear definition of responsibilities - for*

ensuring coherence with government priorities; 5) ensuring that the policies are affordable and overseeing co-ordination of public sector resource planning; 6) co-ordinating the government’s communication activities to ensure a coherent government message; 7) monitoring government performance to ensure the government collectively performs effectively and keeps its promises to the public; and 8) managing relations between the government and other parts of the state (e.g. the president, the parliament). In the case of candidate countries, a ninth function is to be added: co-ordinating European integration (EI) affairs.

<sup>34</sup> The assessment of the recipient's monitoring and evaluation arrangements is particularly important in Budget support programmes, but not only. It is prescribed by the 'Budget Support Guidelines' in the framework of the assessments for eligibility of both contract approval and during implementation. The result of the assessment can lead to the decision of supporting the country in strengthening its monitoring and evaluation framework under the complementary support for capacity development offered in Budget support programmes.

<sup>35</sup> As per the Better Regulation Guidelines ([https://myintracomm.ec.europa.eu/sg/better\\_regulation/Pages/guidelines-toolbox.aspx](https://myintracomm.ec.europa.eu/sg/better_regulation/Pages/guidelines-toolbox.aspx)), indicators are to be RACER (Relevant, Accepted by staff, stakeholders, Credible for non-experts, Easy, Robust). Other than this, DG Guidelines on linking planning/Programming, monitoring and evaluation ([https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf)) also refer to complementary principles such as SMART (Specific, Measurable, Attainable/achievable, Realistic, Time-bound).

*collecting, processing, analysing and (results-based) reporting the information and the (internal/external) data – including statistics, if relevant- produced) actually feeding evidence-based decision-making in both policy design and implementation,*

✓ other)

*to (sustainably) reach targeted service levels within appropriate quality standards?*

*Does the institution or institutional system have the capacity to develop strategies and mechanisms to engage governmental/non-governmental resources in the achievement of objectives related to the institution's vision (including those related to coordination and complementarity)?*

*Does the institution or institutional system have a record of meeting its performance targets in relation to developmental results?*

4.3.3. *Ability to NETWORK: coordination with others as part of a larger network, ensuring recognition of the institution's role and reach, capturing the interest and commitment of other stakeholders*

### **Capacity of an individual and an institution to work in a coordinated and efficient manner as part of a larger network of interested stakeholders.**

The key questions to be asked when conceiving the intervention would be:

**TABLE 9: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: ABILITY TO NETWORK (COORDINATION WITH OTHERS AS PART OF A LARGER NETWORK, ENSURING RECOGNITION OF THE INSTITUTION'S ROLE AND REACH, ENGAGING THE INTEREST AND COMMITMENT OF OTHER STAKEHOLDERS)**

*To what extent is the institution accountable and able to work in a coordinated and efficient manner as part of a larger network of interested stakeholders?*

**And in this framework, and depending on the specific case:**

*Do stakeholders assign legitimacy to the institution through an awareness of, and agreement with, the relationship between the mission, the objectives and the plans?*

*Is the institution the primary source of advice to politicians and decision-makers within (the fields and activities related to) its mandate?*

*Does the institution have the capacity to design and put into place mechanisms to ensure that the application of the institution's regulatory and control frameworks takes place in a transparent manner?*

*Does the institution have the capacity to gather and genuinely involve different interested stakeholders in policy/reform design and implementation<sup>36</sup>?*

*Is their appetite /willingness for it?*

*Do stakeholders (citizens in particular) recognise the institutions' citizen-orientation, openness and transparency?*

*Are managers, employees and key stakeholders motivated to execute the mission of the institution and achieve its objectives for the sake of the common good?*

<sup>36</sup> In the case of Public Administration, this would take the form of inter-ministerial/inter-institutional coordination. In the case of the associative sector (i.e. umbrella organisations), or of local and regional governments (i.e. geographical/worldwide associations), or of private sector institutions, (i.e. trade unions), key stakeholders would be their respective constituents.

#### 4.3.4. Ability to *SELF-RENEW*: adaptation to shifting needs and environment.

**Capacity of an individual and an institution to constantly adapt in response to changing external environments and conditions. It requires a reflective act.**

The key questions to be asked when conceiving the intervention would be:

**TABLE 10: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: ABILITY TO SELF-RENEW (ADAPTATION TO SHIFTING NEEDS AND ENVIRONMENT)**

<i>To what extent is the institution or institutional system in a position to constantly adapt in response to changing external environments and conditions?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Does the institution or institutional system have the capacity to design and build into its plans and systems the necessary feedback and monitoring mechanisms that would ensure self-renewal (adaptation) in order to achieve objectives?</i>
<i>Does the institution have the means (including the knowledge, skills and systems) to ensure that planning reflects the knowledge and experience of the institution, its networks and its stakeholders as well as the shifting trends inherent to its environments?</i>
<i>Does the institution or institutional system have the capacity to develop systems and means to identify where it needs to innovate or promote innovation (transformational innovation in support of strategies and objectives)?</i>
<i>Does the institution have the capacity to put into place the systems and means to assess the extent to which its management and task/responsibility structure reflects its needs for resiliency, diversity (capital and process advantage-seeking through integration and learning), openness (complexity and network management) and systems/policy coherence?</i>
<i>Does the institution or institutional system have the capacity to analyse and assess policies on a timely basis and make adjustments, based on knowledge management mechanisms including feedback, assessment, and evaluation?</i>
<i>Does the institution or institutional system have the capacity to design and put into place mechanisms to ensure that positions are filled on a merit basis?</i>

#### 4.3.5. Ability to *ACHIEVE COHERENCE* (between the four previous categories; Linking the strategic and operational levels)

**Capacity of an individual and an institution to put in place policy and management frameworks that build upon one another and provide evidence of a clear chain of results from the strategic to the operational levels.**

The key questions to be asked when conceiving the intervention would be:

**TABLE 11: KEY QUESTIONS TO BE ASKED WHEN CONCEIVING THE INTERVENTION: ABILITY TO ACHIEVE COHERENCE BETWEEN THE FOUR PREVIOUS ABILITIES**

<i>Does the institution or institutional system have the capacity to put in place policy and management frameworks that build upon one another and provide evidence of a clear chain of results from the strategic to the operational levels?</i>
<b>And in this framework, and depending on the specific case:</b>
<i>Does the institution or institutional system have the capacity to develop plans and operating principles that are comprehensive and evidence-based, and where conclusions/recommendations flow from explicit chains of reasoning?</i>
<i>Does the institution or institutional system have the capacity to determine the nature and composition of a</i>

*comprehensive set of all framework documents required for the execution of its mission, including laws, regulations, directives and interpretations? Does the institution have the capacity to put in place mechanisms to ensure their application?*

*Does the institution or institutional system have the capacity to develop accountability frameworks (including those related to collective action) and to consistently monitor against them?*

*Does the institution have the capacity to analyse alternatives and implement a decision concerning the most appropriate hierarchical structure and decentralisation strategy consistent with the institution's mission and objectives?*

*Does the institution or institutional system have the capacity to design and put into place a comprehensive set of control frameworks and ensure compliance?*

*Does the institution or institutional system have the capacity to put into place mechanisms to ensure that human resource management strategies, policies and systems reflect ongoing and future strategic and operational needs and are executed in a transparent, equitable and unbiased manner?*

#### 4.4. The interaction of the key components of the IL

As mentioned above, the hypothesised **CD process** is the result of the internal dynamics of a given institution or system, **subject to two types of stimuli**: a) the driving force of the opportunity framework in which the institution is situated (**pulling factors**); and b) the quality of the specific support intervention provided (**pushing factors**).

Under such stimuli the CD process occurs through the acquisition of specific competences and skills at individual and/or organisational level (Capacity Outputs), which may be appropriated by the institution or system, internalised or metabolised and mainstreamed, and so possibly generate actual institutional capabilities (Capacity Outcomes).

Both the pulling and pushing factors contribute to all levels of the process (refer to TOERROR! REFERENCE SOURCE NOT FOUND):

- ✓ The **pushing factors** may however be **more important in the production of the Capacity Outputs**. They may help create some competences and skills, even in the absence of specific opportunities and political support, although the latter are at the origin of the availability of the support interventions and are at least necessary for acquiring the related financial and human resources.
- ✓ The **pulling factors** are **fundamental to the actual absorption of the Capacity Outputs**. If there are no genuine opportunities for the establishment of a new education policy and institutional system, for instance, the units and staff trained for sectorial public financial management, mid-term expenditure framework, and so forth, will migrate to other ministries, or even abroad, or will rapidly adopt sub-optimal survival strategies to comply with political patronage. But if the opportunities are there (e.g. there is strong political support; funds are made available by the government, the country is on a growth trend, with good partnerships), the competences and skills acquired are transformed into actual initiative and generate a learning process, with a consolidation of the whole institution or system.

# PART 3: WHAT TO CONSIDER WHEN ASSESSING (MONITORING AND EVALUATING) CAPACITY DEVELOPMENT PROCESSES

## 5. WHAT TO CONSIDER WHEN ASSESSING (MONITORING AND EVALUATING<sup>37</sup>) CAPACITY DEVELOPMENT PROCESSES

### 5.1. The context/opportunity framework matters

As mentioned earlier, **CD is accelerated or enabled by political pull**. As such, **the context or opportunity framework can, in many instances, be the deciding factor that allows the achievement or not of meaningful changes for the institution or the institutional system**. **The enabling and limiting factors of the context are therefore to be soundly considered when assessing capacity development processes as these might be the determining factors that explain the success or failure of such processes.**

### 5.2. Performance is not capacity

As mentioned earlier, **the focus should be placed on the change process** and on aspects such as the ability of key stakeholders to easily engage in resource mobilisation, motivation, uptake, ownership and accountability on the part of recipients, rather than in the performance of the key stakeholders in a donor support intervention (i.e. production of pre-defined outputs and contribution to outcomes). As noted in non-development literature, “performance is not a proxy for capacity”.

