

## ANNEX II: TERMS OF REFERENCE

### SUPPORT TO PROGRAMMING, MONITORING, EVALUATION AND KNOWLEDGE SHARING IN THE EU EXTERNAL ACTION

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# 1. BACKGROUND INFORMATION

## 1.1. Partner country

This contract is not specific to one country. It covers the regions under both Directorate-General for International Partnerships (DG INTPA) and Directorate-General for Neighbourhood and Enlargement Negotiations (DG NEAR) mandates.

## 1.2. Contracting authority

European Union, represented by the European Commission (DG INTPA). The contract will be managed in close association with DG NEAR.

## 1.3. Background

DG INTPA is responsible for formulating the EU's international partnership and development policy, with the goal to reduce poverty, ensure sustainable development, and promote democracy, human rights, and the rule of law across the world. DG NEAR's mission is to take forward the EU's Neighbourhood and Enlargement policies, as well as coordinating relations with EEA-EFTA countries insofar as European Commission policies are concerned. Both DG INTPA and DG NEAR work closely with the European External Action Service and in particular their implementing arm Foreign Policy Instruments Directorate (FPI) and the line DGs in charge of thematic priorities.

Within the 2021-2027 Multi-Annual Financial Framework (MFF), both DG INTPA and DG NEAR are engaged in the programming, design, implementation, monitoring and evaluation of the Global Europe Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)<sup>1</sup>.

The NDICI-Global Europe instrument consists of an overall allocation of 79,5 billion EUR; it is divided into three main pillars (geographic, thematic, and rapid response) plus a "cushion" of unallocated funds to counter emerging crises. The NDICI-Global Europe instrument also includes an investment framework for external action to raise additional financial resources for sustainable development from the public and private sector, namely the European Fund for Sustainable Development (EFSD+) and the External Action Guarantee. Relevant to INTPA and not included in NDICI-Global Europe are also the Decision on the Overseas Association, including Greenland (DOAG), as well as the Instrument for Nuclear Safety Cooperation. The new Instrument for Pre-accession assistance (IPA III) is not included in NDICI but IPA beneficiaries can benefit from the NDICI rapid reaction components and from the External Action Guarantee. For the 2021-2027 Multiannual Financial Framework period, IPA III has a total budget of over EUR 14 billion. This instrument supports candidate countries and potential candidates on their path towards fulfilling the EU accession criteria through deep and comprehensive reforms<sup>2</sup>.

The establishment of the NDICI-Global Europe instrument reflects a 'policy first' approach that translates into increased effectiveness and visibility of the EU's external policies, strengthening their coordination with internal policies and giving the EU the necessary flexibility to provide a faster

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<sup>1</sup> Cf. Regulation (EU) 2021/947 of the European Parliament And of the Council of 9 June 2021 establishing the Neighbourhood, Development and International Cooperation Instrument – Global Europe.

<sup>2</sup> Cf. Regulation (EU) 2021/1529 establishing the Instrument for Pre-Accession Assistance (IPA III).

response to new crises and challenges. Since December 2021, the Global Gateway<sup>3</sup> provides a coherent strategic policy framework for four of the six geopolitical priorities of the Commission, facilitating investments in the digital, climate and energy, transport, health, education and research sectors.

Team Europe Initiatives (TEIs), initially a feature of the EU Global Response to COVID-19, are now a key part of both NDICI-Global Europe and IPA III programming and implementation, aimed at achieving greater sustainable impact and transformational change. TEIs are concrete actions, implemented in a 'Team Europe approach' (i.e. in coordinated partnership between different actors of Team Europe) and guided by EU political and policy priorities. They imply an inclusive process open to all EU Member States, their implementing organisations and financing institutions. TEIs are expected to bring together the best possible mix of modalities, tools and partners (e.g. public sector, CSOs, private sector, financial institutions) to deliver the common intended impact.

Both the NDICI-Global Europe and the IPA III regulations reiterate the importance of clear monitoring and evaluation mechanisms as well as reporting focused on results covering outputs, outcomes and impacts for accountability, transparency, and assessment of progress towards achieving objectives in partner countries benefiting from the Union's external financial assistance.

#### **1.4. Current situation in the sector**

The contract will provide support services to the units in DG INTPA and DG NEAR that are responsible, among others, for performance, results and evaluation (currently Unit INTPA.D4 – Performance, Results and Evaluation; Internal Communication, Knowledge Management and Collaborative Methods and Unit NEAR.A4 – Coordination of Financing Instruments - Performance, Results and Evaluation).

The work of the two Units covers all phases of the cycle of interventions and beyond, with a mission that aims at improving the quality at each stage of the intervention cycle, thus enhancing the impact of EU external action. Both Units avail themselves of external service providers to support their mission as further detailed in paragraph 1.5.

The following paragraphs describe the various areas of activity of the two Units along the cycle of INTPA/NEAR's operations.

##### **1.4.1. Programming**

Programming is the process through which the EU defines its medium and long-term external action priorities.

NDICI-Global Europe programming started in November 2020 and concluded in December 2021 following the adoption by the European Commission of country, regional, ERASMUS+ and thematic multi-annual indicative programmes (MIPs). The EU has defined its priority areas and specific objectives for the period 2021-2027 with each partner country and region<sup>4</sup>. MIPs contain indicative financial allocations as well as results and indicators (with baseline and targets) to measure EU intervention effectiveness. The EU adopts Special Measures for countries where the situation does not allow programming.

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<sup>3</sup> Joint Communication: The Global Gateway JOIN(2021) 30 final  
[https://ec.europa.eu/info/sites/default/files/joint\\_communication\\_global\\_gateway.pdf](https://ec.europa.eu/info/sites/default/files/joint_communication_global_gateway.pdf)

<sup>4</sup> In the Neighbourhood region, partner countries, the EU and the Member States agree on the common priorities in the Joint Documents, which take the form of Partnership Priorities, Association Agendas or equivalent. They set further the political and economic priorities for EU financial assistance.

Each year, the European Commission adopts Annual Action Plans setting out the implementation of multi-annual indicative programmes.

The IPA III Programming Framework 2021-27 focuses on the priorities of the enlargement process according to five thematic windows, which mirror the clusters of negotiating chapters as per the revised enlargement methodology. Bilateral annual actions are prepared according to a two-stage programming process. In the first stage, IPA III beneficiaries prepare strategic responses outlining how their overall policies and sectoral strategies are in line with the recommendations and requirements of the specific policy instruments of the enlargement process, and how the proposed actions would contribute to the objectives of IPA III Programming Framework. The Commission then makes a first selection of actions based on policy relevance. The selected actions are further developed into fully-fledged action documents by IPA III beneficiaries. The Commission subsequently makes a second selection based on technical maturity. Only actions that are sufficiently technically mature are considered ready for adoption.

The NDICI-Global Europe Regulation stipulates that MIPs for geographic programmes shall be reviewed following the mid-term evaluation referred to in Article 42(2), as well as on an *ad hoc* basis as necessary for effective implementation, in particular where there are substantive changes in the policy framework referred to in Article 7 or following a situation of crisis or post-crisis. The MIPs for thematic programmes shall be reviewed following the mid-term evaluation referred to in Article 42(2), as well as on an *ad hoc* basis as necessary for effective implementation, in particular where there are substantive changes in the policy framework referred to in Article 7.

Currently, Unit INTPA.D3 – Coordination and oversight of Financing Instruments, coordinates programming for the DG INTPA, while DG NEAR established a dedicated programming sector in Unit NEAR.A4. The process for adoption and amendment of MIPs is the responsibility of geographic and thematic Headquarters (HQ) Units, in close collaboration with EU Delegations and the EEAS. In DG INTPA, Country Cooperation Teams (CCT) and Regional Cooperation Teams (RCT) facilitate internal co-creation.

Units INTPA.D4 and NEAR.A4 support programming ensuring alignment between policy priorities and monitoring and evaluation systems (results and indicators). The Units provide methodological guidance for programming, including on relevant templates, as well as comments and quality checks during the preparation of both NDICI MIP Intervention Frameworks and IPA III programming Framework and its relevant windows.

#### **1.4.1. Focus on results**

The need for reporting on results of the EU external action has gradually increased over the past years.

For the purpose of accountability and communication, the Commission publishes aggregated results data on the EU Multi-Annual Financial Frameworks (MFF). This is done in the Annual Reports on the implementation of the European Union's External Action Instruments.

The EU International Cooperation and Development Results Framework (EU Results Framework or EURF) was first launched in 2015, and then updated in 2018 to align with the 2030 Agenda and the EU Consensus on Development. The EURF is essentially a list of indicators that have been used to collect and measure key results achieved at corporate level by interventions funded using the EU external assistance financing instruments.

In 2021-2022, the EURF was revised to align with the 2020-2024 Strategic Plans of DGs INTPA, NEAR (only covering Neighbourhood) and FPI (elaborated under the political priority of a 'Stronger Europe in the World' of the von der Leyen Commission) and with the NDICI-Global Europe instrument. This updated list of indicators is called the Global Europe Results Framework (GERF). For the purposes of monitoring and reporting on the IPA III programme, DG NEAR adopted the IPA III Results Framework in December 2022.

Building on the experience of the EURF and taking stock of its limitations, with the latest update the Commission has introduced a broader performance monitoring system, the Global Europe Performance Monitoring System (GEPMS). The GEMPS is described in detail in the Commission Staff Working Document SWD (2022) 22 “Launching the Global Europe Performance Monitoring System containing a Revised Global Europe Results Framework”. In addition to tracking the EU priorities for external action, it enables enhanced coverage of the Sustainable Development Goals (SDGs) and of a wide number of thematic indicators<sup>5</sup>.

The Instrument for Pre-accession III Results Framework (IPA III RF)<sup>6</sup> plays the same role in the Enlargement region as the GERF in the INTPA and Neighbourhood regions. Its predecessor (the IPA Performance Framework) was first launched in 2018, and then updated in 2021. IPA III RF is essentially a list of indicators, defined within the IPA III Programming Framework Windows, that will be used to collect and measure key results achieved at corporate level by interventions funded using pre-accession financing Instruments. The IPA III RF is described in detail in the Commission Staff Working Document SWD (2022) 445 “The Instrument for Pre-Accession assistance (IPA III) Results Framework”.

The EU budget places performance at the forefront of its activities and this approach continues to evolve in the 2021-2027 period. The Commission bases its interventions, whether legislative proposals or spending programmes, on solid evidence and a precise description of what the intervention is intended to deliver, and how. In its recent Communication on Better Regulation<sup>7</sup>, The Commission has further strengthened this system with important new features, for example in relation to consultation of stakeholders, efforts to simplify and reduce burdens, mainstreaming sustainability into the better regulation policy and integrating strategic foresight into policy-making. A modern performance framework for the EU budget has to be based on: a) clarity and transparency about the way programmes are designed to address the identified challenges through their objectives; and b) a meaningful and robust system to allow progress towards the objectives to be measured – and action taken where needed.

This increased focus on results is reflected in the 2018 Financial Regulation, which inter alia explicitly permits results-based financing (RBF, or performance-based financing, PBF).

In that framework, Units INTPA.D4 and NEAR.A4 have taken the lead and coordinated the evidence-based results agenda of their respective DGs, in close collaboration with FPI, DG ECHO and EEAS, from a methodological point of view, developing a strategy and providing guidance on design, internal and external monitoring and evaluation of interventions.

