



TESIM

Technical support to the implementation and management of ENI CBC programmes

Factsheet on result-oriented monitoring (ROM)

Overview of ROM at programme and project level, including templates

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DISCLAIMER

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It does not necessarily reflect the views of the European Commission on the topic, and is presented to programme practitioners **for illustrative purposes only.**

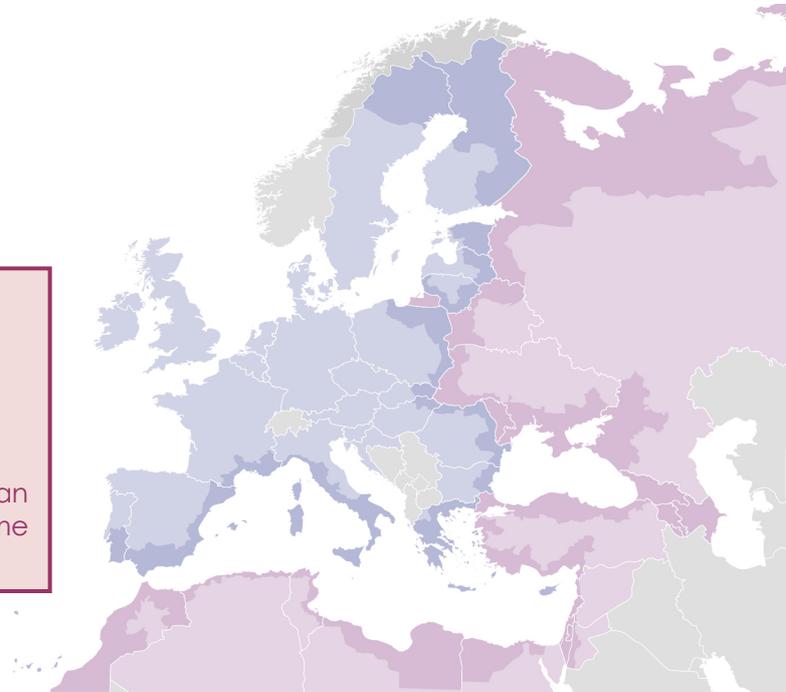


Table of contents

Background and objective	2
Part A – Introduction and preparatory work	3
Why result-oriented monitoring?	3
Result-oriented monitoring by the MA: where to start?	3
Understanding the rationale behind the ROM.....	3
Defining the role of ROM in the programme monitoring activities	4
Deciding on who carries out the ROM.....	5
Part B – Planning and carrying out ROM	6
Timing and methodology of the result-oriented monitoring.....	6
Preparatory phase and desk work.....	7
Field work and online/ phone interviews	8
Reporting.....	8
Analysis of the ROM results, adjustments and improvements.....	10
Part C - Specificities of project and programme ROM	11
Result-oriented project monitoring	11
Result-oriented programme monitoring.....	12
Annex I: ROM checklist – monitoring questions for project ROM	13
Annex II: ROM checklist – monitoring questions for programme ROM	21
Annex III: Executive report on project ROM	29
Annex IV: Executive report on programme ROM	31
Annex V: Short summary of the project/ programme (to be attached to ROM executive report)	33



Background and objective

Result-oriented monitoring (ROM) is used by the European Commission (EC) to enhance its accountability and management capacities, with a strong focus on results, and relies on an external opinion about project and programme implementation.

This factsheet has been developed based on the request of the ENI CBC programmes and it provides an overview on the ROM both at programme and project level, as well as suggests templates for the ROM checklist, report and summary which can be used as a source of inspiration and further adapted to the programme needs.

This factsheet primarily targets staff of the Managing Authorities (MA) and the Joint Technical Secretariats (JTS) performing programme and project monitoring.

Parts A and B cover respectively the information on the preparatory work for the ROM, and planning and carrying out the missions, and they can be applied for ROM of both programme and projects. Part C contains information on specifics of ROM at project and programme levels.



Part A – Introduction and preparatory work

Why result-oriented monitoring?

One important observation by the ex-post evaluators from the implementation of the ENPI CBC 2007-2013 programmes was that programmes focused much of their attention in programme and project monitoring to ensure that the financing allocated to them was used timely and in accordance with the set rules. At the same time, the achievement of programme results and the collection of evidence of project achievements have often been treated as a background task. In this programming period, with the increased focus on result-orientation and the requirements to gather evidence on the project and programme results, this balance has to be changed.

For the ENI CBC programmes, the use of result-oriented monitoring is now a compulsory requirement, and the ENI CBC Implementing Rules actually state in article 78.3 that “the Managing Authority shall carry out result-oriented programme and project monitoring in addition to the day-to-day monitoring”.

