

# Support to Quality Monitoring Systems and Methodologies of Projects and Programmes of External Assistance financed by the European Commission

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## **FINAL DRAFT (5) - ANNEXES**

SQ2M – Cost effectiveness comparative  
analysis ROM & Evaluations

*Reporting Date: September 2010*



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**Support to Quality Monitoring Systems and  
Methodologies of Projects and  
Programmes of External  
Assistance**



SUPPORT TO QUALITY  
MONITORING METHODOLOGIES

Financed by the European Commission  
(SQ2M Project)

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analysis ROM & Evaluations**

Reporting Date: September 2010

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## Cover page

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## **ANNEX A**

### **SOURCES AND BIBLIOGRAPHY**

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## **ANNEX B**

### **EVALUATION AND MONITORING: LEGAL BASIS, CONCEPTS AND DEFINITIONS**

## EVALUATION AND MONITORING: LEGAL BASIS, CONCEPTS AND DEFINITIONS

### B.1 Introduction

This annex analyses the concept and purposes of Evaluation and monitoring according to the general rules governing the EU management, the consequences they generate as well as the resulting obligations they impose on every decision maker operating within the EU framework.

Then it looks at the way in which EuropeAid has adapted and applied these rules to its activities.. The implications of the recent Technical Cooperation Reform launched by EuropeAid in 2007 will be assessed for their effect on any potential developments in the use of M&E. This analysis will be completed by reference to concepts and methodologies for Evaluations and monitoring used by other International Donors, in order to find similarities and differences.

### B.2 Evaluation in EU Budget regulations<sup>1</sup>

According to the “Communication on Evaluation” (2000) by the EC, Evaluation is “*judgement of interventions according to their results, impacts and needs they aim to satisfy*”, in a process that “*culminates in a judgement (or assessment) of an intervention*”. The main purposes for carrying out Evaluations focus on “(i) *the contribution to the design of future interventions, including providing input for setting political priorities,* (ii) *the improvement of the quality of interventions,* (iii) *the reporting on the achievements of the intervention (i.e. accountability)*”<sup>2</sup>.

The Financial Regulations, applicable to all European Institutions, set an inter-institutional framework valid for all Directorates. The concept of Evaluation is fully integrated throughout the programme cycle and is understood as a continuous process which must cover the entire duration of a measure: from the preparation stage in order to define the objectives and means, through allocation of resources in the budget to the completion of the measure, when the results will be assessed and conclusions drawn on whether the measure should be renewed. The basic documents on Evaluation list some of the elements that an Evaluation is expected to examine; for example effectiveness, efficiency, relevance, coherence, economy, added value and sustainability. Article 27 brings Evaluation into the context of “*sound financial management*” for which it emphasises on the concepts of effectiveness, efficiency and economy: “*Specific, measurable, achievable, relevant and timed objectives shall be set for all sectors of activity covered by the budget. Achievement of those objectives shall be monitored by performance indicators for each activity and information shall be provided by the spending authorities to the budgetary authority*”<sup>3</sup>.

Under Article 28a<sup>4</sup>, the budget must be implemented in compliance with effective and efficient internal control, which is defined as a process applicable at all levels of the

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<sup>1</sup> This section is based on documents produced by DG Budget and other services; especially useful, for its clarity and synthesis have been: “European Union public finance”, IV edition, Luxembourg, 2008, “Financial Regulations and implementing rules applicable to the general budget of the European Communities, Synoptic presentation”, Luxembourg, 2010 and “Evaluating EU activities. A practical guide for the Commission services”, DG Budget Evaluation Unit, Bruxelles, 2004. A specific research, “Study on the use of evaluation results in the Commission”, EPEC, Bruxelles, 2005 gave some ideas on the overall approach and usage of the tool across different Directorates. Moreover two EC communications have been consulted: “Communication on Evaluation”, Bruxelles 2000 and the more recent: “Communication to the Commission from Ms Grybauskaitė in agreement with the President. Responding to Strategic Needs: Reinforcing the use of evaluation”, Bruxelles 2007.

<sup>2</sup> EC “Communication on Evaluation”, Bruxelles 2000

<sup>3</sup> See “Financial Regulations and implementing rules applicable to the general budget of the European Communities, Synoptic presentation”, Luxembourg, 2010, art. 27, pag. 40.

<sup>4</sup> Ibidem, pag.43

management and designed to provide reasonable assurance of achieving the following objectives:

- effectiveness, efficiency and economy of operations;
- reliability of reporting;
- safeguarding of assets and information;
- prevention and detection of fraud and irregularities;
- adequate management of the risks related to the legality and regularity of the underlying transactions.

While the principles on Evaluation enshrined in the mentioned basic documents require the services to carry out Evaluations for all activities, these documents also foresee a certain degree of proportionality in the effort that should be spent on Evaluation. In particular Article 27<sup>5</sup> limits the obligation to evaluate to programmes and activities that entail significant spending and the Communication on Evaluation (section 2.2.1) states that the *scope, frequency and timing* of Evaluations should be adapted to *decision-making needs* and to the *life cycle and nature* of each activity, as well as to the *resources* available. The “*Implementation Rules of the Financial Regulation*” in Article 21(2) state that all programmes or activities shall be the subject of an interim and/or Ex-Post Evaluations in terms of human and financial resources allocated and the results obtained in order to verify that they were consistent with the objectives set. The Financial Regulations (in article 27) requires the Institutions to undertake ex ante and Ex-Post Evaluations, but the Implementing Rules of the Financial Regulation (in article 21) recognises that the latter for practical reasons sometimes can be in the form of interim Evaluation.

**The decision whether to carry out an Evaluation and the contents of it will hence depend on its usefulness (importance of the measures to be examined and potential use of the results) as well as on the likely added value and costs of an Evaluation exercise compared to other means of obtaining information on the performance of the activities.** It is hence necessary for each Directorate General (DG) to carry out Evaluations for the category of activities that concerns interventions directed to addressees or beneficiaries outside the institutions whether or not money has been disbursed to them.

There is however a specific quantitative obligation stated in the Financial Regulations, art. 27, point 3: “*All programmes or activities, including pilot projects and preparatory actions, where **the resources mobilised exceed EUR 5 million shall be the subject of an interim and/or Ex-Post Evaluation of the human and financial resources allocated** and the results obtained in order to verify that they were consistent with the objectives set, .... a multiannual programme shall be periodically evaluated in accordance with a timetable which enables the findings of that Evaluation to be taken into account for any decision on the renewal, modification or suspension of the programme*”. The amount of 5 million euro is thus the level at which Evaluation should be compulsory for the whole EC interventions. The formulation of an overall assessment is particularly useful for accountability purposes.

Mechanisms should be put in place **to reinforce collaboration and the adequate flow of information between all the management and decision-making levels**. This might range from guaranteeing the availability of Evaluation results to all actors concerned, through the development of homogeneous approaches, to designing Evaluation questions and methods so that standard requirements are ensured. **The Evaluation reports should be accessible to the general public<sup>6</sup>. The**

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<sup>5</sup> Ibidem, art. 21, Implementation Rules, point 4, pag.42

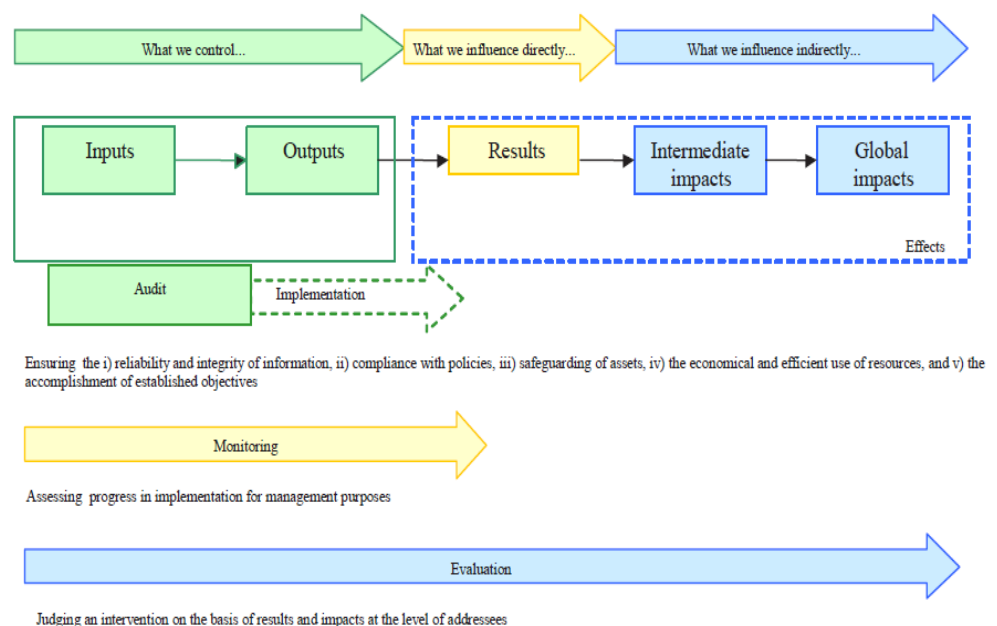
<sup>6</sup> See “Standard B.12: Save in duly substantiated cases of confidentiality, evaluation results shall be made publicly available. The means of communication shall be readily identifiable and accessible”. pag. 57, “*Evaluating EU activities. A practical guide for the Commission services*”, DG Budget Evaluation Unit, Bruxelles, 2004. See also: SEC (2002) 5267: [http://europa.eu.int/comm/budget/evaluation/keydocuments\\_en.htm](http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm). Moreover art. 33 of Financial

**independence of the Evaluation and the transparency of the judgement are highlighted as basic conditions to comply with quality and usefulness.**

It is important to note that in the same set of documents there is a **specific mention of Monitoring** which is defined as *“the continuous and systematic process carried out during the duration an intervention, which generates quantitative data on the implementation of the intervention, but not usually on its effects”*<sup>7</sup>. The main scope for monitoring is then intended to be the **capacity to offer information to correct any deviation from the operational objectives, and thus improve the performance of the programme as well as facilitate subsequent Evaluation**<sup>8</sup>. In the specific context of the ABM (Activities Based Management), the Commission has introduced a system of performance monitoring that consists of identifying objectives and indicators for each policy area and activity of a DG and reporting on the attainment of these objectives. **Performance monitoring does not however usually collect data about the results and impacts occurring as a consequence of its activities**<sup>9</sup>. Furthermore, it does not provide answers as to why an activity does or does not attain its objectives, or indeed the relevance of these objectives; neither does it address the question of how performance can be improved. These questions should be addressed, according to the Financial Rules documentation, through exercises of an evaluative nature.