#### **1.4.2. Design**

Action Documents (ADs) are the key documents of the design phase and are prepared in view of the adoption of Commission financing decisions, for any type of implementation modality (i.e. type of financing and management mode). They are subject to a quality review process for which specific internal guidelines have been developed both in DG INTPA and in DG NEAR.

The inheritance of indicators from programming documents to ADs ensures alignment between programming and design, so as to contribute to the key objectives and outcomes of the EU support in a particular country, region or theme as defined in the related programming document. At the same

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<sup>5</sup> [https://international-partnerships.ec.europa.eu/policies\\_en](https://international-partnerships.ec.europa.eu/policies_en)

<sup>6</sup> [COMMISSION STAFF WORKING DOCUMENT The Instrument for Pre-Accession assistance \(IPA III\) Results Framework \(europa.eu\)](#)

<sup>7</sup> The 2021 Better Regulation: Joining forces to make better laws: [https://ec.europa.eu/info/files/better-regulation-joining-forces-make-better-laws\\_en](https://ec.europa.eu/info/files/better-regulation-joining-forces-make-better-laws_en)

time, the inclusion of relevant, acceptable, clear, easy, and robust (RACER) indicators in ADs allows for enhanced monitoring, reporting and evaluation. During implementation, the monitoring and reporting of indicators, including those from the GERF and IPA III RF, provide the basis to a) show the degree of advancement towards the expected results (the performance of EU interventions), and b) aggregate data to allow the European Commission to report at corporate level.

In this context, Units INTPA.D4 and NEAR.A4 provide methodological input on relevant sections of the ADs. Methodological input is provided whenever relevant and more precisely during the formal quality review process before the submission of ADs to quality review meeting (QRM).

The most frequent issues that emerge in the quality review process relate to confusion between outputs, outcomes and impact; lack of coherence between the narrative and logframe matrix; inadequacy of indicators in terms of scope and number, wording and/or the level of result they intend to measure progress for; limited use of relevant core corporate indicators for institutional reporting, lack of baselines, targets, and sources of verification; weak monitoring and evaluation arrangements.

Both DG INTPA and DG NEAR have carried out training and quality assurance activities (webinars, one-to-one coaching, other) to help staff design actions/interventions that are responsive to real needs, grounded in sound intervention logics and provided with robust indicators for monitoring, reporting and evaluation.

Work undertaken so far points towards some progress in the EU staff capacity to address these issues. Nevertheless, there remain ongoing challenges, some of which relate to the piecemeal manner in which programming and design on one hand and monitoring and reporting on the other are considered and undertaken.

Staff turnover remains relatively high, with many having limited experience of 5 years or less in the areas of programming, monitoring and evaluation. While almost all recipients of capacity development activities (training, coaching, workshops, etc.) acquired knowledge, many evoke a challenge in applying it to defining results chain, ensuring coherence between results and their indicators at different levels and in different strategic documents, defining and setting indicators with baselines and target values, planning programme/sector monitoring and ensuring effective monitoring systems for sectors, large programmes/interventions, and countries.

Once approved, the Action Document sets the bases for the following steps (contracting / implementation) and is further developed into one or several intervention(s). In order to improve the design and therefore monitoring, implementation and reporting on results, an additional service was commonly developed in 2019 by DG INTPA and DG NEAR to provide methodological support to EU Delegations and Units in HQ to address design weaknesses in logframes, lack of clarity in intervention logics, or shortcomings in the monitoring and reporting systems of interventions at implementation level. The support is available on demand for interventions of more than EUR 1 million in project modality, including blending (subject to approval), through the Results Oriented Monitoring (ROM) system's dedicated experts.

Specific types of interventions call for tailored support. The design of the TEIs requires a good cooperation between Team Europe actors in order to create a minimum common frame that keeps the TEI together. This common frame is illustrated as a TEI joint intervention logic (JIL) and lays out the theory of change through which all TEI interventions are expected to deliver their objectives and results. In addition to this minimum common frame, Team Europe actors may decide to undertake more detailed design work jointly to deepen their coordination. INTPA.D4 and NEAR.A4 provide methodological support in the development of JILs.

For the design of interventions to be implemented as budgetary guarantees and financial instruments (e.g. blending), INTPA.D4 and NEAR.A4 have developed the EFSD+ Results Measurement Framework (EFSD+ ReMF). The two Units have been screening and providing an assessment on the results and monitoring, reporting and evaluation related sections of the Proposed Investment Programmes (PIPs) and blending proposals, as well as of the relevant sections of the Guarantee

Agreements and Contribution Agreements (templates and actual Agreements) to ensure compliance with the NDICI-Global Europe and EFSD+ objectives and overarching priorities.

### **1.4.3. Results monitoring and reporting**

Monitoring is a key management tool along the entire implementation cycle of the intervention and consists of systematic management practices providing regular information on the progress towards achieving the expected results. Generally, monitoring of interventions must cover the following aspects: results (outputs, outcomes), activities, context (assumptions and risks), organisational setup and stakeholder management. Tools and methodologies for monitoring evolve constantly to adapt to new legal bases, implementation modalities, political needs, international developments in the M&E field and external factors (e.g. travel restrictions).

In the context of DG INTPA and DG NEAR, monitoring can be internal, if carried out by EU operational managers and implementing partners, or external, if carried out by independent consultants supporting the EU services. Internal monitoring provisions depend on the implementation modality of the intervention and are described in each contract. The External Assistance Monitoring Reports (EAMR) provide an overview of the status of implementation and key results at the level of each entity (HQ Unit or Delegation).

The capacity of the operational managers in HQ and EU Delegations on monitoring at intervention and sector level needs to be enhanced, so on the one hand they can perform their own monitoring of EU financial assistance and on the other, they can provide guidance to implementing partners and partner countries on how to develop their monitoring systems to serve also the reporting requirements of the EU financial assistance.

To strengthen these skills, DG INTPA and DG NEAR carry out a series of activities to disseminate the methodology and tools used in results monitoring and reporting, including related trainings. Internal Monitoring for Results training is one of the courses provided in the framework of INTPA's Fundamental Training Package, and with a different label, in DG NEAR's capacity development package. These specific trainings help the operational managers in HQ and EU Delegations to understand the scope of monitoring and the key elements of a good monitoring system also in reference to OPSYS. Participants have an opportunity to look at the practical aspects of the role and tasks of the operational managers during the different phases of the intervention cycle. It is also a good occasion for HQ to share an experience on practical use of the basic monitoring tools for collecting, analysing and reporting on results and give a comprehensive overview of specific monitoring practices.

For external monitoring, DG INTPA and DG NEAR implement the Results Oriented Monitoring (ROM) system. Performed by external experts currently mobilised by four consortia holding a service contract with the Commission, ROM reviews provide an external, objective, and impartial assessment of selected ongoing interventions. ROM experts assess interventions according to the eight monitoring criteria: the OECD-DAC criteria of relevance, efficiency, effectiveness, and sustainability, as well as four distinctive criteria, dealing with aspects linked to the quality of the intervention logic and monitoring systems, the coordination, complementarity, and EU added value, cross-cutting issues, and visibility. The ROM system thus supports HQ and Delegations in their monitoring and reporting functions. The ROM methodology is public and can be consulted in the group dedicated to ROM on INTPA's knowledge sharing platform Capacity4Dev<sup>8</sup>. The management of the ROM system is currently supported by a dedicated tool, the ROM module, which is being gradually integrated into OPSYS, which is expected to further promote complementarity of ROM with internal monitoring activities and evaluation.

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<sup>8</sup> <https://europa.eu/capacity4dev/rom>

Another form of external monitoring is the one foreseen in the framework of budget support operations, when experts may be recruited *ad hoc* in order to complement the monitoring of the implementation of the reform agenda and provide another source to inform the Delegations in assessing the state of implementation of indicators prior to disbursement decisions.

Findings from ROM are consolidated on an annual basis; however, overall (internal and external) monitoring findings are not sufficiently used to identify systemic problems affecting globally the implementation of different types of actions/support, in different management modes and in different sectors. Monitoring findings are also not sufficiently linked to findings from other control measures (like performance audits, evaluations).

As currently the internal capacity to perform such type of analysis is limited, this contract will support this line of work through targeted coaching of Delegations' staff, analyses and studies and by proposing innovative activities. It will also support the methodological work related to ROM, and its coordination, with a specific focus on the use of knowledge and learning.

#### 1.4.4. Evaluation

INTPA.D4 and NEAR.A4 are responsible for steering and coordinating all the (independent and external) evaluation activities of their respective DGs. They provide support in the planning (Operational Evaluation Plan / Evaluation Work Programme) and implementation of evaluations of interventions directly managed by INTPA/NEAR HQ and Delegations, and they plan and manage strategic evaluations<sup>9</sup><sup>10</sup>. They support the dissemination and uptake of evidence and, to some extent, facilitate the follow-up of the proposed actions generated by the strategic evaluations. Finally, INTPA.D4 and NEAR.A4 develop methodologies, tools and staff capacity in the evaluation field, coordinating and working in partnership with internal and external stakeholders including partner countries.

In their Evaluation Policy<sup>11</sup>, DG INTPA, DG NEAR and the EEAS underline the importance of the 'evaluation first' principle as a central part of their cooperation. This principle, whereby all new communications, strategies and policies should be based on evaluations findings, is expected to foster a corporate learning culture within DG INTPA/DG NEAR. It underlines the importance of ensuring high quality and timely evaluation products and better use of knowledge generated by evaluations.

In light of these policies and requirements, and in addition to its evaluative work, a number of important initiatives have been taken within DG INTPA and DG NEAR to promote a stronger, higher quality evaluation culture in the Commission. The advances have been considerable but there are still room for improvement and challenges to face.

The Operational Evaluation Plan (OEP) is the multi-yearly evaluation planning exercise that has taken on great relevance in recent years thanks to the systematic support provided to the Delegations / HQs Units to improve their interventions evaluation planning and follow up. In the case of INTPA,

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<sup>9</sup> Strategic evaluations are different from evaluations of interventions (projects and programmes) and are defined as complex evaluations in that they analyse policies, strategies, and actions from design to implementation assessing the combined results of all spending (e.g., a portfolio of interventions) and non-spending (e.g., policy dialogues) activities over a significant period (temporal scope of usually at least 4 years). They are conducted at several levels: country, region, multi-country, sector and instrument. They entail different phases and tend to last in average one year.

<sup>10</sup> These two types of evaluation are further described here:

[https://international-partnerships.ec.europa.eu/policies/monitoring-and-evaluation/evaluation-practice\\_en](https://international-partnerships.ec.europa.eu/policies/monitoring-and-evaluation/evaluation-practice_en)

<sup>11</sup> <https://op.europa.eu/en/publication-detail/-/publication/5fff5736-ffce-4de1-b691-6c3134345391>

since 2021, the launch of the OEP has been merged with the consultation on the Evaluation Work Program (EWP), which is INTPA's multi-annual planning for strategic evaluations, so to maximize synergies between the two exercises and better inform MFF implementation. The number of submitted OEPs has been growing each year until reaching all Delegations. The number of planned evaluations has also been reduced but planning skills of Delegations and HQ Units are still not sufficient to produce realistic OEPs. In December 2022, as a result of a simplification exercise carried out by INTPA, the official OEP exercise and the obligation to submit an OEP has been abandoned, but not the need for EUD/Units to plan their evaluations. In the case of NEAR, the submission exercise of the OEP is maintained.

