

Action Document for EU Trust Fund

1. IDENTIFICATION

Title	Reference: T05-EUTF-SAH-REG-17 Monitoring and Learning System for the EUTF Sahel and Lake Chad
Zone benefiting from the action / localisation	Sahel and Lake Chad Region: all countries targeted by EUTF actions.
Total costs	Total estimated cost: 5 000 000 EUR Total amount drawn from the Trust Fund: 5 000 000 EUR
Method of implementation	Direct management – Direct award (service contract) to ALTAI
DAC Code ¹	150
Sector of Intervention of the Valetta Action Plan	Other
Sector of intervention of the Trust Fund	Other
Objective(s) of the Operational framework	Other
Sub-objective(s) of the Operational framework	Other
Length of implementation	48 months
Beneficiaries	European Commission, EUTF Board and Operational Committee, Implementing Partners of EUTF actions

¹ <http://www.oecd.org/fr/cad/stats/codes-objetclassificationsectorielle.htm>

2. RATIONALE AND CONTEXT

2.1. Summary of the action and its objectives

The Monitoring and Learning System (MLS) will measure the overall progress of projects implemented under the Sahel and Lake Chad window of the EU Emergency Trust Fund for Africa (EUTF) against its key strategic objectives and regional priorities. It will also describe if and how the projects confirm the various theories of change which were assumed when designing the EUTF SLC approach, thus also identifying gaps in the activities/results/outcome chains which need to be addressed if the change is to effectively happen. It will assess how the approach adopted by the EUTF in delivering programmes fulfils other success criteria, and allow stakeholders to learn collectively from its results – both positive and negative. Finally, in order not to lose sight of the overall impact to which the EUTF interventions should contribute, it will design and pilot a system to keep track of selected key development; migration and stability indicators at national and/or regional level. **This action thus contributes to the four objectives of the EUTF²** by directly supporting the implementation and the monitoring and evaluation of already approved and future individual projects, as well as informing the design of future projects³.

The action directly responds to one of the **core principles of intervention of the EUTF Strategic Orientation Document**, which considers that "strong research and analysis is central to understanding the context and ensuring that interventions have a positive impact".

The **geographical coverage** of this action encompasses all countries eligible under the Sahel and Lake Chad Window of the EUTF, i.e. Burkina Faso, Cameroun, Ivory Coast, Ghana, Guinea, Mali, Mauritania, Niger, Nigeria, Senegal, Chad, The Gambia and neighbouring countries that are targeted by EUTF actions in the region.

The **intervention logic** of the action is that by being able to monitor whether the EUTF in the Sahel and Lake Chad and its individual projects are achieving their intended objectives, and by analysing the reasons for their performance, as well as by assessing the success factors of the EUTF more generally, useful evidence will be collected to improve project programming and implementation, as well as to inform strategic decisions and policy making around the EUTF.

In order to reinforce this logic, the proposed action will need to take into account research produced under the framework of the Research and Evidence Facility (REF) for the Sahel and Lake Chad and the North of Africa windows. The REF's objective is to "conduct, synthesize, disseminate and make use of new and existing research on the drivers and dynamics of the root causes of instability, insecurity, irregular migration and forced displacement in West and North Africa and migration routes, and the most successful policy responses aimed at addressing them and improving migration management in order to equip the EUTF with sufficient evidence to refine its identification and implementation processes".

The MLS will consist of two main elements: a) the monitoring of projects implemented under the EUTF Sahel and Lake Chad window against a set of output and outcome indicators

² "Greater Economic and Employment Opportunities; Strengthening Resilience of communities in particular the most vulnerable as well as refugees and displaced people; Improved migration management in countries of origin, transit and destination and Improved Governance and conflict prevention and reduction of forced displacement and irregular migration" – EUTF Strategic Orientation Document

³ While the focus will primarily be on EUTF SLC projects, the lessons learnt are expected to be directly useful for the programming of projects more generally in the region, as well as on similar sectors outside of the region

directly linked to the four strategic objectives of the EUTF, as well as to the priorities of the Sahel and Lake Chad window; and b) an in-depth analysis of individual projects or groups of projects to assess whether and why they have been successful or not, and from this to develop and exchange lessons learnt. This will also be complemented by the research conducted by the EUTF.

The target groups of the action are the governing institutions of the EUTF, i.e. the Strategic Board and the Operational Committee (which include EU Member States and concerned African partners and Regional Organisations), the EUTF management team, the EU Delegations, the project implementing partners and other interested stakeholders.

2.2. Context

2.2.1. Country/regional context

The security situation of the Sahel and Lake Chad is extremely volatile, which has in some places spilled over into open conflict, criminality, radicalisation and violent extremism. In addition, the region is marked by trafficking in human beings and smuggling of migrants. These security challenges have been increasingly linked to terrorist groups and illicit trafficking of all kinds.

The region also faces growing challenges in terms of demographic pressure, extreme poverty, institutional weaknesses and poor governance, weak social and economic infrastructures, environmental stress and insufficient resilience to food crises.