Result-oriented monitoring by the MA: where to start?

Even though there are instructions and templates available for the result-oriented monitoring in EC's **ROM handbook**,¹ they need to be adapted to the needs of the ENI CBC programmes and integrated with the other tools that the programme bodies use to monitor their own performance as well as the performance of the projects.

During the Monitoring and evaluation LabGroup meeting organised by TESIM in April 2018, the issue of the application of the ROM handbook approach to the programme result-oriented monitoring activities was discussed, and the representatives of the EC indicated that:

Programmes have the flexibility to adapt the ROM methodology, as long as some basic characteristics remain:

- **distinction from day-to-day monitoring with some level of independence from the project officer usually in charge,**
- **focus on results and**
- **provision of recommendations to improve project performance.**

Understanding the rationale behind the ROM

Result-oriented monitoring is a tool that can be used for the benefit of a programme and its projects, as it allows for a comparatively quick review of the current situation,

¹ The latest version of the handbook https://ec.europa.eu/europeaid/rom-handbook-results-oriented-monitoring_en

and results into conclusions and recommendations that contribute to the improvement of the project and programme performance in a pro-active manner.



ROM on projects is carried out on a **sample of projects selected on the basis of a risk analysis**. Thus, ROM provides a review of performance of the pre-selected projects, with a focus on their results. And as it is based on a non-statistical sample of projects, ROM **does not provide a representative analysis of all projects**, but at the same time findings and recommendations for the selected projects can be applied also to the projects that have not been ROM-ed. More specific information on the risk criteria can be found in part C of this document.

Usually ROM exercise is repeated after some period of time, and when the same project or programme is revisited, conclusions can be drawn concerning the changes in their performance over time.

Thus, **ROM helps to:**

- Review the **performance of the project/ programme;**
- Assess the **likelihood that project/ programme objectives will be achieved;**
- Evaluate the **need for action.**

Defining the role of ROM in the programme monitoring activities

ROM has to be integrated into the monitoring system of the programme as an important tool that complements other monitoring activities. **On the project level**, the daily monitoring activities by the MA/JTS mainly address the project implementation progress, both in terms of activities as well as budget-wise, whereas ROM can provide valuable insights on the **quality of project implementation and project's ability to achieve the defined results**, and provide recommendations for its improvement.

The ROM exercise has to be carefully planned, and when doing so, other monitoring and evaluation activities also have to be taken into consideration, for example, the planned mid-term evaluation. Even if cheaper than an evaluation, ROM is still a time and resource consuming exercise; thus it has to be planned exactly when the programme needs to have an overview of how it is doing and how much its implementation is progressing.

Deciding on who carries out the ROM

ROM is an exercise that is based on a specific methodology that should allow for comparison of the results both across the projects as well as assessment of progress of the same project over time (in case when ROM is repeated for the same project). Besides, it is meant to provide an unbiased view on the project performance, and thus the person carrying out the ROM has to be independent from the daily management and monitoring of the project.

This is why it is **preferable that an external expert carries out the ROM** of projects, based on the methodology developed by the MA/JTS, and provides recommendations both to the projects as well as to the programme management bodies. However, finding resources for engaging external experts might not be always possible in the programme's reality, and there can be a necessity to appoint a person from the own staff to carry out the ROM exercise. Also in this case, the same **principle of independence** from the daily monitoring of the projects should be observed. Where feasible, monitoring staff of the other units dealing with the monitoring and evaluation in the organisations hosting the MA/JTS could perform ROM on the programme and/or selected projects.

On the **programme level**, the consolidated conclusions and recommendations from the individual project ROM results serve as a basis for the programme-level ROM. And even if the programme staff is performing ROM on the projects, an external opinion has to be sought for the programme-level ROM.

Templates for the checklist, report and summary to be used by the ROM experts are annexed to this factsheet. These templates are based on the "original" ROM methodology, with some adaptations to fit the framework and terminology of the ENI CBC programmes. They can be further adjusted to the programme needs; however, it has to be kept in mind that the smaller number of modifications the better synergy between the ROM exercises commissioned by the EC and those of the MA/JTS.

NB! Further in the document the notion of the "ROM expert" refers to the person carrying out result-oriented monitoring, be it a MA/JTS staff member or an external expert specifically contracted for this purpose.