In 2019 and 2020, the initiative "Future of P/P evaluation in DEVCO", based on consultation with Delegations and Units confirmed that several interconnected measures are needed in order to strengthen the quality of intervention-level evaluations. Two of these measures have already been implemented (coordination between OEP and EWP processes, described above; and actions aimed at promoting dissemination of results<sup>12</sup>). INTPA Management has now endorsed the implementation of another two recommendations, following a staged approach. Making the quality assurance support on evaluations compulsory is the first step; this allows implementing the next recommendation, which is to publish good quality intervention-level evaluation reports.

INTPA has already launched a pilot initiative of a compulsory QA mechanism of the three key deliverables of intervention-level evaluations (ToR, Inception Reports, Final Reports) in view of the publication of the reports satisfying to criteria of good quality. The mechanism applied to a narrow sample of 5 Delegations and 2 Units who have voluntarily agreed to participate in the pilot initiative. The pilot exercise leaves several conclusions and open questions about the possible implementation of a large-scale QA system (all Delegations and a wide selection of all evaluations) such as: the lack of serious backstopping and quality assurance by Contractors, how to balance the push for better quality and increased workloads, the need for a clear policy on where the line should be drawn between the pedagogical role of TA support and the QA mandate of pushing for quality products.

The second recommendation supported by INTPA Management is the launching of an evaluation-specific framework contract providing access to professional evaluators, with the indispensable guarantee that the sectorial experience is assured. INTPA and NEAR are working on launching an evaluation-specific FWC, the future Framework Contract SEA 2023 "Services for EU's external action 2023" (prior information notice published on 20/07/2022 in OJ/S S138 with ref. number INTPA/2022/EA-OP/0102) that will succeed to the ongoing Framework Contract SIEA 2018 "Services for the Implementation of External Aid 2018" (Tender ref. EUROPEAID /138778/DH/SER/MULTI), for its envisaged lots on monitoring and evaluation (lots 15, 16 and 17).

Since 2019, DG INTPA together with DG NEAR and FPI is working on the integration of e-Evaluation Tool & Library (EVAL), into OPSYS. The integration of EVAL, and of evaluations as a whole, will be carried out in several stages and progressively. OPSYS will ensure dual function of central repository and a management tool for evaluations. OPSYS should progressively cover more and more the functions of information aggregation, creation of statistics and facilitation of access to information and its easy use to respond to the needs of the different DGs.

The **DEVCO evaluation methodology**<sup>13</sup> (developed in 2004) contains elements that are still valid and 'usable', but some important sections are outdated and do not reflect the progress that has been made within the field of evaluation over the last decade. With this in mind, in 2020 DG INTPA (DEVCO at that time) made the decision to update its evaluation guidance. The goal is to update the present INTPA evaluation methodology with current developments in the field, in a format that is

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<sup>12</sup> [https://europa.eu/capacity4dev/evaluation\\_guidelines/wiki/disseminating-evaluations](https://europa.eu/capacity4dev/evaluation_guidelines/wiki/disseminating-evaluations)

<sup>13</sup> [https://europa.eu/capacity4dev/evaluation\\_guidelines](https://europa.eu/capacity4dev/evaluation_guidelines)

compatible with the initiatives recently adopted in the Unit (i.e., to develop a web-based unique approach to all guidance and methods falling under its responsibility). At the time of writing these ToR, the revision of the methodology, called INTPA Evaluation Handbook is in the final phase of writing. The contents of this evaluation handbook once copy-edited will be used to create a web-based platform for the evaluation guidance.

The Handbook contains the following four chapters: 1. Evaluation at INTPA, 2. Evaluation Process, 3. Evaluation Approaches, Methods and Tools and 4. Ethics in Evaluation.

DG NEAR responding to the need, on one hand to strengthen the linkage between programming, monitoring and evaluation and on the other hand to reinforce and promote a M&E culture inside the DG, produced detailed guidelines in 2016. The guidelines aim to guide the stakeholders throughout the implementation cycle clinging on the efficacy and robustness of the monitoring and evaluation systems and processes. These guidelines were last updated in 2019.

Most of the evaluation activities conducted by DG INTPA and DG NEAR are published in the designated websites respectively. DG INTPA publishes in the International Partnerships Europa website and/or in Capacity4dev.

These initiatives and tools need to be better known and embedded within INTPA operations, so to improve the quality and coherence of the corporate planning, the synergies amongst evaluation activities, and foster the learning from evaluations across INTPA.

#### **1.4.5. M&E focal point network**

DG INTPA and DG NEAR launched a Monitoring and Evaluation (M&E) correspondents' network comprising staff in HQ and in EU Delegations respectively in 2014 and 2016<sup>14</sup>. M&E correspondents act as focal points for monitoring (including ROM) and evaluation. The main purpose of the network is to promote a culture of monitoring and evaluation within the DGs and the partner countries.

The focal points disseminate information and engage with INTPA.D4, NEAR.A4 and their colleagues on M&E related matters; they facilitate monitoring and evaluation processes, and support M&E know-how within their Unit or Delegation. The network serves as a platform to reinforce their capacities on an on-going basis by exchanging practices internally, with other practitioners from the European Commission, EU institutions and international organisations.

#### **1.4.6. Information Management Systems**

DG INTPA, DG NEAR and FPI launched a large-scale business transformation and IT program to effectively and efficiently manage the whole EU external relations portfolio of interventions. This system, called OPSYS, is a set combination of interactive IT tools and systems currently used by the European Commission. Its functionalities are progressively rolled out to cover the whole project cycle: from programming to final evaluation, all through contracting and implementation phases. The system is also open to external partners via the dedicated Funding and Tender Opportunities Portal (Funding and Tenders Portal).

OPSYS is developed by DG DIGIT, the solution provider, while business actors are represented by Unit INTPA.R5. INTPA.D4 and NEAR.A4 are involved as business owners and/or key users in the definition and roll out of functionalities related to the creation and management of indicative programming documents, actions, interventions and in particular to results management, monitoring (including ROM) and evaluation.

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<sup>14</sup> In DG INTPA, then DEVCO, two separated networks existed between 2014 and 2016, one with focus on evaluation and one on results-oriented monitoring.

In parallel, the Units are still contributing to the maintenance of legacy solutions for design, monitoring and evaluations – particularly the Quality Review Collaborative Platform (a SharePoint site), ROM, and EVAL. They are also contributing to the work related to systems that complement OPSYS such as dashboards (in particular the dashboard aggregating and displaying in a user-friendly results data encoded in OPSYS), the EAMR tool, and a tool that will replace the Quality Review Collaborative Platform in the management of the quality review process for ADs.

#### **1.4.7. Knowledge Management**

Knowledge Management (KM) is an integral element of institutional development. The “Knowledge management and collaborative methods” sector in INTPA.D4 offers services to a variety of Units in INTPA to assist them in their methodological work, learning plans and knowledge sharing activities. The work of the Unit supports the implementation of INTPA’s Knowledge Management strategy for 2020-2024. The strategy aims at ensuring that INTPA is a collaborative and learning organisation that develops, shares and applies the knowledge and expertise it needs to perform its mission.

INTPA’s Vade Mecum sets out the principles that will guide INTPA's Strategic Governance System and create a more efficient and effective framework for working as a team. The aim is to switch the teamwork approach from a "discussion among Directorates/Units/Delegations" to an inclusive way of collaborative thinking and working, based on people and skills, collective practices and knowledge sharing and subsidiarity.

INTPA’s Knowledge Management (KM) strategy and Vade Mecum promote the introduction of collective intelligence practices (e.g. peer assist, brainstorming, pre-mortems, after action reviews, etc.) to support collaboration and INTPA priorities (green alliances, science, technology, innovation and digitalisation, sustainable finance and growth, migration, governance, peace and security and human development) through new working methods. The Vade Mecum states that “INTPA design and implementation process, according to new rules, must be the result of a real corporate and collaborative working system and follow a co-creation principle.”

Moreover, with the launch of several Policy and Country Teams and the co-creation concept, support is much needed to advise on working methods and design and facilitate collective intelligence processes in the most efficient way.

#### **1.4.8. Methodological guidance on design, monitoring and evaluation**

The Commission produces various guides, methodologies and tools to enhance staff capacity to analyse an intervention's context, engage in meaningful relations with stakeholders, monitor the effectiveness of interventions, and integrate and mainstream EU values in all phases of the intervention cycle.

##### DG INTPA’s Intervention Cycle Methodology Guide – ICM Guide

The Intervention Cycle Methodology Guide (ICM Guide) seeks to promote better use of all methodological guidance available to EU staff, complementing the INTPA Companion, which focuses on INTPA procedures. Other than a summary of the Intervention Management Cycle, the ICM Guide proposes a series of methodological fiches highlighting the main characteristics of each methodology or tool, aligned to each phase of the cycle. This way, Operational Managers will know at a glance what is appropriate to the intervention at hand.

The ICM Guide was developed and compiled by INTPA.D4 based on an extensive process of consultation. It is constantly updated with contributions of both EU Delegations and INTPA Head Quarters staff.

## DG NEAR Guidelines on linking planning/programming, monitoring and evaluation

DG NEAR Guidelines<sup>15</sup> are a response to the need to strengthen the linkage between planning/programming, monitoring and evaluation function in DG NEAR in the context of the neighbourhood and enlargement policies (i.e. the use of the intervention logic and related indicators in monitoring and evaluation exercises, among other reporting requirements), to promote the monitoring and evaluation culture within the DG and to guide the monitoring and evaluation actors in the implementation of the monitoring and evaluation cycles. The Guidelines synthesise the main concepts related to the way in which the intended change sought by means of a strategy and its operational modalities (a policy and a set of actions) can generate the actual change, when the planning of activities, their monitoring and evaluation interact contributing to the final result. The Guidelines were elaborated by NEAR.A4 in 2016 and updated in 2019.

In 2017 NEAR.A4 issued a Guidance Note on Addressing Capacity Development in planning / programming, monitoring and evaluation<sup>16</sup> to provide guidance on how to better address capacity development in DG NEAR interventions at planning/programming, monitoring and evaluation stages. Capacity development interventions considered in this note target public administration institutions and non-state actors (private sector, associative, other)

A DG NEAR Programming, monitoring and evaluation Wiki<sup>17</sup> was developed in 2020 based on both the abovementioned Guidelines and Guidance Note. The Wiki aims to accompany key stakeholders (DG NEAR Units, EU Delegations, National Authorities, Implementing Partners and external evaluators / monitoring Contractors) in strengthening the linkage between planning / programming, monitoring and evaluation.

### **1.4.9. Training packages**

#### DG INTPA's Intervention Cycle Management Fundamental Training Package

The objective of this training package is to provide EU staff, in particular operational managers, with the core skills needed to design and implement interventions, ensuring they reflect both INTPA policies and methodological approach.

The Fundamental Training Package is composed of a series of training sessions including at present:

1. Intervention Cycle Management – Introductory Course
2. Context for Development – Framing an Intervention
3. Logical Framework Approach – Designing an Intervention
4. Policy Dialogue and Negotiation
5. Internal Monitoring for Results
6. Evaluation

INTPA.D4 also organises on-demand customised training for EU Delegations and their development partners.