The basic role of Evaluation and monitoring in the overall management process is summarised in the following.

**Figure 1 - The schematic process for evaluation and monitoring**



Source: “Evaluating EU activities. A practical guide for the Commission services”.

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Regulations state: “The Commission shall attach to the preliminary draft budget: ....information on the achievement of all previously set specific, measurable, achievable, relevant and timed objectives for the various activities as well as new objectives measured by indicators”.

<sup>7</sup> See: “Evaluating EU activities. A practical guide for the Commission services”, DG Budget Evaluation Unit, Bruxelles, 2004, pag. 10.

<sup>8</sup> Ibidem

<sup>9</sup> Ibidem.

The DG Budget manual presents good practices and standards valid for all types of EC Evaluation. Besides suggestions as to the organisation and responsibilities of the different units involved, it sets some specific Evaluation budget parameters. Good Practice A-9 stresses that **cost of an Evaluation can vary a great deal but it gives the indicative amount of 0.5 % of the budget allocated to the large expenditure programmes.**

Finally, it should be mentioned that the European Development Fund (EDF), is a special financial instrument separate from the general budget. As its administrators are Commission departments: the Directorate-General for Development, which is responsible for programming, and the EuropeAid Cooperation Office, which is responsible for implementation it has neither legal personality nor real autonomy of management. Although the EDF accounts are not consolidated with those of the general budget its financial statements comply with EC accounting principles. The implementing rules for expenditure and revenue under each EDF are the subject of a specific Financial Regulation, as far as possible aligned with the Community Financial Regulation. The EDF's revenue and expenditure, like operations under the general budget, are subject to internal financial control and to the external control of the Court of Auditors, the latter regularly devoting a special chapter of its annual report to the management of the EDF.

### **B.3 Evaluation and Monitoring in EuropeAid approach<sup>10</sup>**

The basic definition of Evaluation in EuropeAid makes reference to the one presented by DAC - OECD, that states that Evaluation<sup>11</sup> is *"the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors"*. Then it continues saying: *"Evaluation also refers to the process of determining the worth or significance of an activity, policy or programme: an assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention"*.

EuropeAid has developed and formalised a methodology for evaluating its external assistance, in which the priorities are results and impacts. According to the main documents produced, *"Evaluation aims to improve management, in particular by taking into account the lessons of past public actions and to reinforce capacity to account for, and to ensure, better transparency"*. The Evaluation may assist decision-making through two different channels:

- by formulating conclusions independently, and then proposing recommendations;
- by favouring the involvement of the decision-makers concerned, or at least their close collaborators, with a view to encouraging take-up or direct feedback during the process.

Apart from assisting in making decisions and formulating value judgements, the EuropeAid manuals state that Evaluation may also enable users to learn about the intervention, to better understand what works and what does not, and to accumulate knowledge. Indirectly, it contributes to transferring knowledge to the benefit of professional networks that may not have a direct link with the evaluated intervention. Unlike feedback, which directly concerns those responsible for the evaluated intervention, the transfer of lessons is an indirect process that takes place through networks both within and outside EuropeAid.

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<sup>10</sup> This section is based on different documents mainly produced by the Evaluation Unit of EuropeAid (03).

<sup>11</sup> See: [http://ec.europa.eu/europeaid/evaluation/methodology/glossary/glo\\_en.htm](http://ec.europa.eu/europeaid/evaluation/methodology/glossary/glo_en.htm)

Following the recommendations from the Council of the European Union in May 1999, the European Commission decided to strengthen Monitoring, Evaluation and Transparency for all the actions funded with its resources. Within EuropeAid, one of the actions implemented to respect these recommendations was the creation of the results-oriented monitoring system (ROM) started in pilot form in year 2000 and then developed as standard tool. According to the general rules mentioned above, monitoring is a regular review to keep track of how a project is progressing in terms of resource use, implementation, delivery of results and the management of risks. However ROM, as implemented by EuropeAid, has a larger focus: it includes not only outputs but also outcomes (the benefits drawn from the outputs) and impact (the contribution of a project to the solution of a problem). In this respect ROM's focus is very close to Evaluation; however, it is distinct regarding its practice and modality, as while Evaluations embark on a resource intensive, in-depth analysis of a project or programme, ROM provides a "snapshot" of the project's quality and performance. ROM since its start was supposed not only to be a tool for day-to-day project management by informing stakeholders about the performance of a specific project, but also to contribute to general EuropeAid policy articulation, implementation and review thanks to the consolidated data produced<sup>12</sup>.

### Technical Cooperation Reform and Results Oriented Management

After the re-organisation of EuropeAid in 2005 that led to the creation of a new Directorate for Operations Quality Support (Directorate E) plus a dedicated office for all oQSG activities (Unit F1), two separate occurrences moved EuropeAid toward a more substantial period of change. In 2007 the EU signed the Paris Declaration Aid Effectiveness Agenda with a specific commitment to implementing indicators 4 and 6 that relate to TC practice and the use of parallel PIU structures. At the end of the same year the European Court of Auditors<sup>13</sup> highlighted some serious criticisms about the capacity of the EC to fulfill its results for cooperation with third parties, especially in term of effectiveness. This moved the European Commission to start a substantial reform of the way it implements its cooperation activities<sup>14</sup>. The strategy is based on three major objectives: i) make partners' ownership the real feature of TC-support; ii) base the support on demand; iii) ensure that TC delivers concrete results beyond merely "assisting", "training" or "advising". This should be framed in another driver of change that is the decision by the EC **to increase delivery of aid through general and sector budget support and sector approaches**.

Among the further improvements in EuropeAid's operations being implemented since then, **the stronger use of monitoring tools (particularly in the ROM system) is a priority**, together with building stronger links between M&E activities and the programming and identification process. This should be completed by the development of management information systems and the appropriate supporting technology (including the common RELEX information system and an integrated single accounting system).

At the same time the Ongoing Technical Cooperation Reform consistently advocates a new focus on partners' ownership of projects and programmes. It stresses that local partners have to play a vital role in quality assurance during implementation, where monitoring is a key instrument. This calls for **the development of a new modality for monitoring, the J-ROM, meaning joint monitoring between the EC as donors and the partners as beneficiaries, extended to all interventions**. Moreover it continues saying: *"The principles underpinning the monitoring of TC-supported programmes are*

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<sup>12</sup> See following chapters 4 & 5 of this study for a more comprehensive presentation of ROM, its main tools and its modalities of implementation.

<sup>13</sup> See: "European Court of Auditors' Special Report No. 6/2007 on the effectiveness of technical assistance in the context of capacity development". Official Journal of the European Union, 21.12.2007

<sup>14</sup> See: "Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission. A backbone strategy", Bruxelles, 2008.



*not different from the general principles for monitoring, which means that the partner(s) should have the primary responsibility for programme monitoring and accountability to domestic stakeholders”<sup>15</sup>.*

The importance of accountability “upwards” to boards, political bodies, etc; “downwards” to partners, beneficiaries, operators and frontline staff; “laterally” to clients/customers and organisations representing civil society/human rights interests is stressed: *“Long-term sustainability and capacity development require a systems approach to accountability and monitoring, where organisations are accountable. Getting this accountability framework right is part and parcel of Capacity Development. Therefore, the primary focus of the EC should be on whether and how these domestic monitoring and accountability systems work”<sup>16</sup>.*

With reference to Evaluations, the TC guidelines, consistent with the focus on the partner’s involvement, indicate that Evaluation of TC support will be an element in Evaluations of the partner’s programme. TC in itself is not sufficient to deliver capacity and sustainability, and Evaluations will therefore have to systematically look beyond donor contributions to a programme. Evaluation should go beyond regular monitoring and focus on assessing i) whether outcomes and impact have been achieved as expected, and ii) evaluating why certain results and certain impacts have or have not been achieved by the partner’s programme.

It is important for the scope and outcomes of the present study to underline that the TC Reform Strategy clearly states that: *“At the heart of the strategy lies an interactive platform for efficient communication and the exchange of practices between delegations and HQ. Various actions/incentives are envisaged to ensure that HQ and the delegations regularly feed the system with relevant good practice material, particularly on new approaches. The platform will also support the progressive revision of systems, tools and procedures (through updating FAQs and other facilities)”<sup>17</sup>.* The need then for a complete and distributed knowledge management system is widely acknowledged, although the steps conducive to it are still vague.

#### **Evaluation and monitoring in the approach and practices of other organisations**

In order to complete the overall analysis of basic concepts and we offer a synthesis of the M&E approach and practices of three major international organisations<sup>18</sup>: OECD – DAC, UNDP and World Bank, as the most representatives because of the strong attention they pay to M&E and the innovations they are trying to pursue.

#### **B.4 OECD – DAC**

The OECD – DAC<sup>19</sup> offers the most used definition for **Evaluation** as: *“Evaluation is an assessment, as systematic and objective as possible, of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors”.*

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<sup>15</sup> From “Guidelines for Technical Cooperation Reform”, 2008

<sup>16</sup> Ibidem

<sup>17</sup> Ibidem

<sup>18</sup> During a seminar (14 April 2010) hosted by E5 it was revealed that the methodology used by the EC on its monitoring missions is more akin to Evaluations as defined by all other international organisations or aid agencies attending the event.

