

## Work Plan

Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission

A Backbone Strategy

JULY 2008



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# Work Plan

This Work Plan completes the Backbone Strategy on ‘Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission’. It should be read in conjunction with the Strategy.

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## List of Acronyms

<b>AAP</b>	Annual Action Programme
<b>ADM</b>	Aid Delivery Methods
<b>CRIS</b>	Common Relex Information System
<b>CSP</b>	Country Strategy Paper
<b>CT</b>	Coordination Team
<b>DAC</b>	Development Assistance Committee
<b>DGT</b>	Directorate General for Translation
<b>EAMR</b>	External Assistance Management Rapport
<b>ECA</b>	European Court of Auditors
<b>EDF</b>	European Development Fund
<b>FA</b>	Financing Agreement
<b>FAQ</b>	Frequently Asked Questions
<b>FCU</b>	Finance and Contract Unit
<b>FWC</b>	Framework Contract
<b>GBS</b>	General Budget Support
<b>HLF</b>	High Level Forum
<b>HQ</b>	Head Quarter
<b>IGO</b>	Inter Governmental Organisation
<b>LFA</b>	Logical Framework
<b>LS</b>	Legal Services
<b>JAR</b>	Joint Assistance Report
<b>JRC</b>	Joint Research Centre
<b>KM</b>	Knowledge Management
<b>MIP</b>	Multiannual Indicative Programme
<b>MS</b>	Member States
<b>MTR</b>	Mid Term Review
<b>MOU</b>	Memorandum of Understanding
<b>NGO</b>	Non Governmental Organisation
<b>OPOCE</b>	Office for Official Publications of the European Communities
<b>PC</b>	Partner Country
<b>PCM</b>	Project Cycle Management
<b>PG</b>	Partner Government
<b>PIA</b>	Project Implementation Arrangement
<b>PIU</b>	Project Implementation Unit
<b>PRAG</b>	Practical Guide to Contract Procedures for EC External Actions
<b>QSG</b>	Quality Support Group
<b>ROM</b>	Results Oriented Monitoring
<b>SPSP</b>	Sector Policy Support Program
<b>TA</b>	Technical Assistance
<b>TAP</b>	Technical Administrative Provisions
<b>TC</b>	Technical Cooperation
<b>TOR</b>	Term of Reference
<b>WP</b>	Work Plan

## Section 1 – Support Strategic Dialogue on Technical Cooperation and Project Implementation Arrangements

### MAIN OUTPUTS:

- Strategy disseminated at country level
- Delegations engaged in policy dialogue and harmonisation efforts
- Link with the programming exercise and the reporting system
- Coordinated TC actively promoted at country and at international level

Problems/Objectives	[A] Short Term/Priority Actions : July 08 – Dec. 08		[B] Follow-up and Mid term Actions : 2009 on
	Action	Action	
<b>1.1. Disseminate the Strategy at Country Level</b>			
<b>Objective:</b> Make the Strategy well known at country level.	1. Circulate officially the Strategy to partner countries, other donors, project staff, etc. (see section 4.1). <i>Delegations</i> <b>→ 30 09 2008</b>	12. Organize active marketing of the Strategy and of the Guidelines (including through media). Present the Strategy to country partners and other donors (see section 4.1). <i>Delegations</i> <b>→ 30 06 2009</b>	
<b>1.2. Support Policy Dialogue and Harmonisation at Country Level</b>			
<b>Problem:</b> Lack of partner country policy on TC an in general weak ownership. Some movement on policy/coordination is emerging at sector level. Overall lack of information and of exchange on good practices.	2. Delegations discuss with partner countries the 'Action Plan' referred to in section 5.1.2. <i>Delegations</i> <b>→ 31 12 2008</b>	13. Report on major initiatives taken in the EAMR and in the Joint Assistance Report for EDF countries. <i>Delegations</i> <b>→ Ongoing, starting from Jan. 09</b>	
<b>Objective:</b> Support/facilitate actions from partner country side. Break through isolation promoting information on good practices among countries/Delegations.	3. Delegations engage in an appropriate menu of actions, as recommended in the 'Backbone Strategy' section 4.3.1. <i>Delegations</i> <b>→ Ongoing</b>		
	4. Delegations actively engage on dialogue on capacity issues in focal sectors and where sector approaches are pursued, with a view to promote coordinated TC. <i>Delegations</i> <b>→ Ongoing</b>		
	5. Delegations ensure that other donors are timely and adequately informed/involved in the design and management of TC operations. <i>Delegations</i> <b>→ Ongoing</b>		
<b>1.3. Link with Programming Exercise</b>			
<b>Objective:</b> Ensure that MTR and next round CSP build on the Strategy and ensure consistency with its vision, and principles.	6. Send the Strategy to DG DEV, RELEX and ask them to take it into account in the programming process. <i>EuropeAid DG</i> <b>→ 30 07 2009</b>	14. Ask DG DEV, RELEX to take into account TC strategic issues in the forthcoming Programming Guidelines. <i>EuropeAid DG</i>	
	7. In budget countries, ascertain that the next round of MIPs covering 2011-2013 will be compliant with the Strategy. <i>Geo Directorates + DG RELEX</i>	15. Consider TC and PIUs issues in the JAR and in the MTR. <i>Delegations + DG RELEX</i> <b>→ Ongoing, starting from Jan. 09</b>	
	8. In EDF countries, consider TC issues in the 2008 Joint Assistance Report (JAR). <i>Delegations/Geo Directorates + DG DEV</i>	16. Consider TC and PIUs issues in the JAR and in the MTR. <i>Delegations + DG DEV</i> <b>→ Ongoing, starting in 2009</b>	