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<sup>15</sup> [https://neighbourhood-enlargement.ec.europa.eu/document/download/dcaa2e1d-c1f6-41e2-808a-3180b2706a37\\_en?filename=near\\_guidelines.zip](https://neighbourhood-enlargement.ec.europa.eu/document/download/dcaa2e1d-c1f6-41e2-808a-3180b2706a37_en?filename=near_guidelines.zip)

<sup>16</sup> [https://webgate.ec.europa.eu/fpfis/wikis/download/attachments/528814246/DG\\_NEAR\\_Guidance\\_note\\_-\\_Addressing\\_Capacity\\_Development\\_in\\_programming\\_M&E.pdf?version=1&modificationDate=1595093337224&api=v2](https://webgate.ec.europa.eu/fpfis/wikis/download/attachments/528814246/DG_NEAR_Guidance_note_-_Addressing_Capacity_Development_in_programming_M&E.pdf?version=1&modificationDate=1595093337224&api=v2)

<sup>17</sup> <https://webgate.ec.europa.eu/fpfis/wikis/pages/viewpage.action?pageId=449943523>

The cycle is delivered 4 times per year in a virtual format (or face to face) and can be extended as needed.

#### DG NEAR's training and coaching offer

DG NEAR Guidelines on linking planning/programming, monitoring and evaluation is the basis of NEAR A4's capacity development package. The aim of the package is to provide methodological support to DG NEAR staff and implementing partners for: the design of strategic documents (e.g. multi annual indicative documents, sector planning documents) and of programming documents (e.g. action documents, annual action programmes) in particular the elaboration of context analysis, definition of problems, the elaboration of intervention logic and the definition of the corresponding monitoring, reporting and evaluations systems; the set-up and use of sound monitoring and reporting and evaluation processes.

#### **1.4.10. Capacity4dev**

Capacity4dev <https://europa.eu/capacity4dev> is DG INTPA's corporate online collaborative platform for sharing knowledge and support collaboration on development issues. Its overall objective is to improve the efficiency, effectiveness, and quality of EU interventions in the EU external action.

More specifically, the platform:

- Facilitates partnerships, collaboration and cross learning among practitioners from EU institutions, partner countries and other organisations.
- Consolidates knowledge sharing tools and communities of practice in one unique environment.
- Supports thematic expertise, share lessons learnt and exchange innovation.
- Builds knowledge, its retention, and institutional memory.

The main features of the site include:

- **Groups:** groups are at the core of platform function. People can contribute, share, learn collaborate once they sign up into a group of their interest. Groups are categorised by topics (e.g. Gender, Education) using an agreed taxonomy. Inside a group, a member can share ideas, questions, documents. Groups can be Public (everyone can view the public content on this group), Restricted (content can only be seen according to the email domain of the users) or Private (members only join on invitation and content only viewable by members).
- **Voices & Views:** articles on development produced by an editorial team. A total of 45 articles were produced in MKS Year 3, more aligned with SDGs and INTPA priorities.
- **Projects:** a showcase and a repository of projects funded by EU.
- **Resources:** guidance, studies, project management methodological documents, etc

The platform is a Drupal-based corporate digital platform, open to all European Commission staff from HQ and Delegation<sup>18</sup> as well as to development practitioners from all over the world. It currently counts more than 33,000 members. Capacity4dev currently hosts 277 published groups, of which 139 are private, 96 are public and 42 are restricted. 189 of these are owned or administered by EC staff.

The platform was designed in 2009 and over the past years was entirely redeveloped. Since 2020, work to migrate the Capacity4dev platform from Drupal 7 to Drupal 9 is ongoing.

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<sup>18</sup> For an overview of registered members please visit: <https://europa.eu/capacity4dev/people>

As part of the outreach, the Capacity4dev team maps websites, forums, and blogs to further strengthen its community-centred Social Media strategy. Paid campaigns on Capacity4dev’s social media accounts (Facebook and Twitter) are also conducted.

Capacity4dev has increased its Middle East and Neighbourhood regional coverage thanks to strengthened collaboration with DG NEAR.

Hosted within the datacentre of the European Commission's Directorate General for Informatics (DIGIT), who is also responsible for delivering DevOps services, Capacity4dev is currently technically maintained by an external Contractor.

#### **1.4.11. Intercultural Approach Programme (InCA)**

InCA is an interdisciplinary approach developed by INTPA.D4 that aims at increasing the effectiveness of the EU external interventions through building intercultural sensitive partnerships, both internally as well as with countries and implementing organisations by:

- Developing the capacity of the European and local staff in Delegations to work better together building on their cultural diversity;
- Facilitating internal collaboration between the HQ and the Delegations;
- Increasing the quality of dialogue and cooperation with authorities and local partners;
- Enhancing the relevance and the impact of our programmes and projects.

#### **1.4.12. Centre of expertise to promote the use of evidence to determine what works in development cooperation**

Together with the other Units of INTPA Directorate D, INTPA.D4 contributes to implementing a global programme focusing on applied-research to accrue knowledge on qualitative and quantitative findings (evidence) of development interventions. The output of the programme shall contribute to make the EU a better recognized and confirmed leading global actor in promoting a culture of building evidence for public policy for achieving sustainability worldwide.

### **1.5. Related programmes and other donor activities**

This contract builds on current contracts providing methodological support to INTPA.D4 and NEAR.A4 that are gradually reaching their end of implementation. This contract will replace the technical assistance contracts known as PROMEL, SQ2M, ESS and MKS as they reach their end of implementation. The scope of each of these contracts is summarised in the table below.

<b><u>Title/reference/status</u></b>	<b>Description</b>
<u>Capacity development on monitoring and evaluation for enlargement and neighborhood regions</u> <u>NEAR COMMON/2018/402-396</u> <u>On-going</u>	The objective of the contract (known as PROMEL) is to support DG NEAR to strengthen the linkage between planning/programming, monitoring and evaluation in the context of the neighborhood and enlargement policies (i.e. the use of the intervention logic and related indicators in monitoring and evaluation exercises, among other reporting requirements), to promote the monitoring and evaluation culture within the DG and to guide the monitoring and evaluation actors in the implementation of the monitoring and evaluation cycles.
<u>Support to Design, Monitoring and Results reporting for Projects and Programmes financed by the</u>	The contract, known as SQ2M, has been providing technical assistance to DG INTPA (and for certain tasks to DG NEAR) as of 2019. The main areas of work of the contract are: <ul style="list-style-type: none"> <li>▪ Support on the results agenda and results reporting,</li> </ul>

<b><u>Title/reference/status</u></b>	<b>Description</b>
<u>European Union's External Assistance</u> <u>COORD-EVA/2017/384-453</u> <u>On-going</u>	<ul style="list-style-type: none"> <li>▪ Support to design and internal monitoring,</li> <li>▪ Support to the coordination of the ROM system,</li> <li>▪ Assistance to the business owner of information management systems related to monitoring and results, in particular for the transition to OPSYS.</li> </ul>
<u>Support to quality of design, monitoring and results data of blending and budgetary guarantees</u> <u>FWC SIEA 2018, contract n. 300047815</u> <u>On-going</u>	<p>The objectives on the contract are to:</p> <ul style="list-style-type: none"> <li>▪ Provide technical support to Commission services in the design of results chains, indicators and monitoring systems for blending and budgetary guarantees.</li> <li>▪ Provide technical support to Commission services in reporting on results of blending and budgetary guarantees.</li> </ul>
<u>Evaluation Support Service</u> <u>COORD-EVA/2016/382-676</u> <u>On-going</u>	<p>In February 2017, an external technical assistance called Evaluation Support Service (ESS) was contracted for a 4-year period (01.02.2017 to 31.1.2021; currently extended until 31.01.2023); its overall objective has been to support the Evaluation and Results Unit (at that time, the Evaluation Unit) in its efforts to strengthen the quality of an evaluation culture in DG DEVCO, with a priority focus on intervention-level evaluations.</p> <p>The ESS was structured in four components: a) Evaluation advisory and other related services, b) Co-ordination of Evaluation Correspondents' Network (ECN), c) Quality Assurance Service, d) Service to promote knowledge sharing, innovative evaluation practice and learning from evaluations.</p>
<u>Methodological and Knowledge Sharing Contract (MKS)</u> <u>COORD-EVA/2019/404-176</u> <u>On-going</u>	<p>MKS has been supporting the European Commission's Directorate General for International Partnerships (HQ) and European Union Delegations to improve the quality, coherence and effectiveness of EU interventions in a constantly changing environment.</p> <p>The programme has been providing this support through over 200 activities per year corresponding to three components: a) supporting knowledge creation at the organisational level, resulting in updated, edited, and disseminated user-friendly methodological guidance and analytical tools; b) supporting knowledge transfer at the individual level, resulting in staff using the methodological guidance and tools effectively in their daily work; and c) supporting knowledge sharing at the institutional level, resulting in a well-performing and user-friendly online platform (Capacity4dev), and innovative knowledge-sharing activities.</p>

In addition to methodological contracts, both DG INTPA and DG NEAR sign contracts for provision of M&E services. These include the ROM contracts (cf. 1.4.3) and framework contracts/specific contracts for strategic evaluations and evaluations of interventions. In addition, Delegations sign contracts for technical cooperation facilities that support interventions at local and regional level.

### **Other relevant initiatives**

The Regional School of Public Administration<sup>19</sup> (ReSPA) is an international organisation, which has been entrusted with the mission of boosting regional cooperation in the field of public administration in the Western Balkans.

SIGMA (Support for Improvement in Governance and Management)<sup>20</sup> is a joint initiative of the OECD and the European Union. Its key objective is to strengthen the foundations for improved public governance, and hence support socio-economic development through building the capacities of the public sector, enhancing horizontal governance and improving the design and implementation of public administration reforms, including proper prioritisation, sequencing and budgeting.

The INTPA Academy<sup>21</sup> provides free access to learning resources covering a wide range of relevant topics, including development policies, thematic areas, methodological approaches and financial management.

## **2. OBJECTIVES & EXPECTED OUTPUTS**

### **2.1. Overall objective**

The overall objective (Impact) to which this action contributes is: To support DG INTPA and DG NEAR in improving quality of performance, institutional learning and accountability for a better targeted and more sustainable impact of EU external action.

### **2.2. Specific objectives**

The specific objectives (Outcomes) of this contract are as follows:

#### Specific Objective 1:

Strengthen the linkage between programming, design, monitoring and evaluation of EU support.

#### Specific Objective 2:

Improve availability of results data.

#### Specific Objective 3:

Enhance quality of design, implementation and use of evaluations by EU services.

#### Specific Objective 4:

Increase use by EU staff of the findings and knowledge generated through interventions, in particular during implementation and (internal and external) monitoring and evaluation activities, in a transparent and accountable manner in their decision-making processes.

#### Specific Objective 5:

Enhance quality of knowledge management and sharing between EU services and partners.

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<sup>19</sup><https://www.respaweb.eu/home>

<sup>20</sup><http://sigmaweb.org/about/>

<sup>21</sup> <https://webgate.ec.europa.eu/intpa-academy/>

<sup>22</sup> <https://europa.eu/capacity4dev/results-and-indicators>

### 2.3. Expected outputs to be achieved by the Contractor

The expected outputs of this contract are as follows.

#### Output 1 contributing to Specific Objectives 1, 2, 3:

Strengthened capacity of EU staff to plan, design, implement, monitor, and evaluate EU interventions in a coherent, efficient and effective manner.

#### Output 2 contributing to Specific Objective 1:

Quality of strategic and programming documents is improved.

#### Output 3 contributing to Specific Objective 1 and 2:

Implementation of the internal monitoring and results reporting systems is enhanced.

#### Output 4 contributing to Specific Objective 1 and 2:

Implementation of the results-oriented monitoring (ROM) system is supported.

#### Output 5 contributing to Specific Objective 3, 4:

The capacity of EU staff to plan, design, implement and use evaluations is enhanced.

