

ROM Handbook

Results Oriented Monitoring

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**Instructions and guidance for ROM reviews and support to
end-of-project results reporting**
for projects and programmes financed by the European
Union within the framework of its external assistance

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ABBREVIATIONS

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

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QA	Quality Assurance
QC	Quality Control
ROM	Results Oriented Monitoring
RBM	Results-Based Management
SAARC	South Asian Association for Regional Co-operation
SBC	State Building Contract
SBS	Sector Budget Support
SRC	Sector Reform Contract
TAPs	Technical and Administrative Provisions
TCF	Technical Cooperation Facilities
TL	Team Leader
UEMOA	West African Economic and Monetary Union

INTRODUCTION

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

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

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

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

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

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

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

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The ROM Handbook is divided in several parts:

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

1 MONITORING AND REPORTING

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

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

- (i) Information on the performance of projects and programmes throughout their implementation and on their results at output and direct outcome levels through **monitoring and reporting** on implementation as well as more in-depth assessment of implementation issues through **mid-term project evaluations** where needed;
- (ii) In-depth assessment of both results at outcome and impact levels, and of sustainability of the projects and programmes and their value added, through **individual final or ex-post project evaluations** to take place at the end of or after project implementation;
- (iii) In-depth assessment of country, regional and thematic strategies and of instruments through **strategic evaluations**.

Monitoring and reporting take place at different levels:

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

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

1.1 MONITORING

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

1.1.1 MONITORING BY THE IMPLEMENTING PARTNERS

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

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

1.1.2 INTERNAL MONITORING BY EU DELEGATIONS AND EC HQ SERVICES

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

1.1.3 EXTERNAL SUPPORT THROUGH ROM

The most important features of the reforms of the ROM system are as follows:

a) Strengthening the quality of ROM reviews through:

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

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- introduction of a robust external Quality Assurance (QA) system, independent of the consultants implementing the ROM services.
- b) Improving the focus in terms of coverage of EU-funded projects and programmes by the ROM review system through:
- focusing the ROM reviews on the following project categories:
 - 1) projects signalled as having implementation problems by EUD and EC HQ operational services through flagging in the Commission's internal reporting systems (in particular the External Assistance Management Reports made yearly by the EUD's and EC HQ operational services and in need of additional review (beyond their own monitoring)), to be carried out in the form of a ROM review;
 - 2) other projects for which such reviews may be particularly useful, in particular:
 - projects for which the necessary sector expertise at EUD level may not be sufficiently available at a given point of time;
 - projects which could not be included in the EUD planning of field visits;
 - innovative projects and programmes;
 - an initial extension of the system to Budget Support (BS) programmes for carrying out a pilot phase during the first contractual year to test ROM BS approach and methodology;
 - making sure that full use is made of the potential of the system with regard to end-of-project results reporting. In this respect, ROM support missions are to take place to provide assistance to EUD/EC HQ operational services, in particular with a view to reporting on results on the basis of the new EU International Cooperation and Development Results Framework indicators (but not limited to these).

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

ROM reviews assess the status of a project through an analysis of project documentation and meaningful consultation with all of the parties involved, including beneficiaries. ROM reviews will be looking at progress in input provision, activities undertaken and results delivered (outputs, direct outcomes). They are to highlight the strengths and weaknesses of the project implementation with a view to assisting OM and key stakeholders in dealing with questions and problems that have emerged, and are then to find solutions and revise approaches and, where relevant, adapt to changing circumstances. When ROM reviews target innovative projects and programmes, they further elaborate on the elements of innovation as identified by OM drawing upon the thematic or sector expertise and experience of ROM experts. It should be underlined that a ROM review is not an

evaluation, the latter being an in-depth assessment which represents a much deeper and broader analysis. In specific cases, a ROM review may lead to the conclusion that such an in-depth assessment in the form of a mid-term evaluation is required to address the problems that emerged by defining the approaches and conditions for re-orienting the project (without excluding the option that a project should be abandoned).

1.2 REPORTING ON RESULTS

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

As part of the implementation of the commitment articulated in the Agenda for Change¹ to strengthen the EU's capacity to monitor and report results with a view to enhancing impact, accountability, transparency and visibility of EU aid and within the context of drawing more attention to results and devising means to measure these, the EU is stepping up its efforts to improve monitoring and reporting on results at all levels, i.e. at project and country level as well as at the EU's corporate level as a donor. Part of these efforts will be the introduction from 2015 of an EU International Cooperation and Development Results Framework (hereinafter "EU RF").

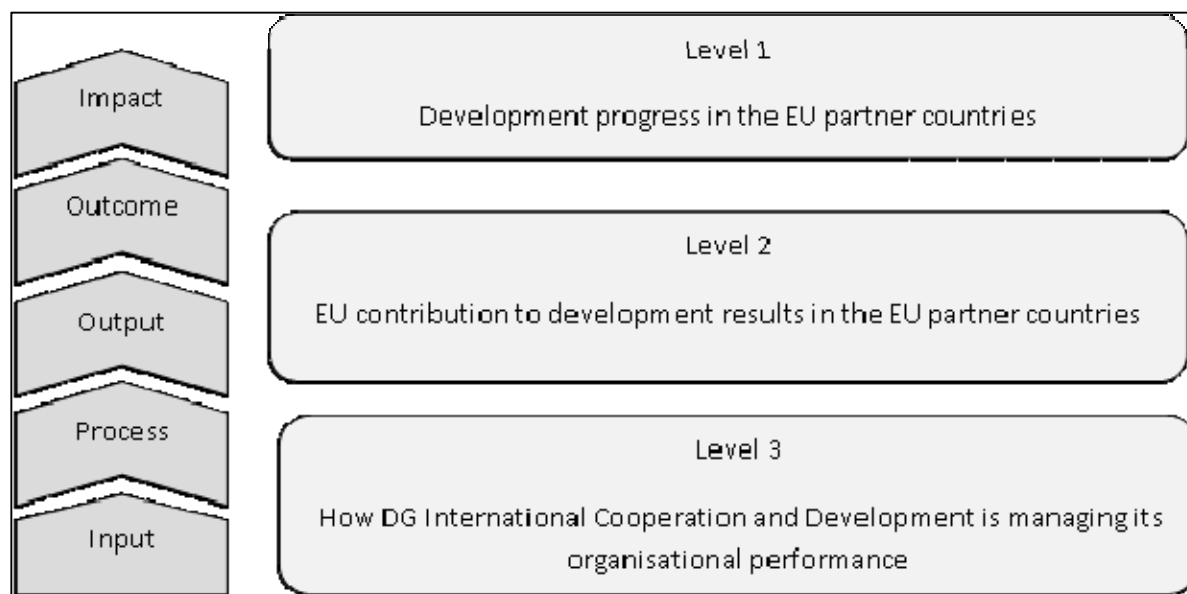
The EU RF is part of a wider set of measures which the Commission is putting into place to strengthen monitoring and reporting on results of EU international cooperation and development assistance. These measures are also key to strengthening the EU's capacity to support the development of appropriate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

The EU RF will be reporting on results aggregated from projects and programmes financed under the external assistance instruments managed by DG International Cooperation and Development (the Development Cooperation Instrument, European Development Fund, European Instrument for Democracy and Human Rights, Instrument contributing to Stability and Peace, Instrument for Nuclear Safety Cooperation, and Instrument for Greenland and the corresponding instruments covering the programming period 2007-2013). By their very nature, corporate level results frameworks are only able to capture results that can be aggregated, thus making it difficult to produce qualitative results. The EU RF will include a set of around 30 results indicators against which the EC will report such aggregated results. For the first few years and in order to learn lessons and improve the reporting system, results measurement will take place for completed projects/programmes. In the medium term, and once new operational information management systems are established, reporting annual results from ongoing projects will be considered.

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

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

Figure 1. EU Result Framework



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

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

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

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

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

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

1.2.2 ROM SUPPORT TO END-OF-PROJECT RESULTS REPORTING

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

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

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

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

2 ACTORS IN ROM REVIEWS AND SUPPORT TO RESULTS REPORTING

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

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

When referring to EC services, a large number of actors are involved: the HQ ROM Coordination Unit (DEVCO/06), ROM coordinators in the DEVCO geographic and thematic Directorates, ROM focal points in EUD and HQ operational Units, and OM, each of them playing a specific role.

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

2.1 EC SERVICES

2.1.1 ROM COORDINATION UNIT (DEVCO/06)

The ROM Coordination Unit (DEVCO/06) is responsible for the overall coordination of the ROM system, including (1) all methodological issues related to ROM services, in close cooperation with ROM coordinators in the EC HQ geographic and thematic units (see below), (2) the processing and aggregation of results data for reporting on indicators included in the EU RF, and (3) the supervision of the Quality Assessment (QA) Contractor.

The ROM Coordination Unit organises regular meetings with all ROM coordinators in order to ensure a harmonisation approach on methodological and operational issues. When needed, the ROM Coordination Unit organises exchanges and information sessions with all ROM contractors and coordinators to clarify and, if necessary, modify the ROM system as detailed in the present Handbook and to facilitate dissemination and shared understanding thereof. It also manages with other concerned DEVCO Units the pilot phases of (1) ROM reviews for Budget Support programmes and (2) ROM reviews of activities financed by investment facilities (blending).

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

"DEVCO 06 ROM": EUROPEAID-06-ROM@ec.europa.eu

2.1.2 ROM COORDINATORS

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

ROM coordinators participate in the overall coordination activities organised by the ROM Coordination Unit in order to ensure appropriate methodological uniformity in the performance of the ROM services.

ROM coordinators assure the necessary liaison and communication with ROM focal points in EUD and HQ operational services.

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

2.1.3 ROM FOCAL POINTS IN EUD AND EC HQ OPERATIONAL UNITS

Each EUD and HQ operational service appoints a ROM focal point. In HQ, the ROM focal points in thematic and geographic (regional) HQ Units deal with projects centrally managed by their services. They are not an intermediary between ROM coordinators and EUD. The role of ROM focal points is to ensure appropriate information flows and good coordination among all actors involved in the selection of projects to be subject to a ROM service, mission planning and execution of both ROM reviews and results reporting support, as well as the follow-up on recommendations as included in ROM reports. They also serve as contact points for any other ROM-related questions and are members of and encouraged to actively participate in the Capacity4Dev group dedicated to ROM. EUD and EC HQ operational Units are encouraged to consider the usefulness of designating the same staff as ROM focal points and evaluation correspondents, with a view to enhancing coherence between monitoring, results reporting and evaluation.

2.1.4 OM IN EUD AND EC HQ

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

2.2 IMPLEMENTING PARTNERS AND OTHER KEY STAKEHOLDERS

2.2.1 IMPLEMENTING PARTNERS

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

Regarding ROM reviews, as a general rule the OM informs the partner country's ministry or agency concerned (as well as the NAO office in ACP countries) of the missions so that it can prepare itself for the mission and facilitate the arrival of the ROM experts. Field visits should be performed in order to allow for due consultation of the implementing partner, possibly also with and other key stakeholders². In case a project is not managed by the partner country's government but by a Local Authority, NGO, International Organisation (IO) or EU Member State Development Agency, the OM will provide the ROM contractor with the contact details so that the latter can make the necessary arrangements. If the implementing partner is an IO, the ROM coordinator will inform the contact person at the IO HQ of the selection of the project for ROM review and of the probable timing for the planned ROM review mission.

The ROM reviews for BS programmes or blending operations may have a joint review component with other donors, agencies or international financial institutions (i.e. implementing partners and other stakeholders). For BS programmes, specific guidance and instructions on how to inform and involve the implementing partners is included in the sections below relating to ROM reviews of BS programmes. For blending operations, specific guidance will be included over the first quarter of 2015.

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

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

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

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

2.2.2 OTHER KEY STAKEHOLDERS

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

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

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

2.3 ROM CONTRACTORS

2.3.1 GEOGRAPHIC AND THEMATIC CONTRACTS

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

- European Neighbourhood Region: Neighbourhood South and East countries as well as Cross Border Cooperation (CBC) projects co-financed under the Neighbourhood instruments alongside the EU's external borders.
- Africa: Sub-Saharan Africa, including Pan-African as well as Intra-ACP programmes.
- Asian and Pacific regions: Asian³ and Pacific region (including OCTs in these regions)
- Latin American and Caribbean regions: Latin American and Caribbean regions, including Cuba and OCTs in these regions.
- Centrally Managed Thematic Projects and Programmes (CMTP) financed under current or predecessor programmes: European Instrument for Democracy and Human Rights (EIDHR); DCI thematic programmes Global Public Goods and Challenges, Civil Society Organisations and Local Authorities, Migration & Asylum, Environment and Sustainable Management of Natural Resources including Energy, Investing in People (Health, Education, Gender, Employment and Social Cohesion, Youth, Children and Culture), Food Security; Instrument contributing to Stability and Peace (IcSP) and Instrument for Nuclear Safety Cooperation (INSC).

2.3.2 EXPERTS

The team of experts under a ROM contract consists of a core team of full-time (220 man-days⁴/year) key experts and additional non-key experts who are not part of the core team.

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

⁴ Working days

2.3.2.1 Core team

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

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

Team Leader main tasks	Deputy Team Leader main tasks
<ul style="list-style-type: none"> - Coordinates team and office - Coordinates workplans, their updates and approvals - Stays in constant contact with the ROM coordinator and OM - Provides methodological support to experts - Implements and quality controls ROM services in his/her area of expertise. - Drafts implementation progress reports and end-of-contract report - Coordinates with the key expert in “statistics and performance measurement” the annual report related to results reporting support missions and, with the other key experts, handles the annual and end-of-contract consolidated ROM analysis. 	<ul style="list-style-type: none"> - Implements and quality controls ROM services in his/her area of expertise and takes corrective measures to ensure quality of ROM services - Supports the TL in the production of workplans, - Conducts training sessions / workshops / seminars - Drafts the quarterly and annual QC reports - Ensures the communication with the QA service contractor

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

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

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

2.3.2.2 Other experts

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

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

2.3.2.3 Organisational set-up

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

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

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

2.4 CONTRACTOR FOR ROM QUALITY ASSURANCE

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

Note:

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

3 ROM REVIEWS

Content of this chapter

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

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

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

3.1 ROM MODULE

A new IT ROM information management system (hereinafter ROM module) managed by the ROM Coordination Unit will support the process of implementation and delivery of ROM reviews and support missions. Specific guidance and training (e-learning) will be provided for the use of the module.

In the initial period, the module will concentrate on:

- the ROM workplans that will be produced in electronic format and uploaded to the ROM module by the ROM coordinators;
- ROM production that will cover the ROM review workflow phases: desk phase, field phase and drafting phase (including comments by the OM and the follow-up on recommendations).

Regarding planning, ROM **BS** missions are included in the annual ROM review workplan while supports to end-of-project results reporting missions are subject to a separate workplan.

At the start of the new ROM contracts in the first quarter of 2015, the production of reports of ROM **BS** reports and those concerning support to end-of-project results reporting are NOT yet covered by the ROM module and the related information and report flows will be handled separately for the time being.

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

The preparation and implementation of ROM reviews start with the preparation of the ROM reviews workplan. Once workplans have been approved, preparatory logistical arrangements for the desk and field phases start under the direct responsibility of the ROM contractors.

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

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

THE EXTERNAL ASSISTANCE MANAGEMENT REPORT (EAMR)

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

In the EAMR, a number of standard Key Performance Indicators (KPI) are computed on the basis of two traffic lights for the individual projects and programmes above EUR 750 000 of EU contribution. These traffic lights are provided by the EUD and HQ operational services and express their opinion on the performance of each project/programme. The first traffic light (KPI-5) relates to the following questions “Is the disbursement in accordance with the implementation schedule (green/orange/red)?” and “Have all activities and expected results met their objectives on time (green/orange/red)?” The second traffic light (KPI-6) relates to the following question: “Is there any risk that the project's objectives will not be met?” The traffic light is selected as follows: Green: low risk, i.e. the objectives of the project are likely to be reached. Orange: medium risk, i.e. there is some concern that the objectives will not be reached. Red: high risk, i.e. corrective action is necessary. A project is considered to have implementation problems if at least one of the two traffic lights is orange or red.

The EAMR are produced by the end of January for those established by EUDs, and by mid-February for those by HQ Directorates.

The EUD/HQ lists of projects corresponding to the portfolio of each EUD and EC HQ operational unit are automatically extracted from CRIS DATAWAREHOUSE and include all projects and programmes above EUR 750 000 EU contribution. Additional projects and programmes are then added to complete the lists (before possible selection priorities are set by the EUD and EC HQ services – see section 3.3.2.3). The steps are as follows:

1. Projects above EUR 750 000

The EAMR list not only allows for encoding the flag colour (green/orange/red) for the KPI-5 and KPI-6, but also to tick whether a project should be ROM reviewed. As guidance, the projects with at least one orange or red flag are ticked for a ROM review. However in two types of situations, a ROM review should not take place:

- if a project has recently been or will soon be subject to a mid-term-review (MTR).
- if a ROM review would be unproductive. This may be the case if the risks or reasons for underperformance are well known and not much can be done about it through a ROM review, such as in case of civil war, natural disaster or other circumstances that render a

ROM review of no use. Finally, ROM reviews on limited stand-alone activities, such as seminars or conferences, are as a rule not to be seen as useful.

On the other hand, even if a project is flagged green, the EUD/EC HQ operational unit may request a ROM review in the following cases: the EUD/HQ Unit does not have the required expertise to monitor the project, did not have the possibility to visit the project, or if the project is innovative and deserves close monitoring.

In the EAMR list, a column "Is the project to be ROMed" has therefore been added to the EAMR projects' list to indicate whether a project is to be ROMed over the year in which the EAMR is established. It has the following functionalities:

- In case at least one of the two KPIs is flagged red or orange, by default the column "Is the project to be ROMed" will show the selection "yes". One can however change this selection and choose from the following options: "No, MTR"/"No, unproductive".
- If KPI-5 and KPI-6 have both been flagged green, by default the column "Is the project to be ROMed" will show the selection "no". One can however change this selection and choose from "yes, not visited"/"yes, lack of expertise"/"yes, innovative". This selection serves as justification for the ROM but will also allow priorities to be set in case the total list of projects to be ROMed leads to an estimated cost higher than the planned budget.

The ROM Coordination Unit will extract from the EAMR / EAMR HQ the lists of projects to be subject to a ROM review according to the EUD/EC HQ operational units' selection, including the lists of projects with at least one orange or red flag and which have been ticked "no" for ROM review, and the other projects flagged green but which have been ticked "yes" for ROM review.

2. Adding projects above EUR 750 000 that do not appear in CRIS

Some projects, such as those financed under the Cross Border Cooperation (CBC) programme alongside the EU's external borders and managed by the Neighbourhood Directorates of DG NEAR, and under the Africa-Infrastructure Trust Fund, do not appear at project level in CRIS and therefore not in the EAMR list.

These projects will be added to the workplan for the purpose of ROM reviews.

3. Adding other projects, namely between EUR 200 000 and EUR 750 000

The ROM Coordination Unit will add to the above list a list of other projects/contracts amounting to between EUR 200 000 and EUR 750 000, to be additionally selected for a ROM review according to the same principles as those applicable to projects above EUR 750 000, i.e. where there are implementation problems, the EUD or HQ unit has a lack of expertise, is not able to visit the project or needs more expertise to look at an innovative project in more detail.

These two lists will be integrated into a single Excel file that will be sent by the ROM Coordination Unit to all ROM focal points, in copy to the ROM coordinators.

4. Validating the lists of projects subject to a ROM review

The ROM focal points are to consult the OM in the EUD or EC HQ operational unit concerned and send back their comments to their geographic or thematic ROM coordinator so that the latter can establish the final list of projects selected for being subject to ROM review within the available budget for ROM reviews. In doing so, the ROM focal points will

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- confirm the selection of projects above EUR 750 000 to be ROM reviewed - or in rare cases remove or add some projects from the list to be reviewed in case new elements would justify this; and
- for projects between EUR 200 000 and EUR 750 000, indicate whether the project should be ROMed or not. The ROM focal points will return the lists to the ROM coordinators. These lists will then be submitted to ROM contractors.

Special cases: pilot phase for ROM BUDGET SUPPORT (BS) and for blending operations.

Budget support (BS) and blending operations may be included in the lists sent to the ROM contractor, but will be selected separately since they are both subject to a pilot phase for ROM reviews.

(1) BS operations: the selection of BS operations in the list will therefore be agreed on by the ROM Coordination Unit, Unit DEVCO.03, Unit DEVCO 08, the geographic services concerned and the ROM coordinators (in consultation with the HQ DEVCO Geo-coordination Unit and EUD OM concerned) as part of the pilot phase of ROM on BS. BS operations may need to take into account specific calendar constraints and will be subject to the specific guidance contained in this Handbook. Field missions for BS operations may in some cases be decided only after a desk review has been performed and has concluded that a field mission would be relevant.

(2) Blending operations: ROM reviews are in principle to cover projects financed under investment facilities (blending operations), including the Africa-Infrastructure Trust Fund (ITF). As for CBC projects, projects financed under the Africa-ITF do not appear at project level in CRIS and will therefore be added as a component to the CRIS decision on the ROM workplan when a ROM review is needed. Specific selection criteria and a specific monitoring methodology will be defined by the Commission services and shall be subject to a test and consistency exercise to be carried out by the ROM contractors in the course of 2015. On that basis, a list of those projects will then be sent by ROM coordinators to the ROM contractor to be included in the workplan.

Multi-country projects

For multi-country projects, a maximum of four country visits is performed. During the discussion on the projects to be ROM reviewed, the OM is invited to provide the ROM focal point and ROM coordinator with his opinion and to suggest the countries to be visited. In the specific case where more or less countries are to be visited, the OM shall explain why.