Short Term steps to be continued

Mid Term steps to be continued

#### 1.4. Enhance, Harmonisation, and Alignment

<p><b>Objective:</b> Increase harmonisation &amp; coordination at country level and at HQ level.</p>	<p>9. Identify opportunities for joint or co-financing of TC activities in countries of the fast tracking division of labour &amp; co-financing initiative.  <i>Unit 01 (with support of Geo Teams and Delegations)</i> → Dec 2008</p>	<p>17. Develop and implement joint or co-financing arrangements for TC.  <i>Delegations/Unit 01/Directorate G</i> → <i>Ongoing</i></p>
	<p>10. Contribute to the 'Capacity development/TC' chapter of the Accra Agenda for Action.  <i>Unit 01 (with support of the Coordination Team)</i> → Jul-Sep 2008</p>	<p>18. Develop a compendium of best practices and lessons learnt of joint and co-financing arrangements for TC, to be presented at the HLF IV in 2011.  <i>Delegations/Unit 01</i> → <i>End of 2010</i></p>
	<p>11. Organize Member States meeting on the Guidelines on TC&amp;PIA and on how to engage in joint work following Council Conclusion on capacity/issues – May 2008.  See section 4.1 of Backbone Strategy (footnote n°15).  <i>Unit 01 (with support of the Coordination Team)</i> → Oct 2008</p>	<p>19. Participate in OECD/DAC meetings as follow up of Accra Agenda for Action.  <i>Coordination Team/Unit 01</i> → <i>2<sup>nd</sup> quarter 2009</i></p>
		<p>20. Monitoring the Paris Declaration and Accra Agenda for Action commitments on TC&amp;PIU (incl. improving definitions and criteria).  <i>Coordination Team/Unit 01/DG DEV</i> → <i>July 2010 - June 2011</i></p>

## Section 2 – Actions at the Level of Program Design, Implementation and Monitoring

### MAIN OUTPUTS:

- Methodology and guidance developed and applied
- Design process and quality support system revised
- Monitoring focusing on results and accountability in place
- Innovative and capacity oriented TC programmes systematically evaluated

Problems/Objectives	[A] Short Term/Priority Actions : July 08 – Dec. 08		[B] Follow-up and Mid term Actions : 2009 on
	Action	Action	
<b>2.1. Methodology and Guidance</b>			
<b>Problem:</b> Lack of guidance on TC, in particular in relation to Capacity Development. Need to improve project design.	1. Finalize test phase of the Guidelines on TC and PIA and adopt final version. <i>Coordination Team</i> → 30 11 2008	19. Apply Guidelines on TC and PIAs. Actively promote the guiding principles of the Strategy and the use of the Guidelines. <i>Coordination Team/Geo Team/Delegations</i> → Ongoing	
<b>Objective:</b> Develop guidance on TC defining its role in the area of Capacity Development Improve overall design process and methodology.	2. Include TC issues in the Terms of Reference for identification and feasibility studies for conventional projects, SPSP and GBS. <i>Coordination Team</i> → 30 11 2008	20. Include TC and PIAs issues in the forthcoming revision of the Project Cycle Management Guidelines. <i>E5</i> → June 2010	
	3. Finalize a tool kit on 'Assessing and Supporting Capacity Issues'. <i>Coordination Team</i> → 30 11 2008		
	4. Develop a concept Paper on 'Introduction to Public Sector reforms'. <i>Coordination Team/E4</i> → 30 11 2008		
<b>2.2. Supporting Design of TC, Project Implementation Arrangements and Quality Support</b>			
<b>Objective:</b> 'Real' demand and ownership of the Partner countries in the design process are ensured.	5. Instruction note to Delegations and EuropeAid Directors circulating the Strategy and requesting them to comply to the maximum possible extent with its guiding principles and in particular with the following ones: TC is provided following Partner Government demand; PG are actively involved in the design and management of TC operations, including in the preparation of ToR. TC providers report and are accountable to PG. <i>EuropeAid DG</i> → 15 09 2008		
<b>Objective:</b> The role of TA is adequately framed; Delegations and HQ are actively engaged in the design process.	6. Delegations lead the dialogue with Partner Government on design issues and make sure that the overall process of identification and formulation, including studies related to TC, as well as follow up activities, are done in accordance with the Strategy. <i>Delegations</i> → Ongoing	Follow-up action 6. <i>Delegations</i> → Ongoing	
<b>Problem:</b> Good and result oriented design requires adequate planning. TC is in some cases poorly designed because of 'tight deadlines'.	7. Ensure that adequate time is devoted to the design process of TC operations to allow capacity assessment and much as possible leadership of country stakeholders <sup>1</sup> . Reflect it in the Delegations 'commitments planning' attached to the EAMR. <i>Delegations and Geo Teams</i> → Ongoing	Follow-up action 7. <i>Delegations and Geo Teams</i> → Ongoing	
<b>Objective:</b> Design process adequately planned and organized.			

Short Term steps to be continued

<sup>1</sup> See EuropeAid DG instruction note on 'Updates of the templates for (Annual) Action Programmes, serving as financing proposals ad financing decisions' – n. AIDCO/G7/JRA D (2008), 21 April 2008.