<sup>19</sup> See Annex A for the main sources of OCDE information.



The OECD – DAC approach states the main purposes of the exercise are:

- to improve future aid policy, programmes and projects through feedback of lessons learned;
- to provide a basis for accountability, including the provision of information to the public.

The OECD – DAC approach notes that through the Evaluation of failures as well as successes, valuable information is generated which, if properly fed back, can improve future aid programmes and projects, thus making the Evaluation process an **instrument addressed to the optimization of the use of scarce resources**. Moreover Evaluation promotes dialogue and improves co-operation between participants in the development process through mutual sharing of experiences at all levels, contributing to harmonisation and alignment. The standard Evaluation report applies the five DAC criteria for evaluating development assistance: relevance, efficiency, effectiveness, impact and sustainability.

In term of methodology, it is essential for the outcomes of the process that the Evaluation should be **impartial and independent** in its function from the process concerned with the policy making, the delivery and the management of development assistance. Impartiality and independence are best achieved **by separating the Evaluation function from the line management responsible for planning and managing development assistance**.

Within the OECD – DAC approach **Monitoring** is less developed as a specific instrument; it is mainly considered part of the management process as the *“continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an Ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds against expected results”*<sup>20</sup>. It is then viewed as “internal” to the standard implementation process of any intervention, whose responsibilities fell mostly on project managers and it is mainly linked to the production of the implementation reports.

#### B.4.1 UNDP

According to UNDP<sup>21</sup>, monitoring and Evaluation are key tools for the effective implementation of RBM (results-based management). Evaluation helps clarify the underlying factors that explain the results reported through the RBM, and helps ensure that UNDP learns from its lessons of experience, while monitoring is considered the project management action focused on the collection of results. In recent years the monitoring and Evaluation framework adopted by UNDP focuses on the outcome level and, as such, has developed a methodology to evaluate the achievement of key outcomes. Within a results-oriented environment, the emphasis of M&E is on:

- Active learning through application of monitoring and Evaluation information to the continuous improvement of strategies, programmes and other activities;
- Monitoring of progress towards development results instead of just inputs and implementation processes;
- Monitoring and Evaluation of results in real time as they emerge instead of as an Ex-Post activity;
- Conduct of monitoring and Evaluation as joint exercises with development partners.

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<sup>20</sup> See: [OECD/DAC](#) “Glossary of Key Terms In Evaluation and Results Based Management “, Paris 2002

<sup>21</sup> See Annex A for the main sources of UNDP information.

The recent move towards outcome Evaluations does not replace project Evaluations, however **project Evaluations are no longer mandatory for all actions, but mostly for the ones producing significant outcomes, in terms of achievements or in terms of knowledge**. An enhanced “*monitoring regime*” will be relied upon to provide more “real time” information on administrative and implementation difficulties encountered at the project level. The relation between Evaluations and monitoring is then clearly established. Outcome Evaluations will hence rely on data generated through outcome monitoring as well as information from other external sources for validation and credibility purposes. Outcome Evaluations reinforce outcome monitoring by serving as a source of lessons that can be applied through innovative refinements to the monitoring function (e.g., devising appropriate indicators for future projects). The following Table 1 compares outcome monitoring and outcome Evaluation.

**Table 1 - Comparison between outcome monitoring and outcome evaluation**

	Outcome monitoring	Outcome Evaluation
<b>Objective</b>	To track changes from baseline conditions to desired outcome and to identify impediments.	To validate what results were achieved, how and why they were or were not achieved.
<b>Focus</b>	Focuses on the outputs of projects, programmes, partnerships and soft assistance activities and their contribution to outcome.	Compares planned with intended outcome achievement. Focus on the how and why outputs and strategies contributed to achievement of outcome. Focus on questions of relevance, effectiveness, sustainability and impact.
<b>Methodology</b>	Tracks and assesses performance and progress towards outcome through comparison of indicators over time and discussions with partners.	Evaluates achievement of outcome, role of UNDP and partnership strategy by comparing indicators before and after the intervention. Relies on monitoring data on information from external sources.
<b>Conduct</b>	Continuous and systematic by UNDP programme managers, staff and key partners.	Time-bound, periodic, in-depth. External evaluators and partners.
<b>Use</b>	Alerts managers to problems in progress and delivery of outputs and provides options for corrective actions.	Provides managers with strategy and policy options; provides basis for learning and demonstrates accountability.

Source: “UNDP Evaluation Office: Guidelines for Outcome Evaluators”, 2002

#### **B.4.2 World Bank**

The World Bank<sup>22</sup> stresses that Evaluations are a powerful tool for learning about what works, what does not, and the reasons why. Moreover Evaluations are also an important accountability tool. The WB has then developed an increasingly rigorous system of Evaluation designed to:

- provide an objective basis for assessing the performance of policies, programs, projects, and processes;
- help provide shared accountability for the achievement of the Bank's objectives;
- improve policies, programs, and projects by identifying and disseminating the lessons learned from experience and by making recommendations drawn from Evaluation findings.

For these reasons, the WB not only requires that all of its projects be evaluated, but **it makes efforts to institutionalize monitoring and Evaluation systems as part of sound governance for partners’ governments**.

<sup>22</sup> See Annex A for the main sources of WB information.

Evaluation at the WB has then two major dimensions: (a) self-Evaluation by the units responsible for particular programs and activities; and (b) independent Evaluation by the Independent Evaluation Group (IEG). These dimensions link to a system of organisational learning, where the use of internal outputs, external expertise and stakeholder participation are combined for the accumulation of useful knowledge. Some basic principles apply to both independent and self-Evaluation:

- **Usefulness:** For Evaluation to affect decision making, decision makers must perceive the findings as useful, timely, and geared to current operational concerns.
- **Credibility:** If the Bank's managers and staff are to use the lessons learned from Evaluation, they must perceive the Evaluation as objective, rigorous, and impartial.
- **Transparency:** All Evaluation reports are issued to Bank member governments and to the Bank's management, and are available to all staff.
- **Independence:** Evaluation by IEG must be independent from line management at all stages of the process.

In the WB approach to Evaluations, projects are selected for performance assessments based on a variety of criteria. Firstly, operational staff prepare a basic Evaluation (known as an Implementation Completion Report, or ICR) for every completed project, and also rate project performance. The Independent Evaluation unit then reviews every ICR, validates the rating, and identifies projects that offer good potential for further learning (because of particularly good or bad performance) as candidates for a project performance assessment (PPAs). Secondly, projects related to sectors, thematic areas, or countries that should be evaluated in the near future through large sectoral or country Evaluations are attractive candidates for project performance assessments because they can be inputs for those Evaluation tools. Thirdly, projects selected for PPA are clustered in order to reduce the cost and increase the impact of the PPAs. One in four completed projects (or about 70 a year) is subject to a PPA, which takes about six staff weeks to produce and normally includes a field mission. They rate projects in terms of their outcome taking into account relevance, efficiency and efficiency, sustainability of results, and institutional development impact. PPAs carried out after Bank funds have been fully disbursed to a project, are similar to the completion Evaluations carried out by many development agencies, and are the main project-level Evaluations conducted. They are products in themselves but are also intermediate inputs-building blocks-for the other kinds of Evaluations.

#### **Some conclusions on the overall approach to Evaluation and monitoring within EuropeAid**

The need and obligation to systematically evaluate funded activities are present in the management rules of all the organisations above as well as the EC; all share two broad purposes for this exercise:

- To ensure accountability as a requirement to take responsibility for the use of public funds and to demonstrate the results that have been achieved with these;
- To promote knowledge and learning addressed to the planning of future activities

Some basic features for Evaluations are common to all the organisations:

1. Evaluation is a confirmed source of knowledge,
2. the decisive importance of independence and externality to give credibility to the Evaluation statements,
3. The use of standard criteria.

In this framework “**monitoring**” for the other donors organisations is the continuous assessment that the management should implement against the expected results and disseminate through the standard reports, creating in this way the data background on which the Evaluations will be later performed.

According to the EC financial rules and implementation guidelines, “Evaluation” is considered the only adequate tool to achieve both above mentioned purposes, while “monitoring” is viewed as a management instrument that can feed Evaluation, but not able to produce the information needed for accountability and less for knowledge production. The role of Evaluation to inform management on impact to guide future decisions is well underlined. Evaluation is then a strategic instrument to decide on the future based on cumulative experience and lessons learnt from the past. Hence it should not be used for everything but only when medium - long term planning decisions need to be made. The optimal situation is where the extra cost for an Evaluation meets the expected value added.

The EC financial rules also state the obligation to make **Evaluations compulsory for every action whose budget is larger than 5 Million Euros**. However, there is no standard methodology completely defined, but each Directorate can develop its own, provided that it gives the required answers and results to comply with the two above-mentioned main purposes. Nevertheless it is worth noting that the published guidelines from DG Budget suggest that at least **0.5% of the overall budget for the large financial decisions packages should be allocated to Evaluations**.

EuropeAid shares the main concepts and purposes for the Evaluation exercise as presented in the general financial rules but is confronted with an extremely large amount of interventions of different nature, scope, localization, partners, beneficiaries together with a large variance in the financial amount of every single action. The answer to this difficulty has been articulated through

- **the de-concentration process,**
- **the establishment of the ROM** system as alternative way to produce information and support the management and, recently,
- **the call in the Ongoing TC reform for more partners’ involvement in the Evaluation and monitoring activities,** opening the way to a new form of Monitoring, **Joint Monitoring**, as an additional step toward more ownership coupled with accountability and result oriented management.