All of these factors are root causes of forced displacement and irregular migration and make people move in order to avoid conflict, seek protection from persecution or serious harm, and build a better life.

In order to address these challenges, the EUTF Sahel and Lake Chad window takes an evidence-based approach when it comes to identifying, designing, implementing and monitoring interventions. The evidence is collected through analysis of existing literature and project evaluations, the undertaking of primary research, and the monitoring of ongoing interventions.

2.2.2. Sector context: policies and challenges

Monitoring and Evaluation framework

In line with the recommendations of the EUTF strategic orientation document, recognising the importance of an evidence-based approach to ensure strategic and efficient interventions, the Sahel and Lake Chad window defined the Collect, Analyse and Disseminate (CAD) approach to structure its evidence-based identification, monitoring and evaluation methodology. This document identified the need to support EUTF activities with a strong research and analysis component including filling knowledge gaps and collecting information to complement existing data sources and disseminate results.

Collect

- Collection of data at project and aggregated level through AKVO RSR, an open data platform that enables the EUTF and its implementing partners to collect project data, monitor, report and communicate on EUTF actions. This module is accessible via internet to different stakeholders (both Commission staff at headquarters and in delegations as well as external contractors) and enables implementing partners to be directly in charge of the encoding of their logframes and results in the system on a regular basis. This IATI-compliant platform also enables to aggregate macro indicators' targets and results, thereby facilitating indicators' monitoring at window and EUTF levels
- The Sahel and Lake Chad window, in cooperation with IOM, is increasing migration-related data collection, for example via setting-up new flow monitoring points in the region. Complementarily, two ongoing research projects, implemented by Global Initiative and the European University Institute, will contribute to the enrichment of migration-related data collection. The collected data, linked with existing and future mapping of activities and policies, will be used as a material for research on the root causes and dynamics of irregular migration and, in turn, allow for the formulation of targeted interventions.

Analyse

- Internal analysis through monitoring, performed by project managers and in close collaboration with implementing partners, including ROM
- External analysis through the Research and Evidence Facility bring in external expertise and strengthen its analysis capacities in line with the two objectives of the regional operational framework
- Evaluations remain an essential element for analysis, enabling to draw valuable insights and lessons from implementation. Mid-term and final evaluations at project level but also impact and meta-evaluations at higher levels will be carefully integrated in the MLS for a continued learning process,

Disseminate

- Internal dissemination in line with the capitalization of collected and analysed data
- External dissemination through the EUTF website and the public AKVO platform.

The CAD approach integrates the different levels at which the monitoring and evaluation is performed and to which applies the learning component:

- The regular monitoring and evaluation of individual projects
- The monitoring and evaluation for particular groups of actions
- The monitoring and evaluation at EUTF level through the aggregation of results and the planning of mid-term and final evaluations for the entire EUTF.

In line with the CAD approach, the MLS will contribute to the collection, analysis and dissemination through the proposed actions:

- Support the development of sound logical frameworks and indicators for each program, and provide implementing partners with advices on the set up of their M&E systems in order to ensure data integrity and harmonize data collection (Technical Assistance role)
- Measure the performance of the overall programme against the EUTF strategic objectives, the priorities for the Sahel and Lake Chad window laid down in its Operational Framework, and the EUTF principles of intervention described in more detail below. These three measures of success will form the "performance dashboard" of the Sahel and Lake Chad Window and produce a useful tool for analysis;
- Develop analyses from evidence collected on project performance, as well as on the role of each project in the various EUTF theories of change and the potential gaps identified in programming to support a coherent theory of change in line with the overarching objectives of the EUTF SLC; and ensure internal and external dissemination of lessons learned as well as the analysis of cross-cutting issues identified that could benefit all programmes ("the learning strategy");
- Design and pilot a system to keep track of key trends at the regional level in terms of migrations flows and trafficking; vulnerability and resilience of populations in movement / host communities; stability and natural shocks; the evolution of the capacities, response and coordination systems put in place in the region to better respond to migrations, natural shocks and instability. This will aim at providing the EUTF management team and stakeholders with baselines and trends on context-level indicators against which to realistically frame the EUTF (and other similar EU) interventions; inform future EU programming and policy making; and ultimately track the *joint impact* of the EUTF SLC projects at the regional level through a top-down approach. This should complement the monitoring of outputs and outcome indicators informed by each project in their immediate perimeter and aggregated by the MLS in its Monitoring function through a bottom-up approach⁴.

This will be based on a combination of sensors, tracking systems, and longitudinal case studies. It will try to leverage existing systems and data sources as much as possible.

The "performance dashboard" of the EUTF Sahel and Lake Chad Window will be composed of the following elements:

a) **EUTF Strategic Objectives.** All projects funded under the EUTF Sahel and Lake Chad window should contribute to one or more of the four strategic objectives of the EUTF Strategy⁵, i.e. 1) Greater economic and employment opportunities; 2) Strengthening resilience; 3) Improved migration management, 4) Improved governance and conflict

⁴ This context-level tracking system will be crafted around the EUTF SLC program to stick to its priorities and will therefore not aim at covering broader social & economic indicators and general populations that are not in the boundaries and mandate of the EUTF.