3.3 PREPARATION OF THE ROM REVIEW WORKPLAN BY THE ROM CONTRACTOR

3.3.1 CALENDAR FOR THE PREPARATION OF THE WORKPLAN FOR ROM REVIEWS

The calendar for the process between the establishment of the EAMR and the start of the ROM reviews is as follows:

Table 2. Calendar for the preparation of the workplan for ROM reviews

Deadlines	What	Actors	Tasks
By 31/01 (Delegations)	Selection for ROM review of projects ≥ EUR 750 000 in EAMR / EAMR HQ online	EAMR to be encoded by OM	Establish traffic lights for KPIs 5/6
By 18/02 ⁵ (HQ Units) for projects centrally managed (thematic and geographic)			Flag projects that will be subject to ROM reviews
By 16/03	<ul style="list-style-type: none"> ✓ Excel file - List of projects composed of: <ul style="list-style-type: none"> projects ≥ EUR 750 000 including general info from CRIS and info on traffic lights and flags from EAMR projects ≥ EUR 200 000 and ≤ EUR 750 000 including general info from CRIS 	Unit 06	Sends a single Excel file to ROM focal points with copy to ROM coordinator concerned
By 31/03	projects ≥ EUR 750 000	ROM focal points with OM	Confirm or not projects to be to ROMed and complete info on projects
	projects ≥ EUR 200 000 and ≤ EUR 750 000	ROM focal points with OM	Indicate projects to be ROMed and complete info on projects
	All projects	ROM focal points	Consolidate lists for their Delegation/HQ unit Send it to their ROM coordinator
By 14/04	List with all projects to be ROM reviewed	ROM coordinator	Consolidates list for his lot and confirms or modifies it on basis of predefined priority order (see box on priorities). Sends list to his ROM contractor.
By 15/05 (to be revised and submitted for approval after six months)	Draft workplan (together with the proposal of experts)	ROM contractor (in consultation with ROM focal points and ROM coordinator)	Finalise list of projects to be ROMed according to budget and priority order set by ROM coordinator
			Schedule missions
			Select ROM experts
			Send draft workplan (including proposed experts) to ROM coordinator
By 30/05	Non-objection to conflict of interest for proposed experts	OM and ROM focal points	Silent procedure (*)
By 08/06	Final workplan	ROM coordinator	Approval

(*) If there is no reaction from the OM/ROM focal point, the ROM experts proposed are considered not to be in conflict of interest

⁵ for 2015

3.3.2 PREPARATION OF THE WORKPLAN BY THE ROM CONTRACTORS

3.3.2.1 Projects OTHER than Budget Support

The list of projects to be ROM **reviewed** is sent by the ROM coordinator to the ROM contractor before **mid-April**. On that basis, the ROM contractor establishes his workplan and computes the total cost on the basis of the following standards (as defined in the technical specifications annexed to the ROM contract):

For each single country project and programme other than BS programmes (and including regional programmes implemented in one country⁶) and for each multi-country project and programme, ROM contractors preferably assign one ROM expert – exceptionally and in duly justified cases a maximum of two ROM experts covering different countries. In the latter case, one of the two experts is designated as a report coordinator. In case of special needs, the ROM contractor will motivate his proposal to take those special needs into account. While preparing his workplan, the ROM contractor will consider the standard allocation of days for ROM reviews given in the tables below.

Table 3. Allocation of days for ROM reviews for single- and multi-country projects (excluding BS):

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

(*) In some exceptional duly justified cases, the contractor may request a deviation (more or less days) from the standard number of days.

(**) For multi-country projects and programmes, 4 country visits (field phase) of 5 man-days each is the standard.

(***) These two days do not include the QC done by key experts but only cover the work carried out by the ROM expert

Together with his draft workplan, the Contractor will submit — for approval by the ROM coordinator — the CVs of experts. The ROM coordinator will consult the ROM focal points and through them the OM with regard possible conflict of interest of the experts. The OM must within **two weeks** inform the ROM coordinator of cases of conflict of interest. The ROM coordinator signals such cases of conflict of interest to the ROM contractor and requests the contractor to propose another expert.

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

⁶ When the project has an overall objective of a regional or sub-regional scope and its outputs are implemented in one country. These projects cover support to regional institutions and organisations such as the African Union, Andean Community, the ASEAN, Mercosur, SAARC, ECOWAS, ECCAS and, WAEMU

3.3.2.2 Budget Support Programmes

For General Budget Support (GBS), including Good Governance and Development Contracts (GGDC) and State Building Contracts (SBC), the ROM review team consists of one macroeconomics expert and one PFM expert. According to the nature of the BS programme, ROM contractors are instructed on the profile of the PFM/macroeconomics expert (whether emphasis will have to be provided on PFM or macroeconomics).

For Sector Budget Support (SBS)/Sector reform contracts (SRC), the ROM team consists of one PFM and macroeconomics expert and one sector expert.

In the cases where the ROM review workplan foresees ROM reviews for BS covering more than one BS programme implemented in the same country, the ROM team consists of one PFM/macroeconomics expert and the sector experts corresponding to the sectors covered by the BS programmes signalled as having implementation problems.

Where such country-wide ROM reviews for BS programmes also cover a GBS programme, the ROM team includes a macroeconomics expert with extensive experience in statistics and performance measurement. In this case, five extra man-days are foreseen in the assignment of the Mission Leader.

Table 4. Allocation of working days for GBS operations/GGDC+SBC:

Allocated days	Macroeconomics Expert	PFM expert
Desk phase	5 days including 2 days for briefing and debriefing of the desk phase at EC HQ	5 days (no participation in briefing and debriefing of the desk phase)
Field phase	10 days including 2 days for international transport	7 days including 2 days for international transport
Drafting of report and QC phase	5 days including 1 day for debriefing of the overall mission at EC HQ	2 days

Table 5. Allocation of working days for SBS/SRC and for country-wide missions covering one or more SBS/SRC

Allocated days	PFM /Macroeconomics Expert	Sector expert (s)
Mission Leader	5 days for mission coordination	
Desk phase	5 days including 2 days for briefing and debriefing of the desk phase at EC HQ	(X sectors) * 5 days including 1 day for the debriefing of the desk phase
Field phase	10 days including 2 days for international transport	(X sectors) * 10 days including 2 days for international transport
Drafting of report and QC phase	5 days including 1 day for debriefing of the overall mission at EC HQ	(X sectors) * 5 days including 1 day for debriefing of the overall mission

3.3.2.3 What if the total estimated cost of the ROM reviews and support missions exceeds the available budget?

The following pre-defined lists of reviews and support missions will be implemented in any case:

- i) Projects and programmes subject to a mission for support to results reporting,
- ii) BS programmes subject to a ROM review (pilot phase) and
- iii) Activities financed under investment facilities (blending operations) (pilot phase).

If the total cost exceeds the available budget, the following **priorities** are set by default for the other projects:

Table 6. Pre-defined lists of reviews and support missions

1. Projects/programmes above EUR 750 000 signalled as having implementation problems
2. Projects/programmes between EUR 200.000 and EUR 750 000 signalled as having implementation problems
3. Projects/programmes with EUD/HQ unit lacking sector expertise above EUR 750 000
4. Projects/programmes between EUR 200 000 and EUR 750 000 with EUD/HQ Unit lacking sector expertise
5. Projects and programmes above EUR 750 above 750.000 not visited
6. Projects and programmes between EUR 200 000 and EUR 750 000 not visited
7. Innovative projects and programmes above EUR 750 000
8. Innovative projects and programmes between EUR 200 000 and EUR 750 000.

The ROM coordinators adjust the lists to fit the available budgets, consult the ROM focal points if necessary and return the adjusted list to the ROM contractor. The latter will adjust the workplan accordingly. Over the following months ROM contractors continuously update the documentation summary part of the workplan to reflect the fact that OM upload documents flagged as missing in the original workplan.

The OM can comment in the workplan on specific cases, when for duly justified reasons more or less man-days are needed for a review mission or more or less than four countries are visited for multi-country projects.

Once the workplan is validated, the ROM coordinator will upload it in the ROM module. CRIS data on the listed projects will be automatically extracted and uploaded in the ROM module. Updated workplans will be uploaded when necessary in the ROM module and at least once after six months.

3.4 PREPARATORY TASKS FOR DESK AND FIELD PHASE

3.4.1 PREPARATION FOR THE DESK PHASE

The lists of projects selected for ROM review will take the form of a draft workplan. While validating or commenting the list of ROM reviews and if relevant, OM will:

- add CRIS references of other projects and programmes and documents to complete the information necessary to perform the ROM review (previous phases, complementary assistance, evaluation, etc.).
- collect the necessary documentation to be provided to the ROM expert for projects/programmes not appearing in the EAMR or CRIS (such as CBC projects for the Neighbourhood Region);
- select the national components to be reviewed in case of multi-country programmes;
- provide to the ROM focal point – who will transmit them to the ROM contractor – the contact references of the implementing partner to allow the ROM contractor to organise the review missions.

3.4.2 MAKING ESSENTIAL DOCUMENTS AVAILABLE TO THE ROM CONTRACTOR

Once the list of projects and programmes to be covered has been established and validated, operational managers must verify that all relevant documents related to the projects/programmes are uploaded in CRIS so that they can then be accessed by the ROM contractor through the ROM Module **no later than three weeks before the start of the ROM review mission**. The templates in **Annexes A4 and A7** (Monitoring Questions for ROM reviews) include in their section 3 a table on sources and contacts. The operational manager must verify that these documents are available in CRIS and upload them if not. The ROM expert will later use the same list and tick the documents which were made available to him (in time). It must be noted that the documents listed are not all necessarily distinct documents and are sometimes included or annexed to other documents (e.g. TAPS are generally attached to the Financing Agreement). If some documents are missing the expert may ask the OM about the availability of the documents.

The ROM contractor (or expert) will save all the documents in a **database specific to the Contractor**. The documents will be saved with the following format:

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

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

Each Contractor keeps his own database.

3.4.3 PREPARATION FOR THE FIELD PHASE

With a view to preparing the field phase, the below tables serve as a reminder of the importance of the steps mentioned therein.

Table 7. Steps in the preparation of the field phase

For projects/ programmes other than budget support		
Actor	Breakdown of tasks	When
Operational Manager	<ul style="list-style-type: none"> ✓ OM upload additional project documentation in a timely manner in CRIS ✓ Announce the provisional mission schedule to key stakeholders ✓ Brief them on the main objectives of a ROM review ✓ Communicate them the name(s) of ROM experts. ✓ Provide contact details of the implementing partner and of the other key stakeholders to ROM contractors, at least 2 weeks before the field phase starts 	<p>Once the list of projects is validated</p> <p>Once the ROM Reviews are scheduled</p>
ROM contractors	<ul style="list-style-type: none"> ✓ Arrange first contacts with ROM experts and EC services to schedule meetings prior to the field phase starts ✓ Provide appropriate guidance and templates to ROM experts, ✓ Ensure that documentation is made available to ROM experts, at least 3 weeks before the field phase starts. 	<p>Once the ROM review workplan has been approved</p>
ROM experts	<ul style="list-style-type: none"> ✓ Based on their documentary review of the project or programme, ROM experts identify needs for collecting information. 	<p>During documentary review</p>

Additional tasks for Budget Support programmes		
Actor	Breakdown of tasks	When
ROM contractors	<ul style="list-style-type: none"> ✓ Confirm the briefing at desk phase with HQ geo-coordinators, who are to handle involvement of the BS Unit DEVCO/03 and thematic experts where needed ✓ Once EC services have confirmed the relevance of a field phase after submission of the desk analysis note, ROM contractors set meetings with key stakeholders in the field and a date for briefing and debriefing with the OM in charge at EUD (or debriefing at HQ level in case of centrally managed BS programmes) 	After launch of the desk phase

3.5 DESK PHASE – REVIEW OF DOCUMENTATION

This section addresses some specifics to be kept in mind for when the ROM expert reviews the documentation and for related support by the Contractor. The first subsections apply to all projects and programmes, while an additional section only applies to BS programmes.

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

In the case of ROM reviews for **BS programmes**, preparation and implementation of a ROM review is ensured by the PFM and macroeconomics stability ROM expert of the core team, while in other cases preparation and implementation of a ROM review is handled by ROM core team experts according to their sector and thematic expertise.

3.5.1 TASKS

Table 8. Steps in desk phase

	Actor	Breakdown of tasks	When
For projects and programmes	ROM experts	<ul style="list-style-type: none"> ✓ Get familiar with all documents including the project’s intervention logic reflected in the most recent logframe, implementation plans, the allocated resources and budget, all progress reports by implementing partners and EC internal progress reports by OM, any previous ROM report and mid-term evaluation. ✓ Identify key issues that need to be addressed during the field phase for ROM reviews for projects and programmes. ✓ In order to prepare the briefing, ROM experts develop a preliminary list of specific questions that they consider useful to ask based on their document review and the standard ROM monitoring questions. 	During the desk phase

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

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

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

3.5.2 LOGFRAME/LIST OF PERFORMANCE INDICATORS

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

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

Table 9. Logical Framework template

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

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

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

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

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

3.5.3 PROJECT IMPLEMENTATION PROGRESS REPORTS

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

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

3.5.4 SPECIFICS TO BUDGET SUPPORT PROGRAMMES

3.5.4.1.1 Intervention Logic and Performance Assessment Framework (PAF)

Experts shall verify in how far a country-specific intervention logic has been developed and pay particular attention to the Performance Assessment Framework (PAF) and the list of performance indicators for variable tranches. Relevance and quality of the indicators are important aspects to be looked at and the existence and use of baselines and targets as well as the availability of data are to be part of the related analysis.

3.5.4.1.2 Briefing and debriefing at desk phase for ROM reviews of BS programmes

For ROM reviews of BS programmes, the desk phase starts with a briefing and ends with a debriefing with HQ Services. On the EC services side, the following people are requested to attend the briefing and debriefing:

- the HQ geo-coordinator,

- the thematic policy officer(s) in case of SBS/SRC or in case of a country mission covering more than a programme,
- the macroeconomics and BS HQ policy officer in the relevant HQ geographic unit,
- a representative of the Budget Support and Public Finance Management Unit.

The briefing is meant to provide orientation to ROM experts for implementing their desk phase. Its main objective is to allow ROM experts to get key elements regarding the context of the programme and receive clarifications and other background information deemed relevant. For GBS including GGDC and SBC, briefing and debriefing are implemented by the macroeconomics expert, the PFM expert does, as a rule, not participate in the briefing and debriefing. For SBS and SRC, briefing and debriefing are implemented by the PFM/macroeconomics expert. The sector expert only participates in the debriefing. In case the ROM review workplan foresees ROM reviews for BS covering more than one BS programme implemented in the same country, briefing and debriefing in Brussels are attended by the Mission Leader and the PFM expert (if different from the Mission Leader) and, where appropriate, by one or more of the sector experts for the debriefing of the desk phase in Brussels.

3.5.4.1.3 Desk Analysis Note

After the briefing and prior to the debriefing of the desk phase, ROM experts deliver a draft Desk Analysis Note to the HQ ROM coordinator who will send it to the OM and any other involved EC services. Based on a documentary review, the Desk Analysis Note supports preliminary findings, strong and weak points of the BS programme(s). It proposes main directions for the field phase. It is designed to allow experts to structure the analysis of the issues at hand, focus and structure meetings at HQ as well as prepare the field phase. It enables HQ to guide discussions during the debriefing. The Desk Analysis Note also prepares information for the EUD, before the start of the field phase, with an indication of the main issues to be tackled during the field phase. After the debriefing of the desk phase, ROM experts deliver the final Desk Analysis Note.

Field missions for BS operations may in some cases be decided only after a desk review has been performed and has concluded that a field mission would be relevant.

3.6 FIELD PHASE

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

3.6.1 FORMAT OF BRIEFING AND DEBRIEFING

Briefings and debriefings during the field phase shall be organized in accordance with the specifications contained in Table 10.

Table 10. Format of briefing and debriefing

For projects and programmes other than BS				
Type of project or programme	Location	Timing of the briefing	Timing of the debriefing	Attendees
For single country projects and programmes managed by EUDs	EUD	on the very first day of the ROM field phase	on the very last day of the ROM field phase	ROM expert and OM ⁷ plus any key stakeholders the participation of whom is considered relevant by the EUD
For multi-country projects and programmes managed by EUDs	EUD	on the very first day of the ROM field phase	on the very last day of the ROM field phase	ROM expert and OM plus any key stakeholders the participation of whom is considered relevant by the EUD
	In each country component	on the first day of the country component visit	on the last day of the country component visit	ROM expert and main stakeholders in each country-component, the EUD being systematically invited.
For centrally managed projects and programmes	EC HQ	on the very first day of the ROM field phase	on the very last day of the ROM field phase	Team Leader (TL) or Deputy TL or, in duly justified cases, by the ROM expert or the relevant core team expert and OM
	In the country	on the first day of the country component visit	on the last day of the country component visit	ROM expert and main stakeholders in each country-component, the EUD being systematically invited.
For BS programmes				
Type of project or programme	Location	Timing of the briefing	Timing of the debriefing	Attendees
For BS programmes managed by EUDs	EUD	on the very first day of the ROM field phase	on the very last day of the ROM field phase	ROM experts and OM
	EC HQ	where a field phase is decided by EC HQ: on the very first day of the ROM field phase.	on the very last day of the ROM field phase	<p>On the EC side:</p> <ul style="list-style-type: none"> • The HQ geo-coordinator, • The thematic policy officer(s) in case of SBS/SRC or in case of a country mission covering more than a programme, • The macroeconomics and Budget Support HQ policy officer in the relevant HQ geographic • A representative of the Budget Support and Public Finance Management Unit. <p>On the ROM contactor side: Mission leader (PFM/Macroeconomist expert)</p>
For centrally managed BS programmes	EC HQ	where a field phase is decided by EC HQ: on the very first day of the ROM field phase.	on the very last day of the ROM field phase	<p>On the EC side:</p> <ul style="list-style-type: none"> • The HQ geo-coordinator, • The thematic policy officer(s) in case of SBS/SRC or in case of a country mission covering more than a programme, • The macroeconomics and Budget Support HQ policy officer in the relevant HQ geographic • A representative of the Budget Support and Public Finance Management Unit. <p>On the ROM contractor side: Mission leader (PFM/Macroeconomist expert)</p>

For the particular attention of OM:

- If it was not possible to set all meetings with stakeholders prior to the field phase, OM may be requested to assist ROM experts in setting the missing meetings.

⁷ On the EC side, apart from the OM, the ROM focal point and any other staff member can be present.

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

3.6.2 ROLE OF ACTORS IN THE BRIEFING

The role of the various actors in the briefing is as specified in Table 11.

Table 11. Role of actors in the briefing

Actor	Checklist - During briefing
OM	<ul style="list-style-type: none"> ✓ Where stakeholders are invited, OMs introduce the reasons and purpose of a ROM review ✓ Hold face-to-face discussions with ROM experts jointly reviewing documents, discussing further elements of context which are important to ROM experts (changes in project's team, reorganisation in the beneficiary's organisation, new developments in the sector, and quality of policy dialogue and donor coordination, etc.) ✓ Stress the specific points to be analysed by ROM experts and more generally underline issues of special interest that are relevant to the ROM review ✓ Brief ROM experts on previous phases of a project or programme and or any complementary support deemed as important to the ROM review ✓ Provide a progress summary on the basis of benchmarks and indicators, their strong elements and weaknesses in terms of results ✓ Recall the last major events regarding the project such as mitigation measures which have already been undertaken, specific follow-up and internal monitoring efforts which have been implemented ✓ A date for the debriefing is set and its format defined, including or not any key stakeholders.
ROM expert	<ul style="list-style-type: none"> ✓ Clarify, if need be, the purpose of ROM reviews with OM ✓ Share with OM how the ROM review may add value in terms of support to project management ✓ In the case of the ROM review for BS programmes, recall key elements of the desk analysis note.
OM and ROM expert	<ul style="list-style-type: none"> ✓ <u>For projects having problems</u>: set the specific purpose of the ROM review whether to identify or confirm any preliminary solutions to issues which might have occurred during implementation ✓ <u>Projects or programmes not visited by the EUD or HQ services in the year concerned</u>: they identify the reasons and concerns which are behind the request for a ROM review ✓ <u>Innovative projects and programmes</u>: they jointly assess the first elements of innovation as identified by OM in order to allow ROM experts to further elaborate or not on those elements, thereby drawing upon their thematic/sector expertise and experience ✓ ROM experts check with OM if they are in possession of the last update of the documentation already provided during the desk phase ✓ Together they review who is to be involved in the field phase, and if other meetings than those already scheduled during the desk phase with implementing partners, key stakeholders and, beneficiaries are needed ✓ ROM experts share with OM how they intend to organise field visit(s) and provide a quick summary of logistics to ensure the right balance between travel time and site visits

After briefing, ROM experts should:

- ✓ Finalise their final itinerary for visits/interviews, taking into account logistic constraints and in accordance with the provisional budget provided by the ROM contractor prior to starting the field phase (i.e. transport/fuel, accommodation, meeting rooms, etc.).

- ✓ Confirm interviews with all stakeholders where needed.
- ✓ Finalise the specific questions where needed, complementary to the monitoring questions, to be addressed to stakeholders based on the elements obtained during the briefing and specify the needs for collecting and analysing information (meetings, interviews, focus groups, etc.) as pre-identified during the desk phase.

3.6.3 FIELD VISITS AND INTERVIEWS

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

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

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

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

ROM experts uphold a professional and respectful attitude. They do not offer their professional services. They do not accept gifts from stakeholders. They may accept transport to project offices, to project sites or to groups of beneficiaries if agreed in advance with the OM. ROM experts should make sure they briefly remind and, where needed, clarify the objectives of the ROM review in order

to prevent stakeholders from having false perceptions: ROM reviews are neither an audit nor an evaluation. They also recall that findings, conclusions and recommendations are the sole responsibility of ROM contractors and do not necessarily reflect the views of the EU, and that the subsequent implication of the stakeholders will remain the OM's responsibility. For all ROM services, ROM experts must also be very clear regarding the dissemination of reports, which remains the responsibility of EC services.