Part B – Planning and carrying out ROM

Timing and methodology of the result-oriented monitoring

The “traditional” ROM methodology foresees concrete actions to be carried out. It is highly advisable that also ROM activities implemented by the MA/JTS follow a similar pattern, irrespective if their own staff or external experts perform the exercise:

- a **period of desk work** when the ROM expert has to get acquainted with the documents available on the project selected for the mission;
- **field work and online/phone interviews**, as usually all partners and stakeholders cannot be visited (see further below information on the stakeholders to be interviewed);
- followed by **reporting** (and if needed, further desk work): writing the conclusions/recommendations, and also carry out further online interviews if some points noticed during the field mission need to be further checked with other partners/stakeholders.

After each ROM exercise the MA/JTS need to carry out an **analysis of the ROM results** and ensure uptake of the relevant recommendations, as well as review the necessary adjustments and improvements to the ROM methodology and templates.

Some shortcomings concerning the ROM carried out on the ENPI CBC projects were expressed in the ex-post evaluation², and the MA/JTS should also take these concerns into account when planning their own result-oriented monitoring activities:

[...] ROM had its own limitations as a management and learning tool. First, ROM evaluated different projects at different moments in time. As a rule, projects were monitored only once with no possibility for ROM to do a follow up and check how recommendations have been acted upon. Second, ROM monitors were recruited for specific missions from a pool of short-term experts who did not always assess the same programme(s) and for this reason needed time to get acquainted with the specific context and implementation details of the programme/projects they were visiting.

Ex-post evaluation of 2007-2013 ENPI CBC programmes

When planning the project-level ROM, it also has to be taken into account that the missions should preferably not take place during the first and the last 6 months of the project implementation. This will allow monitoring a project at a moment in its implementation when it already has implemented some of the planned activities, but at the same time early enough to provide recommendations that still can be implemented before the project is over.

On the programme level, the first result-oriented monitoring exercise has already been performed in late 2018 and early 2019 by the ROM experts contracted by the EC.

² Full report available: https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/ex_post_evaluation_of_2007-2013_enpi_cbc_programmes_report.pdf

Based on the conclusions and recommendations of the ROM expert, programmes should develop a plan to take on board the recommendations as well as the follow-up measures, including carrying out follow-up ROM themselves.

Preparatory phase and desk work

The desk phase includes a review of the latest versions of the project proposal, logical framework, budget, progress reports (if available) and the grant contract. Also the previous ROM reports (if available) need to be reviewed, as during the mission the expert should also check how recommendations have been acted upon.

The ROM expert also needs to have an overview of the programme requirements concerning implementation of the projects (or particular types of projects), thus a review of the project implementation guidelines and, if the case, the Large Infrastructure Projects (LIPs) implementation guidelines, is necessary. In case there is a focus on a specific aspect of the project implementation (e.g. communication), the available guidance documents on this issue also need to be provided to the ROM expert. Any evaluations or reports related to project/ programme also provide useful background information.

When **performing the result-oriented monitoring**, the ROM expert has to use templates of checklist and report. Proposed templates of the checklists are available as annexes to this factsheet:

- Annex I (checklist for project);
- Annex II (checklist for programme);
- Annex III (executive report for projects);
- Annex IV (executive report for programme);
- Annex V (summary of the project/ programme).

HINT

Take time for a thorough desk phase and allocate sufficient time to it! The ROM expert may start filling the checklist already during the desk work, as many weaknesses related to the intervention logic can be spotted during this phase.

It is also important that the ROM expert organises a **meeting with the MA/JTS staff member supervising the particular project (or in case of a programme – management of the MA/JTS)** in order to provide more background information, as well as to inform the ROM expert about the specific issues he or she could specifically look into during the ROM mission.

Another important task of the MA/JTS in the preparatory phase is **informing project beneficiaries and stakeholders about the upcoming mission**, its purpose, expected outcomes, as well as the necessary preparatory work.

Field work and online/ phone interviews

An important element of the result-oriented monitoring is that the experts interview not only the beneficiaries implementing the project, but also seek for the opinion of the target group(s) and stakeholders.

Depending on the type of intervention being ROM-ed, different types of stakeholders could be addressed:

- **national:** authorities of the participating countries (e.g., those involved into national management and control system for the programme ROM, or line ministries in the case of ROM on LIPs), other key players in the project field of action (e.g., chambers of commerce, tourism agencies), the EU Delegation or other donors as relevant (e.g. to check complementarities/synergies if similar actions are funded);
- **regional:** such as JMC members or regional organisations /authorities overseeing the field of the project;
- **local:** such as district governments in which the projects are implemented;
- **wider stakeholders:** such as end users of the project results.

HINT:

Interviews during the ROM exercise are carried out not only during the face-to-face meetings, but also using other means of communication in order to obtain information from the beneficiaries and stakeholders that are not visited.