⁵ For reporting reasons, every Action is only assigned to one strategic objective.

prevention. The intervention logic of each EUTF strategic objective should be taken into account.⁶

b) **Sahel and Lake Chad window priorities as originally laid down in EUTF SLC Operational Framework** and further defined through the EUTF strategic board. The Operational Framework adopted a two-fold logic: axe 1) migration and displacement; and axe 2) stabilisation, security and resilience. As such, the projects have to demonstrate their added-value in moving the following initiatives and processes forward.

- Axe 1: To prevent irregular migration and forced displacement and facilitating better migration management and returns: creating economic and employment opportunities, in regions with an high potential, to prevent irregular migration and facilitate returns; transforming systems built around irregular migration in regions where migrant smuggling and services for migrants are important economic factors; contributing to better migration management all along the migratory routes in the West Africa; strengthening cooperation in order to facilitate the return and sustainable reintegration of irregular migrants;

- Axe 2: To build a comprehensive approach for stability, security and resilience: reinforcing the resilience of local communities through Linking Relief, Reconstruction and Development (LRRD) efforts in areas particularly affected by the current environmental, socio-economic and security challenges; improving border management, fighting against transnational trafficking and criminal networks and terrorism related activities; preventing radicalisation and violent extremism.

c) **Principles of intervention.** The projects have to be designed and implemented in line with the principles of intervention set in the EUTF Strategic Orientation Document, and therefore answer positively to the following main questions:

- Are the interventions strategic and efficient, in tandem with political dialogue?
- Have interventions been based on an in-depth understanding of local contexts and an evidence-based targeting of geographies, beneficiaries and implementing partners?
- Have interventions been based on local ownership and effective dialogue and cooperation with relevant Regional Organisations?
- Have interventions adopted a holistic, integrated and coordinated approach?
- Have interventions adopted a "do no harm" and "conflict-sensitive approach"?
- Are interventions based on strong research and analysis?
- Is the EUTF SLC acting in complementarity with other EU instruments and tools and/or donor interventions?

In order to assess the collective achievements of the EUTF Sahel and Lake Chad window, the projects need to report against a set of macro indicators (the "core indicators"). A set of 41

⁶ For a complete description of the strategic lines of actions, and related intervention logic and assumptions, please refer directly to the EUTF Strategic Orientation document.

macro indicators has been developed in coordination with the other three windows. These indicators:

- reflect the strategic objectives and operational priorities, and therefore build on the indicative indicators formulated in the existing EUTF Results Framework ("top-down" approach);
- find enough resonance in the already existing indicators captured by the logical frameworks developed by individual projects ("bottom-up" approach);
- are formulated in such a way as to ensure that individual project indicators can be "aggregated" into the core indicators.

There is then a need to understand which interventions are working and why, in order to adjust existing projects and feed this learning into the design of new ones.

The "learning strategy" of the EUTF Sahel and Lake Chad window will include the following elements:

The learning strategy should analyse the conclusions of the above assessments, analyse the information behind them, (which entails "zooming" into specific projects or groups of projects), in order to better understand the reasons behind their achievement or non-achievement, and disseminate the knowledge to the relevant target groups.

The learning strategy should also encompass a detailed mapping of the theories of change which have been assumed when developing the EUTF approach (i.e. why, through which mechanisms and under which assumptions will the intended change happen and objectives be met) and explain how the EUTF projects confirm or not these theories, as well as identify which additional initiatives are necessary where there are gaps.

Finally; it should allow framing the EUTF narrative within the broader migration and stability situation and trends in the region, in order to put the EUTF into perspective and make a realistic assessment of the potential outreach of EUTF projects in terms of impact.

In doing this; it should pay particular attention to:

- Facilitating more qualitative research and case-studies to provide further analyses for lessons learned and to learn from best practices. Case-based analysis takes into account the specific approaches and contexts of one or more projects using a specific indicator or small subset of indicators, and allows for exchange of practice between them.
- Creating a key link between the monitoring and evaluation of projects and the research carried out under the EUTF Sahel and Lake Chad window, notably through the Research and Evidence Facility.

In order for the learning strategy to increase its potential, other projects funded by the European Commission (for example in the framework of the National and Regional Indicative Programmes) which respond to the same strategic objectives of the EUTF could be included in the analysis and reporting activities foreseen under the proposed MLS.

3. Lessons learnt and complementarity

3.1 Organisations' experience and lessons learnt

The proposed intervention has taken on board the following recommendations and lessons learned:

- It is widely recognised that, in order for a monitoring system to also be used effectively as a learning mechanism, it needs to be developed in a participatory manner, involving the different stakeholders and their various requirements. The MLS should therefore have the capacity to outreach and consult with the EU Delegations, project implementing organisations, and project beneficiaries (both state and non-state) at all stages of development and implementation of the system, in order to achieve buy-in and commitment to use it.