It is worth remarking that in effect “**monitoring**” as **ROM in the EuropeAid approach is a novelty in the panorama of tools the aid to development organisations use for assessment of their interventions**. In effect ROM shares with the Evaluation’s concept two basic features: the externality (and thus the perceived independence) of the performers (the “monitors”) and the use of the standard Evaluation criteria. It adds a standard scoring process to assess performance and quality able to produce comparable values. ROM is then a unique “case” in the development scenario and can be considered a significant contribution from EC to the development practices for the simplicity of its methodology and its focus on management quality based on results. Nevertheless the concrete advantages it provides to EuropeAid in terms of support to project management and consolidated accountability should be weighed against the risks creating some “misunderstanding” with other organisations and partners’ governments (in terms of harmonization and alignment).

It should be noted that within EuropeAid there are no defined rules on when and how to use the Evaluation instrument, with the consequence that Evaluation is still perceived as “compulsory” for almost all interventions coupled with the continuous presence of a specific budget line for Evaluation included in the overall budget of many projects / programmes.

The unexploited use of the M&E outputs confirms the need for a **knowledge management system** able not only to collect but more importantly **to process and distribute the information** to improve the decision making process. This challenge now faces EuropeAid management. Although the TC Reform makes a clear call for a new information platform it does not appear to include a more substantive knowledge management system.

## **ANNEX C**

### **WEAKNESSES OF PRESENT ROM CONSOLIDATION PROCESS**

## WEAKNESSES OF PRESENT ROM CONSOLIDATION PROCESS

The sort of information provided by ROM is unique in various respects: firstly, ROM provides an exceptionally comprehensive coverage, including within its scope every world region, all thematic sectors and a wide range of implementing partners. Secondly, though originally designed to provide support to individual projects/programmes, the fact that ROM includes uniformity in its approach and format across the board, allows comparability among different interventions at a scale that is currently not possible through any other Evaluation tool.

To date, ROM information has been used to support management at individual project/programme level and to build consolidated analysis of the overall EuropeAid performance. The ROM contractors' annual reports have responded to EC aggregate reporting needs by converting the performance scores of individual reports into numerical values. These numbers are used for the subsequent calculation of average ROM scores for regions, sectors and themes, followed by a comparison between the (slight) increase / decrease in the quantitative value of the scores.

However the methodology and the procedures producing the final consolidated figures suffer from well know weaknesses that until now did not receive the needed attention. In the following paragraphs we sketch them, while insisting that for each one a profound and focused study will be a first step toward a better overall configuration.

### - Unequal coverage by regions

The share of the overall portfolio of projects assessed by ROM report is quite different between the regions (in some regions, up to 60% of projects are covered by ROM, in other regions, far less than 20% coverage has been observed). This fact could have consequences in the way aggregate figures are presented, but as per now there are no specific methods acknowledging this risk. Perhaps introducing definite and common targets per each region for coverage of projects with ROM could be an easy solution, but only if and when conclusive and consistent data on the overall portfolio, regional sectoral distribution and categorization by amount of investments will be available. Moreover the annual reports received from the contractors do not appear to follow a standard template, making it difficult at times to extract relevant information. While it is true that the regional reports should follow the format agreed with each TM, it is worth studying a common format at least for the first chapter (with tables / charts / confirmed and common methodology to produce information / etc.) while the rest of the report can remain open to annexes by each contractor.

### - Assessment of Ongoing interventions as source of judgment on performance

Ongoing reports as the major sources of figures used for the consolidated tables assess a moment in time, not the overall performance of a project. Then the use of them to produce overall figures raises the risk for a profound bias, if not well explained. Unfinished projects include *prospects for impact*, a concept that is not comparable with *real impact* at the project's end. The "rotten apple" effect of mixing circumstantial effects with final effects would render the whole set of data invalid, thereby hampering the extraction of overall conclusions. The standard assessment criteria conclude that the finalization of a project appears to be an essential prerequisite to be able to establish a final judgment on its *good* or *poor* overall performance. In other words, we may identify isolated "causes" during a project lifetime, but we will not know if these causes are behind a *good* or *poor* project until its end. Ongoing (Unfinished) projects include "Impact prospects" as one of the assessment criteria. This perspective is much less precise than "Impact to date", which is used in Finished projects (through the ROE we propose) in order to understand the actual impact of an intervention. In effect a prerequisite for understanding causality is to be able to assign causes to effects, which is only possible with finished projects. In order to obtain sound "lessons learned" any study should not identify a list of causes, but rather separate circumstantial causes from determining causes. This can only be judged in finished interventions.



- **Efficiency always the lowest score**

Another consequence of the use of Ongoing assessments is related to the scoring of efficiency. Since the start of ROM reporting the scoring for efficiency is always been the lowest between the used criteria, independently of type of projects / regions / management modality / etc. What are the direct / indirect consequences of this low scoring for the scoring for the other criteria? Is it possible to assume that there is no interaction between them? How can we use the other criteria to present overall performance figures with highest scoring when what should be a base for other criteria complete achievement is consistently “inefficient”?

- **No weighting for the value of investments (projects budget)**

The present aggregate figures are based on scores using “projects” as unit while it is known that projects differ considerably in size. It could be worth studying the opportunity to use scores weighted with the resources committed and disbursed: this will give the management and the other stakeholders a more consistent vision of the performance of the “investments”; it will also provide more convincing figures on the performances according to different sectors / region, probably allowing for a more focused choice of “best practices” and “difficult cases”, whose relevance is decisive for the establishment of a knowledge management system. Without this adaptation the overall figures will give a strongly biased image of what happens in the field<sup>23</sup>.

- **QC of uploaded reports inadequate**

It is understood that each contractor is obliged to perform a correct QC process before uploading the reports into the system. In effect according to ROM Manual, the ROM contractor must have in place an adequate QC mechanism to ensure that all reports reach the same high levels of quality and uniformity. The quality of the ROM deliverables should be verified at three stages:

- by the monitor before submitting the documents to the Mission Leader;
- by the Mission Leader before submitting them to the ROM contractor’s Brussels office;
- by the ROM contractor’s Brussels staff before encoding the documents in CRIS.

However these modalities are well developed to provide QC on internal coherence / consistency of the text of the report but not on adequateness of the same face to the facts / information / occurrences at project level. The most useful instrument for this should be the feedback through the RS prepared by the TM: however unfortunately not only the RS are submitted for no more than 50% of the reports, but the format to submit them, even in the most recent configuration, do not appear to be so user friendly to increase the answers or to make them more adequate to this purpose. The questionnaire shows the facts as projects’ level: limited use of MRs and very scarce of BCS. Again the consequence for the consolidated figures have not been analyzed and eventually measured.

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<sup>23</sup> In a recent evaluation managed by Unit 03 “Evaluation of the Council Regulation N° 2698/2000 (MEDA II) and its implementation”, Brussels 2008, the study used a large amount of MRs as one of the main sources for information (378 MRs: it is one of the very few cases where MRs has been used for meta-analysis until now); besides the comment on the difficult access and scarce research capacity of the “database”, the text added: *“The table provides for each country the aggregate scores for the different evaluation criteria and globally. However, since it is not indifferent to have a score of, say, “c”, for a project of 20 million € representing a large share of the national programme or for a project of 500 thousand €, the left part of the table has been computed to provide scores weighted by the relative share of the value of each monitored project in the total value of the projects monitored for that country”.*

- **Subjectivity bias**

The study produced in 2009 by Jordi del Bas and Rafel Eguiguren conducted a qualitative analysis on a large set of reports: it shows that in a significant number of projects the monitor does not assess reality *as it is*, but *as it would be provided certain factors take place*. The presence of speculative assessments constitutes an important obstacle for comparability and aggregate analysis. Speculative assessment may originate in some occasions in the lack of rigour of a given monitor as what should be the reference of analysis. However, it is worth noting that speculative assessment is embedded by the ROM methodology in Ongoing monitoring for the criteria *Impact* and *Sustainability*, which are specifically assessed as *Impact prospects* and *Potential sustainability* respectively. A primary conclusion is that whereas this methodological endorsement may have its advantages in the framework of ROM taken as a tool to support individual project management, it automatically rules out the possibility of comparability in ratings for these two criteria, as it is impossible to measure the degree of speculation (probably much higher at the start of a project) or the rationale of such speculation in different monitors with different backgrounds. The final conclusion is that Ex-Post reports could allow comparability for these two criteria, whereas Ongoing information on the same two criteria should be treated as heterogeneous and, more importantly, as a complete different material and non-comparable for aggregation purposes.

The following weaknesses have less impact on the consolidation process but are nevertheless significant to have a complete vision of the ROM methodology.

- **Inconclusive results from re- monitoring**

There is now a wide universe of projects that were monitored, re-monitored and probably submitted to Ex-Post ROM. This could allow assessing the effectiveness of the monitoring process itself in the long term at different levels (project management, TMs, achieved results, dissemination of practices). A specific analysis comparing a set of project that went through monitoring / re-monitoring / final Evaluation / Ex-Post monitoring against an equal (if possible) set that did not receive the monitoring support could be very useful to illustrate the successes / difficulties of the monitoring procedures.

- **Lack of some relevant features**

There are a few variables for which the absence of information is particularly excessive, surprising or undesirable (as it affects aspects of critical importance for the EC). These variables are: *EC procedures* and *EC communication with the project*. The absence of information in these particular variables deserves a separate analysis. EC procedures and their application constitute a horizontal element affecting by definition every EC funded intervention. Seeking potential causalities between EC procedures and project performance is essential to produce convincing assessments. The main negative effect of the absence of detailed causal information on EC procedures in ROM is the lack of differentiation between problems caused by certain EC procedures, their application by EC TMs or their understanding by Implementing Partners. This amalgamation of possible causes hampers a correct understanding of the measures to be taken.