In this regard, **the Capacity Development process of a beneficiary institution (or institutional system) cannot be assessed through the performance indicators of a single specific support intervention**; even if they are specific CD indicators. The CD process must be assessed from within the institution and its system, through outcome indicators that are sufficiently general and flexible to allow an understanding of achievements that were not pre-determined and have occurred during the process itself. For example, in an intervention in which a practitioner learning system was foreseen an indicator such as 'Extent to which a practitioner learning system is functioning' can be perfectly relevant for the specific support intervention. But this indicator would not capture internal change processes related issues, such as the actual demand for such a system and its actual use, or the effects it generates for the institution's work.

If the choice is made to focus on the change process and on the above-mentioned typologies of abilities, **the answers to the questions presented in WHAT TO CONSIDER WHEN PLANNING/PROGRAMMING CAPACITY development-related interventions can be used once the intervention logic is defined to define indicators and set up their related baselines, milestones and targets**, to be used in monitoring and evaluation exercises, as mentioned earlier.

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<sup>37</sup> For specific guidelines on internal monitoring and evaluation, please refer to 'DG NEAR Guidelines on linking planning/programing, monitoring and evaluation' ([https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf))

### 5.3. A capacity development assessment is not a standard assessment

A clear distinction should be made between the assessment of an institutional CD process and the assessment of the performance of the same institution *vis-à-vis* a set of externally-given objectives, as is the case when assessing a donor-supported intervention.

TABLE 12: CD ASSESSMENT VS. STANDARD ASSESSMENT

<i>A CD assessment</i>	<i>A standard assessment</i>
<ul style="list-style-type: none"> <li>• <b>Aims at identifying the progress achieved within the institution in terms of skills, competences, strategic initiative, implementation capacity, and so forth, with a view to long-term fulfilment of the institution's mission. It considers the elements covered in the planning/programming questions presented in <small>WHAT TO CONSIDER WHEN PLANNING/PROGRAMMING CAPACITY</small> development-related interventions</b></li> <li>• <b>Assesses the strengthening of an institution or system, while the assessment of an intervention focuses on the strengthening of the institution's performance (as per the support intervention's intervention logic). The key value-added imparted by a CD assessment to a standard assessment, concerns the assessment of the sustainability of the capacities (capacity outputs &amp; outcomes) required by an institution to perform its mission.</b></li> </ul>	<p>Aims at identifying the progress achieved during the life of the intervention towards fulfilment of a set of outputs, specific and overall objectives, as measured by performance indicators defined in Action documents agreed between the donor and the targeted institution.</p>

It is recommended that elements of a CD assessment be integrated into the recurrent assessments (internal monitoring and evaluation) carried out by the HQs operational Units and EUDs.

### 5.4. Indicators definition

The answers to the questions raised during planning/programming will allow defining a set of indicators to be used in assessment exercises. They will also allow the establishment of corresponding baseline, milestones and targets values.

### 5.5. The assessment should be open to identify unexpected outputs and/or outcomes

These include other factual changes in the institutional framework (initiatives, responsibilities, competences), which were not planned by the support intervention as such, but occurred during its implementation, due, among other things, to the interaction of key stakeholders with the support intervention.

As mentioned in Annex 3, dealing with the Rapid Assessment of Capacity development (RAC)<sup>38</sup>, this methodology enables the rapid identification of unexpected capacities. Since the RAC is not focused on the technical assistance component of a support intervention; regardless of whether an intervention has an explicit capacity-development component or not, it allows for identification of the impact in terms of capacity-outputs and capacity-outcomes that a 'simple' interaction with a support intervention may have had among individuals and/or institutions.

<sup>38</sup> Refer to 5.8.2

## 5.6. Monitoring is not only the responsibility of ROMers

ROMers, external and independent consultants hired to provide an external assessment of an intervention are not the only actors involved in monitoring. The internal monitoring to be performed by implementing partners and EC programme managers is crucial. It is supposed to take place on a regular basis to continuously inform decision-making and is also expected to feed external monitoring.<sup>39</sup>

## 5.7. When to undertake a CD assessment

**Complementarity between CD and standard assessments may be ensured on a systematic basis. CD assessments should be carried out on interventions with significant capacity development, policy advice, support to service delivery, etc. components.**

The following criteria can be used to determine whether a CD related-component is sufficiently significant within the externally-supported intervention:

TABLE 13: EXAMPLES OF WHEN TO CONDUCT A CD ASSESSMENT

TYPE OF INTERVENTION	Criteria
Standard interventions	If the intervention supports the establishment of a sectoral or thematic approach, including policy and institutional change, with a focus on specific partner institutions or institutional systems (e.g. at sectorial and local levels)
Budget Support programmes	If financial resources are provided to specific partner institutions (or institutional systems) at country, regional and sectorial level, to strengthen their effectiveness on sustainable bases; with or without specific CD components
Support to non-state actors	If the intervention has a relatively wide scope and includes a well-defined partnership with specific institutional systems

## 5.8. Two defined options for evaluating a CD process

Once the necessity to specifically carry out a CD evaluation has been established, the choice to be made is whether: i) a thorough or ii) a rapid exercise is needed. The CD process implicit in any supported intervention may be assessed in two ways:

### 5.8.1. A thorough evaluation

Should be carried out for those interventions expected to have a strong CD effect, where full involvement of the evaluated institution is ensured. Owing to the invasive dimension of this type of evaluation in relation to the institutions involved, a full commitment from the partner country is required. Such commitment will be achieved only if the institution has a specific interest in the evaluation, so as to facilitate a genuinely joint exercise.

Indeed, a thorough evaluation should acquire and analyse the documentation relating to the internal life and the internal products of the institution, instead of limiting its investigation to interviews, group meetings or

<sup>39</sup> Refer to DG NEAR Guidelines on linking planning/programing, Monitoring and evaluation (refer to [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-progrming-vol-1-v0.4.pdf))



workshops with the key stakeholders. It might raise concerns and opposition unless the full commitment of internal and external decision-makers is ensured. The time issue is also particularly important.

When a thorough evaluation is decided upon, ToR would be drawn-up based on the standard evaluation approach with its various phases, field missions, Reference Group and seminars; and the evaluation team would be instructed to use the thorough evaluation methodology proposed in the 'Evaluation Methodology & Baseline Study of European Commission Technical Cooperation support'<sup>40</sup>. The key evaluation questions foreseen in this evaluation methodology are in part those listed in chapter 4 **WHAT TO CONSIDER WHEN PLANNING/PROGRAMMING CAPACITY** development-related interventions of the present note and recommended to be asked in the design phase of an intervention.

#### 5.8.2. *A quick assessment: the Rapid Assessment of Capacity development (RAC)*<sup>41</sup>

The objective of the RAC is to assess the impact that the interaction with an EU intervention generates at individual and/or organisational level in terms of capacity development and/or strengthening. It is not an evaluation of the intervention, nor the evaluation of the technical assistance component of an intervention.

In the short-to-medium term the RAC can be performed by an external team; but in the medium term it could/should be performed by relevant HQs and EUD staff, with the support of an external consultant.

The RAC is a relatively rapid and economic exercise. The results of the RAC are available within a short time. The RAC exercise might take up to 2-3 months and its results (mainly those of the coaching sessions and of the final workshop) are immediate. This is part of the value added of a RAC.

It can be easily carried out on all interventions designed to have a significant effect on CD, including actions not categorised as CD (e.g. NGO grants). The RAC may become an instrument for further institutional debate and strengthening, and used as a key information source in standard intervention evaluations; including country and thematic evaluations.

In order for a quick assessment to be successful, interventions' planning/programming exercises should already encompass key elements such as context-related enabling factors (the Opportunity Framework, as shown in the description of the IL) and should be better focused on CD.

Planning an RAC could be either independent or combined with standard evaluations. **HQ operational Units and EUDs should decide each year in the framework of their annual evaluation plans, the interventions for which a rapid CD assessment would be necessary.** At the same time, when a final evaluation of an important intervention (sectorial policy, budget, or civil society support) has to be carried out, it would be opportune to plan a rapid CD assessment between six and three months before the evaluation starts.

Besides such planning criteria, the RAC should be a flexible instrument, to use on demand. For lengthy interventions (say more than four years), the RAC could be repeated twice (mid-term and final).

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<sup>40</sup> Refer to Section 3 of the final report that can be found at: <https://europa.eu/capacity4dev/public-cd-tc/document/rac-final-report>

<sup>41</sup> Refer to Annex 3 for a brief presentation of the RAC added value methodology; to Annex 4 for a PowerPoint presentation that was done to present to EU staff in HQs and Delegations the methodological approach for the Rapid Assessment of Capacity Development (RAC). It is part of the capacity development related trainings organized currently by DG DEVCO. The initial idea was that in the medium term the RAC would not be completely externalised but carried out by EU staff with support if needed of a national expert in the case of EU Delegations; and to Annex 5 for a standard ToR to undertake a RAC.