Mid Term steps to be continued

<p><b>Problem:</b> QSG does not address issues related to PIAs and TC and does not systematically stimulate/check relevance effectiveness efficiency of TC and quality of PIA.</p> <p><b>Objective:</b> QSG system valued as key milestone for improving quality of TC/of PIAs and complying with the Strategy principles and international commitments (Paris and EU targets).</p>	8. Adapt oQSG templates and checklists to include key info on TC and PIU issues. <i>Working Group on oQSG</i> <span style="float: right;">30 11 2008</span>	21. Ensure that next round of revision of the template for the Annual Action Programme, of the Action Fiche and DTA give adequate attention to TC and PIUs issues. <i>01/G7/E5</i>
	9. Ensure systematic availability of Identification/Formulation studies for oQSG analysis <sup>2</sup> . Amend instruction note to Delegations. <i>Delegations</i> <span style="float: right;">→ Ongoing</span>	Follow-up action 9. <i>Delegations</i> <span style="float: right;">→ Ongoing</span>
	10. Include a marker in the checklist to identify 'innovative and significant' programmes. <i>Working Group on oQSG</i> <span style="float: right;">30 11 2008</span>	
	11. Organize info sessions for each Geo Directorate to inform key actors in the QSG system on the Strategy and Guidelines. <i>Coordination and Geo Teams</i> <span style="float: right;">31 12 2008</span>	
<p><b>Problem:</b> Irregular and insufficient quality of TC design (ToR of TA).</p> <p><b>Objective:</b> Ensure quality support/control at the level of each TA operation/contract.</p>	12. Relevant document presenting objectives/results and modalities of TC supported programmes (e.g. ToR for services contracts) comply with the Quality Frame presented in the Guidelines on TC and PIAs. Head of Operations certifies/confirm quality. <i>Delegations</i> <span style="float: right;">→ Ongoing, starting from Dec. 2008</span>	Follow-up action 12. <i>Delegations</i> <span style="float: right;">→ Ongoing</span>
<h3>2.3. Implementation, Monitoring and Accountability of TC</h3>		
<p><b>Problem:</b> Weak accountability to partner countries and in some cases poor monitoring of TA performance.</p> <p><b>Objective:</b> Reinforce accountability to Partner Government/countries stakeholder and control on TA performance.</p>	13. For each TC operation encourage monitoring and accountability to partner countries. See instruction note under action 5 (section 2). <i>Delegations</i> <span style="float: right;">→ Ongoing</span>	
	14. Where relevant promote use of Performance Assessment Tools as proposed in the Guidelines on TC and PIAs. <i>Delegations</i> <span style="float: right;">→ Starting from Dec. 2008</span>	
<p><b>Problem:</b> Delegations monitoring need to be reinforced.</p> <p><b>Objective:</b> Reinforce internal monitoring reporting system of each TC-supported project.</p>	15. Include information on significant TC issues in the update of the CRIS implementation window. <i>Delegations</i> <span style="float: right;">→ Ongoing</span>	
<p><b>Problem:</b> ROM does not allow for systematic assessment of data linked to TC and PIAs/PIUs.</p> <p><b>Objective:</b> Link ROM and the Strategy; Allow for queries on TA, PIUs issues (e.g. by country, sector, region in a systematic (all regions)).</p>	16. Update the ROM methodology to include questions linked to TC, PIAs/PIUs. <i>Unit E5</i> <span style="float: right;">→ 30 09 2008</span>	22. Implement the updated ROM methodology in all the regions. <i>Unit E5/ROM contractors</i> <span style="float: right;">→ Ongoing</span>
	17. Based on the ROM reports include a chapter/section on TC/TA PIUs performance in EUROPEAID's Annual Report 2008 and post on the ad hoc website. <i>Unit E5</i> <span style="float: right;">→ Ongoing</span>	<i>Unit E5</i> <span style="float: right;">→ Ongoing</span>
<h3>2.4. Systematic Evaluation of Innovative and Capacity Development oriented TC Operations</h3>		
	18. Plan and conduct external evaluations of innovative TC operations and important capacity development oriented TC operations (to be mentioned in the country action plan). <i>Delegations</i> <span style="float: right;">→ Ongoing</span>	Follow-up action 18. <i>Delegations</i> <span style="float: right;">→ Ongoing</span>

<sup>2</sup> As part of the revised instruction note on oQSG.

## Section 3 – Procurement, Contracting and other Procedures on TC and PIUs

### MAIN OUTPUTS:

- Quality of Design and Implementation Processes improved and Partner Government ownership enhanced
- Measures to ensure more flexible, faster and quality oriented TC in project start up as well as responsiveness during implementation
- TA selection, ex-ante & ex-post evaluation processes improved to enhance quality of the services provided
- Mechanisms in place to broaden the range of potential TC providers (Participation of public sector and local/regional expertise increased, South-South cooperation enhanced)
- Coordination of TC activities among donors enhanced
- Promote Project Implementation Arrangements that enhance Partner Governments ownership

Problems/Objectives	[A] Short Term/Priority Actions : July 08 – Dec. 08	[B] Follow-up and Mid term Actions : 2009 on
	Action	Action
<b>3.1. Improve Design and Implementation Processes</b>		
<b>Objective:</b> Enhance Ownership of Partner Governments (PG) in the design process.	<p>1. For all Service Contracts and also in the context of centralised operations: modify PRAG2008/FWC guidelines and develop guidance to ensure PG is involved wherever possible in:</p> <ul style="list-style-type: none"> <li>- drafting of ToR;</li> <li>- selection of experts;</li> <li>- approval of reports.</li> </ul> <p><i>Working Group on Procedures/G7</i></p> <p>2. Issue new instructions on decentralised management for long term service contracts in budget countries.</p> <p><i>01 (to be confirmed)</i></p> <p>3. Revise PRAG2008 as to promote contracting by PG (decentralised management) for design wherever possible and accepted by the procedures.</p> <p><i>G7</i></p>	<p>34. Re-examine options to open FWC under decentralised management (and incorporate in CRIS).</p> <p><i>G7 (G5)</i></p> <p>35. Re-examine exclusivity issue of FWC under centralised management.</p> <p><i>G7 + DG BUDG</i></p>
<b>Objective:</b> Improve Quality & Relevance of TA inputs.	<p>4. TA mobilisation: guidance (+ check FWC guidelines) to encourage launching FWC with sufficient advance.</p> <p><i>Geo Directorate</i></p> <p>5. Team composition: develop guidance to clarify rules/possibilities concerning the use of local expertise (for all contracts).</p> <p><i>G7</i></p> <p>6. Revise PRAG2008 as to allow better selection of expertises, by clarifying rules for organising telephone interviews for prospective experts for all kind of contracts (unless explicit constraints apply).</p> <p><i>G7</i></p>	