- The action includes best practices gathered by the Evaluation and Monitoring Unit of the European Commission's Directorate General for International Cooperation and Development on how to combine "bottom-up" (i.e. what the individual agreed projects have as indicators) as well as "top-down" (i.e. what drives the EUTF strategy and Sahel and Lake Chad Operational Framework) approaches in the definition of indicators, as well as on how to develop methodological notes supporting each indicator, and the reporting mechanisms considered for the compilation of the overall EU Results Framework.

- The action has been implemented by the Horn of Africa Window of the EUTF and the Sahel and Lake Chad window aims at adopting the same approach in order to ensure coordination and harmonisation of systems.

ALTAI Consulting

Altai consulting provides strategy consulting and research services to private companies, governments and public institutions in developing countries. The consultancy has developed a deep knowledge on the EUTF specificities by putting in place a Monitoring & Learning System for the Horn of Africa window of the Trust Fund, for this purpose Altai Consulting was awarded a service contract on the basis of a call for proposals. The Sahel and Lake Chad Window aims at implementing the same approach of the Horn of Africa Window in order to ensure coordination and harmonisation across the windows, take advantage of the knowledge and systems already put in place, and exploit potential economy of scale. Experts already trained under the Horn of Africa will be able to closely follow the Sahel and Lake Chad implementation.

2.3. Complementary actions

The MLS:

- Will have to operate taking into account research component financed through the Research and Evidence Facility to ensure streamlined information sharing, make possible deeper

analysis into the relation between individual and collective EUTF activity performance and achievements, and the dynamics of irregular migration, displacement and conflict that are the chief concerns of the REF;

- Should also operate in close collaboration with the two other windows of the EUTF, in order to maximise the learning potential, and allow reporting against common indicators. The Monitoring and Learning system is already in place for the Horn of Africa window and coordination and harmonisation of the approaches should be facilitated.

- Will not aim at substituting existing platforms: it will make use of the existing tools and consolidate all information proceeding from those (AKVO Really Simple Reporting, WIKI). At the same time, it will aim at verifying and coordinating data encoding of information gathered through the Monitoring and Learning System on the same tools, through continued dialogue with relevant stakeholders responsible for the production and reporting of main data. The MLS will provide a support for the coherent collection and encoding of data at project level and their aggregation at regional and EUTF level;

- Will have to use a collaborative yet differentiated approach with regards to the individual monitoring and evaluation systems developed at the level of individual projects. Some of them will be more advanced or sophisticated than others, and each will have its own constituency of stakeholders to report to. While attempting to disrupt these systems to the least extent possible, the Monitoring and Learning System will have to work with the projects to ensure harmonisation of data collection, appropriate and transparent "translation" of project indicators into core indicators, and availability of project implementing staff to ensure the qualitative analysis behind the indicator measurement.

With a portfolio reaching over 123 contracts signed across twelve countries, and a significant number of contracts to be signed in the pipeline, EUTF SLC, intends to rely on the M&L system to smooth the differences amongst the M&E approaches of the interventions and ensure coherence with the other EUTF windows. The M&L will address weaknesses such as: weak logic of intervention, absence of SMART indicators, absence of baselines for main indicators; inexistent or very basic templates to export collected data; poor quality of data collection; unrealistic verification of sources, etc. The relevance of the aggregation of data through the collection, interpretation and calculation of project level indicators will also be verified and support on this area will be provided to IPs.

2.4. Donor co-ordination

Considering that all contributing donors (and other stakeholders) of the EUTF Sahel and Lake Chad window are directly concerned with the outputs of the MLS, the system will pay particular attention to making data and analysis easily available and accessible at all times.

More formally, the Monitoring and Learning System will report periodically to the members of the EUTF Sahel and Lake Chad window through the Operational Committee and the Board, at least on a bi-annual basis.

3. DETAILED DESCRIPTION

3.1. Objectives

The **overall objective** of the programme is to use an evidence-based approach for programming and implementing interventions in the Sahel and Lake Chad region, as well as to inform policy around the themes of the EUTF in the region.

Thee **specific objectives** are as follows:

Specific Objective 1: to establish and implement a Monitoring and Learning System which monitors and reports on the overall progress of the EUTF Sahel and Lake Chad window against EUTF strategic objectives, Sahel and Lake Chad policy priorities and EUTF principles of interventions.

Specific Objective 2: to develop and implement a learning strategy based on detailed investigations into how and why individual projects or groups of projects are performing or not, and whether and how they confirm the theories of change underpinning the EUTF approach, in order to improve their delivery and also the design of future projects.

Specific Objective 3: to design and pilot⁷ a system of context-level indicators of movement, vulnerability, stability and crises management capacity at the national and regional level against which to realistically frame the EUTF (and other similar EU) interventions; inform future EU programming and policy making; and ultimately track the *joint impact* of the EUTF SLC projects at the regional level through a top-down approach.