For the types of interventions mentioned above (standard, BS and support to Civil Society), a form of RAC of the beneficiary institutions should be already considered in the planning/programming phases and later on incorporated in the relevant contracts.

**The use of the RAC should be preferred over the thorough CD evaluation.**

## PART 4: ANNEXES

### ANNEX 1: THE 5CS

Methodological works on CD respond in different ways to the need for assessing or evaluating the CD process *as such*, and not (or not only) in relation to the development results generated in the framework of a given support intervention. This implies that they seek specific capacity indicators and possible logical paths for CD assessment. The basic idea is that the CD process goes beyond the scope of a given support intervention and creates capacities that change the behaviour of beneficiary institutions and are instrumental in the accomplishment of their own missions.

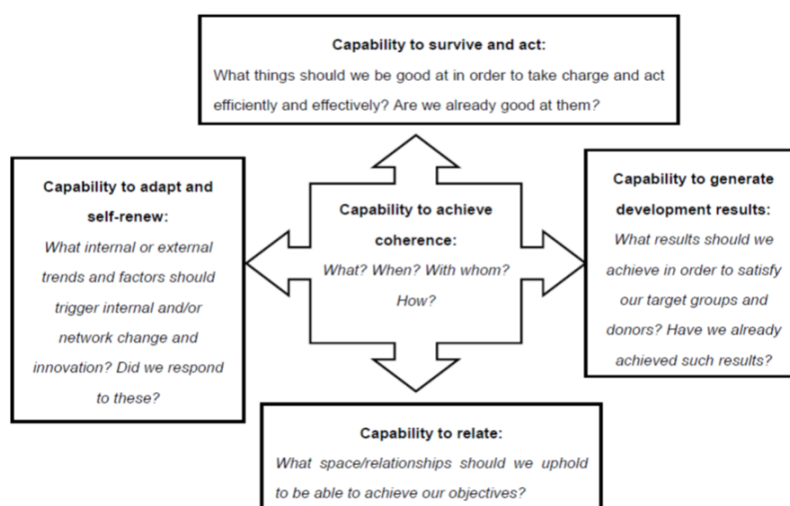
Consideration of the CD process *as such* is particularly important in the 5Cs approach, developed by the ECDPM and supported by the Netherlands IOB<sup>42</sup>.

Figure here below indicates how the 5Cs are formulated so as to be individually and collectively linked, since it is the combination and balance of capabilities that defines the capacity of an organisation or system to create value for others. All five capabilities are therefore necessary, yet none is sufficient in itself to create capacity. The model focuses on the endogenous capacity-change processes and insists on coherence between the different capabilities, while not stressing a specific intervention logic with possible intermediate steps (i.e. outputs/outcomes/impacts). The approach is based on “behavioural adaptation to changing environments and conditions”.

FIGURE 7: OVERVIEW OF THE 5CS MODEL

It should be noted that evaluating behavioural change is never easy. The Netherlands’ recent experience in the evaluation of CD (using the 5Cs model as part of its methodology) was built around a rather lengthy and complex evaluation process that was difficult to submit to quality control: “transference”. Respondents were asked to speak about their perceptions of change without having any pre-arranged reference point or model construct to refer to. The evaluations then translated the responses into the five capabilities.

A balanced approach to monitoring and evaluating capacity: assessing change in five core capabilities that affect capacity and performance



<sup>42</sup> Engel, P., Keijzer, N., Land, T. 2007. “A balanced approach to monitoring and evaluating capacity and performance: A proposal for a framework” (ECDPM Discussion Paper No. 58E). Maastricht: ECDPM. See also: ECDPM, 2011, “Bringing the invisible into perspective”: reference document for using the 5Cs framework to plan, monitor and evaluate capacity and results of capacity development processes.

## **ANNEX 2: EXAMPLES OF INDICATORS TO BE USED IN PLANNING/PROGRAMMING, MONITORING AND/OR EVALUATION LINKED TO CAPACITY OUTPUTS AND CAPACITY OUTCOMES**

*It is to be noted that the indicators presented as examples here below are very relevant for PAR mainstreaming, most of them deriving indeed from the Principles of Public Administration and the methodological note used by OECD/SIGMA, when conducting their baseline assessments against the Principles of Public Administration. Nevertheless, while some of them are exclusively applicable in a PAR-related intervention, most apply to any intervention addressing institutional development, regardless of the sphere (governmental/non-governmental) or the scope (sector, institutional mandate, etc.)*

*Indeed, non-state actors such as NGOs, or a private sector institution (i.e. a Chamber of commerce), also need some core capacity outputs and capacity outcomes to fulfil their mission: a human resources development system, or M&E arrangements, or accountability mechanisms, or the consultation process for policy development and implementation, etc., are not exclusive to PAR interventions.*

*For colleagues working on PAR it is recommended to use the indicators defined by SIGMA for their baseline assessments and include them also in the planning/programming exercises, thus establishing a sound basis for monitoring and evaluation.*

### **1. EXAMPLES OF INDICATORS LINKED TO STAFF COMPETENCIES AND RELATED FRAMEWORKS**

Area	Related to Principles of Public Administration?
<b>On organisation of professional development and training</b>	
▪ <b>Extent to which there is an active training or upgrading system in place to strengthen staff competences (including exchange of experience)</b>	
▪ <b>Extent to which there is an alignment between practices related to staff recruitment and the competences needed</b>	
▪ <b>Extent to which training plans are developed, implemented and monitored (whether : 1) Training plans are based on training needs analysis ; 2) Implementation of training plans is monitored and data on implementation is available ; 3) More than x% of training courses planned were implemented).</b>	😊
▪ <b>Extent to which training courses are evaluated (whether individual training programmes are assessed against quality and conclusions are drawn).</b>	😊
▪ <b>Degree of Professionalism of performance assessments (whether Performance assessment system fulfils the following requirements: a) analysis of regulations: performance is assessed against individual objectives aligned with the functions and level of responsibility of the position (in competence-based HRM systems, the level of attainment of professional competences is also assessed, following a general competence framework); b) civil servants are informed about the objectives against which they will be evaluated; c) the results are recorded in written form; and d) interviews between the civil servants and their managers are compulsory).</b>	😊
▪ <b>Degree of Linkage between performance appraisals and measures designed to enhance professional achievement (whether performance appraisals provide feedback to civil servants on their level of competence and are linked to at least professional development measures).</b>	😊
<b>On performance of professional development practices</b>	
▪ <b>Training expenditures in proportion to the annual salary budget (%)</b>	😊
▪ <b>Degree of Participation of civil servants in training (Number of civil servants who participated in</b>	😊

<i>training courses financed by the state budget divided by the total number of civil servants at the beginning of the year</i>	▪ <i>Volume of training per civil servant (hours)</i>	😊
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## 2. EXAMPLES OF INDICATORS LINKED TO PROCEDURES, MECHANISMS, FUNCTIONS

Area	Related to Principles of Public Administration?
<i>On functions by the centre of government institutions</i>	
▪ <i>Extent to which a functioning co-ordination mechanism is in place at both the political and the administrative levels</i>	😊
▪ <i>Extent to which clear horizontal procedures are established under the co-ordination of the responsible body</i>	😊
<i>Fulfilment of critical functions by the centre of government institutions</i>	
▪ <i>Extent of Institutionalisation of co-ordination arrangements between the CoG bodies and their internal units for policy planning and policy development (whether CoG bodies consolidate their opinions on line ministries' proposals for inclusion into the government annual work plan; whether CoG units within the government office (general secretariat or the office of the prime minister) provide consolidated comments to the policy proposals submitted to the government for decision)</i>	😊
<i>On fulfilment of critical functions by the centre of government institutions</i>	
▪ <i>Extent to which Critical functions are assigned to CoG institutions by legislation (co-ordinating the preparation of the government sessions, including preparation of agendas; co-ordinating activities to ensure legal conformity ; leading preparation and co-ordinating approval of the government's strategic priorities and work programme ; co-ordinating the policy content of proposals for government decision, including defining the policy preparation process and ensuring coherence with government priorities; ensuring that policies are affordable and overseeing co-ordination of public sector resource planning ; co-ordinating government communication activities to ensure a coherent government message ; monitoring government performance to ensure that the government collectively performs effectively and keeps its promises to the public ; managing the relationship between the government and other parts of the state (e.g. the president, the parliament)</i>	😊
<i>On legal compliance of government decision-making</i>	
▪ <i>Extent to which the legal framework establishes procedures for government sessions (whether The legal framework establishes clear rules and procedures (stipulating deadlines and roles and responsibilities of involved bodies) for preparation, follow-up and communication on government sessions; Whether A CoG body has the authority to ensure a policy proposal's coherence with government priorities and previously-announced policies ; Whether A CoG body is granted the authority to oversee the policy development and consultation processes to ensure compliance with the set standards ; Whether The CoG body responsible for legal scrutiny is granted the authority to comment on all legal drafts before they are sent to the government session ; Whether The government office is authorised to review the content of proposals and return items to the ministries if the substance is flawed or inconsistent with government priorities)</i>	😊
▪ <i>Degree of consistency of the centre of government in setting and enforcing the procedures (whether Legal drafts are reviewed by the CoG institutions in order to ensure legal conformity ; whether Drafts submitted are analysed to ensure that dossiers are complete and submission procedures are followed ; Whether Drafts are reviewed by the CoG institutions to ensure coherence with government priorities and previously announced policies ; whether Drafts are reviewed to control financial affordability )</i>	😊
<i>On Policy and legal framework for central government organisation</i>	
▪ <i>Degree of Adequacy of the policy and regulatory framework to manage central government institutions (whether: 1.Plan for institutional development of central government is specified in</i>	😊