*Short Term steps to be continued*

*Mid Term steps to be continued*

### 3.2. Project start up and Inception

<b>Objective:</b> Accelerate the start-up phase to create more time for implementation.	7. Update instruction note on the use suspension clause for EDF Countries <sup>3</sup> . <b>C5</b>	36. Continue discussions with DG Budget & LS on the use of the suspension clause (before financing decision) in Budget so as to broaden its usage. <b>G7</b>
	8. Modify PRAG2008 to reflect differing legal basis between EDF (allows larger application of the suspensive clause) and Budget. <b>G7</b>	37. Promote the use of a single call for tender for both project design and following TA assistance, beyond infrastructure, at least for 'very technical projects'.
<b>Objective:</b> Allow more flexibility to update/review project design, notably during inception.	9. Clarify modalities to re-adjust project design, notably during inception phase and give instruction to avoid too specific TAP. <b>Geo Directorates</b>	38. Inform staff on possible penalties/sanctions (need to share information with PG in case of decentralised management) and provide adequate info on the website. <b>G4</b>
	10. Issue an instruction note to clarify rules/principles for riders to FA under AAP system. <b>Geo Directorates</b>	
	11. Clarify modalities for revising the LogFrame + indicative budget (when/if rider FA is required) in the 2009 revision of the financial guides. <b>G7</b>	
<b>Objective:</b> Deal with the issue of unavailability of experts after contract signature.	12. Develop guidance to clarify contractual implications for revising ToRs/profiles/team composition in service (also determine implications to be addressed in future PRAG revisions). <b>G7</b>	
	13. In PRAG2008 address issue of possible penalties/sanctions under existing legal framework (+ develop guidance & determine implications to be addressed in future PRAG revisions). <b>G7</b>	
	14. Clarify how/when a contract can be cancelled (and possible alternatives) if possible for current PRAG revision. <b>G7</b>	
	15. Devise possibilities to overcome disagreement with consulting firm on proposed alternative CV (if possible for current PRAG revision). <b>G7</b>	

Short Term steps to be continued

Mid Term steps to be continued

<sup>3</sup> Suspension clause: foreseen for EDF to speed up start up (art 19b annex IV Cotonou). More restrictive approach by LS+ DG BUDG on Budget.

### 3.3. TA Selection/Ex-ante & Ex-post Evaluation Process

<b>Objective:</b> Improve selection and evaluation processes to enhance the quality of TA.	16. Include in the PRAG2008 and/or modify TA guidelines to encourage systematic (compulsory?) phone interviews to prospective experts and check their references; legal/timeline implications to be highlighted (e.g. validity offers). <i>G7</i>	39. Tracking past performance/Database for international restricted tendering: develop an accessible expert/consultancy performance evaluation form. <i>G5</i>
	17. Make accessible through existing systems or create a Database <sup>4</sup> of experts and firms including at least: project code, name of task manager and experts/firms employed. <i>G5</i>	40. Make performance forms compulsory to obtain last EC payment (for all service contracts). <i>G7</i>
	18. Tracking past performance/Database: International restricted tendering – Define means to assess previous experiences in the absence of a database (e.g. ask for evidence/certificates; ask for references). <i>G5</i>	41. Tracking past performance/Database: FWC – Create an accessible FWC Database of experts and firms tracking past performance (NB: evaluation performance form already exists). <i>F4/G5</i> → <i>Ongoing</i>
	19. Initiate review of performance assessment systems used by other donors (e.g. IMF). <i>G8</i>	42. Once database available, revise selection criteria (+ procurement notice) to reflect quality of previous experience of firms with EC funded projects (NB already refer to professional experience). <i>G7</i>
		43. Revise evaluation criteria/grid (for experts + firms) to reflect the quality of previous experience with EC funded projects. <i>G7</i>

### 3.4. Relevance of TA: Broaden the Range of Potential TA Providers

<b>Objective:</b> Increase participation of public sector bodies (e.g. universities, research services, public sector experts).	20. In PRAG2008 clarify the conditions to mobilise public institutions both from the North and the South. <i>G7</i>	44. Promote twinning arrangements: clarify rules to facilitate twinning arrangements beyond ENPI + examine feasibility of such a geographical extension. 
	21. Clarify in which situation the use of a FWC is not possible (e.g. NAO Refusals?). <i>Operational Units/F4</i>	45. Deal with the issue of exclusivity of FWC. Review rules and Dec. 2/2002, both for EDF and Budget, governing the obligation to use FWC below 200,000 euro – adapt the PRAG accordingly (eg: How to get public expertise when more relevant). <i>G7/DG BUDG</i>
	22. Develop the ToR of a Staff Working Paper on twinning experiences and on how to build on this (quality clearing house, external quality control) and produce the Paper. <i>Coordination Team/A6</i>	46. Produce the Staff Working Paper on twinning experiences (ref. Act 22). <i>To be defined</i>

↓  
Short Term steps to be continued

↓  
Mid Term steps to be continued

<sup>4</sup> The setting up of a database might require more specific legal advice on the pros and cons of such a system, and consideration of who should be able to access it. Issue data protection also needs to be considered, as transparency could undermine efficacy of the database.