Further phone/ Skype interviews can be also scheduled during the reporting phase, in order to follow-up and further check some points with beneficiaries or stakeholders.

It is advisable that the ROM expert holds a short de-briefing with the MA/JTS/lead beneficiary at the end of the ROM mission to inform on the contacts held and seek further information if needed.

Reporting

The use of templates for the checklists and reports will ensure that there are consistent outputs produced as a result of the expert's work. It is important that there is a possibility to integrate this information into the monitoring section of the programme management information system and use ROM findings, conclusions and recommendations as an input for the other project and programme monitoring activities

The ROM reviews use the following four criteria³:

³ In the latest ROM methodology there are only four criteria (relevance, efficiency, effectiveness and sustainability), the criterion "impact" is not used.

Relevance and quality of project design	<p>Relevance is the extent to which the objectives of the project are consistent with the needs of the target groups and the priorities and policies of the partner organisations, as well as their regions and countries.</p> <p>As things change over time, relevance becomes a question of whether the objectives in the intervention logic of the project are still appropriate given changed circumstances.</p>
Efficiency	<p>Efficiency considers the relationship between the resources (funds, expertise, time) used by an intervention, and the changes it generates.</p>
Effectiveness	<p>Effectiveness is the extent to which the intervention's outputs, results and objectives are achieved, or are expected to be achieved.</p>
Sustainability	<p>Sustainability is the continuation of benefits from an intervention after major support has been completed, the probability of continued long-term benefits, and the resilience to risk of net benefit flows over time.</p>

In addition to this, the ROM exercise can also address other specific issues that are not covered by the above-mentioned criteria, for example, the implementation of communication and visibility actions, identification of good practices in the projects that are being ROM-ed.

Based on the findings indicated in the checklist, the ROM expert prepares an executive report summing up the main conclusions and recommendations concerning the programme/ project.

Each criterion is scored on a scale 1-3, these scores are justified and the recommendations on how to improve the performance are provided per criteria. In the latest ROM handbook the grading in the ROM checklist and report is based on the "traffic light approach":

Green (good/very good)	Orange (problems)	Red (serious deficiencies)
<ul style="list-style-type: none">• The situation is considered satisfactory, but there may be room for improvement. Recommendations are useful, but not vital to the project or programme	<ul style="list-style-type: none">• Improvements are necessary: 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	<ul style="list-style-type: none">• 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 ROM expert should have a precise deadline to deliver the reports, as well as conclusions and recommendations. These need to be further discussed with the MA/JTS. The conclusions/recommendations that are accepted by the MA/JTS are then communicated to the project beneficiaries.

Analysis of the ROM results, adjustments and improvements

Upon completion of the first round of ROM exercise, it is important that the MA/JTS reflects on the outcomes of the exercise, as well as on the feasibility and applicability of the methodology used. The ROM expert's opinion on the applied procedure and templates should be taken into account, and the programme bodies should also draw their own conclusions on the necessary improvements, including usefulness of the provided recommendations and relevance of the criteria applied to select the project sample.

Part C - Specificities of project and programme ROM

Result-oriented project monitoring

Result-oriented project monitoring is in principle performed by the Managing Authority/ Joint Technical Secretariat or external experts contracted by them. It is not certain whether the EC will commission ROM missions on projects of the ENI CBC programmes.

a) Selection of projects to be ROM-ed

As already mentioned above, the selection of the projects to be ROM-ed is based on a risk assessment. The criteria used in the risk assessment should allow for allocation of the most appropriate monitoring measures, and for identification of the projects that will most benefit from the ROM. The “standard” ROM methodology suggests that, in addition to risks related to the budget size and complexity of partnership, the following projects could be ROM-ed:

- Projects **having implementation problems** or **high operational risks**;
- Projects covering topics for which there is a **lack of sector expertise** at the MA/JTS;
- **Innovative projects.**

Keeping in mind the main purpose of the ROM, programmes can combine the above-mentioned criteria and supplement them with additional risk criteria, for example:

- Projects with **relatively low score in the assessment concerning project design**;
- **Infrastructure projects**;
- Projects in which the **lead beneficiary is not experienced enough in project implementation**;
- Projects in which activities are taking place in many locations;
- Projects **requesting many changes in the project implementation** (projects not following the financial plan, projects requesting serious changes, such as the drop-out or replacement of a beneficiary).

b) End-of project ROM

In addition to monitoring of the project performance, also an “end of project results reporting” has been introduced in the ROM methodology with the aim of identifying the most relevant results of the projects and their contribution to the framework of the programme and the whole instrument. This tool could be also used by the ENI CBC programmes to collect information on the achievement of the results by the projects it has supported, as well as to gather lessons for improvement of the programme data collection and monitoring system. More specific information on this exercise, as well as the corresponding templates will be provided to the programmes at a later stage.