Expected results and main activities

The **expected results** are:

For Specific Objective 1:

Result 1.1.: A coherent and integrated system is in place allowing projects funded under the EUTF Sahel and Lake Chad window to regularly report against their logframes and the core set of macro indicators related to the EUTF strategic objectives, Sahel and Lake Chad operational priorities and the EUTF principles of intervention (including disaggregated data).

While the projects' individual logical frameworks are based on these strategic objectives, operational priorities and principles of intervention, they are however very diverse when it comes to the formulation of results and related indicators. This is a reflection of the wide range of approaches adopted by the projects to address complex challenges, as well as their context-specific nature and the variety of implementing partners involved and their M&E culture and capacity. In order to assess the collective progress of the EUTF, data on single projects need to be available and their results and impact need to be aggregated.

Indicative activities include: assessment of available data on existing monitoring tools, working on the integration of systems (AKVO, WIKI, performance dashboard already in place for the Horn of Africa Window), including the relevant disaggregation such as age, sex,

⁷ The system will most probably require specific agreements with governments and organisations, as well as specific resources to be mobilized that cannot be planned without a proper assessment, design and piloting phase at the end of which the MLS team will propose a solution and several options to implement it.

types of population (refugees, internally displaced persons, migrants, host populations, asylum seekers, returnees, etc.); finalising the formulation and methodological notes for the set of macro indicators; providing dedicated capacity building and technical assistance to implementing partners to improve their logical frameworks including clarifying the intervention logics, formulating output and outcome indicators, establishing baselines, etc. mapping the existing project logical framework indicators against these macro indicators, determining with implementing partners the target values for all relevant indicators, which are the target values that will appear on the EUTF website (paying particular attention to projects of similar nature); familiarising and/or training EU Delegations and implementing partners on the use of these indicators and the reporting requirements (including guidelines for harmonisation of data collection, etc.); developing data collection and reporting guidelines for projects; maintaining a database of information related to these indicators which allows aggregation of data which can be easily traced and understood ; ensuring quality assurance on the data reported by projects through desk and field support; providing hands on and helpdesk support to the projects on how to collect data with regards to the indicators; and directly contributing to the design and input of data directly into the EUTF adopted on-line IT platforms.

Result 1.2.: The information collected on projects' performance is collated, aggregated, and presented in a format suitable to the various target groups

Indicative activities include: providing dedicated capacity building and technical assistance to implementing partners on data collection to ensure appropriate quality, traceability and harmonisation across the EUTF interventions; defining the pyramidal architecture of reporting, including intermediary levels where a sub-set of projects of a similar nature are presented together; ensuring transparency by explaining the aggregation process; presenting the collected information into various meetings, workshops and conferences; and preparing publications on the collected information; ensuring exchange of data and coherent methodologies with other partners performing monitoring and/or evaluation of sub-sets of EUTF programmes; ensuring correct data integration with AKVO and tracking disaggregated data.

For Specific Objective 2:

Result 2.1.: Analysis is conducted to better understand the reasons behind the performance or non-performance of projects

Indicative activities include: deconstructing and analysing the information provided through the Monitoring and Learning System; reviewing projects' implementation reports and own monitoring and evaluation reports (including for relevant projects funded by the European Commission with other instruments); interviewing project implementing partners, project beneficiaries and other stakeholders; field visits and other necessary steps; keeping track of the various policy dialogues' developments in the priority areas to monitor whether the projects are adapting to them; keeping track of other initiatives in the region which have attempted to follow similar principles; and drafting analysis papers.

Result 2.2.: intra and inter-project learning is facilitated, notably through the development and dissemination of qualitative case studies describing specific project contexts, the approaches taken and how these affected the delivery of results, and so allowing exchange of lessons learned and best practices

Indicative activities include: drafting of case studies based on analysis; interviews and field visits; dissemination of case studies in various fora to allow for exchange and learning, paying particular attention to bringing together projects of similar nature; dissemination of case studies to other development partners, civil society and the media; coaching of project implementing partners and EU Delegations on how to concretely use the evidence collected to improve project implementation (including for projects funded under other instruments); organising workshops for exchange of best practices and lessons learned between projects; and advising the projects on how to reformulate logical frameworks.

Results 2.3.: The Monitoring and Learning System uses evidence collected through the research carried out through the Research and Evidence Facility to inform its analysis, and vice-versa provides evidence to project managers on lessons learned

Indicative activities include: analysing research and studies produced under the Research and Evidence Facility, providing feedbacks to the Sahel and Lake Chad team on recommended subjects; developing a set of learning questions to analyse the ways in which the EUTF projects relate to wider, cross-sector dynamics (such as on curbing future involuntary displacements, providing choices to potential migrants or reducing tensions).

Result 2.4.: Evidence collected by the projects is used to inform the design of future EU interventions as well as policy making

Indicative activities include: providing operational advice on how to integrate findings from the projects (including ROMS results and evaluations) into the design of future interventions (including under other instruments); reporting to strategic instances of the EUTF in order to inform policy makers; and providing clear communication briefs to other development partners, civil society and the media.