<b>Objective:</b> Facilitate mobilisation of local/regional expertise.	23. Revise templates of ToR for services as to allow geographical knowledge and experience to be properly represented. <i>Coordination Team/G7</i>	47. Delegations establish a Local Experts Roster per Country (to be linked to FWC?). <i>Delegations</i>
	24. FWC: make use of the requirement for contractors to have/establish a local partner network ( <i>réseau de partenariat local</i> ). <i>F4</i>	
	25. Revise 'awarding criteria' to give priority to offers including local/regional expertise <sup>5</sup> . <i>Working Group on Procedures/F4</i>	
	26. Ensure International call for tenders are also promptly published/disseminated locally by Partner Countries (recurrent activity). <i>Delegations</i>	
	27. Include in PRAG2008 special selection criteria for service contract when an individual expert is the core of the contract. <i>G7</i>	
<b>Objective:</b> Facilitate South-South Cooperation.		48. Revise eligibility criteria to further untie cooperation between different regions (South-South cooperation within Budget). <i>Working Group on Procedures</i>
		49. Discuss with LS the conditions to allow jointly financing between EDF and Budget Countries, or allow co-financing a same procedure. <i>Working Group on Procedures</i>

### 3.5. Coordination of Technical Assistance\*

<b>Objective:</b> Improve donors' co-operation through coordinated projects.	28. Clarify through guidance the application of the rules on Pool funding for TA; provide comprehensive information on pool funding managed by Partner Countries for TA inputs (linked to feedback received from Delegations). <i>G7</i>	50. Increase awareness on Memorandum of Understandings (MoUs) – Clarify legal status/principles/implications for MoUs.
	29. Promote delegated cooperation/co-financing – Information sessions for other agencies, notably Member States. <i>G7</i>	

 *Short Term steps to be continued*

 *Mid Term steps to be continued*

<sup>5</sup> Two distinct sets of criteria to be developed to allow participation of individual experts, e.g. required turnover to perform a study could be different for a consortium and for an individual expert.

### 3.6. Project Implementation Arrangements enhancing ownership

<b>Objective:</b> Procedures to encourage PG ownership.	30. Initiate a discussion on revising practical guide on programme estimate <sup>6</sup> and in particular the budget annex. <b>G7</b>	51. Review and simplify the guide on programme estimates, notably for service and grants (promote single tenders). <b>Working Group on Procedures</b>
	31. Improve formats of Templates for tender dossier and upload them in EuropeAid website. <b>G7</b>	52. Use country systems: Examine possibility to develop a procedure for assessing PG procurement capacity together with other donors (e.g.: World Bank, DFID, UNDP) – consequences for control chain to be determined. <b>G2</b>
	32. Review EUROPEAID position on full decentralised management/use of country systems in project approach to empower PG Ownership. Also examine options to reduce cases/intensity of EC Delegations ex-ante controls. <b>G7/01</b>	53. Identify areas in which to pursue more flexible rules for external assistance in the next revision of the Financial Regulation (Budget). <b>G7</b>
	33. Simplify the existing financial/procurement rules – raise ceiling for single tender, notably under Programme Estimates. <b>G7</b>	

\* To note the major constraints and risks: procedures (including compliance assessment) for delegated cooperation have been clarified (Instruction note 13/5/08 N°9523), however, in some cases there are still legal constraints to enter into delegated cooperation, e.g. when MS entity is not a separate organisation. Delegated cooperation may not be fully consistent with the Paris agenda (which calls for channelling more funds through Government systems).

<sup>6</sup> Clarify why under programme estimates the thresholds for single tenders differ between budget and EDF (higher for Budget)  
The reduction of ex-ante controls may increase financial risks.

## Section 4 – Communication and Knowledge Management, Training

### MAIN OUTPUTS:

- Communication tools developed, Strategy and guidelines widely disseminated at HQ and country level
- Knowledge management platform in place
- Access to knowledge sources improved
- Various training activities developed, tested and offered regularly

Problems/Objectives	[A] Short Term/Priority Actions : July 08 – Dec. 08		[B] Follow-up and Mid term Actions : 2009 on
	Action	Action	
<b>4.1. Communication and Knowledge Management</b>			
<b>4.1.1. Printed Material, Toolkits, Events, Presentations</b>			
<b>Objective:</b> Develop communication tools and set-up a network of 'Strategy Ambassadors'.	1. Translate the Strategy in French and Spanish, ensure graphic layout, and develop communication tools including a commented PowerPoint and leaflets. <i>Coordination Team/04</i> → 30 10 2008		
	2. Identify 'Strategy Ambassadors' (+ back-up) in charge of presenting the Strategy both internally and to third parties. <i>Geo Teams/Delegations</i> → 30 09 2008		
	3. Finalise layout of the Guidelines on TC/PIUs (EN version) and launch publication. <i>Coordination Team/04</i> → 30 12 2008	23. Translations in French and Spanish of the Guidelines; Publication of the Guidelines launched. <i>Outsource or DGT</i> → 28 02 2009	→ 28 02 2009
<b>Objective:</b> Broad dissemination of the Strategy and Guidelines.	4. Presentation of the Strategy to Annual Seminar of Head of Delegations. <i>EuropeAid DG</i> → dates to be confirmed	24. Include a presentation on progress of the Strategy in each annual seminar of Heads of Delegations. <i>EuropeAid DG</i> → 1 <sup>st</sup> week 09 2009	
	5. Organise presentation for each EuropeAid Directorate and in AIDCO Training Seminar of new HoD. <i>Coordination Team</i> → 30 10 2008	25. Organise presentations and distribute material in relevant conferences and plan information sessions at the Info Point. <i>Coordination Team/04</i> → Ongoing	
	6. Organise internal presentation to Delegations Staff to launch the strategy. <i>Delegations</i> → 30 10 2008	26. Organise ad hoc presentations in Delegations (where relevant and in connection with missions, trainings, regional seminars, etc.). <i>Geo Teams</i> → Ongoing	
	7. Organise presentations to DG DEV, DG RELEX, other line DGs and interested EU Institutions (E. Parliament, Council, Court of Auditors etc); distribute documents and leaflets in all related events (also if possible in EU DEV DAYS). <i>Coordination Team/04</i> → 30 12 2008	27. Actively disseminate the Strategy and Guidelines at country level including through e.g. the Delegation Newsletters (follow up of actions under section 1.1 of the WP). <i>Delegations</i> → 1 <sup>st</sup> semester 2009	
	8. Organise presentations to Member States and other Donors. <i>Unit 01/Coordination Team</i> → 30 12 2008	28. Send press releases to specialised media on important occasions/milestones. <i>Coordination Team + Visa from 04</i> → 1 <sup>st</sup> semester 2009	
Short Term steps to be continued		Mid Term steps to be continued	