Result-oriented programme monitoring

a) ROM missions by the EC

Taking into account that the ROM missions commissioned by the EC were carried out already at the end of the year 2018 and in the beginning of 2019, they mainly concentrated on monitoring of the programmes. It is suggested that the MA/JTS develop a follow-up action plan based on the findings, conclusions and recommendations of the ROM exercise commissioned by the EC, and that these activities are integrated into the monitoring plan.

It is not known at the moment if a similar exercise will be repeated by the EC.

b) Result-oriented programme monitoring by the MA/JTS

The outcomes of the above-mentioned ROM missions by the EC have to be taken into account when planning the own programme level ROM activities of the MA/JTS, so that they build on the conclusions and recommendations of this first exercise.

Templates of checklist, report and summary provided as Annexes II, IV and V to this document can be used for this exercise and adapted as needed.

Consolidated ROM report

In most programmes, implementation of projects will start in 2019, and towards the end of the year and in the beginning of 2020 the first result-oriented project monitoring exercises could take place. This will allow developing a **consolidated report** in the second part of the year 2020 (for the programmes that will start implementation of their projects later, this time table can be shifted accordingly).

The **consolidated ROM report is based primarily on the results of the ROM on projects**, but in addition it is also incorporating key observations from the analysis of the programme operation. In the "standard" ROM methodology a consolidated report "*drawing 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 the programme management and any suggestions on areas where it may be useful to provide support in the future...*" is carried out on the annual basis. However, ENI CBC programmes might adjust this frequency to their own needs.

This exercise is especially advisable to the programmes that do not perform a mid-term evaluation, as it will allow them to get a quick overview of where the programme stands and, if needed, implement ROM recommendations to improve its performance and prospects of achieving its results.

Annex I: ROM checklist – monitoring questions for project ROM

Question	Grade	Findings
Relevance		
<p>1.1 Does the project presently respond to the needs of the target groups?</p> <ul style="list-style-type: none"> - <i>Does the project intervention logic still work as intended for the target groups/ end beneficiaries?</i> - <i>Is the project design still appropriate?</i> - <i>How does the project solve the needs of the target groups/ end beneficiaries?</i> 		
<p>1.2. Is the project adapted to the present institutional, human and financial capacities of the beneficiaries and/ or other key stakeholders?</p> <ul style="list-style-type: none"> - <i>Does the project correspond to the existing capacities of the project beneficiaries?</i> - <i>Is the project addressing the problem in a more advanced manner compared to the interventions in the past?</i> 		



<p>1.3 Do all key stakeholders demonstrate effective commitment (ownership)?</p> <ul style="list-style-type: none"> - <i>Are the project beneficiaries enthusiastic about implementation of the project?</i> - <i>Do the project beneficiaries identify any functions that experience problems due to lack of commitment (ownership)?</i> - <i>Have all project beneficiaries been actively involved into the planning and implementation of the project so far?</i> 		
<p>1.4. Have all relevant circumstances and risks been taken into account to update the intervention logic?</p> <ul style="list-style-type: none"> - <i>Have changes intervened since the start of the project? And if this is the case, how are they reflected in the intervention logic?</i> - <i>Have any problems (risks) emerged? If the case, how are they addressed?</i> 		
<p>1.5. Are there any complementarity issues with other on-going/finalised action(s) managed by donors that need to be addressed?</p> <ul style="list-style-type: none"> - <i>Are there other on-going or finalised projects solving the problem addressed by the project?</i> - <i>Is there a possibility for duplication or synergies?</i> 		
<p>1.6. Indicators</p>		

<ul style="list-style-type: none"> - Are the indicators to measure results well defined and relevant to measure the achievement of the objectives? - Are the defined output indicators appropriate? - Are the project indicators coherent with those on the programme level? - Are baselines and targets set for each indicator? Are the targets realistic? 		
<p>Findings on “Relevance”</p> <p><i>Highlight the most important findings relating to the performance of the project 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.</i></p>		
<p>Efficiency</p>		
<p>2.1. Are the chosen project implementation mechanisms conducive for achieving the expected results?</p> <ul style="list-style-type: none"> - Are the roles and responsibilities well divided and clear to all beneficiaries? - Is the internal communication and coordination clear to all beneficiaries and is it working? 		
<p>2.2. Inputs</p> <ul style="list-style-type: none"> - Do the resources actually made available correspond to the needs of the project? - If relevant: to what degree are the resources other than EU funded made available? 		