<p><i>policy document,2) Procedure for establishing, merging and abolishing each type of central government body is specified in the legislation,3) Procedure for establishing, merging and abolishing each type of central government body requires participation of the following: 1) prime minister's office; b) ministry of finance; c) HRM authority (if one exists ), Creation of a new body must be accompanied by ex-ante analysis covering at least: 1) assessment of the need to create the new body; 2) analysis of alternatives to creation of the new body; and 3) estimated cost and staffing of the new body 5) A body within central government is assigned responsibility for: 1) regular review of organisation of central government and 2) planning institutional development of central government administration .</i></p>	
<p><b>On functioning of internal control</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Delegation of decision-making authority within ministries</i></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <i>Degree of Delegation of decision-making authority within ministries (delegation of decision-making authority at two levels: 1) from the political level (minister) to the administrative level (senior civil servants) and 2) from the top administrative level (secretary general, permanent secretary of the ministry) to the lower administrative level (heads of units within the ministry).</i></li> </ul>	😊
<p><b>On Independence of the supreme audit institution</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Organisational and managerial independence of the SAI (whether 1) There has been no removal of the head or members of the SAI for reasons not specified in the legal framework, and not without following due legal process, during the past three years ; 2) The appointment of the head of the SAI is done according to the legal framework ; 3) The executive (e.g. MoF) has no direct control or direction over the budget formulation and approval of the SAI's financial resources ; 4) The executive (e.g. MoF) has no control or direction over how the SAI uses its financial resources and executes its budget after its approval by the parliament ; 5) The SAI is free from undue direction or interference from the legislature or the executive in the organisation and management of its office, including individual recruitment decisions in line with the SAI law ).</i></li> </ul>	😊
<p><b>On parliamentary scrutiny of government policy making</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the regulatory framework enables parliamentary scrutiny (whether Procedures enable the parliament and its committees to debate, scrutinise and amend government policies and programmes ; whether Procedures enable the parliament to carry out its oversight function over the government (at a minimum, procedures foresee written and oral questions from MPs to ministers and the participation of ministers or their deputies in the work of the parliament when an issue under their responsibility is discussed ; whether The legal drafting rules and guidelines followed by the parliament have to be fully consistent with those followed by the government; whether Draft laws submitted by the government to the parliament have to be accompanied by explanatory (memorandums or other supporting documents containing an overview of the results of public consultation and the rationale behind the proposal ; whether Mechanisms are in place to ensure that the government systematically reviews new legislative proposals initiated by the parliament)</i></li> </ul>	😊
<p><b>On adequacy of organisation and procedures for supporting the development of implementable policies</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Adequacy of the regulatory framework for effective policy making (whether Ministries have the ultimate responsibility for policy development and legislative drafting; whether The roles and responsibilities of ministerial departments responsible for policy development, policy co-ordination, legal-drafting and implementation functions are established ; whether Internal policy-development and legislative-drafting procedures of ministries are prescribed) ; whether The responsibility for leading policy development and legislative drafting in ministries is assigned to at least the deputy secretary-general or deputy minister)</i></li> </ul>	😊
<p><b>On functioning of public consultation in the development of policies and legislation</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of adequacy of the regulatory framework for an effective public consultation process (whether: the framework sets out procedures for public consultation ; Public consultation is required for both draft laws and draft secondary legislation adopted by the Government; There is an obligation to inform those likely to be affected by the policy changes and other stakeholders in advance that a public consultation is planned to take place ; A minimum duration for written public consultation is established ; There is an obligation for the lead ministry to report on the outcome of public consultation as part of the documentation submitted along with the agenda</i></li> </ul>	😊



<p><i>items for government sessions, including the list of comments submitted and feedback to them (accepted/not accepted and, if not accepted, an explanation); There is an obligation to make the report on the outcome of public consultation available to the public; There is an obligation to make available for public consultation other relevant policy documents (e.g. explanatory note, impact assessment report) to be published with the draft law or regulation (in addition to the draft regulation itself)</i></p>	<p><b>On functioning of interministerial consultation on policy development</b></p>
<ul style="list-style-type: none"> <li>▪ <i>Degree of Adequacy of the regulatory framework for an effective interministerial consultation process (whether: Regulations set out the procedure for interministerial consultation ; Minimum duration is set for written interministerial consultation ; The obligation to consult the CoG bodies is stipulated (including the line ministries which act as CoG bodies) ; The obligation to consult all affected government bodies is stipulated ; The obligation to inform the government about the outcomes of the consultation process is stipulated (either by a table of opinions and responses or in any similar way) ; Interministerial co-ordination and conflict resolution mechanisms are built into the decision-making process at the top administrative level (at a minimum, there is the possibility to discuss outstanding conflicting views of line ministries at the top administrative-level meeting prior to discussion in the government)</i></li> </ul>	<p><b>On accessibility of legislation</b></p>
<ul style="list-style-type: none"> <li>▪ <i>Degree of adequacy of the regulatory framework for accessibility of legislation (whether: The procedures for making legislation accessible to the public are stipulated ; The competent body (unit) for publishing legislation is established ; The deadline for publishing legislation after it has been submitted to the competent body is set ; The types of legislation to be published are stipulated ;The responsibilities of the bodies that have to submit adopted legislation for publication are prescribed ; The obligation to publish consolidated versions of legal texts is established.</i></li> </ul>	<p><b>On legal framework and organisation of civil service recruitment</b></p>
<ul style="list-style-type: none"> <li>▪ <i>Degree of establishment of recruitment procedures for civil service positions (whether: 1) An annual staffing plan exists for the civil service (or it exists in all analysed institutions), and there is evidence that it is centrally co-ordinated ; 2) Job announcements contain requirements based on legislation and job descriptions (the general requirements are in line with requirements set by the legislation and the specific requirements are in line with the job description) ; 3) Additional requirements contained in job descriptions are aligned with tasks performed in the position in question ; 4) The deadline to submit applications is defined as at least ten working days from the date of its announcement ; 5) All civil service announcements are accessible on the single web portal ; 6) The single web portal that announces all civil service vacancies is user-friendly: it offers the possibility to sort vacancies or subscribe to new announcements ; 7) No members of selection committees are political appointees and political appointees do not choose members of selection committees ; 8) There is evidence that uniform and professional recruitment practices are proactively supported (e.g. training courses, workshops and/or networking events were organised for the members of selection committees and recruiters in civil service organisations, and supporting materials were made available) ; 9) Selection encompasses both written and oral examinations (in the form of structured interviews) ; 10) Written testing is anonymised ; 11) First-ranked candidates are appointed ; 12) There is statistical data available (number of appeals and results of appeals) related to appeals to recruitment decisions for the assessment year).</i></li> </ul>	<p><b>On legal framework and organisation of professional development</b></p>
<ul style="list-style-type: none"> <li>▪ <i>Degree of Adequacy of legislative framework for merit-based vertical promotion (whether : 1) The primary legislation establishes that vertical promotion is based on merit, objective and transparent criteria; civil servants cannot be promoted to the higher category, without formally checking their competences ; 2) The legal procedures ensure merit-based promotions).</i></li> </ul>	<p><b>On accountability and organisation of central government: Policy and legal framework for central government organisation</b></p>
<ul style="list-style-type: none"> <li>▪ <i>Degree of Adequacy of the policy and regulatory framework to manage central government institutions (whether: 1. Plan for institutional development of central government is specified in policy document, 2) Procedure for establishing, merging and abolishing each type of central</i></li> </ul>	