#### Output 6 contributing to Specific Objective 3:

Quality of evaluation deliverables is improved.

#### Output 7 contributing to Specific Objective 4, 5:

Knowledge sharing mechanisms for better collaboration, continuous learning and exchange of experiences/expertise are reinforced.

## 3. ASSUMPTIONS & RISKS

### 3.1. Assumptions underlying the project

Learning events and knowledge sharing support will increase staff knowledge, skills and capacities.

Enhancement of staff skills, knowledge and capacities in using appropriate methodology and analytical tools will have an impact on the quality of EU interventions and improve their effectiveness.

Knowledge created is useful and immediately applied to improve the working methods and processes of EU Staff working in international cooperation (in particular operational managers).

DG DIGIT and DG INTPA are effectively supporting the development, maintenance and hosting of OPSYS, Capacity4Dev and the other information management systems required to perform tasks related to this contract.

### 3.2. Risks

Risk	Level	Mitigating measures
<u>Contractor:</u> Administrative challenges in managing complex tasks Challenges in maintaining consistent quality standards across a large team, and a range of diverse <i>ad hoc</i> assignments	Medium	Sufficient project management resources, adequate backstopping provisions are included in the proposal and during implementation.

Risk	Level	Mitigating measures
		The Team Leader, Lead experts and other core team members devote part of their time to quality control.
<u>Commission</u> Workload affects negatively the involvement of different stakeholders in the contract activities Limited availability of INTPA/NEAR services for feedback to the Contractor/experts Technical challenges hamper the functioning of OPSYS, Capacity4dev and other relevant information management systems	Medium	Awareness and sensitisation campaigns Regular meetings with INTPA.D4, NEAR.A4 and other stakeholders  Adequate resources are allocated to address technical challenges. Regular meetings with INTPA IT Unit and DIGIT.

## 4. SCOPE OF THE WORK

### 4.1. General

#### 4.1.1. Project description

The contract will deliver a number of services which, together, aim at reinforcing the quality of programming, intervention design, monitoring, reporting and evaluation processes within DG INTPA and DG NEAR. By merging the activities of several technical assistance teams into one, the Commission intends to create synergies and give priority to simplification and rationalisation. A common methodological contract covering both DG INTPA and DG NEAR is also a further step towards the development of a common set of tools, processes and guidelines for the two DGs, which is already well underway for most of the activities concerned by the contract.

The Contractor will pay particular attention to ensuring that experts supporting various phases of intervention cycle management collaborate with each other closely and that any useful learning is passed through to staff at the appropriate time, including through training and coaching.

#### 4.1.2. Geographical area to be covered

Worldwide

#### 4.1.3. Target groups

DG INTPA Unit D4 and DG NEAR Unit A4.

Services will benefit staff of the European Commission, in particular DG INTPA and DG NEAR, decision-makers, operational staff, and M&E focal points working in both Headquarters and Delegations.

Activities can also benefit staff of Member States, EEAS HQ, partner governments, implementing partners and Contractors designing, managing, monitoring and evaluating EU-funded interventions. Their participation in project activities can be considered on a case-by-case basis.

## 4.2. Specific work

The work of the Contractor will entail the complementary activities described in this section. Activities will be presented in an annual work plan, to be updated on a quarterly basis.

Additional components and tasks may emerge during the implementation of the Contract, to respond to changing political and international circumstances and to the prevailing needs of the contracting authority. Additional tasks will be requested in writing by the contracting authority and, if applicable, described in *ad hoc* terms of reference to be drafted by the Contractor based on requirements expressed by the contracting authority. Terms of reference will include the main objectives of the services to be provided, the expected results and deliverables, the timeframe and a description of the inputs required (e.g. experts' days, travel, per diems, and venue) including the related cost estimates. The Contractor will submit the terms of reference to the Project Manager for approval. Approval will be issued via administrative order. The Contractor will ensure that the tasks foreseen in the terms of reference are implemented and communicate necessary revisions in a timely fashion. The contracting authority will approve any product before final delivery.

Any figures or indicative allocation of resources indicated in this section are meant as a basis to prepare the technical and financial offer; such figures are not contractual and may be revisited during the inception phase and during the implementation of the contract.

The services requested under output 1 and 7 related to the Intervention Cycle Methodology Guide, the Fundamental Training Package, Intercultural Approach program (InCA), support for knowledge management and sharing, and Capacity4Dev will start in January 2024 (note that the key expert in charge of this, KE4, will start working at the start of the contract). Services related to evaluation and capacity development will be handed over gradually during the duration of the contract, and the key experts of this contract will be requested to take the handover from the outgoing technical assistance teams.

### **Output 1: Strengthened capacity of EU staff to plan, design, implement, monitor, and evaluate EU interventions in a coherent, efficient and effective manner**

To achieve Output 1, the Contractor will:

- Provide methodological support to EU staff, implementing partners and other external service providers by keeping:
  - o DG INTPA's Intervention Cycle Methodology (ICM) and its guide, and
  - o DG NEAR's Guidelines on linking planning/programming, monitoring and evaluation and its Wiki,Up-to-date and contributing to their implementation;
- Support knowledge transfer through preparation and delivery of training and innovative learning events in the context of the INTPA Fundamental Training Package and NEAR training and coaching package;
- Further develop the capacity of Commission staff to work better together and with their counterparts building on cultural diversity in the context of the Intercultural Approach Programme.

Tasks include but are not limited to:

- Keep the Intervention Cycle Methodology (ICM) up-to-date; liaise with thematic Units responsible for the content of the methodological fiches; answer internal and external queries.
- Contribute to updating DG NEAR's Guidelines on linking planning/programming, monitoring and evaluation and its Wiki.

- Deliver, update and extend as needed the Fundamental Training Package. The cycle should be delivered 4 times per year in a virtual format and can be tailored and delivered online or in-person in EU Delegations, upon request. Learning events are expected to be delivered in English, French or Spanish. The Contractor will ensure that all training material and the delivery format are up-to-date and will ensure a pool of highly qualified and available trainers. The Fundamental Learning Cycle consists currently of the following, virtual, learning events:
  - Intervention Cycle Methodology;
  - Context for Development;
  - Logical Framework Approach
  - Policy Dialogue and Negotiation;
  - Internal Monitoring;
  - Evaluation.
- Maintain, update and extend as needed an online general capacity development package (in English and French) on the key concepts emerging from DG NEAR guidelines: e.g. results-based management, theory of change, theory of action, context analysis and cross cutting issues, intervention logic (diagram), and related monitoring, reporting and evaluation systems; and design and management of evaluations;
- Design and implement specific learning workshops/courses/coaching sessions and cycles (in English and/or French and/or Spanish and/or Portuguese) to be delivered online or face to face in Brussels on the topics mentioned under the two previous bullet points. These can take the form of regional seminars.

The training course/workshop/coaching activity duration and content will build on lessons learned and be adjusted to fit the specific needs of the operational Unit/EU Delegation demanding the support; a balanced coverage of the different operational Units and EU Delegations needs will be ensured to the extent possible in the provision of this service.

The Contractor will carry out the above tasks in close collaboration with both INTPA.D4 and NEAR.A4, and with relevant INTPA/NEAR thematic services (incl. DG NEAR Unit A3 Centre of Thematic Expertise (CoTE) on Public Administration Reform team). The Contractor will ensure synergy with the work carried out by ReSPA and OECD-SIGMA. INTPA.D4 and NEAR.A4 will ensure that the Contractor is fully informed of on-going developments regarding both NDICI and IPA III programming.

- With reference to the Intercultural Approach Program (InCA): support in-house coordination for the InCA Programme, deliver InCA workshops in Delegations, integrate an InCA module into the pre-posting training and organise InCA knowledge-sharing events in HQ.

## **Output 2: Quality of strategic and programming documents is improved**

INTPA.D4 and NEAR.A4 are entrusted with a set of processes and related methodologies to improve the quality of the European Commission external assistance throughout its cycle of operations. The Contractor will assist the Units in responding to any request of methodological screening and quality assurance related to programming and design.

Tasks include but are not limited to:

- Assist in the design of strategic documents and programming documents (e.g. multiannual indicative programming documents, sector planning documents, annual action programmes, action documents, relevant budget support annexes) in particular for the elaboration of context analysis, definition of problems, the elaboration of intervention logic diagrams, and the definition of relevant monitoring, reporting and evaluation systems. This task will have to be carried out taking into account the specific requirements and processes implemented in each of the two DGs.

- Provide support ahead of the submission of any selected Action Document to the INTPA country cooperation team or INTPA/NEAR quality review meeting following detailed guidelines provided during the inception phase of the contract and updated on a needs basis. In particular:
  - Ensure that ADs include logical framework matrices (LFM) in line with the intervention logic, risks and assumption and that the LFM is of adequate quality in terms of results, corresponding measurable indicators, baselines and targets and sources of verification;
  - Ensure that outputs and outcomes and corresponding indicators as defined in the programming documents are kept through and clearly marked in ADs in order to provide coherence with the EU intervention logic;
  - Check that indicators from the GEF and IPA III RF are included wherever possible, identified and clearly marked;
  - Ensure and promote the use of the core corporate indicators, results chains and indicators guidance<sup>22</sup>;
  - Check the monitoring and reporting arrangements;
  - Check that the level of primary intervention is correctly assigned in Appendix;
  - Provide methodological feedback and advice to INTPA.D4/NEAR.A4 upon request;
  - Provide tools for coordination between experts, Contractor and EU staff;
  - Provide statistics and analysis on the respect of instructions on relevant sections of the AD, quality of results and corresponding indicators and M&E systems proposed in the ADs supported.
- Assist in responding to any methodological queries and requests for methodological assistance in relation to the design of selected interventions (including application form for blending and budgetary guarantees to the extent where this is not covered by the dedicated technical assistance team as described in Section 1.5, and interventions which opt for RBF/PBF), TEIs. This may include coordinating with or advising other external assistance service provider with horizontal, thematic or geographic expertise and/or providing quality assurance on their work on behalf of INTPA.D4 and NEAR.A4.

### **Output 3: Implementation of the internal monitoring and results reporting systems is enhanced throughout Commission services**

When implementing activities related to Output 3, the Contractor will assist INTPA.D4 and NEAR.A4 in their mandate of advancing the Commission’s results agenda, providing monitoring tools on the performance of interventions, and providing internal support on results.

To achieve Output 3, the Contractor will perform a wide range of tasks responding to corporate Commission needs, which may evolve over time. The team working on activities related to this output is expected to be especially proactive and responsive to short-notice requests covered by the overall/specific objectives of the contract but not described in detail in these terms of reference.

In addition to contributing to the implementation of internal monitoring and results reporting systems, the Contractor will provide *strategic advice* on updating, improving and streamlining the related business processes.

Tasks include but are not limited to:

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<sup>22</sup> <https://europa.eu/capacity4dev/results-and-indicators>

- Support the Commission in the implementation of its results agenda:
  - Support the definition, the update, the implementation and dissemination of the GERF and GEMPS in all their components;
  - Draft content on GERF and GEMPS for internal and public use;
  - Support the definition, the update, the implementation and dissemination of the IPA III RF;
  - Draft content on IPA III RF for internal and public use;
  - Assist Commission staff in preparation and participation to DG-wide, Commission-wide and external initiatives on results;
  - Provide logistical support as well as content input for the organisation of events on results (workshops/meetings/seminars both in-person and online). Prepare documentation and draft meeting minutes;
  - Upon request, conduct specific analyses and studies on the topic of results measurement and results-based management;
  - Upon request, provide support on RBF/PBF related activities;
  - Upon request, support ongoing activities of INTPA D4 in its function of centre of expertise to promote the use of evidence to determine what works in EU external action.
  