2.3 Delays <ul style="list-style-type: none"> - <i>If there are delays, how important are they and what are the consequences?</i> - <i>What are the reasons for these delays and to what extent have appropriate corrective measures been implemented?</i> - <i>To what extent has the planning been revised accordingly?</i> 		
2.4. Have the outputs been produced/ delivered in a cost-efficient manner? <ul style="list-style-type: none"> - <i>Are the outputs produced in accordance with the planned project budget?</i> - <i>Is the ratio of the produced outputs and the spent funds proportionate?</i> 		
2.5. Is the project adequately monitored by the project beneficiaries? <ul style="list-style-type: none"> - <i>Is the project monitoring and reporting system operational?</i> - <i>Does it ensure collection of the necessary information/ data?</i> - <i>Is there a project steering committee? If yes, what are its functions?</i> 		
Findings on “Efficiency”		
<i>Highlight the most important findings relating to the performance of the project 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.</i>		
Effectiveness		

<p>3.1. Is the progress of each output conforming to plan?</p> <ul style="list-style-type: none"> - <i>Is the delivery of outputs in line with the plan?</i> - <i>To what extent is the expected progress in terms of outputs satisfactory?</i> - <i>If there are deviations, what are their implications?</i> 		
<p>3.2. Is the quality of outputs satisfactory?</p> <ul style="list-style-type: none"> - <i>Based on your experience, what is the quality of outputs?</i> - <i>Do these outputs meet expectations of the grant beneficiaries and the target group(s)?</i> 		
<p>3.3. Are the outputs still likely to lead to the expected results?</p> <ul style="list-style-type: none"> - <i>What is the level of achievement of results as reflected by indicators covering the specific objective?</i> - <i>Will the results be obtained within the set timeframe?</i> - <i>Are any corrective measures needed?</i> 		
<p>3.4. Does the project effectively support the policy and actions of the beneficiaries?</p> <ul style="list-style-type: none"> - <i>Is there evidence that the project supports implementation or development of the</i> 		



beneficiaries (and where relevant - regions and countries) policies?		
Findings on “Effectiveness” <i>Highlight the most important findings relating to the performance of the project 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.</i>		
Sustainability		
4.1. Are key stakeholders acquiring the necessary institutional and human capacities to ensure the continued flow of benefits? <ul style="list-style-type: none"> - <i>Is there evidence of strengthening the human, organisational capacities?</i> - <i>Is there an adequate level of human and institutional capacity put in place to continue delivering project's benefits upon finalisation of the project implementation period?</i> 		
4.2. Is access to the benefits affordable for target groups on the long term? <ul style="list-style-type: none"> - <i>What is the financial contribution necessary to use the project benefits by the target groups?</i> - <i>Can the target groups afford to cover the future running costs related to the continued access to the benefits of the project?</i> 		

4.3. Have the relevant organisations taken the financial measures to ensure continuation of services after the end of the project?		
4.4. Has the private sector been involved to ensure sustainability of the project?		
Findings on “Sustainability” <i>Highlight the most important findings relating to the performance of the project 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.</i>		
Horizontal issues		
5.1. To what extent have the recommendations provided in the previous ROM missions/ other monitoring activities been taken into account?		
5.2. Have the communication and visibility actions been implemented in an appropriate manner?		
5.3. Are there good practices inherent to the project which could be useful to share beyond the project context?		
5.4. Have the necessary measures been taken to address the environmental sustainability?		
5.5. Have the necessary measures been taken into account to enhance the role of women?		

Gender		
Environment		
<p>Findings on “Horizontal issues”</p> <p><i>Highlight the most important findings relating to the performance of the project 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.</i></p>		



Annex II: ROM checklist – monitoring questions for programme ROM

Question	Grade	Findings
Relevance		
<p>1.1. Does the programme presently respond to the needs of the target groups/ end beneficiaries?</p> <ul style="list-style-type: none"> - Are the selected thematic objectives and programme priorities still relevant to the target groups/ end beneficiaries? - What is the response to the calls for proposals of the programme? - If relevant, are the LIPs responding to the local/regional needs? 		
<p>1.2. Is the programme adapted to the present institutional, human and financial capacities of the programme bodies and national authorities (incl. CCP, GoA) and/ or other key stakeholders?</p> <ul style="list-style-type: none"> - Do the entrusted tasks correspond to the existing capacities of the programme bodies and authorities? 		
<p>1.3 Do all key stakeholders demonstrate effective commitment (ownership)?</p> <ul style="list-style-type: none"> - Are the stakeholders involved into management and monitoring of programme implementation enthusiastic about the programme? 		