<b>Objective:</b> Develop communication tools to support learning process throughout the Strategy implementation.		29. Launch production of a Tool Kit presenting success stories and innovative practices including an analysis of the results, best practices and lessons learned + communication material etc. <i>Coordination Team/04</i>	→ 2 <sup>nd</sup> semester 2009
		30. Organize a conference on 'Innovative and good practices on TC' (MS+ NGOs+ IGOS+ Research Centres + Experts, etc). Present the results of the Strategy review/Evaluation. <i>Coordination Team + 04</i>	→ 2010

#### 4.1.2. Online Information, Communication, Knowledge Management Platform

<b>Objective:</b> Set up and populate an online information and communication platform.	9. Upload all existing material on the EuropeAid Intranet (Strategy, Guidelines, etc). <i>Coordination Team/04</i>	→ 30 11 2008	31. Keep the online platform updated and enhance functionalities and services offered. <i>Coordination Team</i>	→ Ongoing
	10. Upload all existing material on the EuropeAid Internet Site (Strategy + finalized Guidelines and other relevant documents). <i>Coordination Team/04</i>	→ 30 12 2008	32. Create an online tool to support identification and user-friendly presentation of concise cases studies to present innovative programmes (see also section 5). <i>Coordination Team</i>	→ 30 01 2009
	11. Develop and test an Online Knowledge Management Platform. <i>Coordination Team/04</i>	→ 30 12 2008	33. Launch and populate the online Platform (see action 11). <i>Geo Teams</i>	→ 30 03 2009
	12. Develop online FAQ menu on the Strategy and the Guidelines. <i>Coordination Team</i>	→ 30 12 2008	34. Online consultation to support internal review on the Strategy results. <i>Coordination Team</i>	→ 2 <sup>nd</sup> semester 2009

#### 4.2. Online Access to Knowledge and Competences: Identify Competence & Knowledge Sources in the Public/non Profit Sector

<b>Objective:</b> Map major public/non-profit centres of competence.	13. Consult HQ and Delegations (online questionnaire) to map the major centres of competence (also in Partner Countries/South - South). This includes other EU Institutions, Universities and Academia, NGOs and IGOs, Think Tanks. <i>Coordination Team/Delegations</i>	→ 30 12 2008	35. Process and check quality of the results of the mapping (action 12), develop an annotated/user-friendly inventory online. <i>Coordination Team</i>	→ 1 <sup>st</sup> semester 2009
	14. Consult Member States (online questionnaire) to complete the mapping. <i>Coordination Team</i>	→ 30 12 2008	36. Link to sector/thematic knowledge in HQ and Delegations online. <i>Coordination Team</i>	→ 1 <sup>st</sup> semester 2009

#### 4.3. Training on the Strategy and the Guidelines on TC and PIAs

##### 4.3.1. Use Existing Training to convey Principles of the Strategy

<b>Objective:</b> Make existing training consistent and supportive of the Strategy.	15. Revise/update existing training material relate to TC and PIUs of the methodological courses, including 'Introduction to PCM', 'Introduction to Sector and Budget Support', 'Aid Effectiveness', etc. <i>Coordination Team/G4</i>	→ 30 10 2008	
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Short Term steps to be continued

Mid Term steps to be continued

### 4.3.2. Basic Training

<b>Objective:</b> Support implementation of the Guidelines on TC and PIAs.	16. Design and test a 'hands on' training kit for a short introductory course on 'Applying the new approach on TC and PIUs' issues. <i>Coordination Team</i>	→ 15 11 2008	37. Run 6 sessions a year, including ad hoc sessions for staff from Finance and Contract Units in HQ and Delegations. <i>Coordination Team</i>
	17. Organize a training of internal trainers from Geo Teams and Directorate E. <i>Coordination Team/G4</i>	→ 30 11 2008	
	18. Design and test a crash course for senior staff/management positions. <i>Coordination Team/G4</i>	→ 30 11 2008	38. Run one session of the senior training in the pre-posting cycle for Head of Delegations. <i>Coordination Team</i> → 30 01 2009
			39. Design and test a distant learning version of the basic training including a module on drafting Terms of References for TC/TA. <i>Coordination Team</i> → 30 06 2009