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

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

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

3.6.4 DEBRIEFING AND ROLE OF ACTORS

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

Table 12. Role of actors in the debriefing

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

3.7 REPORTING PHASE

3.7.1 DELIVERABLES AND REPORTING PROCESS

3.7.1.1 Deliverables of the ROM review mission

The ROM expert must produce a ROM report following the templates given in **Annexes A** (A3 and following). Standard templates support ROM experts in achieving their tasks and ensure methodological consistency and coherence across regions and experts. Their use by ROM experts is mandatory. All templates are pre-filled with key information and automatically retrieved through the ROM module. Quality control (QC) checklists are to be used by the ROM experts and an internal QC report established for each ROM review mission is to support internal QC of the mission and the report of the ROM expert.

The ROM review report to be established by the ROM expert will provide the ROM expert's motivated findings, his/her opinion on the relevance, efficiency, effectiveness and sustainability of the project — following the guidance provided in the following sections — and will also provide a set

of recommendations. The expert will use distinct templates and monitoring questions for Budget Support and non-Budget Support programmes. He will attach his quality control checklist to the report, using the template provided in **Annex A9**. The report should not exceed 7 pages in total. The reports should be in one of the following languages: **French, English, Spanish or Portuguese**.

For multi-country projects and programmes, a separate set of monitoring questions and answers is established for each component, but the ROM review report should cover the programme as such.

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

3.7.1.2 Reporting process and time sequence

The reporting process and time sequence is as follows:

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

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

Important note on dissemination of reports

ROM contractors and experts are not entitled to disseminate any draft or final reports to stakeholders but shall communicate requests for dissemination to EUD/EC Services.

3.7.2 ANALYSING KEY DOCUMENTATION AND INTERVIEWS WITH STAKEHOLDERS

3.7.2.1 Analysing quantitative data

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

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

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

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

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

3.7.2.2 Analysing qualitative data

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

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

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

3.7.2.3 Strengths and weaknesses of both methods of analysis

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

Figure 2. Strengths and weaknesses of quantitative and qualitative analysis

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

3.7.3 MONITORING QUESTIONS FOR PROJECTS AND PROGRAMMES OTHER THAN BS PROGRAMMES

Monitoring questions as set out below and in [Annex A4](#) are to provide guidance to ROM experts on the scope and key elements subject to analysis.

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

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

Monitoring questions do not intend to limit the scope of the four DAC criteria concerned. Should the ROM expert consider that, for a specific project or programme, part of the analysis corresponding to a DAC criterion is not fully addressed by the monitoring questions, this analysis should not be omitted and it should be incorporated in the report itself.

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

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

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

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

The grading system included in the template with the monitoring questions (**Annex A4**) is to provide a quick overview of the main conclusions at the level of each monitoring question and at the level of the four DAC criteria. It is not designed for statistical purposes and because of the criteria for selecting the projects to be subject to ROM review, would not provide an appropriate basis. In order to ensure some objectivity in the answers to the monitoring questions, the global grade attributed to each DAC criterion is calculated through a combination of grades attributed by the ROM expert to each question. A three-grade scale is adopted using the following categories: (i) Green – good or very good; (ii) Orange - with problems; (iii) Red – off track or with serious deficiencies. The justification of grades is clearly deduced from the analysis and therefore must be coherent with findings provided in relation to each of the respective monitoring questions and with the conclusions provided at the level of each criterion.

Table 13. Grading reference table for criteria and monitoring questions

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

The completed document with monitoring questions and their answers will be made available to the EC services, QC and QA experts together with the ROM review report. For multi-country programmes such a document is to be established for each component of the programme⁸.

3.7.3.1 Relevance

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

Table 14. Monitoring questions related to relevance (non-budget support)

1. RELEVANCE
1.1. Does the project presently respond to the needs of the target groups ?
1.2. Is the action (including capacity development (CD) if relevant) adequate vis-à-vis the present capacity of the local partner ?
1.3. Do all key stakeholders still demonstrate effective commitment (ownership)?
1.4. Is there an effective sector coordination system at national/regional/international level including partner government(s), donors and other relevant stakeholders?
1.5. Are there any complementarity issues (in particular CD) with other ongoing/planned projects or programmes funded by donors that need to be addressed?
1.6. Have changed circumstances (including critical contextual constraints) been taken into account by updating the intervention logic ?
1.7 Indicators
a) Are the indicators to measure results well defined and relevant to measure the achievement of the objectives?
b) Are all related data available?
c) Are all indicators sex-disaggregated if relevant?
d) Are baselines set and updated for each indicator?
e) Are target values set for the indicators and are they realistic or do they need to be updated?

As a priority, ROM experts consider whether the project presently responds to the needs of target groups and verify the effective commitment of all stakeholders towards its objectives.

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

ROM experts report on capacity development issues under two main aspects: adequacy of the project vis-à-vis the human and institutional capacity of local partners and leadership by local partners in sector coordination to verify the extent to which the project is steered by local partners.

For regional projects and programmes, ROM experts reflect on their answers to the monitoring questions and synthesise in the consolidated ROM report the differences in capacity levels between countries in the same region: partner countries may not have the same capacities either to contribute or to absorb new resources.

Complementarity issues of the project with other donors' or EU-funded actions, in particular related to capacity development, are also assessed.

⁸ In case more than one expert is involved in the review of multi-country projects, one expert is designated as mission leader for the coordination of the ROM report.

Key findings on the relevance of those capacity development elements will influence conclusions regarding the project's sustainability.

ROM experts proceed to an analysis of the project's intervention logic, its level of flexibility (capacity to take into account any changed circumstances and consequent updates), and the robustness of the indicators system as developed in the last updated logframe in order to assess whether the project is still relevant.

During briefing and through interviews with other donors and main local partners, ROM experts have to verify that there is no overlap between the project and other projects.

They assess the extent to which the logframe and the intervention logic have been updated to provide accurate reports on the project by implementing partners.

If the intervention logic is not updated, the implementing partner and the OM elaborate such an update together with the ROM expert, including through an estimation of baselines, targets and indicators to be set. The need which led to such an update of the logframe is reflected in the answers to the monitoring questions and in the ROM report.

Table 15. Grading relevance in the replies to monitoring questions

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	<p>(Good/very good): The situation assessed on the basis of the monitoring questions is satisfactory overall and if some issues are mentioned, they do not call into question the overall relevance of the project and can easily be solved and/or solutions are already planned by stakeholders including EC services.</p>
Orange	<p>(Problems) Improvements are necessary, otherwise the relevance of the project might be affected: persistent ownership is being questioned by a change in partners, the capacity development strategy is not adapted, the intervention logic is not formally updated which impedes a common sharing and understanding of the project, indicators are not measurable, there are overlaps with other projects which can be solved.</p>
Red	<p>(Serious deficiencies) There are deficiencies and issues that need to be rapidly addressed, otherwise the project may face failure. Major adjustments and revision of its strategy are necessary, otherwise the project will not achieve its overall objective.</p>

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

3.7.3.2 Efficiency

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

Table 16. Monitoring questions related to efficiency (non-budget support)

2. EFFICIENCY
2.1 Are the chosen implementation mechanisms (incl. choice of implementation modalities, entities and contractual arrangements) conducive for achieving the expected results?
2.2 Do local partners effectively lead in the planning of the action (including CD if relevant) beyond formal endorsement?
2.3 Inputs a) Do the resources correspond to the needs of the action? b) Do local partners provide the inputs (human or physical) that would be required to enable the action (including CD if relevant) to be effective? c) To what degree are resources (inputs) available on time from other stakeholders?
2.4 Delays a) If there are delays, how important are they? b) Have the reasons been identified? c) Have revisions of planning been properly implemented?
2.5. Have the outputs been produced/ delivered in a cost-efficient manner?
2.6. Is the action adequately monitored and/or assessed by the local partners?

ROM experts verify if the chosen implementation mechanisms — covering the choice of implementation modalities, the entities involved (technical assistance, EU Member States’ agencies, local authorities, international organisations etc.) and the contractual arrangements (indirect or direct management) — are conducive to achieving the expected results.

They verify to what extent local partners are really leading in the planning of the project and in the monitoring and evaluation of its expected results, and not just endorsing decisions (or explain the reasons for other project management arrangements).

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

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

ROM experts assess to what extent resources from all committed parties in terms of quality and quantity (%) put at the disposal of the project correspond to its needs. ROM experts comment on problems or positive aspects detected in relation to partners’ contributions, be they financial or in kind.

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

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

Table 17. Grading efficiency

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	(Good/very good): Inputs are available on time, within budget, and are properly managed. Outputs are delivered in a cost-efficient manner. There may be room for improvement but no major deviations or issues are identified.
Orange	(Problems) Quality, costs and schedule in the delivery of inputs face issues which need to be rapidly addressed, otherwise results may be at risk. Cost-efficiency of outputs is questionable but corrective measures can be implemented.
Red	(Serious deficiencies) Quality, costs, schedule in the delivery of inputs present serious deficiencies which threaten the achievement of results. Substantial changes are needed, otherwise the project may face failure.

3.7.3.3 Effectiveness

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

Table 18. Monitoring questions related to effectiveness (non-budget support)

3. EFFECTIVENESS
3.1. Has the expected progress in terms of outputs been properly achieved?
3.2 Is the quality of outputs (including those of CD support) satisfactory?
3.3 Are the outputs (including CD) still likely to lead to the expected outcomes ?
3.4 Is there evidence that the action supports the implementation or the development (or change) of the partners' policy/actions ?

ROM experts assess the progress of outputs' delivery and quality.

They verify to what extent expected progress in terms of outputs is satisfactory according to the planned situation, explain any causes of deviations and the implications thereof for milestones and targets. With regards to this challenge, ROM experts support their analysis with recommendations for indicators, baselines, milestones and targets. The probability that outputs meet expectations of beneficiaries is fully commented in the replies to the monitoring questions.

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

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

Table 19. Grading effectiveness

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	(Good/very good): Benefits and capacities resulting from outputs are available as foreseen, of good quality and used by all target groups. Room for improvement exists, however, with minor effect on effectiveness.
Orange	(Problems) Some benefits are available, but not always of the best quality. Some benefits exist but only partially reach beneficiaries. Improvements are necessary to ensure the project can achieve its purpose in terms of quality and reach.
Red	(serious deficiencies) Outputs are not available as foreseen and are of poor quality. Major changes are urgently needed to attain outcomes.

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

3.7.3.4 Sustainability

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

Table 20. Monitoring questions related to sustainability (non-budget support)

4. SUSTAINABILITY
4.1 Is an adequate level of human and institutional capacity (avoiding unnecessary parallel mechanisms) put in place in order to continue delivering the action’s benefits?
4.2 Is the role of the EUD/HQ in the management and the monitoring of the operation sufficiently respectful of the leading role of the partners in order to enhance their capacities?
4.3 If there is a financial contribution needed for continued access to the benefits of the action, can target groups afford such a payment?
4.4 Are the relevant authorities taken the financial measures to ensure the continuation of services after the end of the action?
4.5 Has the private sector been involved to ensure the sustainability of the action?
4.6 Have the necessary measures been taken to address the environmental sustainability ?
4.7. Have the necessary measures been taken into account to ensure equal participation and benefit for women and men?

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

Table 21. Grading sustainability

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	<p>(Good/very good): The project contributes to improve the institutional and management capacity, local structures and institutions are strongly involved in all stages of implementation and are committed to continue producing and using results after the end of EU funding. Financial/economic sustainability is very good; costs for services and maintenance are covered or affordable; foreseeable external factors will not change that.</p>
Orange	<p>(Problems) Capacity building has not been sufficient to fully ensure sustainability. Project sustainability may be limited due to lack of policy support. Financial/economic sustainability is critical. Corrective measures are needed to guarantee the continuation of the overall results, but it is not too late to implement them.</p>
Red	<p>(Serious deficiencies) The project depends completely on ad-hoc structures; no reinforcement of capacities is attained. Policies have not been and are not likely to be in line with/in support of or even in contradiction to the project. Financial sustainability is not guaranteed in any way. The project is not sustainable unless fundamental changes are undertaken.</p>

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

3.7.4 MONITORING QUESTIONS FOR BUDGET SUPPORT PROGRAMMES

There is a specific template for monitoring questions to assess budget support (BS) programmes. **(Annex A7)** This ROM methodology has been developed in order to ensure coherence with the three-step approach contained in the evaluation methodology for BS evaluations – see chart attached to **Annex A7**. ROM BS reviews are meant to be relevant inputs for evaluations but, by their nature, do not embrace all elements of step 2, nor those of step 3 of the BS evaluation methodology.

Monitoring questions are used in the field phase but should also be used by ROM experts as guidance for the drafting of the desk analysis note.

It is recalled that over 2015, ROM reviews of BS programmes are taking place as part of a pilot in order to examine whether the methodology of ROM BS allows for a decision to continue and expand ROM reviews of BS programmes, or whether it should be revised or discontinued. A template is provided in **Annex A8** to be completed by the ROM expert for each BS programme ROM review with his observations on the review process and monitoring questions.

3.7.5 ROM REPORT

The ROM review includes a concise overview of the programme’s intervention logic (project or programme synopsis), the analysis and findings on the basis of the answers to the monitoring questions, and a summary of conclusions and recommendations. **Annex A3** provides the template for the ROM review report.

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

3.7.5.1 Project or programme synopsis

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

3.7.5.2 Findings

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

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

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

3.7.5.3 Conclusions and recommendations

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

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

3.8 INTERNAL QUALITY CONTROL

The activities of ROM contractors and experts and their deliverables are to be subject to internal quality control (QC) by the ROM contractors. The quality control needs to be undertaken at different stages of the ROM review process. Therefore, the internal QC by the ROM contractors starts with

establishing a systemic approach for such a control as regards the day to day implementation of the contract. Such a quality control should cover:

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

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

As part of the internal quality control system, the ROM expert completes for each review a quality checklist as provided in **Annex A9** where he assesses the conditions of his mission, in particular in terms of availability of relevant documentation and ability to interact with stakeholders. The completed checklist will be sent by the expert to the ROM contractor together with his draft ROM review report.

Upon receipt of the draft ROM report by the ROM contractor, QC is initiated for the reporting phase. For each ROM report, the ROM contractor's core team expert in charge of internal QC assesses the quality of the ROM report using the quality control template in **Annex A10**. He draws up a draft ROM QC report and shares it with the ROM expert concerned. The ROM expert modifies or corrects his ROM review report accordingly and returns it to the ROM QC expert. This interactive process may potentially take repeated returns between the expert and the QC expert, keeping in mind the timeframe for transmission to the OM.

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

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

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

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

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

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

3.9 COMMENTS BY EC SERVICES AND FOLLOW-UP

3.9.1 COMMENTS BY EC SERVICES

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

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

The ROM expert takes note of these comments and decides whether or not to revise his report and, where appropriate, succinctly explains why comments cannot be taken into account. Within 14 days he submits his final report to the contractor for uploading to the ROM module. The OM has 14 days to provide in the ROM module his final comments on the final report and to simultaneously submit a follow-up plan (see 3.9.2).

3.9.2 FOLLOW-UP TO THE ROM REPORT

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

To prepare this follow-up plan, he consults the implementing partner(s) and other stakeholders as he sees fit. Within 14 days after the ROM expert has submitted the final version of his report (see section 3.7.1.2), the follow-up plan is completed by the OM directly in the ROM module together with the comments the OM still may have on the final report. Subsequently, the implementation of the follow-up plan is to become part of the regular internal monitoring ensured by the EUD or EC HQ operational services.

3.10 CALENDAR FOR ROM REVIEWS

Table 22. Calendar for ROM reviews

Phase	Tasks and actors responsible	Timeframe
For ROM reviews excluding BS programmes		
<i>Selection for ROM review of projects ≥ EUR 750 000 in EAMR / EAMR HQ online</i>	OMs	<i>By 31/01 (Delegations) By 18/02 (HQ Units)</i>
<i>Preparation of an Excel file with the list of projects composed of:</i> - <i>projects ≥ EUR 750 000 including general info from CRIS and info on traffic lights and flags from EAMR,</i> - <i>projects ≥ EUR 200 000 and ≤ EUR 750 000 including general info from CRIS</i>	✓ <i>Sends a single Excel file by HQ unit/EUD to ROM focal points with copy to ROM coordinator concerned (for action by Unit 06)</i>	<i>By 16/03</i>
<i>Finalisation of list of projects and programmes to be subject to ROM reviews.</i>	<ul style="list-style-type: none"> ✓ <i>Confirm or not projects to be to ROMed and complete information on projects ≥ EUR 750 000 (for action by ROM focal points with OM)</i> ✓ <i>Indicate projects to be ROMed and complete information on projects ≥ EUR 200 000 and ≤ EUR 750 000 (for action by ROM focal points with OM)</i> ✓ <i>Consolidate lists for their Delegation/HQ unit and send it to their ROM coordinator (for action by ROM focal points)</i> 	<i>By 31/03</i>
<i>Confirmation (or modification) and transmission to ROM contractors of the list of projects and programmes to be subject to a ROM review.</i>	✓ <i>Consolidates list for his lot and confirms or modifies it on basis of predefined priority order and sends list to his ROM contractor (for action by ROM coordinator)</i>	<i>By 14/04</i>
<i>Preparation and submission of draft workplan</i>	<ul style="list-style-type: none"> ✓ <i>Finalise list of projects to be ROMed according to budget and priority order set by ROM coordinator</i> ✓ <i>Schedule missions,</i> ✓ <i>Select ROM experts</i> ✓ <i>Submit draft workplan to ROM coordinators (including proposed experts)</i> <i>(ROM contractor)</i> 	<i>By 15/05 (to be revised and resubmitted after six months)</i>
<i>Non-objection to experts</i>	<ul style="list-style-type: none"> ✓ <i>Consult ROM focal points and OM on possible conflict of interest of proposed experts (by silent procedure)</i> <i>(By ROM coordinator)</i> 	<i>By 30/05</i>
<i>Approval of workplan</i>	✓ <i>Verify and approve (or request revision of) workplan (ROM coordinators)</i>	<i>By 08/06 (to be approved after six months)</i>
<i>Preparation phase</i>	✓ <i>Ensure experts have all relevant background material to</i>	<i>No later than three weeks prior to</i>

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	<p><i>start the desk phase, provide appropriate guidance and templates to ROM experts, and arrange first contacts with ROM experts and EC services to schedule meetings prior to the field phase including briefing (for action by ROM contractors)</i></p> <ul style="list-style-type: none"> ✓ <i>Identify needs for collecting further information (for action by ROM experts)</i> ✓ <i>Upload additional project documentation in a timely manner in CRIS, announce the provisional mission schedule to key stakeholders, brief them on the main objectives of a ROM review, communicate the name(s) of ROM experts, provide contact details of the implementing partner and other key stakeholders to ROM contractors (for action by OM)</i> 	<i>mission</i>
<i>Desk phase</i>	<ul style="list-style-type: none"> ✓ <i>Get familiar with all documents, including the project's intervention logic reflected in the most recent logframe, implementation plans, the allocated resources and budget, all progress reports by implementing partners and EC internal progress reports by OM, any previous ROM report(s) and mid-term evaluation.</i> ✓ <i>Identify key issues that need to be addressed during the field phase for ROM reviews for projects and programmes.</i> ✓ <i>In order prepare the briefing, ROM experts develop a preliminary list of specific questions that they consider useful to ask, based on their document review and the standard ROM monitoring questions.</i> <i>(for action by ROM experts)</i> 	<i>During desk phase</i>
<i>Field phase</i>	<ul style="list-style-type: none"> ✓ <i>Briefing (for action by ROM experts, OMs and any relevant key stakeholders)</i> 	<i>On the first few days of the field phase</i>
<i>Field phase</i>	<ul style="list-style-type: none"> ✓ <i>Fields visits and interviews</i> <i>(for action by ROM expert)</i> 	<i>During the field phase</i>
<i>Field phase</i>	<ul style="list-style-type: none"> ✓ <i>Debriefing (for action by ROM experts, OMs and any relevant key stakeholders)</i> 	<i>Final day of mission</i>
<i>Reporting and QC phase</i>	<ul style="list-style-type: none"> ✓ <i>Submission for QC of draft ROM report (for action by ROM expert) and</i> ✓ <i>Uploading of draft ROM report in the module (for action by ROM contractor)</i> 	<i>No later than 14 days after the end of the field phase</i>
	<ul style="list-style-type: none"> ✓ <i>Comments on draft ROM report by OM (for action by OM)</i> 	<i>No later than 14 days after the uploading of draft ROM report by ROM contractor</i>
	<ul style="list-style-type: none"> ✓ <i>Uploading of final ROM report (for action by ROM contractor)</i> 	<i>No later than 14 days after receiving comments from OM</i>
	<ul style="list-style-type: none"> ✓ <i>Provision for final comments on ROM report (for action by OM)</i> 	<i>No later than 14 days after the release of ROM report by ROM contractor</i>
<i>Follow-up to the ROM report</i>	<i>For action by OM (simultaneously with the final comments)</i>	<i>No later than 14 days after the uploading of ROM</i>

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		<i>final report by ROM contractor.</i>
For ROM reviews specific to BS programmes		
<i>Selection of BS programmes to be subject to a pilot ROM review</i>	<i>For action by Unit 03, 08 and 06 in cooperation with Geographic Directorates</i>	<i>By 24/04/2015</i>
<i>Preparation phase</i>	<i>Confirm the briefing at desk phase with HQ geo-coordinators, who are to take care of involving the BS unit DEVCO/03 and thematic experts where needed (for action by ROM contractor)</i>	<i>No later than three weeks prior to desk phase</i>
<i>Reporting and QC phase</i>	<i>Submission of a draft desk analysis note (for action by ROM experts)</i>	<i>Prior to the debriefing</i>
<i>Field phase</i>	<i>Once EC services have, after the submission of the desk analysis note, confirmed the relevance of a field phase, ROM contractors set meetings with key stakeholders in the field and a date for briefing and debriefing with the OM in charge at EUD (or debriefing at HQ level in case of centrally managed BS programmes) (for action by ROM contractors)</i>	<i>No later than 3 weeks after the approval of a field phase</i>

4 SUPPORT TO END OF PROJECT RESULTS REPORTING

Content of this chapter

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

NOTE: The arrangements for establishing the workplan in year 1 (2015) will be different compared to subsequent years – both in relation to the timing and responsibilities for the tasks. In year 1, the results reporting will take place in two exercises, one related to the reporting on results for the complement to the Annual report over 2014 to be issued by the Commission in the last quarter of 2015; and a second one related to the reporting on results for the Annual report over 2015 to be issued by the Commission mid-2016. The timing of missions for the first reporting in year 1 will be specific, the one for second reporting will be similar to that for subsequent years. **This chapter describes the post-2015 process, whilst noting the exceptional specific set-up for the first reporting in 2015 in the table in section 4.8.**

4.1 ESTABLISHMENT OF THE LIST OF PROJECTS SUBJECT TO RESULTS REPORTING SUPPORT MISSIONS

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

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

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

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

Once validated, the ROM focal point sends the workplan/list to the ROM coordinator, with copy to the ROM Coordination Unit. On that basis, the ROM Coordination Unit establishes the final consolidated list and, **in late August** at the latest, sends it to the ROM coordinators for its communication to the ROM contractors in order to prepare the workplans by further completing the workplan template.