<ul style="list-style-type: none"> - <i>Have all programme stakeholders been actively involved into the planning and implementation of the programme so far?</i> - <i>Do the stakeholders at the project level demonstrate commitment to the CBC?</i> 		
<p>1.4. Have all relevant circumstances and risks been taken into account to update the programme intervention logic?</p> <ul style="list-style-type: none"> - <i>Have changes intervened since the start of the programme? And if this is the case, how are they reflected in the intervention logic?</i> - <i>Have any problems (risks) emerged? If the case, how are they addressed?</i> 		
<p>1.5. Are there any complementarity issues with other on-going/planned action(s) managed by donors that need to be addressed?</p> <ul style="list-style-type: none"> - <i>Are other donors providing support to the thematic areas addressed by the programme?</i> - <i>Is there a possibility for duplication or synergies?</i> 		
<p>1.6. Indicators</p> <ul style="list-style-type: none"> - <i>Are the programme indicators to measure results well defined and relevant to measure the achievement of the objectives?</i> - <i>Do the projects contribute to achievement of the output indicators defined on the programme level?</i> 		



<ul style="list-style-type: none"> - Will the outputs and results generated by the projects lead to the achievement of the programme results? - Are the targets set for each indicator realistic? Do they need to be revised or updated? 		
<p>Findings on “Relevance”</p> <p>Highlight the most important findings relating to the performance of the 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.</p>		
<p>Efficiency</p>		
<p>2.1. Are the chosen implementation mechanisms conducive for achieving the expected results?</p> <ul style="list-style-type: none"> - Are the roles and responsibilities well divided and clear to all bodies and authorities involved into programme management? - How efficient are the mechanisms for selection and contracting of projects (calls for proposals, direct award)? - How efficient is the communication of the programme requirements to the project applicants/ beneficiaries? 		
<p>2.2. Do partner government and other partners in the country effectively steer the programme?</p> <ul style="list-style-type: none"> - Are the bodies involved in the national management and control system participating in the programme implementation according to their tasks? 		

<ul style="list-style-type: none"> - Are the national delegations in the Joint monitoring committee effectively steering programme monitoring and implementation? 		
<p>2.3. Inputs</p> <ul style="list-style-type: none"> - Do the resources actually made available correspond to the needs of the programme? - If relevant: to what degree are the resources other than EU funded made available? - Does the commitment of the programme budget correspond to the financial tables in the JOP? - Is there a need for reallocation of programme resources (time-wise or from one TO to the other)? 		
<p>2.4. Delays</p> <ul style="list-style-type: none"> - If there are delays, how important are they and what are the consequences? - What are the reasons for these delays and to what extent have appropriate corrective measures been implemented? - To what extent has the planning been revised accordingly? 		
<p>2.5 Have the outputs been produced/ delivered in a cost-efficient manner?</p> <ul style="list-style-type: none"> - Is the ratio of the produced programme outputs and the spent funds proportionate? 		
<p>2.6 Is the programme adequately monitored by the key stakeholders?</p>		



<ul style="list-style-type: none"> - <i>Is the programme monitoring and reporting system operational? Is the collection and aggregation of the project data on-going?</i> - <i>Does it ensure collection of all necessary information/ data for reporting?</i> - <i>What is the role of the Joint monitoring committee in the programme management and monitoring?</i> - <i>Are the monitoring and evaluation activities of the programme relevant to its implementation stage?</i> 		
<p>Findings on “Efficiency”</p> <p><i>Highlight the most important findings relating to the performance of the 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.</i></p>		
<p>Effectiveness</p>		
<p>3.1. Is the progress of each output conforming to plan?</p> <ul style="list-style-type: none"> - <i>Is the implementation of the programme in line with the workplan in the JOP and the annual work programmes?</i> - <i>If there are deviations, what are their implications?</i> - <i>To what extent are the contracted projects being implemented in accordance with their plans?</i> 		
<p>3.2. Is the quality of outputs satisfactory?</p>		

<ul style="list-style-type: none"> - Will projects contracted under the specific programme priorities deliver planned outputs? What is their quality? - Are the selected projects producing outputs and results that contribute to achievement of the programme objectives? 		
<p>3.3. Are the programme outputs still likely to lead to the expected results?</p> <ul style="list-style-type: none"> - What is the level of achievement of results as reflected by indicators covering each programme priority? - Will the results be obtained within the set timeframe? - Are any corrective measures needed? 		
<p>3.4. Does the programme effectively support the policy and actions of the beneficiaries?</p> <ul style="list-style-type: none"> - Is there evidence that the selected projects support implementation or development of the beneficiaries (and where relevant - regions and countries) policies? 		
<p>Findings on “Effectiveness”</p> <p><i>Highlight the most important findings relating to the performance of the 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.</i></p>		
<p>Sustainability</p>		