## ANNEX D

### WHAT IS A KNOWLEDGE AUDIT<sup>24</sup>

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<sup>24</sup> Asian Development Bank <http://www.adb.org/Documents/Information/Knowledge-Solutions/Auditing-Knowledge.pdf>

## WHAT IS A KNOWLEDGE AUDIT

Developing a knowledge-sharing culture is a change process on the way to better organisational performance. To achieve that change, an organisation needs a vision of where it wants to be and an accurate picture of where it is now—that is, its current reality.

A knowledge audit is one way of taking that picture. What is a knowledge audit? The traditional concept of an audit is an Evaluation of a person, business, system, process, project, or product by an independent third party. Financial audits are well understood. They examine the financial statements of a company to check performance against standards. A knowledge audit works differently, and some demystification is called for. It is by and large—granted differing objects, breadth of coverage, and levels of sophistication—a qualitative review (or inventory, survey, check) of an organisation's knowledge health at both the macro and micro levels. The defining feature of a knowledge audit is that it places people at the centre of concerns: it purports to find out what people know, and what they do with the knowledge they have. It can be described as an investigation of the knowledge needs of an organisation and the interconnectivity among leadership, organisation, technology, and learning in meeting these. Put in a different way, a knowledge audit is an investigation of the strengths and weaknesses of an organisation's knowledge, and of the opportunities and threats that face it.

A knowledge audit can have multiple purposes, but the most common is to provide tangible evidence of what knowledge an organisation needs, where that knowledge is, how it is being used, what problems and difficulties exist, and what improvements can be made. Although there can be no blueprint, a typical knowledge audit will—not necessarily at the same time or level of detail—query the following:

- What are an organisation's knowledge needs?
- What tacit and explicit knowledge assets does it have and where are they?
- How does knowledge flow within the organisation, formally and informally, and to and from clients and relevant organisations?
- How is that knowledge identified, created, stored, shared, and used?
- What obstacles are there to knowledge flows, e.g., to what extents do its people, business processes, and technology currently support or hamper the effective movement of knowledge?
- What gaps and duplications exist in the organisation's knowledge?

Benefits can come in a range of forms and need not represent a radical overthrow of organisational structures and systems. They can include

- (i) smoother induction of new employees;
- (ii) insights for coaching, mentoring, and training; (
- (iii) more congenial working relationships between people across the organisation;
- (iv) a more positive working environment;
- (v) improved use of internal and external knowledge products and services;
- (vi) easier retrieval of data, information, and knowledge across the organisation;
- (vii) enhanced quality and consistency of data, information, and knowledge;
- (viii) fewer obstacles to knowledge sharing;
- (ix) more efficient work processes;
- (x) superior work flows;
- (xi) higher quality "client" service delivery;
- (xii) better transfer of knowledge from departing employees to successors or replacements.

## **ANNEX E**

# **OVERVIEW OF THE EVALUATIONS FROM EAMR**

## OVERVIEW OF THE EVALUATIONS FROM EAMR

The following table presents the distribution of the Evaluations by countries. N/A means that the information was not available. Indeed, Evaluations into the FWC were found but the Annex A of the EAMR for 7 countries which are Albania, Bosnia and Herzegovina, Croatia, Ex-Yugoslavia, Macedonia, Moldova and Turkey were not. We can also note that 60 Evaluations into the FWC database were not linked to any country. This can be explained by the fact that theses Evaluations concern regional or thematic projects and programmes.

**Table 2 - Distribution of the Evaluations by countries**

	2007		2008		2009		total	
	EAMR	FWC	EAMR	FWC	EAMR	FC	EAMR	FWC
Afghanistan	8	2	9	5	13	6	30	13
Albania	N/A	0	N/A	1	N/A	0	N/A	1
Algeria	8	1	6	4	10	2	24	7
Angola	10	1	3	1	7	2	20	4
Argentina	N/A	0	N/A	1	1	1	1	2
ASEAN	N/A	0	2	0	1	0	3	0
Bangladesh	N/A	7	9	6	16	2	25	15
Barbados	12	3	N/A	4	7	1	19	8
Belarus	N/A	0	N/A	0	2	0	2	0
Benin	7	2	4	2	7	4	18	8
Bolivia	N/A	4	5	1	5	2	10	7
Bosnia and Herzegovina	N/A	2	N/A	3	N/A	1	N/A	6
Botswana	2	5	N/A	4	2	7	4	16
Brazil	N/A	0	3	2	8	1	11	3
Burkina Faso	4	2	N/A	5	6	0	10	7
Burundi	3	0	N/A	2	3	1	6	3
Cameroon	1	2	6	6	11	5	18	13
Cape Verde	1	0	N/A	0	1	0	2	0
Central African Republic	4	2	6	4	4	2	14	8
Chad	N/A	1	3	4	10	2	13	7
Chile	N/A	3	2	1	2	2	4	6
China	6	5	9	3	13	6	28	14
Colombia	N/A	2	7	6	3	0	10	8
Congo (Brazzaville)	2	1	1	2	5	0	8	3
Congo (RDC)	2	0	2	3	5	3	9	6
Costa Rica	N/A	0	N/A	0	4	0	4	0
Croatia	N/A	2	N/A	1	N/A	0	N/A	3
Djibouti	2	0	4	0	5	0	11	0
Dominican Republic	N/A	0	3	7	8	0	11	7
Ecuador	N/A	0	N/A	0	2	0	2	0
Egypt	5	4	1	4	9	1	15	9
El Salvador	N/A	0	1	0	2	0	3	0
Eritrea	3	1	2	1	4	1	9	3
Ethiopia	15	0	N/A	1	54	2	69	3
Ex-Yugoslavia	N/A	0	N/A	1	N/A	0	N/A	1
Fiji	16	1	10	0	7	3	33	4

**Support to Quality Monitoring Systems and Methodologies of Projects and Programmes of External Assistance financed by the EC**

EUROPEAID/127731/C/SER/Multi – Contract Number: EVA/219719

	2007		2008		2009		total	
Gabon	13	1	6	2	4	2	23	5
Gambia	N/A	0	1	0	2	0	3	0
Georgia	3	1	3	1	4	3	10	5
Ghana	7	0	6	1	10	3	23	4
Guatemala	N/A	4	5	1	2	3	7	8
Guinea (Conakry)	6	0	N/A	1	N/A	1	6	2
Guinea-Bissau	4	0	N/A	0	6	0	10	0
Guyana	12	2	N/A	2	8	6	20	10
Haiti	3	0	4	0	6	2	13	2
Honduras	N/A	0	3	0	3	0	6	0
India	4	2	N/A	4	8	3	12	9
Indonesia	6	3	9	8	4	5	19	16
Ivory Coast	9	2	2	3	3	0	14	5
Jamaica	N/A	1	5	4	7	2	12	7
Jordan	N/A	2	4	6	5	8	9	16
Kazakhstan	N/A	1	1	1	2	3	3	5
Kenya	21	1	6	2	9	1	36	4
Lebanon	3	2	3	1	3	4	9	7
Lesotho	2	0	4	2	3	4	9	6
Liberia	1	0	N/A	0	2	0	3	0
Macedonia	N/A	0	N/A	0	N/A	1	N/A	1
Madagascar	10	2	11	7	7	3	28	12
Malawi	8	3	4	8	5	3	17	14
Maldives	N/A	0	N/A	0	5	0	5	0
Mali	7	0	8	0	6	1	21	1
Mauritania	N/A	2	2	2	3	0	5	4
Mauritius	7	1	6	6	10	2	23	9
Mexico	N/A	1	3	1	1	0	4	2
Moldova	N/A	0	N/A	1	N/A	1	N/A	2
Morocco	N/A	5	5	4	18	10	23	19
Mozambique	2	0	7	4	6	3	15	7
Namibia	5	0	5	1	12	1	22	2
Nicaragua	N/A	13	9	6	10	5	19	24
Niger	10	2	11	9	6	4	27	15
Nigeria	5	6	12	9	3	1	20	16
Pakistan	2	1	3	2	5	0	10	3
Panama	N/A	0	N/A	0	3	0	3	0
Papua New Guinea	4	0	5	0	3	4	12	4
Peru	N/A	1	7	3	7	2	14	6
Philippines	8	0	5	2	5	3	18	5
Russia	5	3	6	2	4	1	15	6
Rwanda	2	0	1	0	6	2	9	2
SADC	4	0	N/A	0	4	0	8	0
Senegal	2	1	5	3	4	3	11	7
Sierra Leone	8	0	N/A	2	5	1	13	3
Solomon Islands	2	0	1	0	8	0	11	0
Somalia	24	0	35	0	21	0	80	0

**Support to Quality Monitoring Systems and Methodologies of Projects and  
Programmes of External Assistance financed by the EC**