<p>government body is specified in the legislation,3) Procedure for establishing, merging and abolishing each type of central government body requires participation of the following: 1) prime minister's office; b) ministry of finance; c) HRM authority (if one exists ), Creation of a new body must be accompanied by ex-ante analysis covering at least: 1) assessment of the need to create the new body; 2) analysis of alternatives to creation of the new body; and 3) estimated cost and staffing of the new body 5) A body within central government is assigned responsibility for: 1) regular review of organisation of central government and 2) planning institutional development of central government administration .</p>	
<ul style="list-style-type: none"> <li>▪ Extent to which Accountability mechanisms between ministries and subordinated bodies are in place and functioning (whether 1) Responsibility for monitoring the subordinated body is clearly assigned to the relevant organisational unit of the ministry ;2) The ministry has the right to appoint and dismiss the management board of the subordinated body (or the government makes the decision based on the proposal of the minister) ; 3) The ministry has the right to request any documents produced and collected by the subordinated body ; 4) The regulations set a requirement for an annual plan and annual activity report to be submitted to the ministry ; 5) Budgetary proposal is required to be submitted to the parent ministry (not directly to the ministry of finance, parliament or similar)</li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ Extent to which Managerial accountability mechanisms are in the regulatory and legislative framework (whether 1) Managerial autonomy of heads of subordinated bodies is defined in the regulatory framework ;2) Heads of subordinated bodies have autonomy to manage financial resources with budget approved by the parent ministry ;3) Recruitment and dismissal decisions regarding the staff of the subordinated body can be made by the head of this body independently ; 4) For bodies subordinated to a ministry, procedures for setting specific objectives (linked with policy priorities) and measurable targets are defined ; 5) Procurement procedures and decisions up to EUR 100 000 can be made and signed by the head of subordinated body.</li> </ul>	😊
<p><b>On capability of central procurement institutions and their performance</b></p>	
<ul style="list-style-type: none"> <li>• Degree of Definition of central procurement functions and duties (and their distribution) by the legal - framework (whether The legislation defines the distribution : 1) among the central procurement institutions of their policy framework and primary legislative functions ; 2) among the central procurement institutions of their secondary policy and regulatory functions ; 3) among the central procurement institutions of their publication and information functions ; 4) among the central procurement institutions of their international co-ordination functions (including EI) ; 5) among the central procurement institutions of their advisory and operations support functions (including professionalization and capacity strengthening) ; 6) among the central PPP/concessions institutions of their respective functions and responsibilities).</li> </ul>	😊
<p><b>On legal framework for administrative procedure</b></p>	
<ul style="list-style-type: none"> <li>▪ Existence of legislation on administrative procedures of general application (whether Legislation exists that comprehensively regulate(s) administrative procedures)</li> </ul>	😊
<p><b>On quality of the annual budget process and budget credibility</b></p>	
<ul style="list-style-type: none"> <li>▪ Transparency and predictability of procedures for in-year budget adjustments (whether There are clear rules restricting in-year budget adjustments by the government to no more than x% (5%?) between individual budget lines, The national rules on restrictions with in-year budget adjustments by the government are respected. The annual financial statement of the government reports on all variations that were done by the government, No more than two budget amendments by the parliament are done annually)</li> </ul>	😊
<p><b>On functioning of internal control</b></p>	
<ul style="list-style-type: none"> <li>▪ Extent to which reporting and follow-up on irregularities exist (whether there are procedures in place and actual practice for reporting on irregularities).</li> </ul>	😊
<p><b>On adequacy of the operational framework for internal audit</b></p>	
<ul style="list-style-type: none"> <li>▪ Existence of a system for quality assurance of internal audit (whether a formal procedure is established for a quality assurance of the IA function, in line with the IIA standards, and at least five IA units applied the procedure during the latest calendar year).</li> </ul>	😊
<p><b>On public procurement procedures</b></p>	



<ul style="list-style-type: none"> <li>▪ <b>Extent to which Advertising of public procurement procedures are in place and applied in practice (whether 1) As a rule, the contracting authority is obliged by law to publish a contract notice in the national official journal or procurement portal ; 2) Contract notices and publicly available documentation include essential details such as subject of the procedure, method of procurement, contract award criteria, exclusion grounds and selection criteria, and time limits ; 3) Procedures without publication of a notice are allowed as an exception in duly specified situations, (i.e. extreme urgency due to unforeseeable events or contracts which for technical/artistic reasons or for reasons connected with the protection of exclusive rights may be executed only by one particular economic operator ).</b></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <b>Extent to which Right to challenge lawfulness of actions/omissions in PPP/concessions procedures is ensured in legal provisions</b></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <b>Extent to which Due attention is given to the planning process (whether: 1) procedures are announced publicly in procurement plans or indicative notices; 2) There are general guidelines for planning and preparation of public procurement and for the preparation of tender documentation set out in secondary legislation; 3) Preliminary market consultations are provided for in the legislation and facilitated by corresponding guidelines).</b></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <b>Presence of mechanisms requiring and enabling contract management (whether: 1) The applicable legislation regulates the management of procurement contracts ;2) Contracting authorities have access to guidelines and good practice examples on contract management, complementing the provisions in primary law ; 3) Reports from the supreme audit institution do identify systemic weaknesses in contracting authorities' management of contracts).</b></li> </ul>	😊
<b>On effectiveness of the external audit system</b>	
<ul style="list-style-type: none"> <li>▪ <b>Quality (nature and scope) of quality control and quality assurance system (whether: 1) The SAI has established policies and procedures for quality control and quality assurance covering all its work ; 2) The policies and procedures establish requirements for the supervision and review of all work (quality control) and for monitoring arrangements (quality assurance) to be in place to provide reasonable assurance that the quality control arrangements are adequate and operating effectively ; 3) In line with the SAI's policies, individual audits are selected for (engagement) quality control review, and the results of the reviews are reported to management ; 4) The monitoring arrangements established include the review and assessment of a sample of completed audits across the range of work conducted by the SAI ;5) The results of the (engagement) quality control reviews and monitoring arrangements indicate that audits have been conducted in accordance with auditing standards and the results are consistent with the audit evidence).</b></li> </ul>	

### 3. EXAMPLES OF INDICATORS LINKED TO STRUCTURES

Area	Related to Principles of Public Administration?
<b>On quality of the strategic framework of public administration reform (global and sector related)</b>	
<ul style="list-style-type: none"> <li>▪ <b>Extent to which there is an active central/sectorial co-ordination unit (or similar) supporting the establishment and enforcement of procedures</b></li> </ul>	😊
<b>On Adequacy of the operational framework for internal audit</b>	
<ul style="list-style-type: none"> <li>▪ <b>Extent to which Organisational capacity (structures) for internal audit is established (whether IA units are established in central government organisations).</b></li> </ul>	😊
<b>On Adequacy of the policy, legal framework and institutional set-up for professional human resource management in public service</b>	
<ul style="list-style-type: none"> <li>▪ <b>Degree of adequacy of the policy, legal framework and institutional set-up for professional human resource management in public service</b></li> </ul>	😊
<b>Adequacy of the operational framework for internal audit</b>	

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>▪ <i>Extent to which Organisational capacity (structures) for internal audit is established (whether IA units are established in central government organisations).</i></li> </ul> | 😊 |
|---|---|

#### 4. EXAMPLES OF INDICATORS LINKED TO SURVIVING AND ACTING (POLICY INITIATIVE AND AUTONOMY, POLICY DEVELOPMENT)

Area	Related to Principles of Public Administration?
<i>On Quality of the strategic framework of public administration reform</i>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Reform orientation of PAR planning documents (the extent to which there are activities planned that would create changes in the existing legal or institutional system that would change the behaviours of the stakeholders involved and directly lead to changes in expected practices)</i></li> </ul>	😊
<i>On Accountability and co-ordination in PAR/sector</i>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Establishment of organisational and managerial accountability for PAR/sector (incl. focal point of monitoring and reporting; civil servant(s) appointed to organise planning, monitoring, reporting and evaluation of the PAR/sectorial agenda)</i></li> </ul>	😊
<i>On parliamentary scrutiny of government policy making</i>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which The government decision-making process is co-ordinated with the parliament (whether There are regular meetings at senior administrative level to discuss agenda and upcoming proposals in advance ; whether Information about the government's legislative initiatives is made available to the parliament at least once a year in line with the parliamentary planning procedures and calendar)</i></li> </ul>	😊
<i>On quality of the strategic framework of public administration reform (global and sector related)</i>	
<ul style="list-style-type: none"> <li>▪ <i>Coverage and scope of PAR/sector planning documents</i></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <i>Quality of consultations related to PAR/sectorial planning documents (existence of consultation reports, composition of working groups and minutes (if available) for the process of drawing up PAR/sectorial planning documents (strategies, action plans and amendments ))</i></li> </ul>	😊
<i>On policy framework for citizen-oriented service delivery</i>	
<ul style="list-style-type: none"> <li>▪ <i>Existence and extent of application of policy for service delivery (whether: Clear government-wide objectives are formulated in at least one strategy document setting out what is expected to be achieved by the transformation of service delivery explicit actions are defined to achieve the objectives, responsibility for achieving objectives and executing actions is clearly assigned to specific institutions, an explicit monitoring mechanism is in place, and reports demonstrate that progress is assessed against objectives)</i></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <i>Extent to which policy for administrative simplification is stablished (whether: A formally-approved plan is in place , explicit actions are defined to achieve the objectives ,responsibility for steering administrative simplification is explicitly assigned to a central institution or unit , evidence is provided that over the last two years at least three laws or regulations or service delivery processes have been amended in order to simplify administrative procedures ,regulatory impact assessment procedures (or equivalent ex ante analysis of impacts of laws and regulations) specifically include the obligation to analyse the administrative burden on citizens, businesses and other legal entities, impact assessment of policies is routinely carried out in practice in all of the sample proposals)</i></li> </ul>	😊