Result 2.5.: Evidence collected by the projects is used to describe if and how the projects confirm the various theories of change which were assumed when designing the EUTF SLC approach, thus also identifying gaps in the activities/results/outcome chains which need to be addressed if the change is to effectively happen

Indicative activities include: compiling data on results and outcomes at various levels of the theories of change, from EUTF implementing partners outcome and impact monitoring, existing meso-level data collection efforts as well as national and regional context-level indicators (see next objective); comparing results with the level of effort at the inputs of the theories of change in order to identify potential gaps and bottlenecks; discuss this analysis with key experts, including EU delegation programme managers and EUTF partners programme designers; revise theories of change as needed; and recommend corrective actions where possible.

For Specific Objective 3:

Result 3.1.: Relevant context-level indicators are defined in consultation with EUTF management and EUDs

An initial desk research combined with the inherent knowledge of the EUTF SLC mandate and objectives allows the MLS team to draft a first list of relevant indicators, with a definition of each and sources / means of measurement suggested. This first draft set is presented to

EUDs to get their feedback and complementary suggestions based on their specific context and needs.

Result 3.2: Existing sources of data across organisations and governments are identified and their quality assessed in order to avoid duplication and rely on the most sustainable systems

e.g. Tracking migration flows: IOM DTM is currently collecting data and profiles along migration routes in various ways. FRONTEX is also collecting several layers of information along migration routes. The MLS team will further assess these systems, assess complementarities and identify gaps / weaknesses, to ultimately propose a comprehensive approach that could possibly be built in collaboration with these organizations, but would lead to more reliable indicators of movements and profiles.

In the same logic INFORM Sahel provides valuable data on risk-assessment and available results on the region. Indicators used by OCHA will be assessed and the available information will be analysed against the SLC intervention logic, and in the effort of defining EUTF regional impact.

Result 3.3: A first draft system is designed and presented to EUTF SLC Management team

This system should include a list of context indicators, their relevance for the EUTF and other stakeholders, a definition of their nature, sources and effort of data collection required, partners to be involved.

Several options with a rough budget estimate will be presented to EUTF management team in Brussels (and possibly to the EUDs) to get their feedback on the approach and identified partners / options. The most relevant options will be retained to be further developed in the last phase of the project.

Result 3.4: A number of pilot activities are conducted to validate the assumptions and approach proposed, and refine the concept

A number of case studies will be conducted based on the proposed approach in order to test the proposed approach and model, as well as refine the collaboration modalities with the potential partners, and potential hand over plans.

Result 3.5: A final concept is presented to EUTF SLC with several scenarios in terms of resources and implementation.

Based on the list, a comprehensive concept will be proposed with its objectives, structure, implementation plan and budget – with potentially several scenarios – to be submitted to the EUTF Operational Committee.

3.2. Risks and assumptions

The main risks and mitigating measures are:

1. There may be limitations of access in countries or to project areas due to instability or conflict that limits optimal monitoring of EUTF activities. Were that to be the situation, the Monitoring and Learning System would need to rely on desk studies, third party monitoring and other means.

2. There may be difficulties in aggregating and comparing monitoring data if it is not collected using the same methodologies or is not categorised in the same way. There also may be limitations in the availability of baseline data.

Early analysis of EUTF activities' M&E system showed that some planned to monitor outputs incompletely or with too limited amount of details and disaggregation to be of use for deep analyses; some had definitions for their indicators that were inconsistent with other activities definition; some had overly narrow or broad outcome indicators that would not accurately reflect actual outcomes of the project, or would make it difficult to assert the chain of causality.

This risk will be minimised by regular communication with EUTF activities and the establishment of clear parameters for data collection at the outset of the Monitoring and Learning System.

3. EUTF activities may not collect or share all information as required by the Monitoring and Learning System. To mitigate this risk, the latter will adopt a participatory approach and organise several sessions with project implementers and EU Delegations to familiarise them with the Monitoring and Learning System approach, and act as a supportive advisor/coach and not a controller.

4. Direct causal links between indicators and outcomes may be obscured by other external factors, such as changes in security, increases in food insecurity as a result of climatic or other economic factors. This will have to be clearly explained in the various analysis provided by the Monitoring and Learning System.

The assumptions for the success of the project and its implementation include:

1. The individual Governments of the beneficiary countries of the Sahel and Lake Chad Window will support and facilitate the monitoring work.

2. The EUTF activities will be able to implement their projects and gather monitoring information as set out in their logical frameworks.

3. There will be smooth and strong communication between the Monitoring and Learning System, AKVO RSR, and individual EUTF activities.

4. It will be possible to gather information on the indicators identified (i.e. that the cultural, social or political barriers to gathering the data will be minimal).

3.3. Cross-cutting issues

The main cross-cutting issue of this action is foreseen improved policy and practice, by filling knowledge gaps and consolidating information of projects otherwise operating in relative isolation from one another.