- Support corporate monitoring of results and annual data collection:
  - Develop tool, templates, guidance notes, methodological notes, brochures, summaries etc. to inform HQ Units, Delegations. implementing partners (incl. Member States) involved in reporting results of the EU external action;
  - Promote the use of core corporate indicators such as: all 17 SDG (Tier I), GERF level 1, GERF level 2, GAP III, IPA III RF and EFSD+ Results Measurement Framework (ReMF) indicators (for the ReMF, only complement ongoing technical assistance work);
  - Contribute to the identification, dissemination and use of sector-specific core indicators linked to the European Commission priorities, including further expanding and updating INTPA's Guidance on results and indicators for development<sup>23</sup>;
  - Support in answering queries on the use of indicators for monitoring and reporting on results from any internal or external stakeholder;
  - Support INTPA.D4/NEAR.A4 in the definition and coordination of the workplan for annual results data collection, in collaboration with all concerned stakeholders including Delegations, HQ Units, ROM Contractors and/or other external service providers;
  - Perform quality control of results data; process and aggregate the data as needed;
  - Collaborate with the Units in charge of IT (currently INTPA.R5) and reporting (currently INTPA.R2/NEAR.R1) in maintaining records of historical and current results data, so that it can be processed easily and used to produce reports;
  - Perform data analysis and draft analytical reports and notes on results data. These can take the form of presentations, briefs, writing for the web, infographics etc.;

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<sup>23</sup> <https://europa.eu/capacity4dev/results-and-indicators>

- Participate in the discussion and reflection on possible improvements in the data collection and reporting methodology. This may include testing/piloting new approaches;
- With reference to the evolving role of ROM Contractors in results data collection, assist INTPA.D4/NEAR.A4 in estimating the workload of ROM Contractors and in defining their level of support to the OPSYS transition. Organise meetings with ROM Contractors, prepare notes and presentations and draft the minutes of the meetings.
- Support institutional reporting on results:
  - Support in preparing high-quality contributions to all corporate reports presenting results of the EU external action. These include INTPA/NEAR Annual Reports and Annual Activity Reports.
- Support all initiatives related to the use of results data:
  - Promote the use of the results dashboard;
  - Deliver high-quality analyses and data extractions for management purposes;
  - Perform data modelling;
  - Support the investigation, testing and introduction of emerging technologies for results monitoring and reporting, including but not limited to artificial intelligence.
- Support internal monitoring systems:
  - Assist DG INTPA and DG NEAR in the update/development of guidance and templates for monitoring the implementation of all types of interventions and its dissemination including through training activities (see Output 1);
  - Facilitate knowledge sharing and learning from monitoring, promoting the uptake of findings, lessons learned and recommendations including through coaching and training;
  - Contribute to the development of specific monitoring frameworks for types of interventions (e.g. the Monitoring, reporting and evaluation - MORE - framework for TEIs), groups of interventions and/or individual interventions. For individual interventions, the Contractor will complement the work of other technical assistance Contractors, in particular the ROM Contractor which delivers the SDL service, as well as experts screening results-related sections of Application Forms for Budgetary Guarantees and Blending;
  - Provide technical input on the definition of EAMR key performance indicators for which INTPA.D4 is in the lead (related to progress of interventions and achievement of results);
  - Produce analytical and summary reports on monitoring activities on the basis of internal monitoring reports;
  - Verify coherence of monitoring tools against other templates/tools in use in the DGs.

**Output 4: Implementation of the results-oriented monitoring (ROM) system is supported**

When implementing activities related to Output 4, the Contractor will assist INTPA.D4 and NEAR.A4 in the coordination and technical supervision of the ROM system.

Tasks include but are not limited to:

- Methodological support:

- Participate in the reflection on and preparation of new versions of the ROM Handbook;
- Contribute to the definition of revision of a specific ROM methodology for new or so far not covered types of interventions, including testing of the methodology prior to its inclusion in the ROM Handbook;
- Coordinate with the ROM Quality Assurance team to incorporate their methodological recommendations (based on quality assurance of the ROM system and individual ROM reviews) and to ensure that the knowledge sharing activities foreseen by the two contracts complement each other.
- Operational and coordination support:
  - Provide assistance in and for coordination meetings with ROM Contractors and other stakeholders, including through preparation of supporting documents, meeting minutes;
  - Contribute to the analysis of the workplan for ROM reviews, including by processing data concerning the volume of work of the ROM reviews and related cost estimations.

**Output 5: The capacity of EU staff to plan, design, implement and use evaluations is enhanced**

When implementing activities related to Output 5, the Contractor will assist INTPA.D4 and NEAR.A4 in their mandate of steering, coordinating, monitoring and reporting on evaluation activities.

Tasks include but are not limited to:

- Assist INTPA.D4 and NEAR.A4 in supporting/ensuring the effective implementation of the evaluation methodology (handbook) through up-to-date methodological guidelines and related learning, and QA activities (both in HQ and Delegations).
  - Support the maintenance and updating of INTPA’s evaluation handbook. The Contractor will help write new contents of the handbook chapters, improve existing ones, keep all links and related documents up-to-date, and update examples;
  - Support the storage, maintenance and updating of all existing documents/products related to evaluation (including documents related to the function of M&E focal points). The Contractor will ensure correct storage, minimizing and unifying storage locations as much as possible, updating the content of all documents related to evaluation, whether produced by the Commission itself or external, and will propose new content;
  - Support to and/or undertaking of (on demand or recurrent) evaluation-related pieces of work commissioned by the Commission evaluation services such as annual brief; studies, short synthesis/briefing notes, check lists, *ad hoc* “quick” thematic studies, meta-analysis etc. linked to intervention level evaluations and strategic evaluations.
- Strengthen knowledge sharing and learning from evaluations:
  - Support Commission external service’ initiatives to enhance the access to state-of-the-art evaluations and uptake of their results, for instance through seminars, workshops, talks, podcasts, etc.;
  - Provide support and advice for the dissemination of evaluation results and best practices through the development of guidance, communication products, papers, and any other relevant means of dissemination, helping to develop innovative and accessible products for various internal and external users. Support the drafting of internal processes and procedures for the effective and timely use of evaluation findings into policy and programming processes. This will be reinforced by the development of communication strategies tailored to different users (decision-makers, operational managers and non-specialists);

- Support EU external evaluation services in the endeavour of maintaining and strengthening good relations with EU services and external partners/donors and organizations, including the facilitation of practical exchange between recognized evaluation practitioners and INTPA / NEAR to promote learning from innovations in evaluation practice (workshops, international seminars, talks, and preparation of statistical reports, summary papers and conclusions).
- Support capacity building activities (trainings, webinars, coaching...) and the preparation and delivery of a tailored training package for evaluation which aims at providing EU staff (and to a certain extent implementing partners) with the core skills needed to design, implement and disseminate evaluations, ensuring that they reflect both EU external policies and methodological approach.
  - Support the planning, preparation and delivery and/or updating of the Full Evaluation training;
  - Support the planning, preparation and delivery and/or updating of webinars / short trainings in specific aspects of the evaluation process (preparation of the terms of reference, evaluation matrix, evaluation budget, budget support evaluations, dissemination, data collection, etc...);
  - Support the planning, preparation and delivery and/or updating of other types of training / learning tools in all aspects of the evaluation (coaching, tutorial, videos, online learning modules and online test, regional seminars, etc...) with special attention to training activities to strengthen the M&E focal point network;
- Support with the undertaking of requests for data extractions from Commission IT platforms both for the implementation of evaluations (mainly strategic evaluations) and for the analysis or preparation and/or updating of documents related to the evaluation.

### **Output 6: Quality of evaluation deliverables is improved**

When implementing activities related to Output 6, the Contractor will assist INTPA.D4 and NEAR.A4 in their mandate of enhancing the quality of EU external action by ensuring the quality of the different evaluation deliverables.

Tasks include but are not limited to:

- Strengthening the quality of the evaluation process by supporting EU external action staff in Headquarters and Delegations on all aspects related to approaches and methods, technics in evaluation on the basis of existing EU evaluation guidance and policies in force, prevailing international evaluation standards and ethics, methodologies and tools.
  - Set up an advisory service on all aspects of evaluation methodology and processes, providing *ad hoc* advice to evaluation managers in HQ Units and Delegations on any step and/or aspect of the evaluation. Responses should be provided by telephone/in written form/with relevant documentation, on demand, or within 2 working days (max 4 days for more substantive requests) and registered in a corporate platform (JIRA) designed for this purpose;
  - Support to interlinking the results of both monitoring and evaluation with the aim of contributing to corporate reporting on outcomes and impact and to decision-making (link to output 3 and 4).
- Quality Assurance service for planning of evaluations, preparation and main deliverables of evaluations.
  - Quality Assurance Service (QAS) on the planning of intervention level evaluations:

- Support to the evaluation planning of the HQ Units and Delegations so that intervention evaluations are planned coherently and at the best time for each HQ Unit and Delegation. Additional support for encoding intervention evaluations;
  - Monitoring and continuous analysis of the planning of intervention evaluations in EVAL / OPSYS;
  - Support to the pre-selection of the sample of intervention level evaluations that could be subject to a more exhaustive quality control of the main evaluation deliverables (ToRs, Inception Report and Final report). The pre-selection will be based on the particular interest for EU external services (e.g. Team Europe initiative components, flagship initiatives, interventions significantly contributing to spending targets or a combination of these three elements), and will cover, as far as possible, all geographic areas;
  - Follow up of the implementation of the planned evaluations.
- Quality Assurance Service (QAS) on the preparation (ToR) and main deliverables of intervention level evaluations.
    - Following the selection of the sample of intervention evaluations, the Contractor will setup a compulsory QA mechanism of the three key deliverables of intervention-level evaluations (ToR, Inception Reports, Final Reports) in view of the publication of the reports satisfying to criteria of good quality. To the extent possible, the Contractor will ensure the same expert providing continued support to evaluation managers throughout the evaluation cycle;
    - Support the concerned services on the publication of the reports satisfying quality criteria.
  - Set up “On demand” provision of quality assurance for specific evaluation products (e.g. Terms of Reference, Inception Report, and draft Final Reports) for strategic evaluations and major programme evaluations.

**Output 7: Knowledge sharing mechanisms for better collaboration, continuous learning and exchange of experiences/expertise are reinforced**

With a view to contribute to shaping more efficient and effective working processes and methods for DG INTPA/DG NEAR, and to enable teams to better think and work together, the Contractor will provide methodological support on knowledge management for INTPA.D4 and NEAR.A4. This includes review of working processes, advice on collective intelligence and co-creation techniques, facilitation and the subsequent capacity building of INTPA/NEAR staff. In particular, the Contractor will support INTPA.D4 and NEAR.A4 in developing a set of tools and techniques, and in responding to requests of support/queries of internal Units and working groups such as regional/country/thematic cooperation, or policy teams.

The experts will support the work of INTPA/NEAR Units and services to deliver on the DGs priorities and policy objectives by advising on collaboration, working methods and designing and facilitating collective intelligence workshops to introduce effective new ways of working.

Advice will cover processes, practices or tools that could enhance knowledge acquisition, sharing, transfer, capitalisation or creation.