4.2 PREPARATION OF THE WORKPLAN FOR RESULTS REPORTING SUPPORT MISSIONS

4.2.1 STEPS IN PREPARING THE WORKPLAN

4.2.1.1 Making essential documents available to the ROM contractor

Once the list of projects and programmes to be covered by results reporting support missions has been established and validated, OM must verify that all relevant documents related to the projects/programmes are uploaded in CRIS so that they can then be accessed in and extracted from the ROM module by the ROM contractor. The missing documents should be uploaded to CRIS no later than three weeks before the start of the mission.

A list of essential project/programme documents to be made available in CRIS is provided in **Annex B3, which is also the template for the narrative report to be made by the ROM expert**. The documents listed are not all necessarily distinct documents and are sometimes included in or annexed to other documents (e.g. TAPS are generally attached to the Financing Agreement). The OM will check if the essential documents are available in CRIS.

During preparation of the ROM results reporting support missions, the ROM contractor will verify availability of the documents. If key documents remain missing, the ROM contractor requests the OM to make the documents available. OM ensure that all missing key project and programme information is uploaded to CRIS as soon as possible and ideally no later than three weeks before the arrival of the ROM expert to allow timely access to all relevant key documents during the desk phase. If, at the time of the mission, essential documents are not made available or with delay, the ROM expert will mention this in his/her narrative report.

The ROM contractor will save all the documents in a **database specific to the contractor**. The documents will be saved with the following format:

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

This database of documents will serve as an easy reference and, if need be, in the discussion on the results reporting. Each ROM contractor keeps his own database.

4.2.1.2 Completion of the workplan by the ROM contractor

Once the workplan template with the list of projects has been transmitted to the ROM contractor, the latter will assign the missions to the various experts that have been identified. In cases where the number of projects and the degree of complexity of the related results reporting would not justify a mission, remote support will be considered.

Mission are to take place between November and mid-February of the following year. Results reporting support missions for Delegations/HQ Units for which all projects and programmes included in the workplan have all relevant documentation (including final reports) available before the end of the year, should be scheduled to take place during November/December, thus ensuring an even spread of missions, reducing missions between January and mid-February of the following year to those for which it is not otherwise possible due to the fact that final reports are still missing for some projects and programmes.

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

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

4.2.2 ASSIGNING ROM EXPERTS TO RESULTS REPORTING MISSIONS

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

Table 23. Allocation of expert days for results reporting support missions

Phase(*)	Average allocated days ⁹
Desk phase	
<i>Review documentation and pre-identify indicators, baselines and targets</i>	1 day per Decision including BS OR ½ day per Contract
Field phase	
<i>Briefing session on the EU Results Framework (EU RF); debriefing session highlighting key points from the narrative report</i>	½ day in EUD On demand in HQ Units
<i>Verification of available data, consultation with EC services and completion of the results templates with EC services</i>	1 day per Decision including BS OR ½ day per Contract
<i>International transport</i>	2 days ¹⁰
Reporting phase	1½ days per mission
Quality Control	½ day for each Decision or Contract

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

⁹ In the workplan a project/ or programme is equivalent to a Decision in the case of Financing Agreements; or a Contract in other cases.

¹⁰ Travel days for distant Delegations may be more than two days.

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

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

TOTAL: 17½ allocated days

4.2.3 COMMUNICATION WITH EUD AND EC HQ OPERATIONAL UNITS

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

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

4.3 PREPARATORY TASKS FOR DESK AND FIELD PHASE

The ROM contractor will download the essential documents for each project and programme included in the results reporting mission schedule through the ROM module. For projects not available in CRIS (e.g. Neighbourhood CBC projects), the documents will be made available by the OM separately.

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

During September the ROM contractor liaises with Focal Points in EUD/HQ Units with regard to the details of the mission schedule as pre-defined during the preparation of the workplan, including the timing of the briefing (one session of approximately 2.5 hours) and debriefing session (1.5 hours) which should take place on the first and last day of the mission. This should also include dates for meetings with individual OM and separate meetings with the Head of Cooperation/Head of Unit to agree on the main country/ regional/ thematic results.

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

4.4 DESK PHASE - RESULTS REPORTING SUPPORT MISSIONS

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

For bilateral country and regional projects and programmes, following an assessment of the nature and structure of the Decision, results data will be sought for indicators included in the logframe either at Decision or Contract level. For thematic projects and programmes, the logframe at Contract level will be taken.

Table 24. Identifying results information- Checklist

Identifying results information- Checklist	Actor
<ul style="list-style-type: none"> ✓ Results data may be included and structured in (a) logframe(s) which records results achieved as part of a progress or final or completion report submitted by the implementing partner ✓ Results information may also be presented in a less structured manner, for example in a table not including all the information in the logframe, or in the narrative of a document such as progress or completion reports, ROM reviews, ad-hoc TA reports, mid-term or final evaluations ✓ Progress and completion reports may also include other results that were not prioritised in the logframe, but which were produced as the project or programme progressed and which should be considered as part of the results reporting exercise 	ROM expert

Once the logframe and the most relevant reports have been identified, ROM experts:

- i) pre-identify indicators in the logframe that are linked to indicators of the EU Results Framework;
- ii) list other project-specific indicators included in logframes that are measurable, i.e. well defined and with named data sources;
- iii) review project and programme reports with a view to identifying and recording results reporting information included within these against any of the indicators identified under i) and ii);
- iv) as far as possible, carry out an initial assessment of the quality and reliability of the results information source, noting any inconsistencies of data recorded in the various reports to which they have access.

Table 25. Initial assessment of data quality - Checklist

Initial assessment of data quality - Checklist	Actor
<ul style="list-style-type: none"> ✓ What is the data source? ✓ Has it been independently verified? ✓ Are there any reasons to assume over or under-reporting? ✓ Do any other sources of potential bias exist? 	ROM expert

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

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

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

4.5 FIELD PHASE OF RESULTS REPORTING SUPPORT MISSION

4.5.1 BRIEFING

Each mission starts with a briefing session on the EU RF which is delivered by the ROM expert and based on the PowerPoint presentation that will be provided by the ROM Coordination Unit. OM, Heads of Cooperation (and in HQ context Heads of Unit) as well as Heads of Section will be expected to participate in the briefing sessions. On day one of the mission, as part of the briefing session, OM confirm appropriate arrangements with ROM experts to ensure sufficient time is allocated for meetings on each selected project and programme.

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

ROM experts conduct the required number of meetings with OM in order to jointly complete the results reporting template (template in **Annex B2**) for each individual project or programme and to work with the OM in order to resolve any difficulties that may arise.

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

- Results measured by indicators that can be linked to the EU RF indicators.
- Results measured by indicators not directly linked to the EU RF where they are judged to be key project results. Key project results are those results that best reflect the objectives of the project or programme. Though there is no predetermined limit on how many key project results the OM can record, reporting should focus on essential results.

Table 26. Recording results – Checklist

Recording results – Checklist		Actor
✓	Results recorded cover the entire duration of the project or programme in	ROM expert/

<p>question</p> <ul style="list-style-type: none"> ✓ Results recorded reflect the overall results achieved for a project or programme, even in instances where these are co-funded with other donors and/or partner country governments¹¹ ✓ Project and programme beneficiaries should be broken down into boys/girls; men/women 	<p>OM</p>
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ROM experts provide appropriate guidance on results reporting to OM during the individual meetings. ROM experts furthermore identify any data quality issues, flagging to OM any concerns they may have with regard to the consistency of data from final project reports compared with other data sources and regarding the potential bias of information included in those reports.

Once the ROM expert has completed all individual meetings in collaboration with the OM concerned, he will share the consolidated results recorded with the Head of Cooperation/Head of Unit and the ROM focal point in order to obtain, for the purpose of reporting in the EC’s Annual report and for communication purposes managed at the level of the EUD/HQ operational unit concerned, the selection of a subset of the main country/regional/ thematic results, i.e. ones which reflect the main achievements of projects managed by the EUD/HQ Unit which ended in the period concerned. The ROM expert is expected to assist in this by anticipating this selection during work on the results reporting with each individual OM and by obtaining from the OM the necessary proposals for such selection.

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

N.B. It is the task of the ROM expert to ensure that all the results data collected are consolidated into one results reporting template for each mission (see section 4.6.1). Before the end of the mission the completed consolidated result reporting template has to be agreed with the Head of Cooperation/Head of Unit or his/her representative, including the selection of the main country/regional/ thematic results.

4.5.3 DEBRIEFING

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

¹¹ See section 1.2.1 for details on how to calculate results to be reported

the EU RF) with a view to improving the overall results reporting process. Attendance at the debriefing session will be the same as for the briefing session.

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

4.6 RESULTS REPORTING MISSION OUTPUTS

4.6.1 CONSOLIDATED RESULTS REPORTING TEMPLATES

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

Table 27. Completion of the results reporting template - Checklist

Completion of the results return - Checklist	Actor
<ul style="list-style-type: none"> ✓ Is the results information the most up-to-date information available? Have baselines been recorded? ✓ Are sex-disaggregated data available? ✓ Do results recorded against EU RF indicators meet the definitions provided in the relevant methodological notes? ✓ Have details of data calculations for EU contribution to EU RF indicators been provided? ✓ Do concerns remain around data quality that could not be resolved? Have these been documented? ✓ Have explanations been provided for missing information? (For example, if the baseline is missing or sex split is not provided, reasons for this should be included in the comments field.) 	ROM expert jointly with OM

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

Table 28. Results reporting quality - Checklist

Results reporting quality - Checklist	Actor
<ul style="list-style-type: none"> ✓ Have all fields have been completed. If not, has the reason for this been provided? ✓ Have results been reported in consistent units? (For example, if the indicator is about number of beneficiaries, or population percentages, the numbers provided should reflect this.) ✓ When reporting EU RF indicators, there may be instances where calculations need to be made to convert percentages into number of people. Has this been done and underlying assumptions/calculations been recorded? ✓ Where non-zero baselines have been provided for the start of the project or programme, has this been taken into consideration when final results linked to the project are calculated? ✓ In instances where two or more projects or programmes report results against the same indicator, has any risk of double counting the same result been noted in the "comments" cell ✓ Have data sources been listed? ✓ Have data sources linked to results information been assessed? Is it known who collected the 	ROM expert jointly with OM

<p>original source information and for what purpose? For example, if data come from a survey, has the sampling methodology, the sample size and the response rate been assessed as providing solid statistics? If data come from administrative sources (either project specific or national), has an assessment been made of whether there would be an incentive to either inflate or deflate numbers?</p>	
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Once agreed with the EUD/HQ operational unit before the end of the ROM expert's mission, the consolidated results reporting template should be emailed by the ROM experts to the ROM contractor for quality control. The emails are to be clearly labelled as draft results reporting template in the subject heading and must be copied to OM.

4.6.2 NARRATIVE REPORTS

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

Table 29. Checklist to assess logframe quality

Checklist to assess logframe quality	
<ul style="list-style-type: none"> ✓ Is the results chain reasonable, i.e. are the links between impact, outcome and outputs established and clear? 	ROM experts
<ul style="list-style-type: none"> ✓ Have risks/assumptions been set out? 	
<ul style="list-style-type: none"> ✓ Are indicators measurable, i.e. clearly defined? 	
<ul style="list-style-type: none"> ✓ Are data sources referenced under sources of verification robust, i.e. already established data sources? 	
<ul style="list-style-type: none"> ✓ Have baselines been included? 	
<ul style="list-style-type: none"> ✓ Are targets time-bound and realistic? 	

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

4.7 QUALITY CONTROL

The quality control process for the completed consolidated results reporting templates may take up to four weeks after the end of the mission. ROM experts must continue to be available to address

any of the data-quality issues raised by the ROM contractor or EU services during that time. In responding to quality queries, ROM experts are required to liaise with the OM involved.

4.7.1 INITIAL QUALITY CONTROL BY ROM CONTRACTOR

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

Table 30. Quality control - Checklist

Quality control - Checklist	Actor
<ul style="list-style-type: none"> ✓ Have all fields of the results reporting template been completed, and have explanations been provided for missing fields? ✓ Have Decision and Contract numbers been recorded? ✓ Are results reported in consistent units? (For example, if the indicator is about number of beneficiaries, or population percentages, the numbers provided should reflect this.) ✓ Have non-zero baselines at the start of the intervention been taken into consideration when final results linked to the project are calculated? ✓ Where relevant, has data been sex disaggregated? ✓ Have data sources for the results information been provided? ✓ Are there any project-specific results that have been recorded and could be linked to an EU RF indicator, but which have not been captured as such? ✓ In instances where a project-specific indicator/result has been recorded as also being able to report against an EU RF indicator, has sufficient information in the cell ‘explanation of calculation of EU contribution’ been provided? 	<p>ROM contractor - Statistics and performance measurement key expert</p>

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

The ROM contractor ensures the appropriate QC for narrative reports. He carries out this task within one week following their submission by ROM experts. The updated narrative reports are to be shared with EUD/HQ Operational Units for their validation. EUD/HQ Operational Units have a week to challenge any assertion within the narrative reports. If, within this timeframe, no response has been received, the reports will be considered final and sent by the ROM contractor to the ROM coordinator, copying in the functional mailbox DEVCO EU Results (EuropeAid-EU-RESULTS@ec.europa.eu) and clearly labelling the subject line as a final narrative report. Should the

EUD/ HQ Operational Unit provide comments, the narrative reports will, if necessary, be completed/adjusted within a further week from the receipt of the comments and then sent to the ROM Coordinator, copying the functional mailbox DEVCO EU Results.

4.7.2 ADDITIONAL QUALITY CONTROL BY ROM COORDINATION UNIT ON RESULTS REPORTING

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

Table 31. Additional quality control - Checklist

Additional quality control - Checklist	Actor
<ul style="list-style-type: none"> ✓ Have all fields of the results reporting template been completed? ✓ Are results reported in consistent units? ✓ Have non-zero baselines at the start of the intervention been taken into consideration when final results linked to the project are calculated? ✓ Are there any potential overlaps between results reported within one country, from country vs regional programmes or country vs thematic programmes? 	ROM Coordination Unit

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

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

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

4.7.3 FINALISATION OF RESULTS REPORTING TEMPLATE

Once all the questions raised in the quality control phase have been addressed by the ROM expert in consultation with the OM, the ROM Coordination Unit will write to the ROM coordinator, copying in the ROM contractor, and to the ROM focal points involved to say that no further questions remain on the completed results reporting templates. At this point, the final results reporting template, including the selection of the main country/ regional/ thematic results, will be verified by the Head of Cooperation or Head of operational Unit or his/her representative using the "Dispatch of final results" column in the consolidated results report template, and then sent to the ROM coordinator, copying in the ROM Coordination Unit, using the functional mailbox DEVCO EU Results that has been

set up for this purpose. The completed results reporting templates should be clearly marked as the final results reporting template in the email subject line.

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

FUNCTIONAL MAILBOX FOR EU RESULTS REPORTING
"DEVCO EU RESULTS": EuropeAid-EU-RESULTS@ec.europa.eu

4.8 ANNUAL CALENDAR FOR ROM SUPPORT TO RESULTS REPORTING

Table 32. Calendar for ROM support to results reporting

Phase	Tasks and actors responsible	Timeframe
Specific timeframe for first results reporting round		
<i>Preparation of draft list of projects and programmes which are to be included in end of project results reporting support missions</i>	<ul style="list-style-type: none"> ✓ Prepare list of projects and programmes which are to be included in that specific year (for action by ROM Coordination Unit) ✓ Share list with ROM coordinators and EUD (ROM Focal points and HoC) and HQ Units (ROM Focal points and HoU) concerned (for action by ROM Coordination Unit) 	By 27/02/2015
<i>Extraction of key documentation from CRIS for those projects on the draft list</i>	<ul style="list-style-type: none"> ✓ Extraction of available documents from CRIS, at the same time noting missing documents (for action by ROM Coordination Unit) 	By 27/02/2015
<i>Validation of list of projects and programmes to be included in results reporting support missions</i>	<ul style="list-style-type: none"> ✓ Verification of list of projects and programmes to be included in results reporting support missions ✓ Request for OM in EUD and HQ Services to upload key documents for selected projects and programmes to CRIS (for action by Focal Points, OM) 	By 16/03/2015. At least three weeks prior to missions
<i>Finalisation of list of projects and programmes to be included in results reporting support missions</i>	<ul style="list-style-type: none"> ✓ Share final list of projects and programmes to be included in results reporting support missions with ROM coordinators (for action by ROM Coordination Unit) 	By 17/03/2015
<i>Transmission to ROM contractors of list of projects and programmes to be included in results reporting support missions</i>	<ul style="list-style-type: none"> ✓ Send final list of projects and programmes to ROM contractors (for action by ROM coordinators) 	17/03/2015
<i>Training of ROM statistics and performance experts part of the ROM contractors core team and ROM experts</i>	<ul style="list-style-type: none"> ✓ ROM statistics and performance experts as well as ROM experts who will go on results reporting missions will spend up to two days in Brussels for briefing on the results framework and training on results reporting (for action by ROM Coordination Unit, statistics and performance experts) 	Between late February and mid April 2015

HANDBOOK on ROM reviews and support to end-of-project results reporting

Preparation and submission of draft workplan	<ul style="list-style-type: none"> ✓ Schedule missions, select ROM experts ✓ Submit draft workplan to ROM coordinators, copying in ROM Coordination Unit (ROM contractor) 	By 10 April 2015
Approval of workplan	<ul style="list-style-type: none"> ✓ Verify and approve (or request revision of) workplan (ROM coordinators, in agreement with ROM Coordination Unit) 	17 April 2015
Results reporting support missions – Preparation phase Desk phase	<ul style="list-style-type: none"> ✓ Ensure experts have all relevant background material to start the desk phase ✓ Set up agenda for mission (For action by ROM contractor, ROM Focal point, ROM expert) ✓ Document review (for action by ROM expert) 	<p>No later than two weeks prior to mission</p> <p>One week prior to the mission</p>
Results reporting support missions – Field phase	<ul style="list-style-type: none"> ✓ Completion of results reporting template (for action by ROM expert and OM) 	Second half of April to mid-June 2015
Submission of completed results reporting template	<ul style="list-style-type: none"> ✓ Email consolidated results reporting template to ROM Contractor for QC (for action by ROM expert) 	Final day of mission
Submission of narrative report	<ul style="list-style-type: none"> ✓ Email narrative report to ROM Contractor for QC (for action by ROM expert) 	One week after the end of the mission
Quality control of completed results reporting template	<ul style="list-style-type: none"> ✓ Initial checks by ROM contractor (statistics and performance expert) ✓ Additional check by ROM Coordination Unit 	Two weeks for each phase of QC
Quality control of narrative report	<ul style="list-style-type: none"> ✓ QC by ROM contractor ✓ Send final draft to EUD/ HQ Service for validation (for action by ROM Contractor) ✓ Validation of final draft report by EUD/ HQ Service (for action by ROM focal point) 	<p>One week after the receipt of the draft narrative report</p> <p>One week after the receipt of the report</p>
Finalisation of results reporting template	<ul style="list-style-type: none"> ✓ Submission of finalised and consolidated results reporting template to ROM coordinator with copy to ROM Coordination Unit (for action by Head of Cooperation or Head of Unit or his/her representative) 	No later than four weeks following the end of the mission:
Finalisation of narrative report	<ul style="list-style-type: none"> ✓ Submission of finalised narrative report to ROM Coordinator with copy to ROM Coordination Unit (For action by ROM Contractor) 	No later than four weeks following the end of the mission
Phase	Tasks and actors responsible	Timeframe
Timeframe for round 2 and subsequent rounds for results reporting		
Preparation of draft list of projects and programmes which are to be included in end-of-project results reporting support missions	<ul style="list-style-type: none"> ✓ Prepare list of projects and programmes which are to be included in that specific year (for action by ROM Coordination Unit) ✓ Share list with ROM coordinators and EUD ROM focal points and HoC) and HQ Units (ROM focal points and HoU) concerned 	<p>First half of June 2015</p> <p>By mid-June 2015</p>