The Monitoring and Learning System will also play a crucial role in supporting coherent and credible communication around the EUTF, notably in relation with the media. It should therefore contribute to positive visibility of the EUTF.

In the formulation and collection of data on indicators, the Monitoring and Learning System will ensure where possible the disaggregation of information by status (e.g. refugees, vulnerable groups, host communities), gender, age and locality in order for the information collected to be as specific and useful as possible to orient project implementation and programming towards the intended EUTF target groups.

3.4. Stakeholders

1. The individual projects implemented through the EUTF Sahel and Lake Chad window, and more particularly the implementing agencies and management staff who will receive support through this action yet are also instrumental in providing the necessary information.

2. The EU Delegations who will ensure complementarity between the monitoring and analysis carried out through the Monitoring and Learning System, the existing systems put in place by the individual projects themselves, and the eventual ROM missions. The EU Delegations will also make the link between evidence gathered through the EUTF projects and the other programmes being implemented in country.

3. The members of the EUTF Operational Committee who will use the information provided by the Monitoring and Learning System to take strategic and policy decisions with regards to their programmes, and who will receive evidence on the impact of their contributions to the EUTF.

4. The beneficiary countries of the EUTF, who will receive targeted information on whether and how the EUTF projects are fulfilling their promise to support stability and address the root causes of irregular migration and displaced persons.

4. IMPLEMENTATION ISSUES

4.1. Financing agreement, if relevant

No Financing agreement is foreseen for this action

4.2. Indicative operational implementation period

The implementation period will be 48 months, whilst the overall execution period (including a closure phase of no more than 24 months) will not exceed 72 months from the date of approval of this Action Document by the Operational Committee of the EU Trust Fund.

4.3. Implementation components and modules

The action will be implemented in centralised management, through the direct award of a service contract. The direct award is justified on the ground of the operator's experience (refer to point 3.1). The contractor was already selected by the European Commission, and for the EUTF, on the basis of a call for tender during which several participants were invited to submit a tender offer and the contractor proved to have the best tender offer, together with administrative and financial capacity to manage the action. This process also responds to the need of enhancing harmonization

among the EUTF windows and increasing coherence between the windows' theories of change. It will be able rapidly and swiftly respond to the monitoring and learning needs to inform the Sahel and Lake Chad's policy-making and programming. The direct award will be subject to a negotiation phase through which the European Commission will ensure that best value for money is ensured.

4.4. Indicative budget

Component	EUTF contribution (EUR)
Service Contract, including communication and visibility	4 900 000
Monitoring, audit and evaluation	100 000
Total	5 000 000

4.5. Evaluation and audit

If necessary, ad hoc audits or expenditure verification assignments could be contracted by the European Commission for one or several contracts or agreements.

Audits and expenditure verification assignments will be carried out in conformity with the risk analysis in the frame of the yearly Audit Plan exercise conducted by the European Commission. The amount allocated for external evaluation and audit purposes should be shown in the budget at section 4.4. Evaluation and audit assignments will be implemented through service contracts, making use of one of the Commission’s dedicated framework contracts or alternatively through the competitive negotiated procedure or the single tender procedure.

4.6. Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU. This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner countries and entrusted entities. Appropriate contractual obligations shall be entered into the Agreements concluded by the Commission with the entrusted entities and the partner countries.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

A **logical framework** showing targets and indicators is attached.

ANNEX I - INDICATIVE LOGICAL FRAMEWORK FOR THE ACTION

Please note that baselines and indicators will be further defined during the inception phase.

	Intervention logic	Indicators	Baseline (June 2018)	Targets (April 2022)	Sources and means of verification	Assumptions
Overall Objective	To use an evidence-based approach for programming and implementing interventions in the SLC region, as well as informing policy around the themes of the EUTF in that region	% of projects achieving a satisfactory score for incorporating lessons learnt through the monitoring system in place		75% of projects	Project implementation reports (lessons learnt); surveys	
Specific Objectives	<p>Specific Objective #1: Establishing and implementing a MLS system which monitors and reports on the overall progress of the EUTF SLC against its strategic objectives, policy priorities and principles of interventions</p> <p>Specific Objective #2: Developing and implementing a learning strategy based on detailed investigations into how and why individual or groups of projects are performing in order to enhance their delivery and also the design of future projects.</p> <p>Specific Objective #3: to design and pilot a system of context-level indicators of movement, vulnerability, stability and crises management capacity at the national and regional level against which to realistically frame the EUTF (and other similar EU) interventions; inform future EU programming and policy making; and ultimately track the <i>joint impact</i> of the EUTF SLC projects at the regional level through a top-down approach.</p>	<p>The MLS is in place and in synergy with other monitoring systems and most EUTF funded interventions in the SLC are reporting against the project and core indicators</p> <p>% of projects having incorporated analysis provided by the MLS in their design or implementation processes</p> <p>Design and first pilot of the system is in place</p>	<p>Monitoring system in place</p> <p>0</p> <p>No system is in place</p>	<p>All projects (apart from this one) report through the MLS</p> <p>75% of projects</p> <p>A system with the most relevant context indicators on migration and stability is available to EUTF stakeholders</p>	<p>Reports from the MLS</p> <p>Project implementation reports (lessons learnt); surveys</p> <p>Reports from the MLS</p>	<p>1. That the individual governments in the Sahel and Lake Chad will support and facilitate the monitoring work.</p> <p>2. That the EUTF activities will be able to implement their projects and gather monitoring information as set out in their logical frameworks</p> <p>3. That there will be smooth and strong communication between the MLS, other monitoring systems and individual EUTF activities</p> <p>4. That it will be possible to gather information on the indicators identified (i.e. that the cultural, social or political barriers to gathering the data will be minimal).</p>
				18		