EUROPEAID/127731/C/SER/Multi – Contract Number: EVA/219719

	<b>2007</b>		<b>2008</b>		<b>2009</b>		<b>total</b>	
South Africa	19	10	17	11	N/A	5	<b>36</b>	<b>26</b>
Sri Lanka	13	3	9	2	N/A	0	<b>22</b>	<b>5</b>
Sudan	4	0	3	1	4	1	<b>11</b>	<b>2</b>
Suriname	N/A	0	N/A	0	4	0	<b>4</b>	<b>0</b>
Swaziland	1	0	1	0	6	0	<b>8</b>	<b>0</b>
Syria	9	5	6	1	7	0	<b>22</b>	<b>6</b>
Tanzania	8	1	5	1	3	2	<b>16</b>	<b>4</b>
Thailand	16	8	11	5	13	1	<b>40</b>	<b>14</b>
Timor-Leste	3	0	2	0	3	0	<b>8</b>	<b>0</b>
Togo	8	0	13	0	5	1	<b>26</b>	<b>1</b>
Trinidad and Tobago	N/A	0	N/A	0	3	0	<b>3</b>	<b>0</b>
Tunisia	2	2	13	4	2	2	<b>17</b>	<b>8</b>
Turkey	N/A	2	N/A	3	N/A	0	<b>N/A</b>	<b>5</b>
Uganda	N/A	1	N/A	1	14	2	<b>14</b>	<b>4</b>
Ukraine	1	1	1	0	5	0	<b>7</b>	<b>1</b>
Uruguay	N/A	0	N/A	3	4	1	<b>4</b>	<b>4</b>
Vanuatu	5	0	3	0	4	0	<b>12</b>	<b>0</b>
Venezuela	N/A	0	N/A	0	3	0	<b>3</b>	<b>0</b>
Vietnam	9	6	9	5	9	5	<b>27</b>	<b>16</b>
West Bank and Gaza Strip	4	0	3	1	7	4	<b>14</b>	<b>5</b>
Yemen	N/A	0	N/A	0	2	0	<b>2</b>	<b>0</b>
Zambia	6	0	16	0	7	3	<b>29</b>	<b>3</b>
Zimbabwe	2	0	2	0	3	2	<b>7</b>	<b>2</b>
(blank)	N/A	22	N/A	13	N/A	25	<b>N/A</b>	<b>60</b>
<b>Grand Total</b>	<b>430</b>	<b>177</b>	<b>425</b>	<b>247</b>	<b>603</b>	<b>212</b>	<b>1458</b>	<b>636</b>

## **ANNEX F**

### **SOME CASES OF REPEATED M&E**

## SOME CASES OF REPEATED M&E

The following table presents some cases of overlapping between Evaluation and ROM. We only looked at decisions with an allocated amount below 4M€ and tried to list all Evaluations, ROM and audits made for this decision.

In order to calculate the percentage allocated to ROM (financed though external contracts), Evaluation and audit (as part of the total budget allocated to the decision), we decided to take as an assumption a cost of 10,000€ for each Ongoing and Ex-Post ROM.

With this assumption, it appears that most of these projects spent 3% for this tool. Moreover, a few projects have spent more than 9% for ROM and Evaluation.

As an example, the first project presented with regards to the Small and Medium Enterprises Development Fund benefited from an amount of around 950,000€ allocated. For this decision, 2 Evaluations and 3 ROM (for an amount of 3\*10,000€) have been launched. The total amount spent for Evaluations represents around 7% of the total budget allocated and if we take into account the 3 monitoring missions, we can consider that the total budget allocated to M&E represents around 10.31% of total amount allocated to the project.

**Table 3 - Cases of overlapping between Evaluation and ROM**

	Period	Reference	Title	Allocated	% allocated to M&E and Audits
<b>Decision</b>	<b>16/04/2003</b>	<b>ASIE/2000/002-466</b>	<b>Small and Medium Enterprises Dev.Fund-Phase II</b>	<b>946,765.45</b>	
<b>Evaluations</b>	12/4/2007	ASIE/2007/137-707	Mid-term Evaluation	43,773.26	<b>10.31%</b>
	27/06/2008	ASIE/2008/159-359	Final Evaluation	23,838.91	
<b>ROM</b>	10/8/2005	MR-020326.01	Ongoing	10,000.00	
	7/11/2006	MR-020326.02	Ongoing	10,000.00	
	4/12/2007	MR-020326.03	Ongoing	10,000.00	
<b>Decision</b>	<b>18/02/2005</b>	<b>FED/2004/017-022</b>	<b>Programme de Soutien à l'Action Culturelle (PSAC)</b>	<b>1,619,000.00</b>	
<b>Evaluations</b>	12/9/2008	FED/2008/193-663	Evaluation Finale	30,632.00	<b>4.40%</b>
<b>Audit</b>	20/10/2009	FED/2009/219-473	Audit financier	10,671.43	
<b>ROM</b>	21/12/2006	MR-001915.01	Ongoing	10,000.00	
	16/11/2007	MR-001915.02	Ongoing	10,000.00	
	12/3/2010	MR-001915.03	Ex-Post	10,000.00	
<b>Decision</b>	<b>18/05/2004</b>	<b>FED/2004/016-545</b>	<b>Reinforcement Regional du Centre Africain de Recherches sur Bananiers et Plantains-CARBAP</b>	<b>1,943,192.73</b>	
<b>Evaluations</b>	4/12/2007	FED/2008/193-663	Evaluation Finale	30,632.00	<b>3.12%</b>
<b>ROM</b>	18/11/2005	MR-001452.01	Ongoing	10,000.00	
	3/11/2006	MR-001452.02	Ongoing	10,000.00	
	17/04/2009	MR-001452.03	Ex-Post	10,000.00	



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	Period	Reference	Title	Allocated	% allocated to M&E and Audits
<b>Decision</b>	<b>13/12/2001</b>	<b>FED/2001/015-683</b>	<b>Programme d'appui à l'ON</b>	<b>1,957,500.00</b>	<b>2.47%</b>
<b>Evaluations</b>	24/01/2008	FED/2007/187-102	Evaluation Finale	18,342.88	
<b>ROM</b>	18/02/2004	MR-001127.01	Ongoing	10,000.00	
	14/07/2005	MR-001127.02	Ongoing	10,000.00	
	13/10/2006	MR-001127.03	Ongoing	10,000.00	

<b>Decision</b>	<b>19/11/2004</b>	<b>FED/2004/017-425</b>	<b>Appui à l'Ordonnateur National</b>	<b>2,138,576.00</b>	<b>9.11%</b>
<b>Evaluations</b>	8/6/2008	FED/2008/193-174	Evaluation Finale	62,511.85	
<b>Audits</b>	21/08/2007	FED/2007/193-170	Audit CAON 2007	60,162.27	
	16/02/2010	FED/2010/223-793	Audit financier DP3 et DP4	42,072.00	
<b>ROM</b>	1/7/2005	MR-001366.01	Ongoing	10,000.00	
	7/7/2006	MR-001366.02	Ongoing	10,000.00	
	8/6/2007	MR-001366.03	Ongoing	10,000.00	

<b>Decision</b>	<b>19/02/2002</b>	<b>MED/2001/005-787</b>	<b>Appui aux médias tunisiens</b>	<b>2,150,000.00</b>	<b>3.25%</b>
<b>Evaluations</b>	26/04/2009	MED/2009/202-264	Evaluation Finale	34,300.00	
<b>Audits</b>	22/12/2006	MED/2006/131-763	Audit (POA 2005, 2006 + 2007)	5,481.00	
<b>ROM</b>	21/10/2005	MR-010271.01	Ongoing	10,000.00	
	13/12/2006	MR-010271.02	Ongoing	10,000.00	
	28/09/2007	MR-010271.03	Ongoing	10,000.00	

<b>Decision</b>	<b>16/01/2004</b>	<b>FED/2003/016-439</b>	<b>Capacity Building for Development Planning and Programme Management</b>	<b>2,520,000.00</b>	<b>3.20%</b>
<b>Evaluations</b>	23/06/2006	FED/2006/190-714	Mid-Term Evaluation	24,520.00	
	18/08/2009	FED/2009/208-784	Final Evaluation	26,152.00	
<b>ROM</b>	14/11/2005	MR-001451.01	Ongoing	10,000.00	
	18/10/2006	MR-001451.02	Ongoing	10,000.00	
	13/11/2007	MR-001451.03	Ongoing	10,000.00	

<b>Decision</b>	<b>11/3/2004</b>	<b>ALA/2004/005-906</b>	<b>Desarrollo tecnológico en sectores clave de la economía uruguaya</b>	<b>3,000,000.00</b>	<b>2.39%</b>
<b>Evaluations</b>	29/05/2008	ALA/2008/152-255	Misión de Preparación del Informe de Evaluación Final	41,756.00	
<b>ROM</b>	20/03/2006	MR-030408.01	Ongoing	10,000.00	
	7/4/2007	MR-030408.02	Ongoing	10,000.00	
	19/06/2009	MR-030408.03	Ex-Post	10,000.00	

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	Period	Reference	Title	Allocated	% allocated to M&E and Audits
<b>Decision</b>	<b>17/08/2005</b>	<b>MED/2005/017-261</b>	<b>Reinforcement of Civil Society Afkar II</b>	<b>3,000,000.00</b>	<b>3.44%</b>
<b>Evaluations</b>	27/10/2008	MED/2008/165-375	Final Evaluation	20,870.28	
<b>Audits</b>	15/04/2008	MED/2008/155-463	Audit 'Afkar II'	52,185.00	
<b>ROM</b>	16/11/2007	MR-010462.01	Ongoing	10,000.00	
	13/10/2008	MR-010462.02	Ongoing	10,000.00	
	30/12/2009	MR-010462.03	Ongoing	10,000.00	

<b>Decision</b>	<b>10/5/2004</b>	<b>FED/2004/016-580</b>	<b>HIV/AIDS Response Capacity Development Programme (HRCDP)</b>	<b>3,200,000.00</b>	<b>3.36%</b>
<b>Evaluations</b>	2/6/2009	FED/2009/157-163	Final Evaluation	57,872.00	
<b>Audits</b>	15/08/2007	FED/2007/191-619	Financial Audit	5,619.42	
	18/06/2008	FED/2008/191-620	Financial Audit	4,000.00	
<b>ROM</b>	7/12/2005	MR-001458.01	Ongoing	10,000.00	
	1/12/2006	MR-001458.02	Ongoing	10,000.00	
	19/11/2007	MR-001458.03	Ongoing	10,000.00	
	31/07/2009	MR-001458.04	Ongoing	10,000.00	