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	<i>(for action by ROM Coordination Unit)</i>	
<i>Validation of list of projects and programmes to be included in results reporting support missions</i>	<ul style="list-style-type: none"> ✓ <i>Verification of list of projects and programmes to be included in results reporting support missions</i> <i>(for action by ROM coordinators and Focal Points)</i> ✓ <i>Request for OM in EUD and HQ Services to upload key documents for selected projects and programmes to CRIS</i> <i>(for action by OM)</i> 	<p><i>By end of June 2015</i></p> <p><i>At least three weeks prior to a mission</i></p>
<i>Finalisation of list of projects and programmes to be included in results reporting support missions</i>	<ul style="list-style-type: none"> ✓ <i>Share final list of projects and programmes to be included in results reporting support missions with ROM coordinators</i> <i>(for action by ROM Coordination Unit)</i> 	<i>By end of June</i>
<i>Send list of projects and programmes to be included in results reporting support missions to ROM contractors</i>	<ul style="list-style-type: none"> ✓ <i>Send final list of projects and programmes to ROM contractors</i> <i>(for action by ROM coordinators)</i> 	<i>Late August 2015</i>
<i>Preparation and submission of draft workplan</i>	<ul style="list-style-type: none"> ✓ <i>Schedule missions, select ROM experts</i> ✓ <i>Share draft workplan with ROM coordinator and ROM Coordination Unit</i> <i>(for action by ROM contractor)</i> 	<i>By late September</i>
<i>Approval of workplan</i>	<ul style="list-style-type: none"> ✓ <i>Verify workplan</i> <i>(for action by ROM coordinators, in agreement with ROM Coordination Unit)</i> 	<i>By early October 2015</i>
<p><i>Results reporting support missions – Preparation phase</i></p> <p><i>Desk phase</i></p>	<ul style="list-style-type: none"> ✓ <i>Extraction of available documents from ROM module</i> <i>(for action by ROM contractor)</i> ✓ <i>Set up agenda for mission</i> <i>(for action by ROM contractor, ROM Focal point, ROM expert)</i> ✓ <i>Document review</i> <i>(for action by ROM expert)</i> 	<p><i>At least 3 weeks prior to a mission</i></p> <p><i>One week before mission at the latest</i></p>
<i>Results reporting support missions – Field phase</i>	<ul style="list-style-type: none"> ✓ <i>Completion of results reporting template</i> <i>(for action by ROM expert and OM)</i> 	<i>Mid-October 2015 to mid-January 2016</i>
<i>Submission of completed results reporting template</i>	<ul style="list-style-type: none"> ✓ <i>Email consolidated results reporting template to ROM contractor for QC</i> <i>(for action by ROM expert)</i> 	<i>Final day of mission</i>
<i>Submission of narrative report</i>	<ul style="list-style-type: none"> ✓ <i>Email narrative report to ROM contractor for QC</i> <i>(for action by ROM expert)</i> 	<i>One week after the end of the mission</i>
<i>Quality control of results reporting template</i>	<ul style="list-style-type: none"> ✓ <i>Initial checks by ROM contractor (statistics and performance expert)</i> ✓ <i>Additional check by ROM Coordination Unit</i> 	<i>Two weeks for each phase of QC</i>
<i>Quality control of narrative report</i>	<ul style="list-style-type: none"> ✓ <i>QC by ROM contractor</i> ✓ <i>Send final draft to EUD/ HQ Service for validation</i> <i>(for action by ROM contractor)</i> ✓ <i>Validation of final draft report by EUD/ HQ Service</i> <i>(for action by ROM focal point)</i> 	<p><i>One week after the receipt of the draft narrative report</i></p> <p><i>One week after the receipt of the report</i></p>
<i>Finalisation of results reporting templates</i>	<ul style="list-style-type: none"> ✓ <i>Submission of finalised results return to</i> 	<i>No later than four</i>

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	<i>ROM Coordination Unit (for action by Head of Cooperation or Head of Unit or his/her representative)</i>	<i>weeks following the end of the mission.</i>
<i>Finalisation of narrative report</i>	<i>✓ Submission of finalised narrative report to ROM Coordinator with copy to ROM Coordination Unit (For action by ROM Contractor)</i>	<i>No later than four weeks following the end of the mission</i>

5 CONSOLIDATED ANALYSIS REPORTS BY ROM CONTRACTORS

The ROM contractor will submit the following consolidated analysis reports:

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

5.1 ANNUAL AND FINAL (END OF CONTRACT) CONSOLIDATED ANALYSIS OF ROM REVIEWS

The ROM contractor establishes — for the first time in 2016 — an annual consolidated ROM analysis of ROM reviews carried out during the preceding year that identifies the common features of the key findings of all ROM reviews carried out. This consolidated analysis report will be attached to the annual contract implementation report (see section 6.1).

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

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

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

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

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

5.2 ANNUAL CONSOLIDATED ANALYSIS OF RESULTS REPORTING SUPPORT

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

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

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

A presentation and discussion of the analysis and findings of the consolidated reports of all five ROM contractors is to take place as part of the workshop referred to in section 5.1 with the aim of identifying common findings.

5.3 QUARTERLY AND ANNUAL QUALITY CONTROL REPORTS

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

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

- issues from among those referred to in sections 3.8 and 4.7 raised by their experts in charge of QC, including the identification of good and bad practices in terms of ROM reviews;
- issues that can be concluded from the QC checklists established by the ROM experts for each review or support mission;
- any cases where the mission is of a (shorter or longer) duration than the standard allocation of mission days as defined in chapter 3, including the justification and issues encountered in implementing the workplan;
- any changes which had to be implemented in the choice of ROM experts (with the approval of the ROM coordinator), attaching the list of the expert(s) replacing the one(s) initially proposed and approved;
- any cases of conflict of interest which had to be solved.

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In the **second part**, the ROM Contractor concludes the following two main elements:

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

A template for reporting is provided in **Annex A10**.

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

The QC reports are submitted by the ROM contractor to the ROM coordinator together with the contract implementation report where such an implementation report is foreseen (see chapter 6). The report is also copied by the ROM contractor to the functional mailbox of the ROM Coordination Unit (EUROPEAID-06-ROM@ec.europa.eu).

6 REPORTING ON IMPLEMENTATION BY ROM CONTRACTORS

6.1 SIX-MONTHLY PROGRESS REPORTS

Within 30 days of the end of the reporting period, the ROM contractor submits a six-monthly implementation progress report by email and in two hard copies in accordance with the template in **Annex C** of this Handbook. The report shall include the list of all projects and programmes reviewed/supported during the period.

The report will provide an analysis of implementation problems encountered, including the methodologies set out in the present Handbook. The ROM contractor comments on the reasons for any unforeseen changes he had to make with respect to the workplan (changes in the situation on the ground and delays in starting a project that impacted on the workplan, difficulties arising from staffing arrangements of stakeholders, problems with availability of experts, etc).

For each ROM service, the ROM contractor comments on the delays in the delivery of ROM reports, results reports and narrative reports whether on the side of ROM experts or on the side of the ROM contractor.

The ROM contractor reports on any technical issues which might have arisen in the use of IT tools, such as the ROM module or the reporting templates.

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

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

The ROM coordinator shares the report with the ROM Coordination Unit and the concerned EUD and HQ Units.

6.2 FINAL REPORT

Within 45 days of the end of the last contract period¹², the ROM contractor submits by email and in two hard copies to the ROM coordinator a draft end-of-contract report describing the activities undertaken during the entire contract period and in accordance with the same template. The report includes an overview of the contract period, the organisation of the contractor during the contract period, the activities carried out during the contract period and the related rate of accomplishment of ROM workplan, a description of problems encountered during the contract implementation process, the financial execution and the list of handover documents and any other related material. The report shall also include a list of all projects and programmes reviewed/supported.

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

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

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

The ROM coordinator shares the report with the ROM Coordination Unit and the EUD and HQ Units concerned.

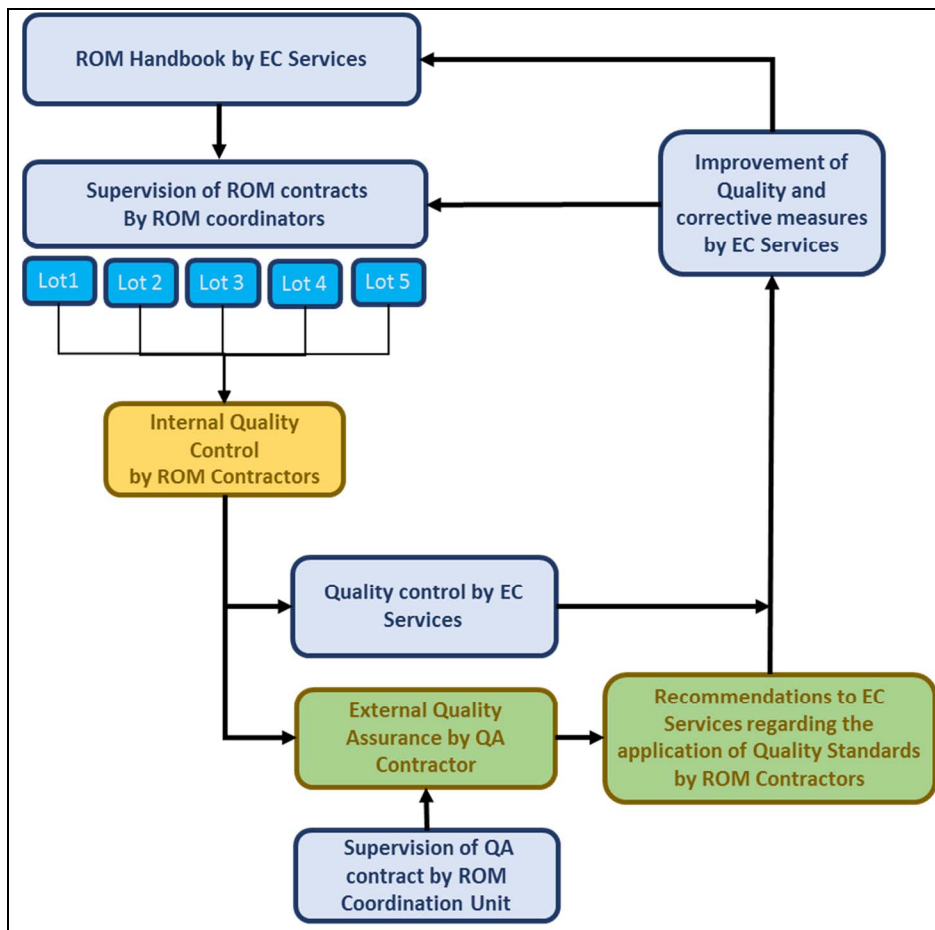
¹² The contracts are for one year and may be renewed three times. If not renewed, the final report must be submitted within 45 days of the end of the last contract.

7 ROM QUALITY ASSURANCE

7.1 THE ROM QUALITY CYCLE AND THE PLACE OF THE ROM QUALITY ASSURANCE

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

Figure 3. The ROM quality cycle



The ROM quality cycle thus includes:

- the quality standards as foreseen in the present Handbook (and as further communicated in the regular coordination meetings with ROM contractors),
- the internal quality control system of each ROM contractor,

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- the comments by EUD and EC HQ operational units on the ROM reports,
- the Quality Assurance assessing the quality of ROM services,
- the overall supervision of ROM service contracts by ROM coordinators and ROM Coordination Unit.

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

Table 33. Actors in the quality assurance cycle

	Actors	Specific responsibilities
Internal QC by ROM contractor	ROM experts	<ul style="list-style-type: none"> • Apply the ROM Handbook in the implementation of ROM services as specified in the Handbook, in particular: • Establish quality checklists for each ROM review. • Keep, track and transfer reports and related documents to the ROM contractor in a form accessible to the external QA Contractor and EC services.
	ROM contractors	<ul style="list-style-type: none"> • Apply the ROM Handbook in the implementation of ROM services as specified in the Handbook, in particular: • Key experts complete a specific QC report for each ROM review, except for ROM reviews implemented by the Team Leader (TL) or Deputy Team Leader which are subject to QC by the back-stopping team of the ROM contractor • If the team of key experts only has one “statistics and performance/measurement” expert, then his work is quality controlled by the back-stopping team of the ROM Contractor. Otherwise, the work of such an expert is quality controlled by another “statistics and performance/measurement” expert. • Share QC report with the ROM expert. • Screen the draft report made by the ROM expert on the basis of the results reporting support mission and make comments as required. • Ensure timely follow-up of QC comments by ROM experts. • Take corrective measures to ensure quality of ROM services. • Reflect QC efforts and corrective measures taken in the quarterly and annual QC reports to be submitted to the ROM coordinator. • Keep records of all QC documentation. Records must be available upon request in a form accessible to the external QA Contractor and EC services.

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">External QA</p>	<p>External QA Contractor</p>	<ul style="list-style-type: none"> • Applies the ROM Handbook in the fulfilment of its mission. • Reviews across the five ROM contracts specific ROM review reports on the basis of a sample selected each month by the ROM Coordination Unit. • Completes a specific QA report for each ROM review verified. • Reviews the level of compliance with ROM service standards by each ROM contractor and establishes quarterly QA reports, signalling and setting out critical issues or addressing specific issues not covered by the scores. • Submits the corresponding 20 quarterly QA reports (four reports for each ROM contract over a year) to the ROM Coordination Unit. • Submits the draft annual consolidated QA report on the implementation of the five ROM contracts to the ROM Coordination Unit, including the recommendations for the improvement of the rules, modalities, specifications and quality standards governing the ROM system.
	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">EC services</p>	<p>EC HQ ROM Coordination Unit</p>
<p>ROM coordinator</p>		<ul style="list-style-type: none"> • Receives from ROM contractor draft quarterly QC reports, six-monthly and annual contract implementation reports and verifies that the ROM Coordination Unit is in copy. • Shares QA reports with issues on individual ROM reviews and quarterly QA reports with the ROM contractor. • Agrees with the ROM Coordination Unit and the ROM contractor any follow-up needed on the quality assurance reports. • Participates in the approval process of QA reports • Participates in the overall ROM coordination process.
<p>Operational Managers in EUD or EC HQ</p>		<ul style="list-style-type: none"> • Ensure that draft and final ROM review reports and draft and final narrative results reporting reports are duly and timely commented on. • Agree with the ROM results-reporting experts on the response or follow-up on QC observations made by the ROM contractor or ROM Coordination Unit on draft completed results reporting templates.

7.2 SCOPE OF THE QA CONTRACT

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

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

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

7.3 QA EXPERTS TEAM

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

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

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

assurance-related systems in companies or public institutions (setting quality standards, assessing and monitoring processes, etc.).

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

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

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

7.4 TASKS OF QA CONTRACTOR

The QA Contractor reviews an estimated yearly number of 250 ROM review missions, including 20-25 ROM reviews for BS. ROM services to be reviewed by the QA Contractor are selected by means of random sampling across the projects and programmes for which ROM reviews have been carried out by the five ROM contractors. Random sampling is performed each month by the ROM Coordination Unit in consultation with the ROM coordinators, on the basis of which the ROM Coordination Unit provides the QA Contractor with a list of projects and programmes to be reviewed.

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

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

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

7.5 EXPECTED QA DELIVERABLES

7.5.1 QA REPORTS ON INDIVIDUAL ROM REVIEWS

For each ROM review reviewed by the QA Contractor, the QA Contractor completes a QA report based on the template provided in **Annex D1**. He includes in the QA report the critical issues or specific issues not covered by the scores in the template with the monitoring questions for ROM

reviews. The reports are submitted to the ROM Coordination Unit as an annex to the quarterly QA reports.

FUNCTIONAL MAILBOX of the ROM Coordination Unit:
"DEVCO 06 ROM": EUROPEAID-06-ROM@ec.europa.eu

QA reporting has two objectives:

- i) To review the quality of ROM reviews and related processes as implemented by the ROM experts, including the technical profile and interpersonal skills of the ROM experts.
- ii) To review the quality and consistency of the internal quality control ensured by the ROM contractors, taking the following into particular consideration:
 - QC checklists by ROM experts reflecting the level of compliance with quality standards defined in the present Handbook.
 - ROM QC reports by the ROM contractors.

7.5.2 QUARTERLY QA REPORTS

The QA Contractor prepares and submits a draft quarterly QA report for each ROM contract to the ROM Coordination Unit based on the template provided in **Annex D2**. It reviews on a quarterly basis the level of compliance with ROM review standards by each ROM contractor. Hence, over a year, the QA Contractor prepares and establishes a total of 20 quarterly QA reports (four per ROM contract over a year).

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

The reports will be structured as follows:

- The **first part** reports on the quality of individual ROM reviews and related services which have been subject to a QA report during the quarter. Key findings relate to the compliance of ROM contractors with the present Handbook: ROM experts profile, allocation of days to ROM experts, consistent workplan for ROM reviews with justified deviations from the initial list of projects and programmes provided by EC services, analysis of issues signalled with respect to the reviews.
- The **second part** reports on the quality of the quality checklists of ROM experts and of internal QC reports, assessing the ROM contractor's quality control system. The quality and performance of the organisational, supporting and back-stopping services provided by ROM contractors are also reviewed.
- The **third part** provides key conclusions on quality issues which might have occurred during the quarter as well as any improvement recommendations.

7.5.3 ANNUAL QA REPORT

The QA Contractor submits a consolidated annual QA report based on the template in **Annex D3** to the ROM Coordination Unit, including reporting on the follow-up of key recommendations to and

corrective measures implemented by ROM contractors with respect to the ROM process and reviews. The QA Contractor will submit the report together with the second six-monthly progress report involving the year in which the reporting takes place.

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

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

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

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

7.5.4 QA IMPLEMENTATION PROGRESS REPORTS

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

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

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

7.5.5 QA END-OF-CONTRACT REPORT

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

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

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

ANNEXES

Annex A. Annexes for ROM reviews

FUNCTIONAL MAILBOX OF THE ROM COORDINATION UNIT

"DEVCO 06 ROM": EUROPEAID-06-ROM@ec.europa.eu

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Annex A1. ROM review workplan for projects and programmes other than BS ¹³

		CRIS references		Project Information		Management			Sector		Project/Programme dates (if ROM at DEC level)		Project/Programme dates (if ROM at CTR level)	
ROM lot	Type of ROM	Project/Programme Reference	Related Project/Programme Reference(s)	Project or programme title	Domain (instrument)	Entity in charge	EUD/Unit in charge	OM in charge	Main DAC sector code	Sector	FA date	LMO/EOI	Start date of activities	End date of activities

Budget		Implementing partner (if ROM at CTR level)		Traffic lights		Geographical focus						
Total Budget	EU Contribution	Main contracting party	Type of IP	KPI 5- Implementation Progress	KPI 6- Achieving Objectives	Zone benefitting from the action	Type of P/P	Geographic Implementation	Components to be visited	Reason for review	for ROM	Dates unavailability for field phase

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

Specific cases		Approval			
Specific cases	Comments from OM	Comments from ROM coordinator / EC HQ services	ROM review approved	Priority	Numbering

NB: For definitions and abbreviations, see next page. While completing the table, pop-ups will appear explaining the content of the column.

¹³ See chapter 3.

Definitions and abbreviations in Annexes A1 and A2

Name	Description
CRIS Project/Programme references	
Decision number	5 or 6 digit key sequence number attributed to each Decision encoded in CRIS
Contract number	5 or 6 digit key sequence number attributed to each Contract encoded in CRIS
Project/Programme Management	
EUD/HQ unit in charge	Name of the Delegation in charge (HQ unit if the Decision or Contract is managed by Headquarters)
OM in charge	Operational Manager in charge of the Decision or Contract
Entity in charge	Directorate in HQ charge of the Decision or Contract.
Financing and implementation modalities	
Domain	Instrument
Type of IP	Type of implementing partner of the project/programme
Main Contracting Party	Name of the contracting entity
Budget data	
Threshold	The extraction from CRIS indicates the budget is above 750.000 EUR or not
Total Budget	Overall costs including those parts of the costs covered by other contributions (amount of EU contribution + amounts of other contributions)
EU Contribution	Amount that is financed by the EU for the implementation of activities foreseen under the project or programme (in CRIS, either (financing) Decision or Contract).
Decision key dates	
FA Date	Date of signature of the Financing Agreement by the beneficiary country. It only exists for Financial Agreements.
FDC ILC	Final date for contracting individual legal commitment
LMO/EOI	End date of the operational implementation phase of principal activities (which does not include final audits and evaluations, technical and financial closure of contracts...
Contract key date	
Contractor signature date	Date of the signature by the contractor.
Start Date of activities	Start date of activities at contract level
End Date of activities	End date of activities at contract level
FDI	Final date for implementation of the contract. By this date, all activities foreseen in the Contract must be implemented.
Geographical Focus	
Zone benefitting from the action	Region or country benefitting from the activities covered by the project or programme
Type of P/P	Type of Project/Programme : Geographic or Thematic
Geographic Implementation	Single-Country or Multi-Country
Sector of the project or programme	
Main DAC sector code	5-digit purpose codes representing the sector of the Decision or Contract
Traffic Lights	
KPI 5 / KPI 6	Value of the key performance indicator in the External Assistance Management Report (EAMR)

This table only describes field labels related to data coming from CRIS. A specific guidance will be attached to the workplan and describe all other fields.

HANDBOOK on ROM reviews and support to end-of-project results reporting

Annex A2. ROM review workplan for BS programmes

		CRIS references		Project Information		Management			Sector		Project/Programme dates (if ROM at DEC level)			Budget	
ROM lot	Type of ROM	Project/Programme Reference	Related Project/Programme Reference(s)	Project or programme title	Domain (instrument)	Entity in charge	EUD/Unit in charge	OM in charge	Main DAC sector code	Sector	FA date	FDC ILC	LMO/EOI	Total Budget	EU Contribution

Traffic lights				Geographical focus		Desk phase		Field phase		Reporting phase		
KPI 5- Implementation Progress	Comments on KPI5	KPI 6- Achieving Objectives	Comments on KPI6	Zone benefitting from the action	Type of P/P	Dates unavailability for field phase	Desk phase start date	Desk phase end date	Field phase start date	Field phase end date	Planned date for draft ROM report	Planned date for final ROM report

ROM experts									Specific cases	Approval	
Names of ROM experts	Type of ROM expert	OM comments on potential conflict of interest	ROM expert - CV approved (NKE)	Comments on approval of ROM expert	Name of QC expert	Type of QC expert	Comments from OM	Comments from ROM coordinator / EC HQ services	ROM review approved	Priority	Numbering

For definitions and abbreviations, see annex A1.