<p>4.1. Are key stakeholders on programme and project level acquiring the necessary institutional and human capacities to ensure the continued flow of benefits?</p> <ul style="list-style-type: none"> - <i>Is there evidence of strengthening the human, organisational capacities of beneficiaries, as well as programme bodies and authorities?</i> - <i>Is there an adequate level of human and institutional capacity put in place to continue delivering benefits to the programme area upon finalisation of the programme implementation period?</i> 		
<p>4.2. Is access to the benefits affordable for target groups on the long term?</p> <ul style="list-style-type: none"> - <i>Does the programme request its projects to ensure affordable access to the project results to the target groups?</i> - <i>Is there assurance that the benefits delivered by the projects will be further sustained?</i> 		
<p>4.3. Have the relevant organisations and authorities taken the financial measures to ensure continuation of services after the end of the project/ programme?</p>		
<p>4.4. Has the private sector been involved into projects supported by the programme to ensure sustainability of the results?</p>		
<p>Findings on “Sustainability”</p>		

Highlight the most important findings relating to the performance of the 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.

Horizontal issues

5.1. To what extent have the recommendations provided in the previous ROM missions/ other monitoring activities been taken into account?

5.2. Have the communication and visibility actions been implemented in an appropriate manner?

5.3. Are there good practices inherent to the programme which could be useful to share beyond the programme's context?

5.4. Have the necessary measures been taken to address the environmental sustainability?

5.5. Have the necessary measures been taken into account to enhance the role of women?

Findings on “Horizontal issues”

Highlight the most important findings relating to the performance of the 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.



Annex III: Executive report on project ROM

Overall information on the ROM

Dates of the ROM exercise (incl. desk phase)	
Name of the ROM expert	
Countries and partners visited/ interviewed	
Report date	

Key information on the project

Project ID	
MA/JTS staff member following the project	
Starting and end date of the project	
Project partnership	
Short summary of the project	
Total project budget	
Grant size	
Project budget spent (disbursed)	

Conclusions

Analytical summary, based on the facts listed in the findings

Criteria	Conclusions
Relevance	
Efficiency	
Effectiveness	



Sustainability	
Horizontal	

Recommendations

Recommendations are **derived from the conclusions** and address issues of major importance to the performance of the project. Recommendations must be realistic, feasible and drafted in a way that the stakeholders to whom they relate are clearly identified. They must take in consideration applicable rules and other constraints, related for example to the context in which the project 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..

Number	Recommendations	To whom is the recommendation is addressed (Lead beneficiary, JTS, MA, etc.)
1		
2		
3		

Comments by the MA/JTS

Comments on conclusions
Comments on recommendations

Follow-up plan by the MA/JTS

Activity	Link to the recommendation	Responsible	Deadline

Annex IV: Executive report on programme ROM

Overall information on the ROM

Dates of the ROM exercise (incl. desk phase)	
Name of the ROM expert	
Countries and partners visited/ interviewed	
Report date	

Key information on the programme

Programme name	
Countries participating in the programme	
Thematic objectives addressed by the programme	
Total programme budget	
Programme budget declared to the EC	

Conclusions

Analytical summary, based on the facts listed in the findings

Criteria	Conclusions
Relevance	
Efficiency	
Effectiveness	
Sustainability	
Horizontal	

Recommendations

Recommendations are derived from the conclusions and address issues of major importance to the performance of the programme. Recommendations must be realistic, feasible and drafted in a way that

the stakeholders to whom they relate are clearly identified. They must take in consideration applicable rules and other constraints, related for example to the context in which the 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 programme.

Number	Recommendations	To whom is the recommendation is addressed (JTS, MA, NA, EC etc.)
1		
2		
3		

Comments by the MA/JTS

Comments on conclusions
Comments on recommendations

Follow-up plan by the MA/JTS

Activity	Link to the recommendation	Responsible	Deadline

Annex V: Short summary of the project/ programme (to be attached to ROM executive report)

Part 1 – Context

Summary of the programme/ project: a short text on the objectives of the project or programme and problems/ issues to be addressed by it, as well as a description of the target groups and beneficiaries.

This has to be an objective description and should not include appreciations and observations on issues related to the project or programme implementation.

Part 2 – Intervention logic

Summary of the intervention logic, including the indicators at the three levels of the intervention logic: overall objective/impact, specific objective/result, outputs.

This has to be an objective description and should not include appreciations and observations of the expert