The goal of the participatory workshops to be facilitated may vary greatly, from strategic planning, taking decisions, gathering feedback from peers, designing a strategy or brainstorming to ensuring coherence of approaches and actions in a comprehensive and coordinated manner.

The experts will also help the KM Team build facilitation capacity by contributing to a repository of examples of design and approaches for workshops that tap into collective intelligence.

Capacity4dev is DG INTPA's corporate knowledge sharing platform that connects development professionals. Users can share, learn and collaborate with colleagues. Members include EU staff, as well as development professionals from EU member states, partner governments, civil society, NGOs, international organisations, and the private sector. Created in 2009 and managed by INTPA.D4, Capacity4dev aims to improve capacity development through knowledge sharing by:

- Facilitating collaboration and engagement among peers;
- Enabling cross learning among practitioners from EU institutions and other organisations;
- Supporting thematic expertise, share lessons learnt and exchange innovation;
- Consolidating knowledge sharing tools and communities of practice in a common environment;
- Improving the efficiency, effectiveness, and quality of EU development cooperation.

The platform will be renewed and updated in 2023. The tasks for which the Contractor will provide support include and are not limited to:

- Curating and producing content for the platform;
- Providing strategic advice and support for community management to foster active groups, and help activate dormant groups;
- Producing promotional output;
- Social media management;
- Promoting the use of Capacity4dev to relevant stakeholders;
- Providing support to individual users.

### **Activities that are common to all outputs:**

#### **(a) Contribute to promoting a monitoring, evaluation and learning culture within the DGs and among the partner countries and beneficiaries**

As required, the Contractor will provide support in the design and execution of events and studies that promote monitoring, evaluation and learning in the EU external action. This includes but is not limited to, supporting the activities of the Monitoring & Evaluation Focal Point/Correspondent Network(s). While at present DG NEAR and DG INTPA maintain two separate networks, it is envisaged to maximise synergies and to the extent possible combine the two networks and related events into a single network and single set of initiatives. The Contractor will work with representatives of the two DGs to analyse the existing situation and propose a way forward.

#### **(b) Support the business owner, key users and end users of OPSYS and other IT systems related to the activities of this contract**

As required, and for all activities detailed above, the Contractor will provide support in the definition of business requirements for IT systems (OPSYS and others), contribute to the user testing and roll-out of functionalities, and provide business support to users.

Tasks include but are not limited to:

- Support INTPA.D4 and NEAR.A4 in their role of business owner for selected OPSYS functionalities: assist in the preparation of business requirements and their follow-up until deployment in production, having as a final goal the full transition to OPSYS as a tool for monitoring, evaluation and reporting on results.
- Contribute to change management activities implemented by INTPA.R5 (as IT Unit centralising the work on the OPSYS solution) and by INTPA.D4 and NEAR.A4 (as business owners). In particular, the Contractor will support the business contribution to change management including more ambitious outreach and stronger relationship with Delegations. Based on the knowledge and expertise on the management system(s), support the design and delivery of some online trainings (webinars); participation in the drafting of guidance documents, and definition, together with the team, of a broader knowledge and learning strategy for the components under scope of work.
- Act as Administrator of the ROM & EVAL module/ROM & EVAL in OPSYS, facilitating its use by ROM Contractors and EVAL users.
- Support regular analysis of the use of (ROM & EVAL) OPSYS and other platforms in view of their constant improvement. This process will include processing data, graphical representation of findings for statistical, reporting and learning purposes.
- Participate in the business helpdesk for ROM & EVAL module, OPSYS and other platforms, answering users' queries with a focus on business processes and quality of data.

### **(c) Comply with EU visibility requirements**

The Contractor will comply with the latest published guidance on communication and EU visibility<sup>24</sup>.

It must be noted that activities under all outputs 1-6 must be underpinned by an overall knowledge management and knowledge sharing approach, including mechanisms to promote learning from experience. The Contractor shall ensure the capitalisation and sharing of knowledge related to the implementation of the project. It concerns observations of technical and pedagogical value, which are interesting for other professionals, and which do not infringe with the obligations of Article 14 of the general conditions of the contract. For sharing such information, the Contractor shall use the capacity4dev.europa.eu web platform.

## **4.3. Project management**

### **4.3.1. Responsible body**

The contract will be operationally steered by DG INTPA Unit D4 "Performance Results and Evaluation; Internal Communication, Knowledge Management and Collaborative Methods", in association with DG NEAR Unit A4 "Coordination of financing instruments – performance, results and evaluation".

DG INTPA Unit R6 "Finance and Contracts for Centralised Operations" will be responsible for the financial and contractual aspects of the contract.

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<sup>24</sup> [https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions\\_en](https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions_en)

### **4.3.2. Management structure**

The Contractor shall work under the close supervision of the Project Manager appointed by the contracting authority and identified in the contract.

A Project Steering Committee (PSC) co-chaired by the Heads of Unit of INTPA.D4 and NEAR.A4 shall oversee the implementation of this contract. The PSC will be comprised of:

- 1 INTPA.D4 and NEAR.A4 Heads of Units, Heads of Sectors concerned
- 2 INTPA.D4 Project Manager
- 3 Representatives from the Contractor (Project Director/Project Manager, Team Leader and others as relevant)
- 4 Any other relevant stakeholders (optional).

The PSC will meet at least twice per year to discuss the strategic orientations of the contract, assess the progress of implementation, review specific deliverables, and agree on the work plan for the following period. The contracting authority may decide to appoint “Task coordinators” from INTPA.D4 and/or NEAR.A4 to support the Project Manager in supervising activities from a qualitative point of view.

The Contractor will organise frequent meetings with the Project Manager and/or Task Coordinators to monitor progress. These meetings will also promote a joint understanding between the Contractor, INTPA.D4 and NEAR.A4 with regard to lessons emerging and issues arising that may merit a response.

The Contractor will agree with the contracting authority, through the Project Manager, as part of the work plan, the time availability, the workload and the outputs expected for each area of activity in order to ensure an efficient and effective delivery of the services.

### **4.3.3. Facilities to be provided by the contracting authority and/or other parties**

The contracting authority will facilitate access to required sources of information and contacts.

For workshops/events requested by the contracting authority, the contracting authority may provide, if possible, venues within the Commission premises.

## **5. LOGISTICS AND TIMING**

### **5.1. Location**

The normal place of posting for all key experts will be Brussels. Mission costs of the key experts will be reimbursed from the normal place of posting (Brussels) to the mission country. Key experts can choose to work from their place of residence if their place of residence has daily good travel connections to Brussels. If working from their place of residence, key experts should be able to reach Brussels within 48 hours’ notice; travel costs and subsistence costs in Brussels will not be covered by the contracting authority. On average, key experts should expect to work in Brussels one week per month.

The normal place of posting for each non-key expert will be formalised before their mobilisation.

To ensure proper coordination with INTPA and NEAR services, as well as participation to in-person activities, the Contractor will maintain an office in Brussels. The office can be one of the Contractor’s existing offices, if any.

Missions will be subject to written request/approval by the Project Manager. The related costs (travel, per diems) will be financed from the incidental expenditures.

Whenever feasible, learning activities will be organised in the EU premises or EU Delegation premises, or online. When renting external venues is necessary and agreed with the contracting authority, the related costs will be covered by the incidental expenditure.

## **5.2. Start date & period of implementation**

The intended start date should be in June 2023 and the period of implementation of the contract will be 12 months from this date. Please see Articles 19.1 and 19.2 of the special conditions for the actual start date and period of implementation.

New services consisting in the repetition of similar services, may be entrusted up to a value of EUR 22,650,000 to the same Contractor by negotiated procedure without prior publication of a contract notice. Consequently, the initial duration of 1 year may be extended up to 3 times. Any such extension would be subject to satisfactory performance by the Contractor and availability of funding.

## **6. REQUIREMENTS**

### **6.1. Personnel**

Note that civil servants and other staff of the public administration, of a partner country or of international/regional organisations, shall only be approved to work as experts if well justified. The justification should be submitted with the tender and shall include information on the added value the expert will bring as well as proof that the expert is seconded or on personal leave.

This contract foresees the mobilisation of three categories of Experts: Senior, Medium, and Junior. The minimum requirements for each category are as follows:

#### Senior Experts

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum professional experience required by the profile.
- At least 12 years of professional experience.

#### Medium Experts

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum professional experience required by the profile.
- At least 6 years of professional experience.

#### Junior Experts

- Bachelor's Degree (or equivalent diploma).
- At least 2 years of professional experience.

The Contractor, during the implementation of the contract, will set up a "core team" of experts, of which 4 experts will be key experts. One of the key experts (KE 1) from the core team will be the Team Leader (see section 6.1.1) and a second senior expert will act as Deputy Team Leader. The core team is expected to work together, building synergies across the respective areas of responsibility with a view of ensuring that the components of this contract are effectively interrelated and cross-fertilization happens.

Depending on the tasks to be performed, experts may need to have greater access to the Commission IT environment and will therefore work as PXE experts (**Provider- eXternal - IT Equipment: Service Provider hosted outside Commission premises with a "replicated" environment, Commission IT equipment and security measures**).

**The core team will include the following profiles:**

Key experts:

- KE1 : Team Leader (Senior)
- KE2 : Lead Design and Results Measurement (Senior)
- KE3 : Lead Evaluation (Senior)
- KE4 : Lead Institutional Development and Knowledge Sharing (Senior)

Non-Key Experts (indicative list):

- 1 NKE Results Measurement (Senior)
- 2 NKEs Design/Monitoring/Results (Senior)
- 1 NKE Results Measurement (Medium)
- 1 NKE Design/Monitoring/Results (Medium)
- 2 NKEs Design/Monitoring/Results (Junior)
- 2 NKEs Evaluation (Senior)
- 1 NKE Evaluation (IT/Knowledge Sharing/Data) (Medium)
- 1 NKE Evaluation (Junior)
- 1 NKE Organisational Learning and Knowledge Management (Senior)
- 1 NKE Intervention Cycle Methodology (ICM) (Senior)
- 1 NKE Intercultural Approach (InCA) (Senior)
- 1 NKE Capacity4dev Content Coordination (Medium)
- 1 NKE Capacity4Dev Communication (Medium)
- 1 NKE Capacity4dev Project Management Expert (Senior)
- 1 NKE Capacity4Dev User Support (Junior)
- 1 NKE Capacity4Dev Community Management (Junior)
- 1 NKE Learning (Junior)

The profiles of the key experts are defined in section 6.1.1.

The areas of expertise for the non-key experts of the core team are described in section 6.1.2.

The profiles of the core team experts will have to be complementary in order to cover as much as possible the different tasks of the contract.

The core team as a whole will have experience on interventions implemented in Sub-Saharan Africa, Asia & Pacific, Latin America and the Caribbean, the European Eastern and Southern Neighbourhood and the Enlargement regions, and will cover all types of interventions including budget support, blending and budgetary guarantees.

The core team as a whole will be able to operate in English and French. The knowledge of Spanish and Portuguese for reading and speaking will be considered an asset though no writing in Spanish or Portuguese will be required from the experts. In case of need to produce documents in these or other languages, short-term translation or proofreading services can be contracted and costs will be covered by incidental expenditure. All team members must have the ability to work and communicate effectively in a multicultural environment.

**The assessment of these collective requirements will be done by the contracting authority, when the corresponding non-key experts' CVs will be sent for approval during the implementation of the contract.**

To be able to rapidly respond to potential needs, the Contractor will set up a pool of non-key experts. An indicative list of profiles that should be part of the pool is available in Section 6.1.2. These non-key experts, coordinated by the core team, will contribute to the implementation of the activities and will be mobilised on the basis of *ad hoc* terms of reference.