Annex A3. ROM review template¹⁴**ROM report – [date of the ROM report]****[Project or Programme Title]** (Project or Programme Reference)]EUD in charge: **[Delegation Name]** / Unit in charge: **[Unit in Charge Code]**

Project/Programme Key Information	
Domain (instrument)	Domain Code
DAC sector	[Main DAC Code] – [DAC Sector]
Zone benefiting from the action	[Zone Benefitting from the action]
Action location	[Action Location] <i>(row to show only for Contract)</i>
Type of Project/Programme	[Type of Project/Programme]
Geographic Implementation	[Geographic Implementation]
Entity in charge	[Entity in Charge Code]
OM in charge	[Last Name (uppercase)] [First Name]
Contracting party	[Contractor Name] <i>(row to show only for Contract)</i>

Financial data on dd/mm/yyyy	
Total budget	[Total Budget] €
EU contribution	[EU Contribution] €
Contracted Amount	[Contracted Amount] € <i>(this reference to show only for Contract)</i>
Paid amount	[Paid Amount] €

Project Dates – CONTRACT <i>(these references to show only for Contract)</i>				
Contractor signature date	[Contractor Signature Date]			
Activities	Start date	[Start date of activities]	End date	[End date of activities]
Final Date for Implementation (FDI)	[Final Date for Implementation]			
Project Dates – DECISION <i>(these references to show only for Decision)</i>				
Signature date of Financing Agreement by beneficiary country (FA date)	[Signature date of Financing Agreement by beneficiary country]			
Final Date for Contracting (FDC ILC)	[FDC ILC]			
End Date of Operational Implementation period (LMO/EOI)	[LMO/EOI]			

Information concerning the ROM review	
Reason for ROM review	[Reason for ROM review]
Countries visited	[Components to be visited] <i>(reference to show only when [Geographic</i>

¹⁴ See chapter 3

Information concerning the ROM review			
	<i>Implementation = "multi-country"</i>		
ROM expert(s) name(s)	One line per expert [Last Name (uppercase)] [First Name]		
Field phase	Start date	[Field phase start date]	End Date [field phase end date]

Project Synopsis (max. 1 page)

Context

Issues and problems the project is intended to address, target groups and beneficiaries.

Description of the Intervention Logic:

Including overall objective, specific objectives, outputs, outcomes, indicators, baselines and targets.

Findings (max. 4 pages)

1. Relevance

Findings and grading

2. Efficiency

Findings and grading

3. Effectiveness

Findings and grading

4. Sustainability

Findings and grading

Conclusions and recommendations (max. 1 page)

Conclusions

Concl. Nr	Conclusions
1	<i>free text</i>
2	

Recommendations

Rec. Nr	Recommendation Text
1	<i>free text</i>
2	

Comments from EC services

Date of EC services comments	XX/XX/XXX
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Comments on synopsis

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Comments on findings

Criteria	Comments from EC services
<i>Relevance</i>	
<i>Efficiency</i>	
<i>Effectiveness</i>	
<i>Sustainability</i>	


Comments on conclusions

Concl. Nr	Conclusion	Comment from EC services
1	<i>As encoded by the ROM expert</i>	
...		

Comments on recommendations

Rec. Nr	Recommendation	Agreed (Yes, No, Partially)	Comment from EC services
1	<i>As encoded by the ROM expert</i>		
...			

Quality of the report

Question	Grading: 1 star (bad) to 3 stars (good)
<i>Is the report complete, clear and well argued and does it allow operational follow-up?</i>	
<u><i>General comments on the quality of the report</i></u>	

Annex A4. Monitoring questions for non-BS ROM reviews¹⁵**1. Dashboard****ROM Monitoring Questions - [Date of the ROM report]****[Project or Programme Title] (Project or Programme Reference)]**EUD in charge: **[Delegation Name]** / Unit in charge: **[Unit in Charge Code]****Project/Programme Information**

Domain (instrument)	[Domain Code]			
DAC sector	[Main DAC Code] – [DAC Sector]			
Zone benefitting from the action	[Zone Benefitting from the action]			
Type of Project/Programme	[Type of Project/Programme]			
Geographic Implementation	[Geographic Implementation]			
Contracting Party	[Contractor Name] (reference to show only for Contract)			
EU contribution	[Contractor Name] (reference to show only for Contract)			
Project Implementation Dates (reference to show only for Decision)	<i>Start date</i>	[Signature date of Financing Agreement by beneficiary country]	<i>End date</i>	[LMO/EOI]
Project Implementation Dates (reference to show only for Contract)	<i>Start date</i>	[Start date of activities]	<i>End date</i>	[End date of activities]
Reason for ROM Review	[Reason for ROM review]			
Countries visited	[Components to be visited] (reference to show only when [Geographic Implementation = "multi-country"])			
ROM expert(s) name(s)	One line per expert : [Last Name (uppercase)] [First Name]			
QC expert	[Last Name (uppercase)] [First Name]			
Field phase	<i>Start date</i>	[Field phase start date]	<i>End date</i>	<i>[field phase end date]</i>

Table of content[Guiding questions "Relevance"](#);[Guiding questions "Efficiency"](#)[Guiding questions "Effectiveness"](#)[Guiding questions "Sustainability"](#)[Guiding questions "Horizontal Issues"](#)[Sources and Contacts](#)¹⁵ See Chapter 3

Summary of grades (colours are given as examples)

Relevance	
Efficiency	
Effectiveness	
Sustainability	

Persons interviewed	Number (example)
EC services	3
Partner country	1
Implementing partner	1
Final Beneficiaries	4
Other	1

Keys documents	Number (example)
Policy and country context documents	1
Project documents	5
Other documents available	0

1. Grades Calculation - Project and Programme

Relevance	11 questions
If red ≥ 1 and Sum of orange + red ≥ 5	Red
If red ≥ 1 and Sum of orange + red < 5	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

Efficiency	10 questions
If red ≥ 1 and Sum of orange + red ≥ 4	Red
If red ≥ 1 and Sum of orange + red < 4	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

Effectiveness	4 questions
If red ≥ 1	Red
If red = 0 and orange ≥ 2	Orange
If red = 0 and orange ≤ 1	Green

Sustainability	7 questions
If red ≥ 1 and Sum of orange + red ≥ 3	Red
If red ≥ 1 and Sum of orange + red < 3	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

2. Monitoring questions

2.1. Relevance

1.1. Does the project presently respond to the needs of the target groups ?	Green	
1.2. Is the action (including CD if relevant) adequate vis-à-vis the present capacity of the local partner ?	Orange	
1.3. Do all key stakeholders still demonstrate effective commitment (ownership)?	Red	
1.4. Is there an effective government led system of sector coordination (including CD) involving the relevant local stakeholders and donors?	Select a grade	
1.5. Are there any complementarity issues with other ongoing/planned projects or programmes (including CD) managed by donors that need to be addressed?	Select a grade	
1.6. Have changed circumstances (including critical constraints in the context) been taken into account by updating the intervention logic ?	Select a grade	
1.7 Indicators		
a) Are the indicators well defined and relevant to measure the achievement of the objectives?	Select a grade	
b) Are all related data available?	Select a grade	
c) Are all indicators sex-disaggregated, if relevant?	Select a grade	
d) Are baselines set and updated for each indicator?	Select a grade	
e) Are targets values set and are they realistic or do they need to be updated?	Select a grade	
Conclusions	Automatic Grade	0

2.2. Efficiency

2.1 Are the chosen implementation mechanisms (incl. choice of implementation modalities, entities and contractual arrangements) conducive for achieving the expected results?	Green	
2.2 Do local partners effectively lead in the planning of the action (including CD if relevant) beyond formal endorsement?	Orange	
2.3 Inputs		
a) Do the resources correspond to the needs of the action?	Red	
b) Do local partners provide the inputs (human or physical) that would be required to enable the action (including CD if relevant) to be effective?	Select a grade	
c) To what degree are resources (inputs) available on time from other stakeholders?	Select a grade	
Delays		
a) If there are delays, how important are they?	Select a grade	
b) Have the reasons been identified?	Select a grade	
c) Are the revisions of planning been properly implemented? Effective?	Select a grade	
2.5. Have the outputs been produced/ delivered in a cost-efficient manner?	Select a grade	
2.6. Is the action adequately monitored and/or assessed by the local partners?	Select a grade	
Conclusions	automatic grade	

2.3. Effectiveness

3.1. Has the expected progress in term of outputs being properly achieved?	Green	
3.2 Is the quality of outputs (including those of CD support) satisfactory?	Orange	
3.3 Are the outputs (including CD) still likely to lead to the expected outcomes ?	Red	
3.4 Are there evidences that the action supports the implementation or the development (or its changes) of the partners' policy/actions ?	Select a grade	
Conclusions	automatic grade	

2.4. Sustainability

4.1 Is an adequate level of human and institutional capacity (avoiding unnecessary parallel mechanisms) put in place in order to continue delivering the action's benefits?	Green	
4.2 Is the role of the EUD/HQ in the management and the monitoring of the operation sufficiently respectful of the leading role of the partners in order to enhance their capacities?	Orange	
4.3 If there is a financial contribution needed for continued access to the benefits of the action, can target groups afford such a payment?	Red	
4.4 Are the relevant authorities taken the financial measure to ensure the continuation of services after the end of the action?	Select a grade	
4.5 Has the private sector been involved to ensure the sustainability of the action?	Select a grade	
4.6 Have the necessary measures been taken to address the environmental sustainability ?	Select a grade	
4.7. Have the necessary measures been taken into account to enhance the role of women ?	Select a grade	
Conclusions	automatic grade	

2.5. Horizontal issues

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

3. Sources and contact

3.1. Sources of information: list all documents analysed

Essential projects/programme documents	Availability
Country Programming documents	Select Y/N/na
Action Documents	Select Y/N/na
QSG checklists	Select Y/N/na
Financing/Contribution/Delegation/Administration Agreement or grant contract (or in some cases service contracts). In these documents, all annexes are to be included such as Technical and Administrative provisions, Implementation schedule, logframe (incl. updates)...	Select Y/N/na
Project contracts/programme estimates	Select Y/N/na
In case of projects selected through calls for proposals: Guidelines for calls for proposals	Select Y/N/na
Riders to all the documents listed above and their explanatory notes	Select Y/N/na
Annual and overall activity schedules/implementation plans	Select Y/N/na
Implementation progress reports	Select Y/N/na
Previous ROM Reports	Select Y/N/na
Mid-term evaluations	Select Y/N/na
Final evaluations of previous phases (if any)	Select Y/N/na
Thematic studies and consultancy reports related to Project	Select Y/N/na

Other documents available

3.2. Sources of information: list of persons interviewed

Type	Name	Email	Position	Institution
EC services				
Partner country				
Implementing partner				
Final Beneficiaries				
Other stakeholders				
Select a type				
Select a type				

Annex A5. Template for ROM Budget Support Desk Analysis¹⁶

BS Programme Key Information

Project/Programme Title	<i>As in CRIS</i>
CRIS Reference	<i>As in CRIS</i>
Type of BS programme	<i>Encoding by ROM expert: GGDC (GBS)-SRC (SBS)-SBC</i>
Other related complementary projects or programmes	<i>Title and CRIS number of related operations as found in CRIS</i>
EUD/Unit in charge	<i>As in CRIS</i>
Entity in charge	<i>As in CRIS</i>
Zone benefiting from the action	<i>As in CRIS</i>
OM in charge in EUD	<i>As in CRIS</i>
OM in charge in HQ	<i>As in CRIS</i>
DAC sector	<i>As in CRIS</i>

Financial data

EU contribution	<i>As in CRIS</i>
Total budget	<i>As in CRIS</i>

BS programme dates

Signature date of FA by beneficiary country (FA date)	<i>As in CRIS</i>
Final Date for Contracting (FDC ILC)	<i>As in CRIS</i>
End Date of Operational Implementation (LMO/EOI)	<i>As in CRIS</i>

Information on the ROM review

ROM experts names	<i>Encoding by ROM expert</i>
Desk phase	<i>Start and end date (Encoding by ROM expert)</i>
Field phase	<i>Planned Start and end date (Encoding by ROM expert)</i>

¹⁶ See Chapter 3

STRONG POINTS

WEAK POINTS

OTHER ISSUES

Proposed approach and questions regarding Field phase

Annex A6. ROM report for BS programmes¹⁷**BS Programme Key Information**

Project/Programme Title	<i>As in CRIS</i>
CRIS Reference	<i>As in CRIS</i>
Type of BS programme	<i>Encoding by ROM expert: GGDC (GBS)-SRC (SBS)-SBC</i>
Other related complementary projects or programmes	<i>Title and CRIS number of related operations as found in CRIS</i>
EUD/Unit in charge	<i>As in CRIS</i>
Entity in charge	<i>As in CRIS</i>
Zone benefiting from the action	<i>As in CRIS</i>
OM in charge in EUD	<i>As in CRIS</i>
OM in charge in HQ	<i>As in CRIS</i>
DAC sector	<i>As in CRIS</i>

Financial data

EU contribution	<i>As in CRIS</i>
Total budget	<i>As in CRIS</i>

BS programme dates

Signature date of FA by beneficiary country (FA date)	<i>As in CRIS</i>
Final Date for Contracting (FDC ILC)	<i>As in CRIS</i>
End Date of Operational Implementation (LMO/EOI)	<i>As in CRIS</i>

Information on the ROM review

ROM experts names	<i>Encoding by ROM expert</i>
Desk phase	<i>Start and end date (Encoding by ROM expert)</i>
Desk analysis note	<i>Date of the report (Encoding by ROM expert)</i>
Field phase	<i>Start and end date (Encoding by ROM expert)</i>
Synopsis	

¹⁷ See Chapter 3

GGDC (GBS)/SRC (SBS)/SBC Background

Country and Sector Context:

- *Brief description of relevant elements in EU programming documents (CSP, MIP, mid-term review programming period 2007-2013)*
- *Brief description of macro-economic policy framework*
- *Brief description of public finance management system*
- *Key elements of Country Development Programme (PRSP or equivalent)*
- *Key elements of Country Sector Policy concerned, including its performance monitoring*

Description of GGDC (GBS)/SRC (SBS)/SBC intervention logic and all related complementary operations (Technical Assistance and Capacity Development):

Brief description of the BS intervention as a whole: objectives, amounts of funds to be transferred to budget, disbursement criteria and calendar, performance framework (direct outputs, induced outputs, outcomes and impacts), technical assistance and capacity development, policy dialogue.

Findings

Relevance

Findings and grading

Efficiency

Findings and grading

Effectiveness

Findings and grading

Conclusions

Concl. Nr	Conclusions
1	<i>free text</i>
2	

Recommendations

Rec. Nr	Recommendation
1	<i>free text</i>
2	

Annex A7. Monitoring questions for BS programmes¹⁸**1. Dashboard****BS Programme Key Information**

Project/Programme Title	<i>As in CRIS</i>
CRIS Reference	<i>As in CRIS</i>
Type of BS programme	<i>Encoding by ROM expert: GGDC (GBS)-SRC (SBS)-SBC</i>
Other related complementary projects or programmes	<i>Title and CRIS number of related operations as found in CRIS</i>
EUD/Unit in charge	<i>As in CRIS</i>
Entity in charge	<i>As in CRIS</i>
Zone benefiting from the action	<i>As in CRIS</i>
OM in charge in EUD	<i>As in CRIS</i>
OM in charge in HQ	<i>As in CRIS</i>
DAC sector	<i>As in CRIS</i>

Financial data

EU contribution	<i>As in CRIS</i>
Total budget	<i>As in CRIS</i>

BS programme dates

Signature date of FA by beneficiary country (FA date)	<i>As in CRIS</i>
Final Date for Contracting (FDC ILC)	<i>As in CRIS</i>
End Date of Operational Implementation (LMO/EOI)	<i>As in CRIS</i>

Information on the ROM review

ROM experts names	<i>Encoding by ROM expert</i>
Desk phase	<i>Start and end date (Encoding by ROM expert)</i>
Desk analysis note	<i>Date of the report (Encoding by ROM expert)</i>
Field phase	<i>Start and end date (Encoding by ROM expert)</i>

¹⁸ See chapter 3

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Summary of grades

Relevance	
Efficiency	
Effectiveness	

Grades Calculation - BS programmes

Relevance	9 questions
If red ≥ 1 and Sum of orange + red ≥ 4	Red
If red ≥ 1 and Sum of orange + red < 4	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

Efficiency	7 questions
If red ≥ 1 and Sum of orange + red ≥ 3	Red
If red ≥ 1 and Sum of orange + red < 3	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

Effectiveness	6 questions
If red ≥ 1 and Sum of orange + red ≥ 3	Red
If red ≥ 1 and Sum of orange + red < 3	Orange
if red = 0 and number orange \geq number green	Orange
if red = 0 and number orange $<$ number green	Green

2. **Monitoring questions for BS and related guidance for ROM experts**

RELEVANCE/DESIGN		
Key Questions	Grade	Further elements of guidance for ROM experts
1.1 During the design of the BS, have all key elements been assessed according to the existing BS guidelines applicable at the time of the design?	Green	ROM experts are expected to have access and know the reference document: Guidelines on Budget Support. They are not tasked to assess the quality of the Government's development policy, (stability oriented) macro-economic policy or PFM system but assessing EU-funded operations (and their contribution to effective Governments' policies/reforms). Can the ROM experts confirm that overall leadership capacity of the partner country, the macroeconomic framework, the quality of baseline statistics available and financial management capacity were properly assessed before deciding on BS programme as a viable funding modality? Have EC Services provided evidence of having verified the coherence of the Sector/National Strategy?
1.2 Have linkages with other on-going/planned projects or programs including of other donors been properly assessed?	Orange	Have alignment with partner countries' priorities and harmonisation among donors taken place at programming and design phases?
1.3.1 Has an intervention logic been established? 1.3.2 Are the inputs (funds, policy dialogue, capacity development) properly tailored in order that it can be expected that they make a contribution to the results targeted in the BS? Are the BS inputs (if any) still relevant? If not, have appropriate measures to adapt the design been taken to adapt the programme?	Red	The question refers to the 1 st Step and to level 4 of the 3 step approach (see Annex 1) whereby Step One encompasses the assessment of the inputs, direct outputs and induced outputs of budget support, including the causal relations between the three levels. The BS related capacity development may be directly included in a BS programme or in a separate capacity development programme.
1.4 Is the Budget Support under all aspects (performance framework, policy dialogue, ...) properly harmonized across donors (if relevant)?	Select a grade	
1.5 Is a coordinated framework for policy dialogue with partner country's stakeholders (content, process including documentation) properly designed, in accordance with the applicable guidelines?	Select a grade	Is the design of BS appropriate to country contexts, with effective dialogue frameworks to accompany policy implementation?
1.6 Is the design of the intervention supported by a risk assessment/ management framework	Select a grade	Any unverified risks and assumptions? Are the means available to respond to risks?

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RELEVANCE/DESIGN		
Key Questions	Grade	Further elements of guidance for ROM experts
1.7 Have cross-cutting issues been adequately taken into account in the BS design?	Select a grade	Have cross-cutting issues been taken into account explicitly? Have specific gender, environmental, human rights and governance etc. analyses been made during the design phase?
1.8 Have RACER ¹⁹ indicators and related baseline data, target values and a specific monitoring mechanism been established? Are they aligned with the country's results framework/s and monitoring mechanisms?	Select a grade	Are plans, reports, internal monitoring based on the intervention logic? Has the Partner Government set up a joint Monitoring system to provide and track the baseline data? If there are no baseline data or if they are of poor quality, has it nevertheless been possible to devise meaningful indicators at design level?
1.9 Is the disbursement calendar of the BS aligned with the country budget cycle and the medium term expenditure projections of the sector program (if relevant)?	Select a grade	Does the balance of fixed and variable tranches have a good rationale? Does the balance of funds appear reasonable in light of how well the Partner Government passed the eligibility conditions for BS operation?

EFFICIENCY		
Key Questions	Grade	Further elements of guidance for ROM experts
2.1 During the implementation, are the eligibility criteria assessed in line with the provisions of the Guidelines on BS?	Green	Have a baseline and a medium-term objective been established? Is there progress over time demonstrated?
2.2 Are the inputs and all related complementary assistance being made available in accordance with the programme documents and financing agreement in terms of volume and the calendar?	Orange	To what extent were they consistent – in terms of quantity, quality, and timeliness - with the inputs envisaged in the programme documents and agreements?
2.3 Are an appropriate mechanism for donor coordination, harmonised performance framework and indicators and timing of disbursement in place?	Red	
2.4.1 Is the policy dialogue comprehensively documented at the level of the government/donor coordination group and of the EU Delegation?	Select a grade	Has a formalised framework for policy dialogue been established at national, sectorial and/ or thematic levels? Is it properly connected with national decision-making processes and efficient in terms of transaction costs?
2.4.2 Has it properly addressed the major issues within the scope of the BS operation?		
2.5.1 Are the process and the elements for risk analysis in place in line with the applicable guidelines on BS?	Select a grade	
2.5.2 Is the risk analysis made at design level monitored		

¹⁹ RACER: Relevant, Accepted, Credible, Easy, Robust

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EFFICIENCY		
Key Questions	Grade	Further elements of guidance for ROM experts
and updated accordingly and as part of that, is the implementation of risk mitigation measures monitored?		
2.6 Are the data collection systems and reporting mechanisms foreseen in the Financing Agreement or/and MoUs being developed, implemented and monitored? Are data made available according to the collection system?	Select a grade	Are the baseline data available, credible and of sufficient quality? Are the data needed to verify the progress towards reaching the target values made available to the EUD and to main stakeholders (Parliament, NGO's, etc.)? Do the planning documents identify weaknesses in respect of this system? Are they being addressed by Technical Assistance?
2.7 To what extent are observations and recommendations from previous EC tranche release assessments, annual reviews and evaluations on efficiency aspects followed up?	Select a grade	Is there evidence of adaptation of the BS design in response to the observations and recommendations of previous reports? Have these been incorporated in the implementation of the BS?