### 4.3.3. Advanced Training on Capacity Development Issues

<b>Objective:</b> Support good practices in assessment and design of capacity development programmes.	19. Design and test a training kit on Capacity development (3-4 days) for delivery at HQ and country/sector level open to country stakeholders. <i>Coordination Team/ADM Programme</i>	→ 30 12 2008	40. Run at least 4 sessions of the Capacity Development course throughout the year at HQ. <i>E5</i>
	20. Promote the inclusion of the course in the pre-posting cycle. <i>Unit G4/RELEX K</i>		41. Launch and implement a 'call for application' to Delegations for 'sector applications' of the course, open to other donors and partner countries stakeholders (including under project/programme funds). <i>Coordination Team</i> → 1 <sup>st</sup> semester 2009
<b>Objective:</b> Develop internal competences and understanding on issues related to Public Sector Reform.	21. Organize 2 sessions in HQ of the course 'Introduction to Public Sector Reform'. → 30 12 2008		42. Run at least 4 sessions/year in HQ of the course 'Introduction to Public Sector reforms'. → Ongoing

### 4.3.4. Strengthen Capacity/Competences of Core Teams Staff

	22. Design and identify solutions to implement a curriculum for strengthening competences of the 'core groups' members in Delegations and HQ (including external training + coaching). <i>Coordination Team/Unit G4</i>	→ 15 12 2008	43. Develop activities agreed under action 21. → Ongoing
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**NB :** The design and delivery of the training will be supported by the Aid Delivery Methods Training Programme. The basic training may be delivered through different arrangements: i) through project/programmes funds by external trainers, ii) as an add to other methodological courses at country level; iii) by internal trainers at HQ and in Delegations (e.g. during missions).

## Section 5 – Implementation and Monitoring of the Strategy

### MAIN OUTPUTS:

- Mapping of PIUs and major TC operations
- Action Plans developed at country level
- Innovative practices supported
- Monitoring and steering of the Strategy in place
- Production of statistics on TC
- External evaluation of TA

Problems/Objectives	[A] Short Term/Priority Actions : July 08 – Dec. 08		[B] Follow-up and Mid term Actions : 2009 on	
	Action	Action		
<b>5.1. Implementation Activities</b>				
<b>5.1.1. Review Current Portfolio of Parallel PIUs and 'Major' TC Operations at Country Level</b>				
<b>Problem:</b> Need to refine analysis of stock of parallel PIUs against revised DAC criteria and take action on <u>Parallel PIU</u> that will be in operation after 2010.	1. Analyse of results of the mapping of Parallel PIUs done by Delegations applying new DAC criteria (sent via the annex C EAMR –July 08). <i>Geo Teams</i>	→ 30 09 2008		
<b>Objective:</b> Identify and take measures to redress/phase out Parallel PIUs at the latest by 2010.	2. Dialogue with PG and decide on measures to be taken. <i>Delegations/Geo Directorates</i>	→ 30 12 2008	13. Follow up in the implementation of the 'Action Plan' (see action 6). <i>Delegations/Geo Directorates/Geo Teams</i>	
<b>Problem:</b> Current stock of TC operations may present significant gaps against the principles and vision of this Strategy.	3. Design and test a mapping system of TC operations through electronic grid including: - section 1 <sup>7</sup> – Benchmarking and measuring progress on Paris and EU Targets (financial info on all TC + tracking of Parallel PIUs); - section 2 – qualitative screening <u>major/significant</u> operations <sup>8</sup> . <i>Coordination Team</i>	→ 31 10 2008		
<b>Objective:</b> Ensure that major ongoing operations are consistent with the vision and principles of the Strategy.	4. Conduct the mapping exercise in connection with the PG and, where relevant, with other donors. <i>Delegations – EAMR</i>	→ 31 01 2009	14. Update the mapping once a year (January EAMR). <i>Delegations</i> → Ongoing	
↓		↓		
<i>Short Term steps to be continued</i>		<i>Mid Term steps to be continued</i>		

<sup>7</sup> Section 1 replaces annexe C of EAMR for EU targets 2 and 3 – It will include tested 'EC tailored' guidance on how to apply DAC criteria on TC to ensure solid and consistent statistics for EUROPEAID and delegation internal tracking. The mapping system will consist of a electronic questionnaire (web grid) in the Interactive Policy Making system (IPM online survey system by DG ADMIN.

<sup>8</sup> Criteria to define 'significant' operations will be agreed by the 30 09 2008 by the Steering Committee. Tentative criteria include : 'young' operations with a CD focus, all operations in the area of financial governance/PFM, operations linked to sector support/SPSP.

### 5.1.2. Develop Country Action Plans

<p><b>Objective:</b> The situation on TC and PIUs and related baseline of Paris and EU target is very diverse by country, in particular on TC issues. Some countries are very far from the Paris target, others are more advanced.</p> <p><b>Problem:</b> Make Delegations fully responsible for managing country based reform process of TC and PIUs, ensure adequate reporting and feedback.</p>	<p>5. Develop format/guidelines for the country Action Plan. <i>Coordination Team</i> → 31 10 2008</p> <p>6. Develop, in connection with PG, a concise <b>Action Plan</b> to meet the Strategy objectives (see section 4.3.5 of the Strategy). The plan will include:</p> <ul style="list-style-type: none"> <li>• actions to redress major weaknesses identified in current TC operations;</li> <li>• actions to redress Parallel PIUs (see action 1 in section 5);</li> <li>• framing the preparation of operations in the pipeline to ensure compliance with the Strategy;</li> <li>• ambitious targets for coordinated TC, in particular in countries/sector relevant for the Division of labour fast track initiative.</li> </ul> <p><i>Delegations (attached to EAMR)</i> → 31 01 2009</p>	<p>15. Develop regional analysis of the Action Plans and send feedback to Delegations. Where relevant, identify country/operations where HQ intensive support needs to be focused on. <i>Geo Teams</i> → 31 03 2009</p> <p>16. Post Action Plans on the website. <i>Coordination Team/Geo Teams</i></p> <p>17. Implement Actions Plans and report back through July 2009 EAMR. <i>Delegations</i> → starting with EAMR July 09</p>		
	<p>7. Where relevant include a section on TC in the Memorandum attached to the Annual Action Programmes. <i>Delegations</i> → Ongoing</p>			
<h3>5.1.3. Support Innovative Practices</h3> <p><b>Problem:</b> Good practices in TC are not disseminated. Limited incentives to innovate in TC implementation.</p> <p><b>Objective:</b> Identify and give support/visibility/incentives to innovative programmes; Link with Division of labour and Joint Assistance Strategies or other initiatives. Break through isolation of good practices.</p>		<p>8. Monitor and support the implementation of programmes marked as 'innovative' at QSG level. <i>Coordination Team/Geo Directorates</i> → Ongoing</p> <p>18. Feed the Platform with good practices and success stories on TC (see section 4). <i>Geo Directorates</i></p>		
		<p>9. Launch and advertise an offer to Delegations to be part of the 'Pilot programme on TC' providing support and communication (training/coaching, visibility, enhanced exchange opportunities with other countries). <i>Coordination Team</i> → 30 11 2008</p> <p>19. Plan and Implement supportive actions (training at field level, coaching,...). Post material on the website. <i>Coordination Team/Geo Teams</i></p>		

