

ROM

ROM results on Joint Implementation (Part 2)

28 September 2021



Agenda

Agenda

- Follow-up context
- Recommendations



Follow-up context

In relation to the previous presentation

Previous Presentation (topics covered)

- Description of the ROM services
- Geographic coverage of the JI sample
- Overall performance of JI vs all interventions which were subject to ROM review
- Areas of good performance
- Areas of performance with problems (and reasons for such performance)
- Recommendations (addressed to the IPs and the EU)

Disclaimer

Anonymisation of data and examples:

- Interventions studied are only a sample of all JI interventions (though representative in terms of geography and sectors).
- The only source of information is the outputs of the “ROM reviews” and the presentation does not involve an exhaustive examination of the intervention.
- The purpose is not to pinpoint the deficiencies of specific interventions – but rather to illustrate the most commonly observed weaknesses and seek jointly approaches for addressing them.



Recommendations to the IPs

Examples and ideas for their implementation

Legend to facilitate the presentation of the recommendations of the following slides

RX. Main Recommendation (from the previous presentation)

Second level of RX recommendation (explanation R1.1)

- Third level of RX recommendation (explanation R1.1.1)

Good practices

Positive Example

Negative Example

R1. Improved design (intervention logic / logframe) – 1/3

Follow EU guidelines in the preparation of the logframe (result chain and indicators)

- **Complete indicator framework: All important aspects of the intervention should be measured by indicators**

Good practice: Good mix of quantitative and qualitative indicators for all results

- **Include clear outcome indicators**

Example 1: “Number of training sessions organised” (activity level)

Example 2: “Number of people trained who increased their capacities in...” (output level)

Example 3: “Number of people trained who provided improved services...” (outcome level)

- **Avoid use of activity or process indicators at output level**

Example 1: “Number of training sessions organised” is an activity indicator (as shown above)

R1. Improved design (intervention logic / logframe) – 2/3

- **Ensure that formulation of results and indicators is clear (avoid complexity, vagueness and ambiguity)**

Example: Outcome: “Providing partner countries with know-how, tools and advice **in order to** improve the ... responsiveness of ... reforms, strategies and action plans, ..., **thereby also** enabling the orientation towards the inclusion of disadvantaged groups and vulnerable people”

- **Define the result statements in concrete and unambiguous way**

Example: Outcome: “To foster a **conducive environment** for enhanced regional cooperation”

- **Make sure that data for the measurement of indicators exist and can be collected with reasonable effort**

- **Ensure early provision of baselines and targets**

Example: Intervention which does not include (or delay studies on) baselines and targets

- **Disaggregate the indicators (and targets) by sex (mandatory when relevant) or other categories**

Good Practice: country, rural/urban, disability status, migration status, age group, income group, etc.

- **Engage in dialogue with the OM to improve the logframe**

Good Practice: The OM may call for the ROM SDL service

R1. Improved design (intervention logic / logframe) – 3/3

Consider using standard results and indicators

- Consider a set of “standard” result statements and indicators per sector
- Consult <https://europa.eu/capacity4dev/results-and-indicators>
- Take into account the upcoming Global Europe Results Framework results statements and indicators
- Consider <https://unstats.un.org/sdgs/indicators/indicators-list/> (especially Tier I)
- Consider adjustments which will be introduced with the launching of OPSYS
- Opt for consistency among “similar” interventions, allowing comparison and promoting uniform reporting of results

Use the logframe as a management / internal monitoring tool

- Perform internal monitoring, based on the logframe indicators
- Include updated logframe and report progress against indicators in progress reports
- If the logframe has deficiencies, suggest reasonable adjustments

R2. Ensure continued flow of benefits post intervention – 1/2

Elaborate an exit strategy early in the intervention

- Define strategy on long-term clear outcomes, not outputs
- Include in the design how to succeed continuous flow of benefits after the end of the intervention
- Disassociate the “continuous presence” of the IP/MS in the country to the strategy
- Take into account risks of interruption of the intervention (e.g. conflict, pandemic, etc.)
- Take mitigation measures for high turnover / rotation of in state institutions (supported by the intervention):

Good practices:

Training of trainers

Foster the establishment of an internal training programme within the organisation, for knowledge retention

Cooperate with state educational institutions, which can provide the training in a sustainable manner

- Ensure that there is adequate planned time to train beneficiaries on tools developed by the intervention

R2. Ensure continued flow of benefits post intervention – 2/2

Positive 1: NEAR project supporting a relatively new state institution in the country

Institutional support provided, thus strengthening institutional capacity

Human capacities of the institution's staff strengthened sustainably through Training of Trainers, exchange activities, workshops, conferences etc.