EFFECTIVENESS		
Key Questions	Grade	Further elements of guidance for ROM experts
3.1 To what extent have the objectives and targets of the BS operations including any related capacity development activities been achieved?	Green	This analysis is not the same as carried out under the Step2 of a BS evaluation. The analysis shall only verify in how far the general objectives (e.g. growth and income poverty reduction) have been achieved and whether the Performance Indicators of the Variable Tranche (and PAF) have been reached. No BS contribution analysis is expected.
3.2 To what extent have risk mitigating measures reduced risk over time?	Orange	
3.3 Can an inflexion in public policies or reforms be related to policy dialogue?	Red	Has policy dialogue captured Government policy and reforms in the areas to be addressed by the FA?
3.4 To what extent has the fiscal space created by BS operations led to changes in the budget process and budget allocation? 3.5 Can an inflexion in Government policy and institutions be related to BS-linked capacity development activities?	Select a grade	Has BS contributed to increasing public financial resources and strengthening budget management and expenditures in priority areas?
3.6 To what extent are observations and recommendations from EC tranche release assessments, annual reviews and evaluations on effectiveness followed up?	Select a grade	Is there evidence of adaptation of the BS design in response to the observations and recommendations of previous reports? Have these been incorporated in the implementation of the BS?

For each of the evaluation criteria an assessment grade green, orange, or red is to be given. The grade is meant to be a summary of the answer, rather than the answer being a justification for the grade, and is not to be used for statistical or other quantitative analysis.

Grading Relevance in the replies to monitoring questions

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	<p>(Good/very good): The situation assessed on the basis of the monitoring questions is overall satisfactory and in case some issues are mentioned, they do not put into question the overall relevance and design of the BS programme, and they can easily be solved and/or solutions are already planned by stakeholders including EC services.</p>
Orange	<p>(Problems) Improvements are necessary: a persistent ownership is being questioned by a change in government, the capacity development strategy is not adapted, the intervention logic (funds, capacity development, policy dialogue) is not formally updated which impedes a common sharing and understanding of the programme, indicators are not measurable and in line with the country results' framework, there are overlaps with other interventions which can be solved in the time frame of the BS programme.</p>
Red	<p>(Serious deficiencies) There are deficiencies and issues that need to be rapidly addressed, otherwise, the BS programme may not achieve the foreseen results. Major adjustments and revision of its strategy are necessary otherwise the programme will not contribute its overall objective.</p>

Grading Efficiency

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	<p>(Good/very good): All funds are available on time and other inputs (policy dialogue and complementary assistance) can be properly managed and reported. Risk are assessed and mitigated on time. There may be room for improvement but no major deviations or issues are identified.</p>
Orange	<p>(Problems) Schedule in the delivery of inputs faces issues which need to be rapidly addressed. Management of policy dialogue and complementary assistance is questionable but corrective measures can be implemented. Risk assessment needs update and risk mitigation accordingly but this can be handled within the timeframe of the programme.</p>
Red	<p>(Serious deficiencies) Serious deficiencies in terms of management of major inputs of the programme threaten the achievement of its results. Substantial changes are needed, otherwise the programme may face failure.</p>

Grading Effectiveness

Grade	Detailed grading reference table at criterion and monitoring questions level
Green	<p>(Good/very good): Benefits and capacities resulting from the BS programme are available as foreseen and of good quality. Room for improvements exists, however with minor effect on effectiveness.</p>

Orange	<p>(Problems)</p> <p>Some benefits and capacities are available, but not always of the best quality. Risk mitigation measures are in place but not sufficient. Improvements are necessary to ensure the programme can achieve its purpose.</p>
Red	<p>(serious deficiencies)</p> <p>The programme has no effect on capacities, risk management, public policies/reforms. Major changes are urgently needed to attain the overall objective of the BS programme.</p>

3. Sources and contact

3.1 Sources of information: list all documents analysed

Essential projects/programme documents	Availability
Country Programming documents	Select Y/N/na
Action Documents	Select Y/N/na
QSG checklists	Select Y/N/na
Financing/Contribution/Delegation/Administration Agreement or grant contract (or in some cases service contracts). In these documents, all annexes are to be included such as Technical and Administrative provisions, Implementation schedule, logframe (incl. updates)...	Select Y/N/na
Project contracts	Select Y/N/na
Riders to all the documents listed above and their explanatory notes	Select Y/N/na
Implementation progress reports	Select Y/N/na
Previous ROM Reports	Select Y/N/na
Mid-term evaluations	Select Y/N/na
Final evaluations of previous phases (if any)	Select Y/N/na
Thematic studies and consultancy reports related to Project	Select Y/N/na

Additional essential documents for Budget Support	Availability
Overall country-level Framework Agreements/MoU for GBS/SBS/SRC	Select Y/N/na
Performance Measurement Frameworks (where available)	Select Y/N/na
PFM related reports / policy reports - PEFA reviews	Select Y/N/na
Tranche Release Assessment	Select Y/N/na
Risk Management Framework	Select Y/N/na
Last available note on the macro-economic Framework and on public finances	Select Y/N/na

Other documents available

(Documents related to overall objectives (e.g. growth and poverty))

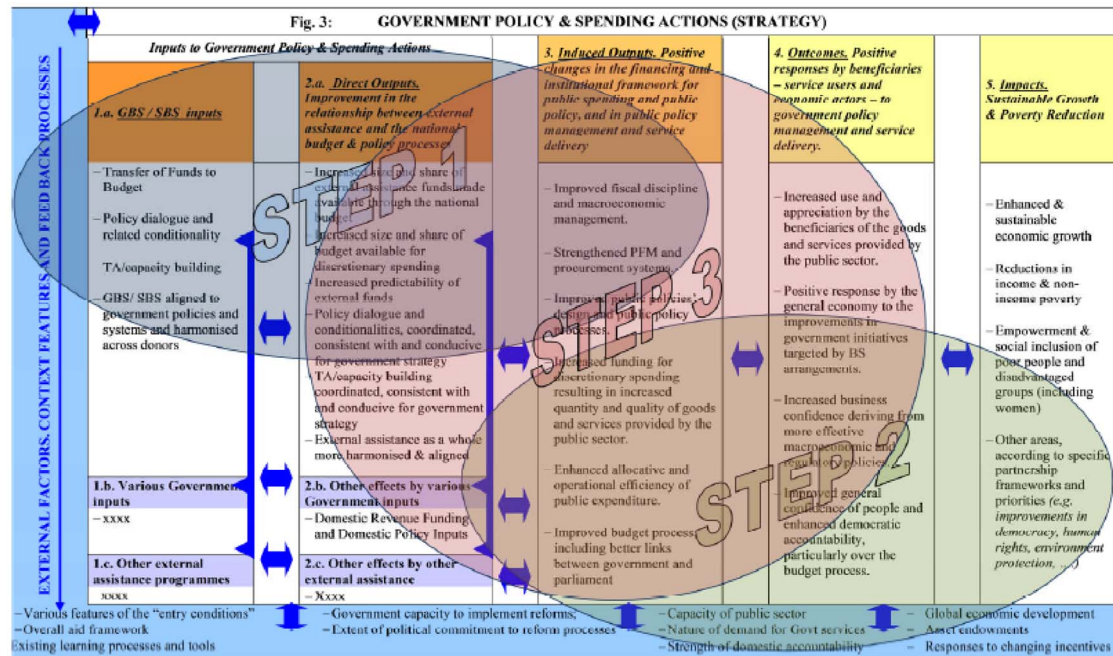
3.2 Sources of information: list of persons interviewed

Type	Name	Email	Position	Institution
EC services				
Partner country				
Implementing partner				
Final Beneficiaries				
Other stakeholders				
Select a type				
Select a type				

Attachment to Annex A7: A Three-step Approach for BS Evaluation

The 3 step approach in BS evaluation:

- i. Step One encompasses the assessment of the inputs, direct outputs and induced outputs of budget support, including the causal relations between the three levels.
- ii. Step Two encompasses the assessment of the outcomes and impact of the government's policies, strategies and spending actions, which donors supported and promoted with budget support, and identification of the main determining factors of those outcomes and impact, through policy impact evaluation techniques.
- iii. Step Three entails an exploration of the contribution of budget support to the government's policies, strategies and spending actions, which have produced the outcomes and impact identifies in Step Two, to be carried out by combining and comparing the results of Steps One and Two.



Annex A8. Template for testing during pilot phase BS Programmes (as from 2015)²⁰

The following is a template for testing the proposed methodology for ROM of Budget Support (BS) Operations. It should be completed by the ROM BS experts, who undertake the practical testing of the methodology. The template asks questions, related to the content of the document “**ROM Budget Support – Methodology**” and for reflection on the **practical experience** of ROM experts during the pilot phase. Your input below will help to test proposed methodology and thus to improve the approach to ROM Budget Support

I/ On the preparation and the process for ROM BS

On the assignment of expert days for ROM BS missions	Comments by ROM experts
Please assess the “ ad minimum ” length of the different phases , as proposed in the testing guidance: Desk phase (including briefing and debriefing at HQ level), Field phase (including briefing at EUD levels and debriefing at EUD and HQ level), Drafting reports	
Should there be some flexibility in the days assigned to experts in relation to the operation(s), its context, the region? Or a “one size fits all” approach is appropriate?	
On the experts’ profiles and guidance required	Comments by ROM experts

²⁰ See chapter 3

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<p><u>In the case of a mission focused on a single BS programme:</u></p> <p>Is a team composed of 1 GBS and 1 Sector expert appropriate? Or should other expertise arrangements be considered? Please elaborate, if necessary.</p> <p><u>In the case of a mission covering several BS operations in the same country:</u></p> <p>Is the team as composed (1 GBS expert + n relevant Sector experts) appropriate?</p> <p>Is the role of a TL necessary in order to have coherent assessments of cross-cutting issues (policy dialogue, capacity development, robustness of the statistics system...)?</p> <p><u>In all cases:</u> Should experts have BS evaluation experience? Should inputs of a statistician be considered? If you answered yes, in which cases and under which arrangements?</p> <p><u>Training and update of ROM experts:</u> Considering the need for coherence between the ROM BS and the BS Evaluation methodology, do you deem you require more guidance on this issue? On which other aspects do you think that more guidance for ROM experts is needed?</p>	
<p>On the timing of the ROM BS missions appropriateness of the approach</p>	<p>Comments by ROM experts</p>
<p>How long should an operation be running before ROM becomes meaningful?</p> <p>And how frequently should it be monitored?</p> <p>What should be the most favourable timing for ROM BS in order not to be confused with tranche release assessment? Or other monitoring and evaluation conducted by other donors?</p> <p>Would you recommend for each operation an overall M&E of Budget support, where timing of all M&E actions is outlined, what the purpose of each M&E action is and how they complement each other? Please elaborate further, if needed.</p> <p>How would you elaborate on the <u>accuracy of a single BS programme focused mission and a mission covering several BS operations in the same country</u>? Pros and cons of the 2 approaches, mainly in terms of relevance and feasibility.</p>	
<p>On the modalities of the desk phase</p>	<p>Comments by ROM experts</p>
<p>Was the length and set up of the desk phase appropriate? Could it be made more efficient and what would you propose in order to improve the general set up of the desk phase? Please elaborate.</p>	

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Was the team timely provided with the essential documentation? From whom did you receive your documentation: contractor, HQ, EUD?	
Was the briefing at HQ level properly organized? Presence of key directorates (Geo-coordinator, thematic desks, BS correspondent)?	
Could you please elaborate on any other major issue you had to face during the desk phase? Please rank issues.	
Do you consider the desk analysis note at the end of the desk phase useful?	
To whom has the desk analysis note been disseminated? And by whom?	
On the modalities of the field phase	Comments by ROM experts
<p>Was the EUD Operational Manager (s) properly informed of the ROM BS mission? When you started your mission, had the EUD received your analysis note?</p> <p>Was the EUD properly informed on the overall set up of the new ROM BS method? What were their major concerns towards the new ROM BS approach, if any?</p> <p>Was the briefing properly organized?</p> <p>Did you have sufficient time to meet all the stakeholders who were envisaged in order to verify and validate your (preliminary) findings?</p> <p>Were the stakeholders you met properly informed on your mission and tasks, and on the overall set of the new ROM BS set up? Had they major concerns? Receiving the ROM reports, for instance?</p>	
Was the length and set up of the country visit appropriate?	
<p>Was the share of tasks and duties between the experts and the Team Leader (in the case of a country-wide mission) coherent and efficient?</p> <p>How would you recommend organizing some of the meetings on horizontal issues (such as CD, Policy Dialogue...) jointly between all team members or separately? Please elaborate on any more favourable share of tasks between team members.</p>	
Production and dissemination of deliverables	Comments by ROM experts
<p>Is the length and structure of the templates appropriate (Monitoring questions template and ROM BS Report template)?</p> <p>If not, what do you propose?</p>	

II/ On the monitoring questions for ROM BS

For each question,

- ✓ Elaborate if the monitoring question is relevant towards the DAC criterion,
- ✓ Comment accordingly and make alternative proposals,
- ✓ Quote if the monitoring question is properly drafted.
- ✓ Add new questions, if necessary.
- ✓ Indicate if the guidance (column 2) is useful.

RELEVANCE/DESIGN	
Monitoring questions	Comments by ROM experts
1.1 During the design of the BS, have all key elements been assessed according to the existing BS guidelines applicable at the time of the design?	
1.2 Have linkages with other on-going/planned projects or programs including of other donors been properly assessed?	
1.3 Are the inputs (funds, policy dialogue, capacity building) and all related complementary assistance provided properly tailored in order to make a contribution to the results targeted in the BS? Are the BS inputs and all related complementary assistance (if any) still relevant? If not, have appropriate measures to adapt the design been taken to adapt the programme?	
1.4 Is the Budget Support under all aspects (performance framework, policy dialogue...) properly harmonized across donors (if relevant)?	

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1.5 Is a coordinated framework for policy dialogue with partner country's stakeholders (content, process including documentation) properly designed, in accordance with the applicable guidelines?	
1.6 Is the design of the intervention supported by a risk assessment/management framework?	
1.7 Have cross-cutting issues been adequately taken into account in the BS design?	
1.8 Have RACER indicators and related baseline data, target values and specific monitoring mechanisms been established? Are they aligned with the country's results framework/s and monitoring mechanisms?	
1.9 Is the disbursement calendar of the BS aligned with the country budget cycle and the medium term expenditure projections of the sector program (if relevant)?	

EFFICIENCY	
Monitoring questions	Comments by ROM experts
2.1 During the implementation, are the eligibility criteria assessed in line with the provisions of the Guidelines on BS?	
2.2 Are the inputs and all related complementary assistance being made available in accordance with the agreements in terms of volume and the calendar?	
2.3 Is an appropriate mechanism for donor coordination and harmonization relating to requirements such as performance assessment and indicators and timing of disbursement in place?	
2.4.1 Is the policy dialogue comprehensively documented at the level of the government/donor coordination group and of the EU Delegation?	
2.4.2 Has it properly addressed the major issues within the scope of the BS operation?	

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<p>2.5.1 Are the process and the elements for risk analysis in place in line with the applicable Guidelines on BS?</p> <p>2.5.2 Is the risk analysis made at design level monitored and updated accordingly and as part of that, is the implementation of risk mitigation measures monitored?</p>	
<p>2.6 Are the data collection systems and reporting mechanisms foreseen in Financing Agreement or/and MoUs being developed, implemented and monitored?</p>	
<p>2.7 To what extent are observations and recommendations from previous EC tranche release assessments, annual reviews and evaluations on efficiency aspects, followed up?</p>	

EFFECTIVENESS	
Monitoring questions	Comments by ROM experts
<p>3.1 To what extent have the objectives and targets of the BS operations including any related capacity development activities been achieved?</p>	
<p>3.2 To what extent have risk mitigating measures reduced risk over time?</p>	
<p>3.3 Can an inflexion in public policies or reforms be related with policy dialogue?</p>	
<p>3.4 To what extent has the fiscal space created by BS operations led to changes in the budget process and budget allocation?</p>	
<p>3.5 To what extent are observations and recommendations from EC tranche release assessments, annual reviews and evaluations on effectiveness aspects taken into account?</p>	

Annex A9. Quality Checklist by ROM expert²¹

Projects and programmes title	
CRIS reference	
ROM Report reference	
ROM expert name	

Comments by ROM expert

1. I received complete project and contextual documentation to carry out ROM service 3 weeks before the starting date.	<i>Yes/no</i>	
2. Meetings were set with the main country partner and the implementing partners one week before the ROM field phase starts (in case of a ROM review).	<i>Yes/no</i>	
3. Briefing with EUD/HQ took place at the very first day of the ROM field phase.	<i>Yes/no</i>	
4. Briefing took place with other stakeholders.	<i>Yes/no</i>	
5. I was sufficiently briefed by EC Services to implement the ROM service.	<i>Yes/no</i>	
6. I had easily access to all relevant stakeholders during the field phase (in case of a ROM review).	<i>Yes/no</i>	
7. I had sufficient time to meet stakeholders including final beneficiaries (in case of a ROM review).	<i>Yes/no</i>	
8. Debriefing with EUD/HQ took place at the very last day of the ROM field phase.	<i>Yes/no</i>	
9. Debriefing took place with other stakeholders (in case of a ROM review).	<i>Yes/no</i>	
10. Any other issues to be reported.	<i>n.a.</i>	
Overall assessment	Overall score¹	

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

²¹ See Chapter 3

Annex A10. QC report by ROM QC expert²²

Projects and programmes title	
CRIS reference	
ROM Report reference	
ROM expert name	

Quality Control Report by QC Expert - 1st check

Name of the ROM QC expert	
Date of the QC	

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

1. Remarks by EC services

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

2. Remarks by the ROM expert

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

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

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

4. Comments by ROM QC expert and main remedial action to be taken by the ROM expert

<p>1. Overall quality of the report Are all sections of the ROM report and monitoring questions addressed? If sections are judged not applicable, is a brief explanation of why provided? Is the language used clear, unambiguous, without unexplained terminology, abbreviations and spelling errors? Are sections of the ROM report linked with those in monitoring questions? Does the report focus on the analysis of the project or programme being reviewed rather than on “re-telling” the story?</p>	Score	in the ROM Report: - - in the monitoring questions: - -
<p>2. Reliable data used Are all data selected adequate? Are they sufficiently reliable for their intended use? When quantitative data are missing, are qualitative data meaningful? When only weak data are available, have ROM experts explained their weaknesses and the limit of use? Are key documents missing in sources? Are key stakeholders missing in sources and contact list?</p>	Score	in the ROM Report: - - in the monitoring questions: - -
3. Sound data analysis	Score	in the ROM Report:

²² See Chapter 3

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<p>Is the analysis of quantitative and qualitative data appropriately and systematically done so that ROM monitoring questions are informed in a valid way?</p> <p>Are external and indirect factors which might affect the project or programme correctly taken into consideration?</p>		<p>-</p> <p>-</p> <p><i>in the monitoring questions:</i></p> <p>-</p> <p>-</p>
<p>4. Credible findings</p> <p>Do findings follow logically from and are they justified by the data analysis?</p> <p>Are findings based on carefully described assumptions and rationale?</p>	Score	<p><i>in the ROM Report:</i></p> <p>-</p> <p>-</p> <p><i>in the monitoring questions:</i></p> <p>-</p> <p>-</p>
<p>5. Consistent grades and conclusions</p> <p>Are grades and conclusions with respect to Monitoring questions and criteria consistent?</p> <p>Are there any contradictions between the grades of the respective questions/criteria?</p>	Score	<p><i>in the ROM Report:</i></p> <p>-</p> <p>-</p> <p><i>in the monitoring questions:</i></p> <p>-</p> <p>-</p>
<p>6. Useful recommendations</p> <p>Are the recommendations linked to conclusions?</p> <p>Are they fair, unbiased by personal or stakeholders' views and sufficiently detailed to be operationally applicable?</p> <p>Are they prioritised?</p> <p>Are recommendations clearly taking into account the importance of their operational value with respect to the respective stakeholders involved on/responsible for their follow up?</p>	Score	<p><i>in the ROM Report:</i></p> <p>-</p> <p>-</p> <p><i>in the monitoring questions:</i></p> <p>-</p> <p>-</p>
(Key points by ROM QC expert and main remedial action)	Overall score	

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

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

Quality Control Report by QC Expert – after OM comments

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

Annex B. Annexes for end-of-project results reporting²³

FUNCTIONAL MAILBOXES FOR ROM

managed by the ROM Coordination Unit

"DEVCO EU RESULTS": EuropeAid-EU-RESULTS@ec.europa.eu

²³ See chapter 4

Annex B1. Results reporting workplan²⁴

Actors in filling the table
DWH extraction
Automatic
Operational Manager
ROM contractor
ROM coordinator

		CRIS references		Project Information	Management		Sector	Project/Programme dates (if ROM at DEC level)		Project/Programme dates (if ROM at CTR level)		Budget		Geographical focus	
Lot	Type of ROM	Project/Programme Reference	Related Project/Programme Reference(s)	Project or programme title	EUD/Unit in charge	OM in charge	Main DAC sector code	FDC ILC	LMO/EOI	Starting date of activities	End date of activities	Total Budget	EU Contribution	Zone benefitting from the action	Type of P/P

Field phase		Reporting phase		ROM experts					Specific cases (*)	Approval
Field phase start date	Field phase end date	Planned date for draft report	Planned date for final report	Names of experts	Type of ROM expert	OM comments on potential conflict of interest	ROM expert - CV approved (NKE)	Comments on approval of ROM expert	Comments from OM	To be approved