#### 5. EXAMPLES OF INDICATORS LINKED TO RESULTS (RESULT ORIENTATION)

Area	Related to Principles of
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	Public Administration?
<b>On co-ordination in PAR</b>	
<ul style="list-style-type: none"> <li>▪ <i>Quality (nature and scope) of political and administrative Co-ordination mechanisms for PAR (whether co-ordination arrangements for PAR are established and have been in operation; whether PAR reforms brings together all key public administration reform stakeholders (including non-governmental stakeholders) ; whether communication with government ministries and departments is ensured).</i></li> </ul>	😊
<b>On accountability and co-ordination (global and sector related)</b>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of establishment of organisational and managerial accountability for PAR/sector (incl. focal point of monitoring and reporting; civil servant(s) appointed to organise planning, monitoring, reporting and evaluation of the PAR/sector agenda)</i></li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ <i>Quality (nature and scope) of political and administrative co-ordination mechanisms for PAR/sector (whether co-ordination arrangements for PAR/sector are established and have been in operation; whether PAR/sector reforms brings together all key public administration reform stakeholders (including non-governmental stakeholders); whether communication with government ministries and departments is ensured)</i></li> </ul>	😊
<b>On quality of government monitoring and reporting</b>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the legal framework enables good monitoring and reporting (whether the legal framework stipulates: regular monitoring and reporting on the implementation of key government central-planning documents (budget, government work plan, legislative plan, sector strategies and PAR plan); that all reports on key governmental central-planning documents issued by a public body have to be publicly available ; whether the legal provisions do not create parallel (duplicate) reporting obligations for the monitoring of the implementation of PAR commitments and for the overall monitoring mechanism that exists for other government commitments and obligations (e.g. government work programme, legislative programme))</i></li> </ul>	😊
<b>On comprehensiveness of monitoring and reporting system (global and sector related)</b>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of comprehensiveness of PAR/sector reporting and monitoring systems (whether: 1) A reporting and monitoring system is established and used at least once a year for PAR/sector (including by reporting to the highest political level) ; 2) The roles of various institutions in monitoring and reporting are defined ; 3) Indicators are linked to objectives and used to monitor progress in the area of PAR/sector ; 4) All outcome-level indicators (and impact-level indicators, if they exist) are described and defined in detail, including data sources, time of data availability, calculation formulas, responsible institutions, and baseline and target values ; 5) PAR/sector progress reports are prepared at least once a year with information on outputs produced or activities completed ;6) PAR/sector progress reports are prepared and published at least every second year, including information on the outcome and/or impact indicators ; 7) Civil society organisations are involved in monitoring and evaluation of the PAR/sector strategy, either actively as evaluators (one of the past two evaluations have been led by a member of civil society) or as part of a formal review/quality assurance mechanism established for the annual progress reports in the current monitoring system)</i></li> </ul>	😊
<b>On performance of merit-based recruitment to and termination of employment of senior civil servants</b>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of Application in practice of recruitment procedures for senior civil service (whether 1) Job announcements contain requirements based on legislation and job descriptions if these exist (the general requirements are in line with the requirements set by the legislation and the specific requirements are in line with the job description) ; 2) Requirements contained in job descriptions are aligned with responsibilities expected in the position ; 3) The deadline to submit applications is defined as at least ten working days from the date of announcement ; 4) All announcements for vacancies to senior civil service positions are accessible on the single web portal ; 5) The single web portal where all senior civil service vacancies are published is user-friendly: it offers the possibility to sort vacancies or subscribe to new announcements ; 6) Senior civil service positions are staffed by internal or external competition. Other positions may be temporarily filled on an acting basis). 7) No members of selection committees are political appointees (8) Selection encompassed both written and oral examinations (in the form of</i></li> </ul>	😊

<i>structured interviews</i> ); 9) Selection techniques were appropriate to senior positions ; 10) The highest-ranked candidate was appointed (or the second or third highest- ranked candidates was appointed with written justification and only when there were more than three eligible candidates for a vacancy) 11) There is statistical data (number of appeals, results of appeals) available related to appeals to recruitment decisions for the assessment year ; 12) There is evidence that uniform and professional recruitment practices were proactively supported (e.g. training courses, workshops and/or networking events were organised for the members of selection committees and recruiters in civil service organisations, and supporting materials were made available)	
<b>On Central government's organisation and accountability mechanisms in practice</b>	
<ul style="list-style-type: none"> <li>▪ Degree of Accountability in reporting between central government bodies and parent ministry (whether 1) The annual plan is submitted to the parent ministry for approval,2) The annual activity report of the subordinated body is submitted to the parent ministry,3) The subordinated body's budget for the assessment year has been submitted to and approved by the ministry)</li> </ul>	😊
<ul style="list-style-type: none"> <li>▪ Degree of Delegation of decision-making authority within ministries</li> </ul>	😊
<b>On Central and shared mechanisms to better enable public service provision</b>	
<ul style="list-style-type: none"> <li>• Degree of Central monitoring of service delivery performance (whether: Responsibility for monitoring service delivery performance is a function formally assigned to a central institution or unit, a clear government-wide methodology has been established to guide the production and reporting of performance metrics by individual ministries, performance metrics on total volume of yearly transactions are reported for a significant share of user-oriented transactional services, performance metrics on cost such as average cost of transaction for each service- are reported for a significant share of user-oriented transactional services, performance metrics on take-up of digital channels for each service –e.g. total volume of yearly online transactions- are reported for a significant share of user-oriented transactional services)</li> </ul>	😊
<b>On functioning of internal control</b>	
<ul style="list-style-type: none"> <li>▪ Degree of Effectiveness of basic managerial accountability mechanism for central government bodies (whether the standard of managerial accountability comprises the following three criteria: 1) the annual plan of the subordinated body contains specific objectives and measurable targets approved by the ministry or agreed between the ministry and the subordinated body. 2) Progress towards objectives is monitored by a relevant unit of the ministry, at least annually. 3) The last annual report contained information on the level of outcomes against predefined objectives and targets, and the ministry provided feedback on this in writing).</li> </ul>	😊

## 6. EXAMPLES OF INDICATORS LINKED TO INSTITUTIONAL NETWORKING

Area	Related to Principles of Public Administration?
<b>On awareness and recognition of the institution's role</b>	
<ul style="list-style-type: none"> <li>▪ Evidence of acknowledgement by key stakeholders of the institution representativeness in national, regional and/or international policy making spheres &amp; processes</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Extent to which reporting on policy/reform implementation is done through participatory stakeholder involvement processes</li> </ul>	
<b>On consultation with key stakeholders</b>	
<ul style="list-style-type: none"> <li>▪ Quality (nature and scope) of consultation mechanisms for policy/reform design and implementation</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Extent to which a genuine dialogue between parties exists</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Evidence (nature and scope) of appropriate links (that respect roles and responsibilities) between different stakeholders</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Evidence (nature and scope) of stable links (at different levels, to be specified) established</li> </ul>	

<i>between relevant stakeholders</i>
<b><i>On accountability</i></b>
<ul style="list-style-type: none"> <li>▪ <i>Extent to which appropriate accountability mechanisms are in place and used thus ensuring transparency and application of the institution's regulatory and control frameworks according to its mandate</i></li> </ul>
<ul style="list-style-type: none"> <li>▪ <i>Extent to which effective corruption prevention measures (incl. removal of discretion; monopoly in decision-making' and introduction of transparency and redress mechanisms to challenge decisions) are introduced into all areas of the public service by anti-corruption strategies and policies</i></li> </ul>
<b><i>On communication</i></b>
<ul style="list-style-type: none"> <li>▪ <i>Extent to which information and communication platforms &amp; tools are functioning, updated and used</i></li> </ul>

#### 7. EXAMPLES OF INDICATORS LINKED TO SELF-RENEWING (FLEXIBILITY AND ADAPTATION)

<i>Area</i>	<i>Related to Principles of Public Administration?</i>
<b><i>On M&amp;E arrangements contribution to policy/reform adjustments</i></b>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which policy-making changes and adjustments result from the information provided by monitoring and evaluation arrangements</i></li> </ul>	
<b><i>On policy/reforms adjustments</i></b>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the institution is able to adapt the resources allocation for a given policy/reform</i></li> </ul>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which changes in policies and strategies reflect evolving circumstances</i></li> </ul>	

#### 8. EXAMPLES OF INDICATORS LINKED TO LINKING THE STRATEGIC AND OPERATIONAL LEVELS (COHERENCE BETWEEN THE PREVIOUS FOUR TYPES OF CAPACITY OUTCOMES)

<i>Area</i>	<i>Related to Principles of Public Administration?</i>
<b><i>On coherence between policy/reform and operational resources</i></b>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the institutional set-up and the available human resources are coherent with the institution strategy/mission</i></li> </ul>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of coherence between the institution's plans (linked to policy/reform) and the managerial/operational framework</i></li> </ul>	
<ul style="list-style-type: none"> <li>▪ <i>Degree of coherence between the policy/reform and the financial resources allocated</i></li> </ul>	
<b><i>On the regulatory and normative framework</i></b>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the regulatory and normative framework is responsive to what the institution needs (to be defined) for the execution of its mission</i></li> </ul>	
<ul style="list-style-type: none"> <li>▪ <i>Extent to which the development of the regulatory and normative framework (laws, regulations, directives, other) has improved in terms of coherence/consistency with other policy frameworks/other</i></li> </ul>	

## **ANNEX 3: KEY ELEMENTS FOR A RAPID ASSESSMENT OF CAPACITY DEVELOPMENT (RAC)**

### **1. THE RAC VALUE ADDED**

#### **1.1. For the EC**

- ✓ The RAC is a **non-invasive approach** that allows an evaluation of capacity outcomes with relatively accessible means in terms of costs and timeframe. The RAC **motivates the evaluated stakeholder to actively participate in the evaluation exercise**. This helps the application of the methodology in contexts that are not completely propitious to the impact evaluation.

The standard intervention evaluations already represent a significant administrative burden for both donor administrations and partner institutions. In addition a thorough CD evaluation would need an in-depth investigation of the internal institutional processes, which might be refused or at least not facilitated by the partners, without any possibility of control by the evaluator. On the other hand, there is a renew donor administrations and partner institutions need to increase the CD outcomes of most of its cooperation interventions and not just test advanced CD assessments in a few interventions.