Good sustainability prospects because: 1) Institution has a stable budget; 2) Low turnover of institution's staff.

Negative 1: Intervention in a fragile region, piloting a novel development approach

No exit strategy assuring sustained flow of benefits after the end of the specific intervention

Intervention designed to end with the adoption of Action Plans, supported by novel tools; no time left for assessment and adjustments.

Negative 2: Intervention in a fragile country, working with municipalities

Rather than training staff within the organisation, the intervention procured seconded personnel, which was not sure to be hired afterwards.

R3. Keep implementation arrangements simple – 1/2

Avoid unduly complex procedures for management, transfer of funds, contracting of services etc.

- **Think a priori of the efficiency of applying any particular procedure**
- **Pillar assessment means that internal procedures are robust, but they are not necessarily efficient**
- **Trust and recognise each other's rules in multi-IP projects (all are pillar assessed institutions)**
- **Consider adopting a set of common "standard" rules at the PN level**

Good practice: Defining a golden intersection of existing rules (balancing robustness and efficiency);
EU rules could be considered as a basis, with ad hoc exceptions in case of conflict with national legislation.

R3. Keep implementation arrangements simple – 2/2

- **Complex multi-level steering mechanisms**

Example 1: Inoperative 3-level steering structures (strategic, coordination, operational)

Example 2: Lack of steering structure of intervention, delegation of governance to higher level (of FA), with inoperative SC.

- **Complex, time-consuming procedures for contracting experts**

Example: Multi-IP intervention, where one partner could not organise the engagement of experts (for internal reasons) and another partner had considerable difficulty in providing a dedicated full-time expert.

- **Complex contractual or operational procedures**

Example 1: Sub-grantees required to sign separate contracts and provide different reports to different IP offices.

Example 2: Long cascade mechanism for fund transfer: EU → IP → nat. auth. → reg. auth. → municipal company.

- **Strategic approach not well thought out**

Example: Bottom-up approach, targeting only the direct beneficiaries (individuals) for participating in the project (as trainees), and failing to obtain the support of the organisations (state institutions).

R4. Safeguard the independence of the intervention

Avoid merging /attaching the intervention to other projects or programmes

- Keep each intervention's operational independence

Good Practice (when the IP runs several projects in the partner country / sector): Though it undoubtedly has benefits (strong coordination), each intervention has to maintain its operational independence (flexibility), its own steering mechanism and be recognisable as different. This way, any inefficiencies or problems in the implementation of one intervention will not unduly burden the others.

Activities and outputs of the intervention should not depend on outputs of other projects

Example: Intervention in LAC country: Planned improvements to infrastructure were designed to use infrastructure that would have been previously constructed, financed by another project. Delays to that other project made the design not workable.

R5. Ensure smooth and efficient provision of resources

Apply efficient procedures for hiring experts

- Ensure fast recruitment in interventions which require the mobilization of a big number of short-term experts

Assure operational planning includes global (as well as annual) operational plans

Example: Lack of global operational plans was reported in two of the interventions studied. The lack of a global operational plan did not allow the planning of the resource provision (and hence the execution of the intervention) in a smooth manner.

R6. Ensure the implementation of the Communication and Visibility strategies/plans from the outset

Engage a communication expert, if appropriate, early in the intervention

Fully exploit the potential of electronic communication media (internet, social media)

Example 1: No clear visibility of intervention/EU financing is provided in the websites of the IPs or local partners.

Example 2: Information on the intervention on relevant website is scarce and not frequently updated.

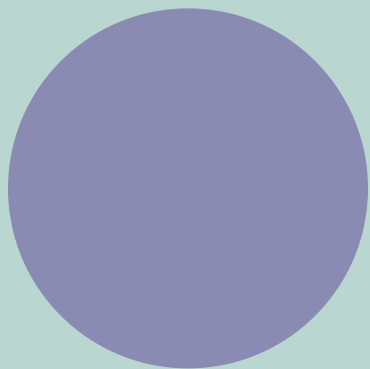
Ensure a unique visual identity of intervention and a unique communication strategy

Example: In multi-IP intervention, each partner followed separate communication plans (no single visual identity)

Keep a close contact with OM, consulting on C&V, throughout implementation

- https://ec.europa.eu/international-partnerships/comm-visibility-requirements_en
- Invite the EU in selected events as well as adjustment of communication strategy, if needed

Example: Design and implementation of an appropriate “reduced visibility” approach, jointly by EU and IP.



THANK YOU

*More info on INTPA results and indicators:
<https://europa.eu/capacity4dev/results-and-indicators>*

Q&A - Discussion

ROM
RESULTS ORIENTED
MONITORING