(*) In some specific and duly justified cases, a deviation (more or less) from the standard allocation of days may be requested and approved

²⁴ Chapter 4

Definitions and abbreviations in Annex B1

Name	Description
CRIS number	
Decision number	5 or 6 digit key sequence number attributed to each decisions encoded in CRIS
Contract number	6 digit key sequence number attributed to each contract encoded in CRIS
Entities in charge	
Delegation in charge	Name of the EUD in charge (HQ if the decision or contract is managed by Headquarter)
Person in charge	Operational manager in charge of the decision or contract
Entity in charge	Directorate in charge of the Decision or Contract.
Financing and implementation modalities	
Domain	Geographical or thematic programme.
Implementing partner type	Type of implementing partner
Contractor (Name)	Name of the contracting entity
Budget data	
Threshold	The extraction from CRIS indicates the budget is above 750.000 EUR or not
Total Cost	Overall costs including those parts of the costs covered by other contributions (amount of EU contribution + amount of other contributions)
EU Contribution	Amount that is financed by the EU for the implementation of activities foreseen under the project or programme (in CRIS, either (financing) Decisions or Contract).
EU Paid Amount	EU Amount Paid on the Decision or Contract
Decision key date	
Signature date	Date of signature of the Financing Agreement by the beneficiary country. It only exists for Financial Agreements.
FDC ILC	Final date for contracting individual legal commitment
LMO/EOI	End date of the operational implementation phase of principal activities (which does not include final audits and evaluations, technical and financial closure of contracts...).
FDI FA	For Decisions finances on the EU Budget (i.e. not financed on the EDF), with a Financing Agreement, it is a date on which all the contracts (evaluations, audits, etc.) must have been be carried out from the operational point of view as well as from the financial point of view.
Contract key date	
Contractor signature date	Date of the signature by the contractor.
Start Date of activities	Start date of activities at contract level
End Date of activities	End date of activities at contract level
FDI	Final date of implementation of the contract. By this date, all activities foreseen in the Contract must be implemented.
Location data	
Benefitting zone	Region or country benefitting from the activities covered by the project or programme
Action location	Target group and/or location of the action (country, region, town, etc.)
Nature of the project or programme	
Title	Title of the Decision or Contract.
DAC	5-digit purpose codes representing the sector of the Decision or Contract
Other	

Annex B2 Results reporting template (including for quality control)²⁵

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

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

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

Project/Programme identification					Financial information
Delegation in Charge	Decision number	Contract number	Project/ Programme title	Is the project/programme General or Sector Budget Support?	EU paid amount (€)

²⁵ See chapter 4

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Project/Programme indicators		Baselines					Targets				
				Sex disaggregation				Sex disaggregation			
Project/programme results indicator name	Project/programme result indicator ID	Baseline	Baseline reference year	Baseline for women / girls	Baseline for men / boys	Comment	Target	Target reference year	Target for women / girls	Target for men / boys	Comment

Final value					Data Sources			Main Results
		Sex disaggregation						
Final value	Final value reference year	Final value for women / girls	Final value for men / boys	Comment	Report/data source from which results were obtained.	Have the results been independently verified?	Please provide any other information on possible bias?	Is this a "Main" Country/Regional Thematic Result?
								Yes/ No

EU Results Framework (EU RF)								
						Sex disaggregation		
EU RF indicator	EU RF indicator ID	Value for EU RF indicator	Explanation on any calculation to derive a value for EU RF indicator	Please confirm that EU RF methodology has been followed	Value for women / girls	Value for men / boys	Comment	

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<i>Quality control (QC)</i>				<i>Dispatch of final results reporting template</i>	
<i>1. QC stage</i>		<i>2. QC stage</i>			
<i>ROM Contractor QC questions -</i>	<i>Responses by ROM expert</i>	<i>ROM Coordination Unit quality check</i>	<i>Responses by ROM Contractor</i>	<i>Agreement of final result recorded</i>	<i>Comment</i>

DEFINITIONS AND ABBREVIATIONS IN THIS ANNEX

This template is where results information from projects and programmes should be recorded by the OM and ROM expert. For Budget Support programmes, this information will be typically against results indicators in the Performance Assessment Framework. For non Budget Support programmes this results information will be against indicators in the project/programme logframe, but can also include other results data from project reporting..

NB: The comments to be included in this template relate to the results data included in the template. Comments on results data that could not be included are to be made in the narrative report (see template in Annex B3).

- **Project/Programme information**

Delegation in Charge. Name of the EUD in charge (HQ if the decision or contract is managed by Headquarters)

Decision Number. 5 or 6 digit key sequence number attributed to each Decision encoded in CRIS

Contract Number. 6 digit key sequence number attributed to each Contract encoded in CRIS

Project/programme title Title of project or programme, as encoded in CRIS

Is the project/programme General or Sector Budget Support? : Please state here if the project or programme is a general or sector budget support programme

- **Financial information**

EU paid amount (€).Total value of the "EU paid amount" as reported in CRIS. The "EU paid amount" shall be reported with reference to (a) the Decision in case of General/Sector Budget Support; or (b) to the specific Contract for other aid modalities.

- **Project/programme indicators**

Project/programme results indicator name. Please give the full title of the indicator, including spelling out any acronyms. Where possible, the name of the indicator should be taken from formal documents such as the TAPS, logframe or the end of project report.

Project/programme results indicator ID. If the indicator is taken from a formal document such as a logframe, then it may be that these indicators are numbered. In such cases, please give here number assigned to the indicator.

- **Baselines**

Baseline. The value before the start of the intervention; or as close as possible to the start of the intervention. If, for example, a baseline study was commissioned once the project started, then this should be recorded here. For most indicators, the assumption is that there were zero results before the start of the project, and the results reporting template should record (under the "Final Value" section) those results that have been achieved through the programme/project. For budget support and also for

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sector support through project modality, on the other hand, the baseline is likely to be non-zero. For example, the percentage of over 60 year olds who receive social benefits at the start of the intervention will be recorded here (so that this can then be taken into consideration when calculating the final value).

Baseline reference year. Year the baseline value refers to; in many cases it will be the year before start of the project. Where relevant please also give month

Baseline for women / girls, baseline for men / boys. If a baseline exists, it may have been sex disaggregated. In which case please record separate baselines for females and males here. If no such baselines exist, please state "N/A"

Comment. If the ROM expert/OM wishes to make any comments on the information on baselines (for example how they were set, why sex-disaggregated data is not available and any other disaggregation of total values) that information can be recorded here.

- **Targets**

Target. Indicators in the project/programme logframe (or other similar document) may have set target values for what results should be achieved by the end of the project/programme. If there is no such value, please state "N/A" (meaning not available)

Target reference year. If target values exist, please record here the year by when they were supposed to be achieved. Where relevant please also give month. If not available please state "N/A"

Target for women / girls, Target for men / boys. If a target value exist, it may have been sex disaggregated – if so, please record the separate targets for females and males here. If no such targets exist, please state "N/A". For some results data, for example number of schools built, sex-disaggregated data is not relevant – if so, please also state "N/A"

Comment. If the ROM expert/OM wishes to make any comments on the information on targets (for example when the targets were set, why sex-disaggregated data is not available and any other disaggregation of total values) that information can be recorded here.

- **Final indicator values**

Final value. Final value of the indicator recorded at the end of the project/programme. For example: Number of school personnel trained = 200. It is possible that the final value may not be available by the time of the ROM mission, but interim results information may be available. In which case please record the latest results data available.

Final value reference year. Year for when final/latest value of results were achieved. Where relevant please also give month

Final value for women / girls, final value for men / boys. The final/latest value may have been sex disaggregated - if so, please record separate values for females and males here. If no such final values exist, please state "N/A". For some results data, for example number of schools built, sex-disaggregated data is not relevant. If so, please also state "N/A".

Comment. This box should be used for the ROM expert to state:

- *Whether this is a maximum value indicator rather than a cumulative indicator.* Within a multiple year project or programme, where yearly results are reported, most indicators will be cumulative indicators where results should be aggregated. A typical example would be "Kilometres of road built", where annual values are generally reported. However for some indicators this would not be correct as there would be significant double counting across time. For example, for the EU RF indicator "Number of children enrolled in primary education with EU support", the same children would be aggregated across years for as long as they are in

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primary education. For such indicators, for a multiple year programme where yearly results are reported, the maximum yearly value should be taken. These are known as maximum value indicators.

Whether the cumulative or maximum value should be reported will often depend on the way the data is presented. For example, for an indicator such as "Number of people with access to all season roads with EU support", if the data is taken from national statistics that shows an increasing trend in the number of people with access, then it is likely that the latest value includes results from previous years. In this case the maximum value from that trend over the lifetime of the project/programme should be reported. However, if the data is taken from management information systems specific to the project /programme, it is possible that the number of people given access each year is recorded. In this case the values should be cumulated across years. Before determining which approach to take it is especially important to consult the Operational Manager.

- *whether this is not final but the latest data*; this should only occur in exceptional circumstances,
- *why sex-disaggregated data is not available*
- *Where easily available any other meaningful disaggregation of total values*. This issue is discussed further in the additional guidance near the end of this annex.
- *if there is a risk of double counting across two or more project or programmes, that should be stated here using the words "RISK OF DOUBLE COUNTING"*. Then there should be an initial assessment of the degree of double counting. This issue is discussed further in the additional guidance near the end of this annex.
- *If the project/programme is a multi-country one, then the list of countries covered must be listed here.*

Data sources

Report/data source from which results were obtained. Full title of the report from where the results information was obtained, and page number(s) from data found). If the report also refers to the data source (for example management information for a particular sector, a national survey or Census), then please give that as well. If the results data was obtained from a data source that is not specific to the project/programme, (again, such as a national survey or Census) please give the full name of data source, including its reference year.

Have the results been independently verified? Results data may be obtained from reports from project/programme implementing partners. If these results have been independently verified by someone or somebody outside the operations of the implementing partner, (for example by field visits or by comparing the results data with other data sources to assess whether they are credible) then please state "YES" here. If the OM is not sure, then please state "Don't Know". Otherwise, state "NO". Other information on the means of verification should also be provided here.

Please provide any other information on possible bias. Please give any other relevant information on bias, for example; if the results information does not appear to be in line with other data sources; if the results data potentially over or under-records for certain sub-groups e.g. parts of the country, certain age groups; how soon after the results have been achieved have they been recorded.

- **Main Results**

Is this a "Main" Country/Regional/Thematic Result? As described in Section 4.4.2, please state "YES" if the Head of Delegation/Head of Cooperation/Head of Unit has identified this result as a key result reflecting the main achievements of projects/programmes managed by the EUD/HQ Unit. Otherwise please state "NO".

- **EU Results Framework (RF)**

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EU RF indicator. If the project indicator is linked to an EU RF indicator, please give name of EU RF indicator. Please note that it is NOT necessary for any or all indicators to be linked – weak links should not be recorded for results to be reported in this respect. This implies that this section will only be relevant and thus completed for some project/programme indicators.

EU RF indicator ID. Each EU RF indicator is given an ID code. Please record that code here.

Value for EU RF indicator. Record contribution of the project/programme indicator to the EU RF indicator. In those cases where the project specific indicator and the EU RF indicator are the same, the final value of the project/programme indicator may be reported here. For example if there is an indicator stating “80,000 coffee farmers trained on coffee processing technologies”, this can be linked to the EU RF indicator “Number of people receiving rural advisory services”. In this case, the 80,000 farmers should be recorded under “Value for EU RF indicator” in the template.

In some cases the value to be reported as “Value for EU RF indicator” in the template may be different from the value recorded by the indicator of the project/programme. This may be due to different calculation methodologies. Reporting against the value of the EU RF indicator should be done always in accordance to its methodological note.

For example: out of the 200 school personnel trained, only 100 are actually teachers, the other 100 being school managers. The EU RF indicator only records the former 100, while the project/programme indicator would report 200.

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

- Number of countries where business environment has improved with EU support
- Number of countries whose capacity to trade across borders with EU support has improved (where the overall concept is to assess the trade logistics capacity of a country)
- Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support

These indicators can be seen as quite broad in nature. So, in these cases the Operational Manager and ROM expert should look for results that help improve the overall business environment, a country’s overall capacity to trade, or can be regarded as a climate change strategy (as defined by the indicator methodological note). For these indicators, we are asking for a 0 or 1 response to be put under “Value for EU RF indicator” and the consolidated number of countries improving will be calculated at HQ level. Examples are given below

Possible project/programme indicator	EU RF indicator	Value for EU RF indicator
Cost to register a business property in Country T falls by 30%	Number of countries where the business environment has improved with EU support	1

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Average time to clear customs in country X decreases from 20 days to 15 days	Number of countries whose capacity to trade across borders with EU support has improved	1
Country Z has developed a strategy for low carbon emissions	Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support	1

Explanation on the calculation of value for EU RF indicator. Any calculation to derive a value for the EU RF indicator should be recorded here, for example to convert percentages in programme/project results to absolute numbers for the EU RF indicator, naming sources (such as the latest census) used for this purpose.

Please confirm that EU RF methodology has been followed. The ROM expert/OM is simply required to confirm (or not) here that the methodology for the EU RF indicator, as set out in the methodology note, has been followed when calculating the values. If that is the case, please state "YES"; otherwise state "NO".

Value for women / girls, value for men / boys. The value may have been sex disaggregated - if so, please record the separate values for females and males here. If no such final values exist, please state "N/A". For some results information, for example number of schools built, sex-disaggregated data is not relevant. In such cases, please also state "N/A".

Comment. If the ROM expert/OM wishes to make any comments on the information on the value (for example, why sex-disaggregated data is not available and any other disaggregation of total values) that information can be recorded here.

- **Quality Control (QC)**

ROM Contractor QC questions. Once the results reporting template has been completed, the ROM contractor statistics and performance measurement expert will carry out a first set of quality control checks, based on the checklist in section 4.6.1. If he/she has any questions these will be listed here.

Responses by ROM expert. The ROM expert will respond to each question raised by the ROM contractor here. The ROM expert will consult with the relevant OM before responding.

ROM Coordination Unit quality check. After the initial Quality Control by the ROM contractor and the answers provided by ROM Expert, the ROM Coordination Unit will carry out a second set of checks, based on the checklist in section 4.6.2. Any questions will be listed here. The ROM expert will consult with the relevant OM before responding.

Responses by ROM contractor. The ROM contractor will collate responses from the ROM expert for each question raised by the ROM Coordination Unit here. The ROM expert will consult with the relevant OM before responding.

- **Dispatch of final results reporting template**

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Agreement on final result recorded. As described in Section 4.6.3, after all queries have been satisfactorily resolved, the Head of Cooperation/ROM focal point/ROM coordinator will send the final completed results template to the functional mailbox for EU Results reporting. In that template, it will state "YES "in this column.

Comment. If there are any comments that Head of Cooperation/ROM focal point/ROM coordinator wishes to make at the point of sign off they can be made here.

Additional guidance on calculation and reporting of results

The following issues should be taken into consideration during the calculation and reporting of results and are relevant for all indicators at level 2.

The results to be reported are the total results achieved by the end of any project or programme – independently on whether the EU has fully or partially funded it.

For example, if the EU has partly funded a project to build 500 classrooms in a country or provided support to 10,000 people with access to legal aid, the total figures of 500 classrooms and 10,000 people should be reported even if funding from other parties has been used to contribute to the achievement of the results. This approach is also referred to as the "Overall method" in the Commission's March 2015 Staff Working Document on the launching of the EU results framework.

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

Double counting - In certain situations there may be a risk of double counting of results. Some examples of where such double counting might occur are:

- *In a country, there may be a (general or sector) budget support programme and a project being implemented by an NGO, both reporting results against the same indicator. For example, as part of general budget support there could be an intervention to provide nutrition programmes to children aged under 5; and there could also be an intervention to provide nutrition to children under 5 by an NGO in a specific region of a country.*
- *In a country there may be an indicator for which there are results from both a multi-country²⁶ programme and a national project. For example there may be electricity transmission lines being constructed in a particular country that are being financed both from a regional programme and a budget support programme at country level.*

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

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

- For the indicator in question, the separate recorded values from each project/programme should still be reported as separate lines in the results reporting template

²⁶Regional or thematic programme

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- In the Comments section within the "Final Value" block of the results reporting template, please enter "RISK OF DOUBLE COUNTING" and then state for which two (or more) sets of results this risk may exist. An initial assessment of the extent of double counting should be made, and also noted in the Comments box.
- For multi-country programmes, the countries covered by for each result should also be listed under the Comments section of the Final value block of the results reporting template. This will then be cross-checked against the reporting templates from these countries to again assess the risk of double counting, for any particular indicator.

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

Sex disaggregation of data - For the Baselines, Targets, Final value and EU Results Framework blocks of the template, please provide the sex disaggregation wherever relevant (e.g. for an indicator such as km of roads built this will not be relevant).

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

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

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

Other disaggregation of data - It may be the case that other disaggregations of results data are easily available (from the end of project report, or from the national statistics, for example). These further disaggregations could be, say, for urban/rural, or by age band. In such cases, these additional disaggregations should be provided in the Comments section for the Baselines, Targets, Final value and EU Results Framework blocks of the template. For the EU Results Framework indicators, specific disaggregations are requested in the methodology notes and should be recorded where data availability allows for this. **Independent assessment of the ROM expert:** The results reported in the template are owned by the Delegation or HQ Unit, so they ultimately have the final say over what should be recorded. If the ROM expert wishes to provide any further views on the information given in the Baseline, Target, Final Value and EU Results Framework blocks (for example if ROM expert believes that the results estimate is optimistic or pessimistic), that can be given in the Comments section for that block.

Annex B3 Narrative report related to results reporting²⁷

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

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

²⁷ See chapter 4

6. Availability of essential documents

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

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

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

Annex C. ROM Contractors' consolidated analysis and progress reports²⁸

Annex C1. Quarterly QC report

1. Introduction

<i>Subject</i>	ROM Contractor's name and region	
<i>Period of execution</i>	From	To

Short overview of main events during this quarter.

2. Compliance with quality standards for ROM Reviews

2.1 ROM experts: profile

Projects and programmes

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

Budget support programmes

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

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

2.2 ROM experts: allocation of days

<i>ROM reviews for projects and programmes with non-standard number of days</i>	Number	%/total
<i>ROM reviews for BS programme with non-standard number of days</i>	Number	%/total

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

2.3 Workplan

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

²⁸ See chapter 5 and 6

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

2.4 Quality Checklist by ROM experts

Projects and programmes

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

Budget Support programmes (Desk analysis note)

<i>Scores allocations to the desk phase by ROM experts</i>	Average score	
<i>Desk phases which received a score of 4 or more by ROM expert</i>	Nb of desk analysis notes	%/total
<i>Desk phases which received a score of 3 or less by ROM expert</i>	Nb of desk analysis notes	%/total

Budget Support programmes (Field phase)

<i>Scores allocations to field phase by ROM experts</i>	Average score	
<i>Field phases which received a score of 4 or more by ROM expert</i>	Nb of ROM reviews	%/total
<i>Field phases which received a score of 3 or less by ROM expert</i>	Nb of ROM reviews	%/total

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

2.5 QC reports by ROM QC Experts

Projects and programmes

<i>Final score allocations in QC reports this quarter</i>	Average score	
<i>Score allocations in QC reports at 1st QC review¹ this quarter</i>	Average score	
<i>ROM reviews which received a score of 4 or more at 1st QC review this quarter</i>	Nb of ROM reviews	%/total
<i>ROM reviews which received a score of 3 or less at 1st QC review this quarter</i>	Nb of ROM reviews	%/total

Budget Support programmes (Desk analysis note)

<i>Final score allocations in QC reports of the desk phase this quarter</i>	Average score	
<i>Score allocated in QC reports of the desk phase at 1st QC review this quarter</i>	Average score	
<i>Desk phases which received a score of 4 or more at 1st QC review this quarter</i>	Nb of desk analysis notes	%/total
<i>Desk phases which received a score of 3 or less at 1st QC review this quarter</i>	Nb of desk analysis notes	%/total

Budget Support programme (field phase)

<i>Final score allocations in QC reports of field phase this quarter</i>	Average score	
<i>Score allocated in QC reports of field phase at 1st QC review this quarter</i>	Average score	
<i>Field phases which received a score of 4 or more at 1st QC review this quarter</i>	Nb of ROM reviews	%/total
<i>Field phases which received a score of 3 or less at 1st QC review this quarter</i>	Nb of ROM reviews	%/total

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

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

2.6 ROM reports: timely delivery by ROM Contractor

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

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

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

3.1 ROM experts: profile

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

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

3.2 ROM experts: allocation of days

<i>Support missions to end of project result reporting with non-standards number of days</i>	Number	%/total
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Comment on major issues (project or programme requiring more days, specific requests from EC services, unexpected events, etc.).

3.2 Workplan

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

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

3.3 Results and narrative reports: timely delivery by ROM experts

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

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

3.4 Results reports – Timely delivery by ROM contractors

<i>Delivery of results reports by ROM contractor to EC Services within 4 weeks</i>	Nb of support mission	%/total
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3.5 Results Reporting templates

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

3.6 Narrative reports

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

1. Conclusions

1. Follow up of improvement in previous quarterly QA report
2. Quality issues observed during the quarter
3. Main areas for improvement

Annex C2. Implementation progress report template

Reports should provide at least the following information:

1. Overview of the reporting/contract period

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

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

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

3. Activities carried out during the reporting/contract period

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

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

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

5. Consolidated analysis reports and related Workshops

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

6. Problems encountered and methodological issues

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

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

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

7. **Financial Execution**

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

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

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

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

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

Annex D. Templates for Quality Assurance (ROM reviews)²⁹

At the time of the editing of this Handbook in February 2015, the quality assurance templates in this Annex were not yet completed. These templates are therefore not yet included at this stage.

²⁹ See Chapter 7.