- ✓ The RAC is not an evaluation of a development intervention, nor the evaluation of the technical assistance component of a development intervention. It therefore allows overcoming the cases in which a specific CD strategy and CD expected outcomes are not defined at all or made sufficiently explicit. **It allows identifying CD outputs and CD outcomes that were not intended nor anticipated.**
- ✓ The RAC can be applied:
  - ex ante (for the definition of a new intervention/programming cycle in cases in which a previous support intervention exists),
  - during the intervention (for potential adjustments)
  - ex post (at the end of an intervention/programming cycle and potentially for the definition of a new one), and
  - to establish a baseline of capacities in cases in which there is no previous support (in this case the RAC proposed here needs to be adapted)
  - at sectorial and country-level, through a representative sample of development interventions, within a single sector or among different sectors in a given country.
- ✓ The RAC **can be combined with other project/programme management activities** (ROM, intervention's standard evaluations).
- ✓ The RAC **can be applied to different aid modalities** (project/progr. approach, budget support) & frameworks (programme, sector, country-level). If applied at sector and/or country-level, a representative sample of key stakeholders need to be identified.
- ✓ The RAC may **help improve design and management of development interventions**, through a stronger consideration of the CD processes involved.

## 1.2. For the counterparts

- ✓ **The RAC gives to the evaluated stakeholder the possibility of being an active part of the exercise**, avoiding the dichotomy between the evaluator and the subject of the evaluation, without losing the objectives of the evaluation and the functions of the evaluator. The evaluator and the evaluated stakeholders thus **work for a common objective via an *inter pares* approach, the dialogue**.
- ✓ **The RAC gives to the evaluated stakeholder, individual or institution, immediate feedback**, giving information **that can lead to a greater awareness of their respective learning processes and career paths**. This feedback provides, in addition, data on the development stage of the profile of capacities of each one of the participants in the evaluation. At the end of the exercise each participant will have elements to respond to two questions:
  - *What knowledge and capacities have I acquired?*
  - *What is still missing in relation to the requirements of the professional career path that I have drawn up for myself and the one that the institution demands?*

These same questions can be applied to the institution.

- ✓ The RAC can be applied at micro (unit, department) or macro (ministry, directorate) institutional level.
- ✓ The RAC gives the possibility of using its findings in country's dialogue with other donors for the definition of future interventions.

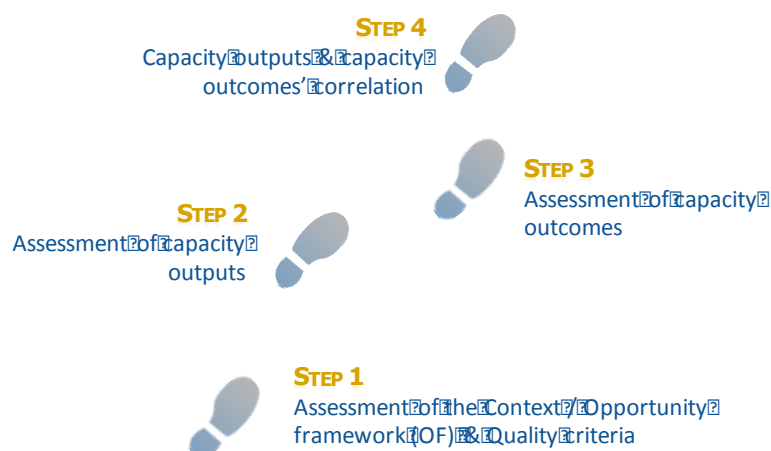
## 2. THE RAC METHOD

The RAC is not a special methodology. It is based on a thorough evaluation methodology mentioned earlier, according to the EC and OECD basic evaluation guidelines.<sup>43</sup> It shares many concerns and contents with similar methodologies elaborated and tested by different international agencies, namely the United Nations Development Intervention (UNDP), the World Bank Institute (WBI), and particularly the 5Cs (five capabilities) methodology developed by the European Centre for Development Policy Management (ECDPM).

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<sup>43</sup> Available on the web page of capacity4dev at the following address: <http://capacity4dev.ec.europa.eu/public-cd-tc/minisite/rapid-assessment-capacity-development-rac> under 'Evaluation methodology & baseline study of European Commission Technical Cooperation support'.

## 2.1. A 4-steps approach <sup>44</sup>



### 2.1.1. Step 1: Assessment of the context / opportunity framework and of the Quality criteria

This methodology ensures that such enabling factors (both the context / opportunity framework (OF) and the QC) are well examined. Whereas they are most often relegated to the backdrop within existing evaluation models, they must be well understood in this model because they condition the success of the process affecting the motivation and opportunities for change. Since this model assumes that constant or 'developmental' evaluation approaches will be applied throughout the life cycle of TC, understanding these vectors is not only important but critical.

One of the main challenges of this step is the identification of the interaction between the context / OF and the intended mission of the institution or system, including the related support action and its QC. This includes: (i) the extent to which the context / OF provides a conducive framework for the institution or system and the related support action to attain the respective objectives; and (ii) *vice versa*, the extent to which the institution or system and the related support action are enabled or tailored to respond to the context / OF features and facilitate its positive influence.

#### Context / Opportunity framework

The assessment of the context / OF should tell if and to what extent the external conditions for the (explicitly or implicitly) intended capacity development are there and what should be done to enhance their conduciveness or to better adapt the support interventions to their actual potential.

This assessment should be included in the current instruction and monitoring procedure. It should be available for each EU intervention. This is the standard case considered for the RAC.

In case it is not available, the current § presents the methodology to be applied.

The methodological framework for the assessment of the context opportunities distinguishes between the identification of:

- ✓ **Facilitating factors**, all those that create favourable conditions for the implementation and development of the intervention,

<sup>44</sup> Refer to Annex 4 for a presentation on how to actually undertake a RAC.



- ✓ **Limiting factors**, all those that tend to prevent or to limit the implementation and the normal development of the intervention.

The set of factors of the contextual framework allows visualizing both the fertile spaces as well as those that affect or can negatively affect the implementation and development of an intervention.

It is necessary, within the contextual framework, to give a particular attention to the **temporal variable** as it is considered that the development of capacities is part of a complex process with different levels of conditions (societal, institutional and sectorial) within a delimited timeframe. In order to establish the timeframe, it is necessary to establish the continuity line or the discontinuity of the intervention evaluated with:

- ✓ Previous cooperation initiatives,
- ✓ Societal conditions
- ✓ Institutional conditions
- ✓ Sectorial conditions

The positioning or insertion of the intervention in certain context conditions is useful to determine what is the role played or being played by the intervention. From a role of catalyst of initiatives to a role of rupture with respect to previous EU efforts. The same in relation to the role of the intervention in social practices, in the governmental and sectorial policies and their incidence or lack of incidence in the capacity development processes in which it is inserted.

The basic questions, to be further adapted and developed in each RAC for the assessment of the Opportunity framework are:

The preliminary question is:

*Which was the degree of fertilization for the development of capacities at the beginning of the evaluated intervention?*

The second question is:

*Which are the contextual factors that have facilitated or negatively affected the Intervention actions in the stakeholders' capacity development?*

### Quality criteria

In relation to the quality criteria (QC), the assessment should tell if, and to what extent, the intervention (including its design, quality and delivery methods) fits a set of conditions conducive to capacity development. The assessment of the QC highlights the means put in place by the support intervention to enable the targeted institutions to profit at the highest level of the existing context / OF throughout the capacity development process.

### 2.1.2. Step 2: Assessment of the capacity-outputs

The main aim is to assess how and to what extent the inputs and activities of the EU intervention have contributed to generation of (expected and unexpected<sup>45</sup>) capacity outputs in the targeted institution or system, and what has been the role of the Opportunity Framework.

As mentioned before, one of the added values of the RAC is that regardless on whether an intervention has an explicit capacity development component or not, it allows identifying the impact that a 'simple' interaction with an EU intervention has had among individuals and institutions at the level of capacity-outputs (and capacity-outcomes). The RAC therefore allows identifying unexpected capacity outputs. These *unexpected* outputs include other factual changes in the institutional framework (initiatives, responsibilities, competences), which were not planned by the support intervention as such but occurred during its implementation and may or may not be placed in relation to such implementation.

The most important issue to evaluate is the extent to which the outputs, direct or induced, have created additional capabilities and whether the combination of those capabilities has given rise to increased capacity in the institution.

Splitting “outputs” into two parts (i.e. first and second order effects, more simply described as “direct” and “induced”) is not required as in other evaluation methodologies. In the event that an evaluation mandate covers a complex institution within a socially or politically complex environment, it is recommended that the evaluation team takes into consideration this difference by focusing on the induced outputs - which contain greater value-added than direct outputs - while addressing the direct outputs as a lower level of effects.

The basic questions, to be further adapted and developed in each RAC for the assessment of the capacity outputs are:

The preliminary question is:

*To establish the value of the different learning sources (university-courses of specialization, previous experiences, experience in present work, experience of work and interaction with the evaluated intervention)*

The second question is:

*What have you learned in your interaction with the intervention?*

### 2.1.3. Step 3: Assessment of the capacity-outcomes

Outcomes constitute the actual changes in CD in the targeted institutions, according to the capacity outcomes identified in the IL: survive and act (initiative), results, networking, self-renew (adaptation), and coherence between the previous capacities.

Outcomes determine the effectiveness and efficiency of the outputs and their analysis allows understanding the possible problems to solve in the production of outputs. The main aim of this step is to assess the capacity outcomes attained by the targeted institutions in relation to the capacity outputs and other determining - or facilitating or limiting - factors, namely those relating to the Opportunity Framework.

<sup>45</sup> If the EUD, evaluation team and/or the developing partner decide to add other categories for one reason or another, this can be accommodated within the boundaries of the methodology.