<b>Decision</b>	<b>26/11/1997</b>	<b>ENV/1997/004-821</b>	<b>Phu Kheio Wildlife Sanctuary</b>	<b>3,623,779.07</b>	<b>3.62%</b>
<b>Evaluations</b>	12/10/2005	ENV/2005/108-675	Mid Term Evaluation	53,546.12	
	20/08/2007	ENV/2007/142-321	Final Evaluation	37,564.98	
<b>ROM</b>	18/03/2004	MR-020168.01	Ongoing	10,000.00	
	25/02/2005	MR-020168.02	Ongoing	10,000.00	
	3/11/2006	MR-020168.03	Ongoing	10,000.00	
	18/12/2009	MR-020168.04	Ex-Post	10,000.00	

<b>Decision</b>	<b>24/03/2002</b>	<b>FED/2002/016-093</b>	<b>Augmentation of Gaborone Technical College and Automotive Trades Technical College</b>	<b>3,880,000.00</b>	<b>2.07%</b>
<b>Evaluations</b>	23/04/2008	FED/2008/188-973	MID TERM REVIEW	50,256.40	
<b>ROM</b>	21/10/2005	MR-001422.01	Ongoing	10,000.00	
	6/11/2007	MR-001422.02	Ongoing	10,000.00	
	2/4/2010	MR-001422.04	Ex-Post	10,000.00	

## **ANNEX G**

### **ANALYSIS OF EVALUATIONS BY REGION AND DAC CODE**

## ANALYSIS OF EVALUATIONS BY REGION AND DAC CODE

### G.1 Analysis by region

The distribution of Evaluations roughly corresponds to the distribution of the investments across the regions. Approximately 46% of Evaluations and 42% of the budget for Evaluations are allocated to Sub-Saharan Africa, CPO area. Most Evaluations are under the command of AIDCO but few (about 3%) are under the Enlargement Directorate (ELARG).

Table 4 - Distribution of Evaluations and budget by region

Area	Values	Distribution of Evaluations	Budget for Evaluation M€	Distribution of budget
Sub-Saharan Africa, Caribbean, Pacific	292	46.13%	21.53	42.05%
Asia and Central Asia	130	20.54%	11.19	21.85%
Europe, Southern Mediterranean, Middle-East and Neighbourhood Policy	107	16.90%	10.33	20.17%
Latin America	73	11.53%	4.57	8.93%
ELARG	21	3.32%	1.98	3.86%
Thematic operations	9	1.42%	1.48	2.90%
MULTI	1	0.16%	0.12	0.24%
Grand Total	633	100.00%	51.21	100.00%

### G.2 Analysis by sector

In terms of allocated budget, Table 5 provides a comparison between the distribution of project budget and Evaluation budget by DAC code. It seems that from a global point of view, the distribution of budget by project follow the distribution of budget by Evaluation. A closer look shows that it is normal for projects in Government and Civil Society sector to allocate a larger budget to Evaluations as most of the time they are linked to important programmes. Conversely, this percentage is smaller for the sector "Support to NGOs" (0.51%) as they are usually very small projects.

Table 5 - Distribution of Evaluations by DAC sector (2007-2009)

	DAC sector	Number of Evaluation	Amount allocated by Evaluation M€	Amount allocated by project M€	Distribution by budget Evaluation	Distribution by budget projects
150	Government And Civil Society	164	13.47	1763.12	26.30%	17.95%
120	Health	30	2.54	1000.88	4.95%	10.19%
140	Water Supply And Sanitation	26	2.16	860.00	4.21%	8.75%
400	Multisector/Cross-Cutting	72	6.34	839.50	12.38%	8.55%
160	Other Social Infrastructure and Services	34	2.74	761.75	5.35%	7.75%
110	Education	49	3.45	715.82	6.74%	7.29%
210	Transport And Storage	21	1.51	635.31	2.96%	6.47%
998	Unallocated/ Unspecified	28	2.23	523.62	4.36%	5.33%
311	Agriculture	43	3.33	414.00	6.51%	4.21%
331	Trade Policy And Regulations And Trade-Related Adjustment	40	3.33	407.11	6.49%	4.14%
500	Commodity Aid And General Programme Assistance	21	2.13	289.73	4.15%	2.95%
321	Industry	15	1.14	270.98	2.24%	2.76%

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	DAC sector	Number of Evaluation	Amount allocated by Evaluation M€	Amount allocated by project M€	Distribution by budget Evaluation	Distribution by budget projects
250	Business And Other Services	10	0.79	260.00	1.54%	2.65%
920	Support To Non- Governmental Organisations (NGOs)	5	0.26	206.75	0.51%	2.10%
332	Tourism	9	0.53	203.27	1.03%	2.07%
220	Communication	7	0.65	127.55	1.27%	1.30%
700	Humanitarian Aid	8	0.45	108.63	0.87%	1.11%
230	Energy Generation And Supply	10	0.86	89.92	1.68%	0.92%
240	Banking And Financial Services	8	0.64	81.81	1.26%	0.83%
130	Population Policies/Programmes And Reproductive Health	8	0.51	74.69	1.00%	0.76%
910	Administrative Costs Of Donors	12	1.24	71.12	2.42%	0.72%
312	Forestry	8	0.55	62.40	1.07%	0.64%
322	Mineral Resources And Mining	3	0.18	39.00	0.36%	0.40%
313	Fishing	2	0.18	17.42	0.35%	0.18%
323	Construction	0	0.00	0.00	0.00%	0.00%
600	Action Relating To Debt	0	0.00	0.00	0.00%	0.00%
930	Refugees In Donor Countries	0	0.00	0.00	0.00%	0.00%
<b>Grand Total</b>		633	51.21	9824.39	100.00%	100.00%

**Source:** Annual Report 2010 on the European Union's development and external assistance policies and their implementation in 2009, COM(2010)335

## **ANNEX H**

# **THE CHALLENGE FOR EACH INSTRUMENT**

## THE CHALLENGE FOR EACH INSTRUMENT

The table below graphics present the different “scoring” of each instrument in terms of potentiality and in terms of reality.

### H.1 Ongoing ROM

Table 6 - Note on 20 for Ongoing ROM

		Potentiality	Reality
Internal criteria	Project Management	17	13
	Accountability	18	13
	Knowledge Generation	9	8
	Aggregation	19	13
External criteria	Ownership	12	9
	Alignment	12	9
	Harmonisation	16	9

Figure 2 - Internal Criteria for Ongoing ROM

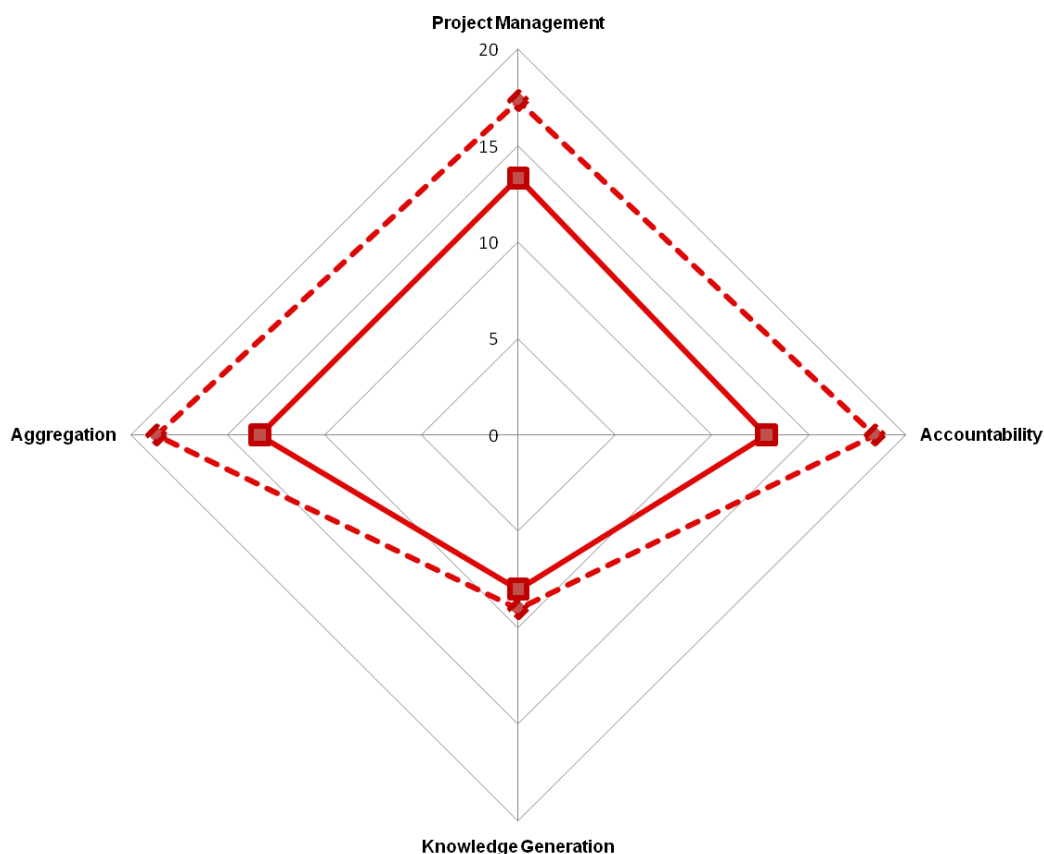
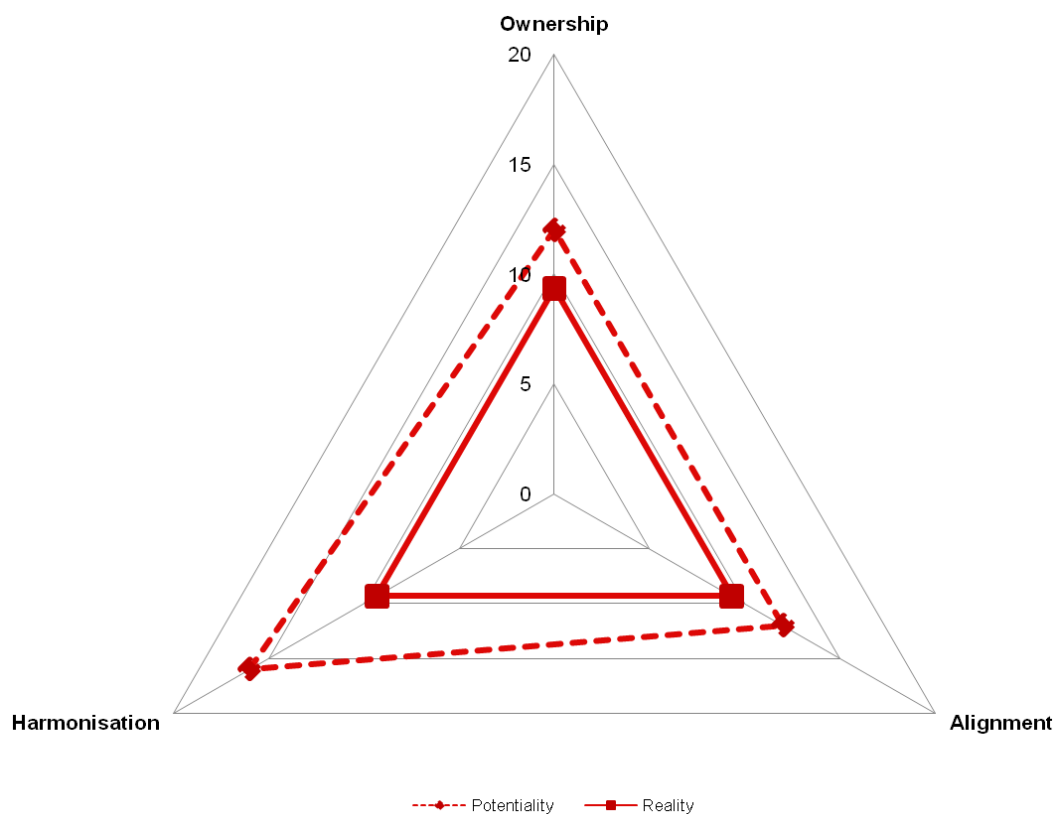