	Intervention logic	Indicators	Baseline (June 2018)	Targets (April 2022)	Sources and means of verification
Results	Result 1.1.: A coherent integrated system is in place allowing projects funded under the EUTF SLC to regularly report against a core set of macro indicators set out in the M&E performance dashboard related to the EUTF strategic objectives, SLC operational priorities and the EUTF's principles of intervention.	The performance dashboard is in place with EUTF macro indicators; A coherent and integrated system is in place with regular and harmonised reporting of projects against the project and EUTF macro indicators;	No dashboard Results on Akvo systems are available for 20% of projects AKVO (no disaggregation) WIKI	Performance dashboard finalised All projects report against results through the systems put in place Integrated system allowing synergies of data sharing and collective reporting At least two reports are produced per year	Performance dashboard made available; Reporting guidelines to projects; on-line monitoring system accessible to all stakeholders; reports produced on demand AKVO filled with actual values on of results
	Result 1.2.: The information collected on projects' performance is collated, aggregated, and presented in a format suitable to the various target groups	Reports are produced on the collective performance of the EUTF SLC Number reports produced on the collective performance of the EUTF SLC projects	No reports		
	Result 2.1.: Analysis is conducted to better understand the reasons behind the performance or non-performance of projects	Number of analysis reports produced and properly disseminated	No reports	At least 5 ad-hoc reports per year produced	Reports made available to stakeholders and possibly made public
	Result 2.2.: intra and inter-project learning is facilitated, notably through the development and dissemination of qualitative case studies describing specific project contexts, the approaches taken and how these affected the delivery of results, and so allowing exchange of lessons learnt and best practices	Number case studies in place and properly disseminated %of projects using MLS analysis to orient implementation	No reports	At least 5 case studies reports per year produced 75% projects	Reports available to stakeholders, and possibly made public Case studies available to stakeholders, and possibly made public
	Results 2.3.: The MLS uses evidence collected through the research carried through the Research Facility to inform its analysis	Number of research outputs produced by the Research Facility which incorporate projects' findings; % of projects using MLS analysis in their design Number of policy papers using MLS analysis	0	All Research and evidence Facilityy research once MLS is running	REF research outputs MLS analysis available
	Result 2.4.: Evidence collected by the projects is used to inform the design of future EU interventions as well as policy making		0	All projects designed once MLS is in place Operational framework is revised	Projects' Action Documents Operational Framework
			19		
			0		
			0		

	Intervention logic	Indicators	Baseline (June 2018)	Targets (Apr 2021)	Sources and means of verification
Results	<p>Result 2.5: Evidence collected by the projects is used to describe if and how the projects confirm the various theories of change which were assumed when designing the EUTF SLC approach, thus also identifying gaps in the activities/results/outcome chains which need to be addressed if the change is to effectively happen</p> <p>Result 3.1.: Relevant context-level indicators are defined in consultation with EUTF management and EUDs</p> <p>Result 3.2: Existing sources of data across organisations and governments are identified and their quality assessed in order to avoid duplication and rely on the most sustainable systems</p> <p>Result 3.3: A first draft system is designed and presented to EUTF SLC Management team</p> <p>Result 3.4: A number of pilot activities are conducted to validate the assumptions and approach proposed, and refine the concept</p> <p>Result 3.5: A final concept is presented to EUTF SLC with several scenarios in terms of resources and implementation.</p>	<p>Theories of change supporting the achievement of the objectives of the EUTF SLC are developed and projects mapped against them</p> <p>Analysis of the contribution of projects towards these theory of changes are outlined in MLS monitoring reports</p> <p>List of context-level indicators on migration and stability</p> <p>Analysis report of which existing systems can help provide data towards main indicators</p>	<p>intervention logic defined by the operational framework of the EUTF SLC</p> <p>No analysis</p> <p>No list, analysis or draft system</p>	<p>Theories of changes are defined for the 4 strategic objectives and the 2 Operational framework axes</p> <p>Analysis existing and disseminated to stakeholders via MLS reports</p> <p>A pilot system is in place with a list of indicators with verifiable sources – a final concept is presented for future potential funding</p>	<p>Special report from the MLS</p> <p>MLS monitoring reports</p> <p>MLS delivers list</p> <p>Concept delivered by MLS</p>