**FIGURE 8: CAPACITY OUTCOMES**



The basic questions, to be further adapted and developed in each RAC for the assessment of the capacity outcomes are:

The preliminary question is:

*Of what I learned in my interaction with the Intervention, what am I using in my daily work?*

The second question is:

*How am I using it?*

#### 2.1.4. Step 4: Capacity outputs & capacity outcomes' correlation

The main aim is to establish the correlation between capacity-outputs and capacity-outcomes. Studying the correlation between capacity-outputs and capacity-outcomes helps complete the understanding of the learning process in capacity development that EU interventions have contributed to.

Each individual participant in an EU intervention is distinct, possessing a particular set of characteristics and traits that contribute to a complex overall system that is itself unique and difficult to replicate. However, despite this complexity, the correlation exercise, which is done directly by the participants themselves, helps to define the flow from outputs to outcomes.

The basic question, to be further adapted and developed in each RAC for the establishment of the correlation is:

*Which are the specific capacity outputs currently used for the development of specific capacity outcomes?*

TABLE 13: EXAMPLE OF CORRELATIONS MOST CITED BY PARTICIPANTS IN THE RAC TEST CARRIED OUT IN BOLIVIA<sup>46</sup>

CAPACITY-OUTPUT	CAPACITY-OUTCOME		INDICATORS (that could be used for measurement)
Increased consultation capacity Increased capacity for responding to requirements and commitments	Ability to Survive and Act	Increased rapprochement between intervention beneficiaries	Number of new lasting partnerships/agreements between beneficiaries on areas of common concern Quality (Nature and scope) of new strategic partnerships/agreements between beneficiaries
Increased consultation capacity	Ability to Relate	Increased recognition of the role and the work carried out by civil society organisations and local Building trust.	Evidence (nature and scope) of a given stakeholder (civil society organisations, local communities) proposal/ recommendation retained in key policy documents Evidence (nature and scope) of acknowledgement by key stakeholders of a given stakeholder (civil society organisations, local communities) role/representativeness/work in national, regional and/or international policy making spheres & processes Evidence (nature and scope) of stable links established by X with a given stakeholder (civil society organisations, local communities)
Increased dialogue capacity	Ability to Relate	Greater communication, collaboration and coordination at the intra- and inter-agency levels (between centralized and decentralized local authorities and civil society organisations) and at the inter-sectorial level	Evidence (nature and scope) of regular networking for experience sharing and networking between centralized and decentralized local authorities and civil society organisations Evidence (nature and scope) of multi-stakeholders (intra- and inter-agencies) policy dialogue Number of new lasting partnerships/agreements between stakeholders (intra agency, inter agency, and sectorial levels) on areas of common concern Quality (Nature and scope) of new strategic partnerships/agreements between stakeholders (intra agency, inter agency, and

<sup>46</sup> Refer to <http://capacity4dev.ec.europa.eu/public-cd-tc/minisite/rapid-assessment-capacity-development-rac> for the full RAC note produced in the framework of the RAC test in Bolivia.

			sectorial levels)
Increased capacity for control	Ability to Link Strategic and Operational Levels (coherence)	Greater transparency and increased accountability	Extent to which accountability for a given institutional function is established
Improved knowledge transfer			Extent to which the mechanisms to provide effective checks and balances and controls over public organisations are in place
Contingency management	Ability to Achieve Results	Increased capacity for preventing risk, difficulties, etc.	Extent to which a given stakeholder is able to adapt to a changing environment
Capacity to track administrative processes	Ability to Achieve Results	Improved management of technical and administrative processes	Extent to which a given stakeholder functions effectively and efficiently to achieve mandates proactively
Systematization of information	Ability to Achieve Results	Increased monitoring capacity	Extent to which monitoring mechanisms for strategy implementation are in use Extent to which corrective measures identified in monitoring are taken

## **ANNEX 4: PRESENTATION OF THE RAC APPROACH: WHAT IS IT? HOW CAN IT HELP? HOW TO CARRY OUT ITS 4 STEPS?**



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## **ANNEX 5: STANDARD TOR FOR A RAC**

Refer to <https://europa.eu/capacity4dev/public-cd-tc/minisite/rapid-assessment-capacity-development-rac>

## LIST OF ACRONYMS

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CD	Capacity development
DG	Directorate General
DG DEVCO	Directorate General Development Cooperation and International Development
DG NEAR	Directorate General Neighbourhood and Enlargement Negotiations
EC	European Commission
ENI	European Neighbourhood Instrument
EU	European Union
EUD	European Union Delegation
HQ	Headquarters
IPA	Instrument for Pre-accession Assistance
M&E	Monitoring and Evaluation
OECD-DAC	Organisation for Economic Cooperation and Development-Development Assistance Committee
OF	Opportunity framework
QC	Quality criteria
QR	Quality review
RAC	Rapid Assessment of Capacity development
ToR	Terms of Reference

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## GLOSSARY

Action	<p>A coherent set of co-ordinated activities undertaken to meet a defined objective of a geographic and/or sectorial scope, which have an estimated total cost to which the EU approves a maximum contribution, as well as an implementation schedule and performance parameters. It can be used to refer indifferently to the concept of project or intervention.</p> <p>The use of the term 'Action' provided in the Regulation (EU) No 236/2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action is consistent with this definition, even though a certain ambiguity exists in the same Regulation as sometimes 'action' is referred to in addition to projects and interventions.</p> <p>For the purpose of the present note though, 'Action' will be used to refer indifferently to the concept of project or programme.</p>
Capacity	<p>The ability of people, organisations and society as a whole to manage their affairs successfully (OECD)</p>
Capacity development	<p>The process by which individuals, groups and organisations, institutions and countries develop, enhance and organise their systems, resources and knowledge; all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives (OECD)</p>
Capacity output	<p>These are the internal competences and skills that are found in an institution or system in terms of staff, procedures and structures; they may be directly determined, induced or facilitated by the implementation of a given support intervention.</p>
Capacity outcome	<p>These include the acquisition and development from the beneficiary institution side of new levels of capacity. They are the sequential effects of the outputs within the dynamics of a certain context.</p> <p>These capacities are necessary for the accomplishment of the institutions' mission, beyond the duration of any external support intervention, and are therefore the basis for the continuity of the institution.</p>
Competence	<p>The skills necessary to fulfil a given task or performance. Here it is used for both individuals and institutions.</p>
Effectiveness	<p>A measure of the extent to which the intervention's objectives were achieved, or are expected to be achieved (OECD)</p>
Efficiency	<p>Efficiency considers the relationship between the resources used by an intervention and the changes it generates (which may be positive or negative). (Better Regulation)</p>
Evaluation	<p>The systematic and objective assessment of an on-going or completed action or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. (OECD) The Better Regulation package defines evaluation as the assessment of the effectiveness, efficiency, coherence, relevance and EU added value of one single EU intervention, thus adding coherence and EU value added (Better Regulation).</p> <p>An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors.</p> <p>Evaluation also refers to the process of determining the worth or significance of an intervention. An assessment, as systematic and objective as possible, of a planned, on-going, or completed intervention (OECD). An evaluation can be carried out on various levels: policy, strategy, sector, theme, country, region, intervention, project, etc.</p>
Impact	<p>Impact relates to the changes that are expected to happen due among other things to the implementation of an intervention. Such impacts may occur over different timescales and affect different actors. They can be positive and negative, direct and indirect, intended or unintended, on any dimension (social, economic, environmental, political, etc.</p>

## GLOSSARY

Input	The term 'Input' is used in the present note in a broader way than in 'DG NEAR Guidelines on linking planning/programing, monitoring and evaluation', in which it is defined as 'The political, technical, financial, human, and material resources put in place to generate activities'. Indeed, it considers both these elements but also the activities generated by them. To clearly show these different levels, the standard capacity development IL has been adapted (compared to that included in the 'Evaluation methodology & baseline study of European Commission Technical Cooperation support'.
Intervention	A generic expression referring to the coordinated set of activities and means put in place to implement a given strategy/objective. It can be a project, a complex intervention (articulated around a set of projects, a budget support operation or a mix of BS and other typologies of contracts), a policy, a legislation, an action plan, etc.
Monitoring	Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. (OECD)
Objective	The level of achievement expected from the implementation of the goals (OECD)
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs. (OECD) Short to medium term effects on the political, social, economic and environmental areas targeted by ENI/IPA II financed interventions as well as changes in behaviour of addressees of ENI/IPA II financed interventions.  Other external factors and players also influence the targeted areas and addressee.
Output	Direct products or services delivered by activities, directly influencing the achievement of outcomes.
Performance	The level of achievement of specific targets. Since there may be performance without capability, it may not be used as a proxy of capacity.
Performance indicator	A variable that allows the verification of changes in the intervention or shows results relative to what was planned. (OECD)
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. This definition allows for great adaptability to the needs of countries and strategies. It can apply to an articulation of activities (services, works, supplies), or to very specific interventions within an Action Document (grant projects funded by a grant scheme; a twinning). In the IPA II language the concept of project is replaced by the concept of action, while in the ENI dimension project is very much used as an alternative to that of an intervention, normally, but not only, used for budget support operations.
Result	The output, outcome or impact (intended or unintended, positive and/or negative) of an intervention (OECD).
Technical assistance	It refers to the personnel involved (individuals as well as teams of consultants) in developing knowledge, skills, technical know-how or productive aptitudes.