Figure 3 - External Criteria for Ongoing ROM



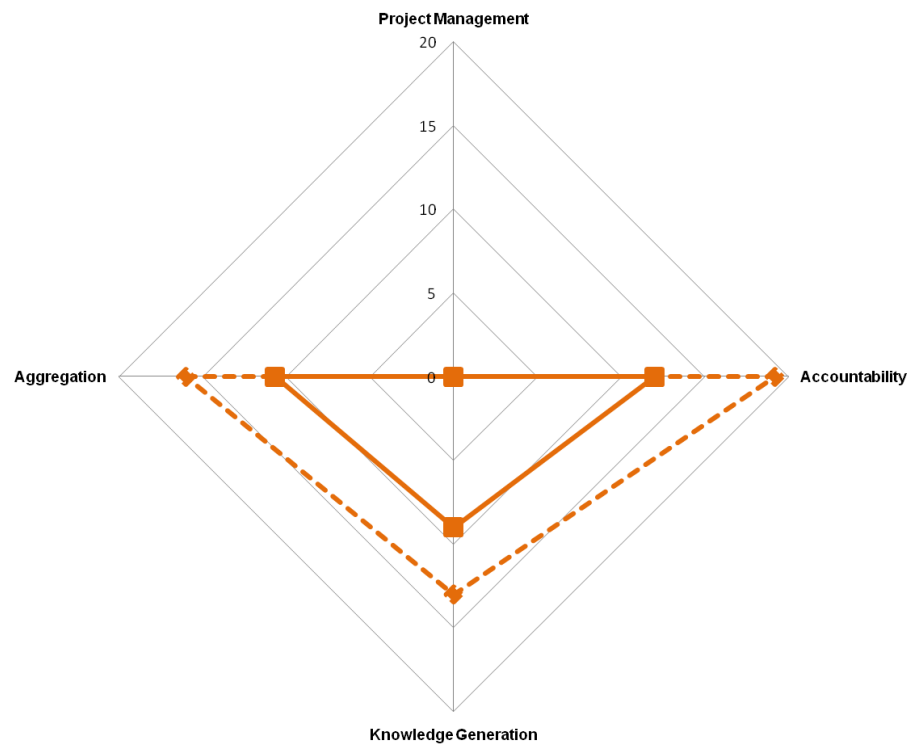
## H.2 Ex-Post ROM

Table 7 - Note on 20 for Ex-Post ROM

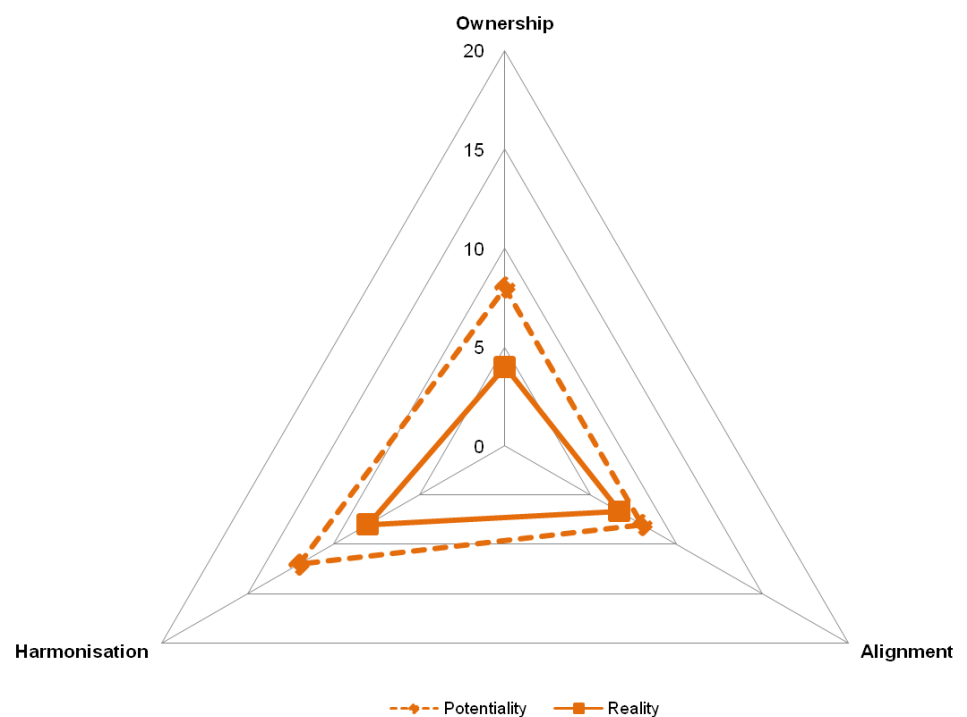
		Potentiality	Reality
Internal criteria	Project Management	0	0
	Accountability	19	12
	Knowledge Generation	13	9
	Aggregation	16	11
External criteria	Ownership	8	4
	Alignment	8	7
	Harmonisation	12	8



**Figure 4 - Internal Criteria for Ex-Post ROM**



**Figure 5 - External Criteria for Ex-Post ROM**

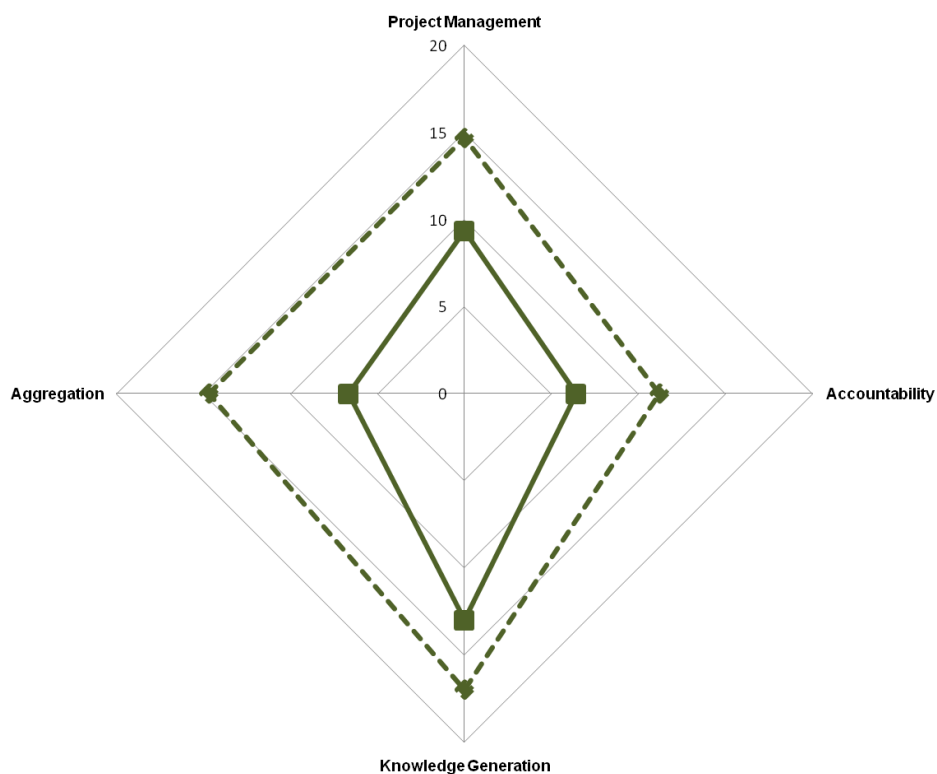


### H.3 Evaluations

Table 8 - Note on 20 for Evaluations

		Potentiality	Reality
Internal criteria	Project Management	15	9
	Accountability	11	6
	Knowledge Generation	17	13
	Aggregation	15	7
External criteria	Ownership	17	15
	Alignment	15	13
	Harmonisation	15	13

Figure 6 - Internal Criteria for Evaluations



**Figure 7 - External Criteria for Evaluations**