Short Term steps to be continued

Mid Term steps to be continued

## 5.2. Implementation and Monitoring Framework

### 5.2.1. Set-up

**Objective:** Ensure broad and active involvement of EC staff at Delegation and levels in the implementation of the Strategy.

10. Set up the Implementation and Monitoring/Steering Framework as presented in section 4.3.5 and Annex 3 of the Strategy.  
*Concerned Directors and Head of Units* → 30 09 08

### 5.2.2. Steering and Monitoring Activities

**Objective:** Ensure monitoring and regular high level review of progress.

11. Prepare High level first review of progress covering the 5 Working Axes of the Strategy.  
*Coordination Team/High Level Steering Committee/Working Level Steering Committee* → 30 11 2008

20. Prepare/organize regular reviews of progress<sup>9</sup>.  
*Coordination Team/High Level Steering Committee/Working Level Steering Committee* → April 09 and Nov. 09

**Objective:** Reach out and promote dialogue on TC and PIUs issues with Partner countries, other donors and experts.

12. Set up an informal Consultative Panel open to selected Partner Countries representatives, MS and other donors and experts on TC and think tanks on Aid Effectiveness.  
*Coordination Team* → 30 11 08

### 5.2.3. Statistics on TC

**Objective:** Produce regularly statistics on TC.

21. Include TC aspects in the ongoing work on the modules 'Measure Project' and 'Contract' of CRIS.  
*Coordination Team/G1 (Modules Owner)* → 1<sup>st</sup> semester 2009

### 5.2.4. External Evaluation

22. The Evaluation Unit launches an external evaluation of TA (already planned).  
*03* → Last quarter 2009

<sup>9</sup> These reviews will be informed by the country 'action plans' and by the information/reporting sent by delegations with the EAMR of January and July 09. These reviews may be opportunities to present to the High Level Steering Committee proposals to update work plan.

## Annex 1: Overview of Actions responding to the Recommendations of European Court of Auditors

### Recommendations on Technical Assistance

Action A: to be completed by December 2008

Action B: follow up and mid term actions

Recommendations from the Court of Auditors Report	Related Actions of the Work Plan				
	Section 1		Section 2	Section 3	Section 4
	Section 5				
1. In its Country Strategy Papers, the Commission should make a comprehensive and structured analysis of existing institutional capacity weaknesses and of capacity development needs.	A4 A6 A7 A8	B14 B15 B16			
2. The Commission should develop guidelines on technical assistance defining its role in the area of capacity development and providing a sound approach and tools to consider when and how to use it.		A1 A2 A3 A4 A5 A11	B19 B20		A3 A4 A5 A6
3. Design of capacity development projects should be improved, by facilitating effective ownership and leadership of the national part of the process, by better defining specific capacity development objectives and related technical assistance requirements, by avoiding overly complex implementation structures, by being more realistic in terms of objectives to be achieved and by planning longer implementation periods.	A2	A6 A7 A8 A9 A11 A12 A13 A14	A1 A2 A3 A4 A5 A6	B34 B35	A18 A19
4. The procedures governing the project preparation and start-up phase, including the procurement of technical assistance, should be reviewed, in order to create more time for implementation, and more flexibility should be allowed during the inception phase to adjust the project design and/or the Terms of Reference for the technical assistance to changes in circumstances.			A7 A8 A9 A10 A11 A12 A13 A14 A15	B36 B37 B38	
5. The evaluation criteria in technical assistance tenders should be reviewed, in order to better reflect the quality and previous experience of the experts and the consultancy company.			A16 A17 A18 A19 B39 B40 B41 B42 B43		
6. More options should be considered regarding procurement possibilities to allow the best possible choice of technical expertise, including expertise from public institutions and expertise available in the beneficiary country or the region.		A1 A8	B19	A20 A21 A22 A23 A24 A25 A26 A27	B44 B45 B46 B47 B48 B49
7. In line with the Paris Declaration commitments, the Commission should increase its use of technical assistance through coordinated programmes and apply, where possible, implementation arrangements which encourage local ownership.	A5 A9 A10 A11	B17 B18 B19 B20 B21		A28 A29 A32 A33	B50 B53
8. Technical assistance performance by companies and experts should be assessed systematically and a management information system for recording, reporting and consulting this performance should be developed.				A16 A17 A18	B39 B40 B41 B42 B43

European Commission

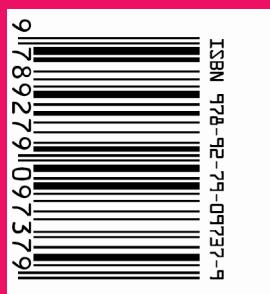
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