**Please note that regarding the requested professional experience of all experts (KE and NKE) 220 working days full time equivalents (FTE) constitute one year of professional experience. Part-time must be converted into FTE.**

### 6.1.1. Key experts

Key experts have a crucial role in implementing the contract. These terms of reference contain the required key experts' profiles.

As a team, key experts shall cover at least four of the following areas of expertise. This collective expertise will be assessed as part of the Strategy scoring referred to in the evaluation grid.

- (a) Methodological guidance for intervention cycle management,
- (b) Intervention design, monitoring and reporting on results,
- (c) Evaluation at intervention and strategic levels,
- (d) Quality assurance of monitoring and evaluation systems,
- (e) Adult learning processes and products, capacity development, coaching and training,
- (f) Knowledge management and sharing.

**For all key experts, the positions described below are full-time (220 working days per year).**

The tenderer shall submit CVs and statements of exclusivity and availability for the following key experts:

#### **Key expert 1: Team Leader (Senior)**

The Team Leader has the overall responsibility for the management of the assignment, including coordinating the implementation of all tasks and setting up an internal quality control system, in close collaboration with the other key experts.

#### **Qualifications and skills**

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum general professional experience required.
- Ability to operate in English at C1 level for reading, speaking and writing skills according to the Common European Framework of Reference for Languages<sup>25</sup> as demonstrated by certificate or by past relevant experience.
- Excellent communication and analytical skills demonstrated by past professional experience (refer to specific experience in publications, drafting of analytical reports, preparation of communication products, speaking engagements).
- *A postgraduate diploma or degree is an asset.*

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<sup>25</sup> <https://www.coe.int/en/web/common-european-framework-reference-languages/table-1-cefr-3.3-common-reference-levels-global-scale>

- *Knowledge of French, Spanish and/or Portuguese is an asset.*

### **General professional experience**

- At least 12 years of experience in external action/international cooperation.

### **Specific professional experience**

- At least 5 years of experience as Team Leader of multidisciplinary teams.
- At least 10 years of experience in results-based approaches and/or programming and/or design and/or monitoring and/or evaluation in external action/international cooperation.
- Demonstrated, up-to-date knowledge of design and monitoring/evaluation methods and practice. Up-to-date is to be interpreted as at least one related assignment in the past three years.
- Demonstrated team management and organisational skills.
- *Experience in EU international cooperation and external action policies, instruments and implementation modalities is an asset.*
- *Past experience in drafting methodological guidance and analytical tools supporting the design and/or implementation (incl. monitoring) and/or evaluation of interventions in international cooperation and development is an asset.*

## **Key expert 2: Lead Design and Results Measurement (Senior)**

Supports the Team Leader in fulfilling his/her tasks and responsibilities. He/she provides technical leadership in his/her area of expertise.

### **Qualifications and skills**

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum general professional experience required.
- Ability to operate in English at C1 level for reading, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.
- Excellent communication and analytical skills demonstrated by past professional experience.
- *A postgraduate diploma or degree in economics or statistics is an asset.*
- *Knowledge of French, Spanish and/or Portuguese is an asset.*

### **General professional experience**

- At least 12 years of professional experience in the design and implementation (including internal monitoring) of external action/international cooperation interventions and/or policies.

### **Specific professional experience**

- Demonstrated experience in supporting the development of monitoring systems at sector/policy levels.
- At least 3 completed assignments related to capacity development activities for public sector institutions on project/programme design, monitoring and/or reporting.
- Demonstrated team management and organisational skills.
- *Completed assignment on monitoring or result-oriented monitoring of EU external assistance are an asset.*
- *Past experience in drafting methodological guidance and analytical tools supporting the design and/or implementation (including monitoring) of interventions in international cooperation and development is an asset.*

- *Experience in EU international cooperation and external action policies, instruments and implementation modalities is an asset.*
- *Past experience in supporting the preparation of published institutional reports for public administrations, international and/or regional organisations is an asset.*

### **Key expert 3: Lead Evaluation (Senior)**

Supports the Team Leader in fulfilling his/her tasks and responsibilities. He/she provides technical leadership in his/her area of expertise.

#### **Qualifications and skills**

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum general professional experience required.
- Ability to operate in English at C1 level for reading, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.
- Excellent communication and analytical skills demonstrated by past professional experience.
- *Knowledge of French, Spanish and/or Portuguese is an asset.*
- *A postgraduate diploma or degree is an asset.*

#### **General professional experience**

- At least 12 years relevant professional experience of evaluation methods and practice, learning approaches and social research methods (qualitative and quantitative).

#### **Specific professional experience**

- At least 10 completed assignments as Senior Expert performing intervention and/or complex evaluations at sector and/or strategy<sup>26</sup> and/or policy and/or instrument levels and/or aid modality in EU and other donors' external action.
- At least 3 completed assignments related to capacity development activities for public sector institutions on evaluation.
- Demonstrated team management and organisational skills.
- *Experience on intervention-level and complex evaluation for the EU (external action) is an asset.*
- *Experience in EU international cooperation and external action policies, instruments and implementation modalities is an asset.*
- *Past experience in drafting methodological guidance and analytical tools related to evaluation is an asset.*

### **Key expert 4: Lead Institutional Development and Knowledge Sharing (Senior)**

Supports the Team Leader in fulfilling his/her tasks and responsibilities. He/she provides technical leadership in his/her area of expertise.

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<sup>26</sup> Strategic evaluations are different from evaluations of interventions (projects and programmes) and are defined as complex evaluations in that they analyse policies, strategies, and actions from design to implementation assessing the combined results of all spending (e.g., a portfolio of interventions) and non-spending (e.g., policy dialogues) activities over a significant period (temporal scope of usually at least 4 years).

### **Qualifications and skills**

- Master's Degree (or equivalent diploma). In its absence, the Master's Degree can be replaced by a Bachelor's Degree (or equivalent diploma) plus 2 years of professional experience, in addition to the minimum general professional experience required.
- Ability to operate in English at C1 level for reading, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.
- Excellent communication and analytical skills demonstrated by past professional experience.
- *A postgraduate diploma or degree in project/programme management, international relations/development cooperation, political science, law, economics, business management, organisational learning, or education & training sciences is an asset.*
- *Knowledge of French, Spanish and/or Portuguese is an asset.*

### **General professional experience**

- At least 12 years professional experience in knowledge sharing and/or institutional development in the field of external action.

### **Specific professional experience**

- At least 12 years of professional experience in coordinating institutional development and capacity building projects related to EU international cooperation or within international organisations.
- At least 10 successfully completed assignments related to capacity development activities for public sector institutions as Senior Expert intervening at the different steps of the intervention cycle management.
- Demonstrated knowledge of the intervention cycle management methodology and the associated learning processes.
- Ability to manage collective/participatory processes and engaging with stakeholders.
- Demonstrated team management and organisational skills (refer to tasks in project management and/or team leader etc.).
- *Experience in EU international cooperation and external action policies, instruments and implementation modalities is an asset.*

#### **6.1.2. Non-Key experts**

CVs for non-key experts **must not** be submitted in the tender. CVs for non-key experts sent with the technical offer will not be examined. However, the tenderer will have to demonstrate in their offer that they have access to experts with the required profiles.

The Contractor must select and hire other experts as required according to the profiles identified in the organisation & methodology and/or these terms of reference. It must clearly indicate the experts' category so that the applicable daily fee rate in the budget breakdown is clear.

All experts must be independent and free from conflicts of interest in the responsibilities they take on.

The selection procedures used by the Contractor to select these other experts must be transparent, and must be based on pre-defined criteria, including professional qualifications, absence of conflict of interests, language skills and work experience. The findings of the selection panel must be

recorded. The selected experts must be subject to approval by the contracting authority before the start of their implementation of tasks.

The expertise of the core team non-key experts (cf. section 6.1) shall cover the following areas (not exhaustive):

- Design and monitoring for results:
  - Design and implementation (including internal monitoring) of projects, programmes and/or policies incl. budget support, blending and budgetary guarantees;
  - Design of monitoring and evaluation systems, with particular focus on the definition of intervention logic, logframe matrix (including indicators, data collection methods etc). of projects, programmes and/or policies incl. budget support, blending, and budgetary guarantees;
  - Methodological guidance and analytical tools supporting the design and/or implementation of interventions in external action /international cooperation incl. budget support, blending and budgetary guarantees;
  - Capacity development and knowledge sharing activities for public sector institutions in areas related to design and monitoring for results;
  - Performance-based financing.
- Results measurement and reporting:
  - Management of results data, including data collection, data analysis, visualisation;
  - Design of indicators and definition of methodologies for data collection and aggregation;
  - Support to the preparation of institutional reports on results.
- Evaluation:
  - Evaluations of interventions and/or complex evaluations at sector/strategy/policy levels including budget support operations;
  - Methodological guidance and analytical tools related to evaluation.
- Intervention cycle management methodology:
  - Management of external action projects, programmes and/or policies;
  - Methodological guidance and analytical tools supporting the management of external action projects, programmes and/or policies;
  - Design and delivery of learning events on intervention cycle management methodologies using up to date training methodologies and tools.
- Intercultural approach:
  - Intercultural approach methodologies and facilitation techniques.
- Organisational learning and knowledge management:
  - Facilitation techniques, process consulting and knowledge management for international partnerships with a diverse audience;
  - Participatory leadership/collective intelligence practices, harvesting techniques, team working methods, knowledge creation and knowledge sharing;
  - Learning modalities and capacity building strategies of international organisations;
  - Organisation of trainings with the use of online video-conferencing platforms for learning events, use of Zoom, Mural and/or Mentimeter, and or other similar tools.
- Knowledge sharing, content management, community management:
  - Production of editorial content and management of multimedia and digital products/tools for communication, learning and/or knowledge sharing purposes (learning material, infographics, data visualisation, videos, video-interviews, documentaries, articles, reports etc.);

- Digital content management with the use of software such as Final Cut Pro or Adobe Premier;
- Social media management, community management, data analytics and outreach strategy for user-generated online platforms;
- Project management, web design and user support for community websites:
  - IT business management with PM2 or similar project management methodologies; Agile, Scrum;
  - Web management and management of the full product lifecycle of (user-generated) community websites built with open source technologies from the business perspective;
  - IT documentation and ticketing systems (such as Atlassian and open source tools such as GitHub);
  - Functional testing of IT systems;
  - User support for user-generated online platforms

In addition to the non-key experts that will be part of the core team, the Contractor will establish a pool of experts with the following specialisations:

- Programming, design, monitoring, results reporting (including with specific experience on blending and budgetary guarantees, performance-based financing)
- Evaluation
- Quality assurance
- Trainers in intervention cycle management
- Consultants on working processes, knowledge management and change management
- Facilitators and knowledge-sharing experts
- Intercultural approach facilitators and experts
- Journalists and video producers (for Capacity4Dev)
- Graphic design
- Data management, data analysis and visualization
- Business management of information systems

For non-key experts the Contractor will budget as a minimum, the following quantities. The number of working days budgeted shall cover both non-key experts engaged as part of the core team, and all the other non-key experts.

Level	Working days
Senior	1650
Medium	950
Junior	850

### 6.1.3. Support staff & backstopping

The Contractor will provide support facilities to their team of experts (backstopping) during the implementation of the contract. Backstopping and support staff costs must be included in the fee rates.

The Contractor will brief all experts prior to them taking up their assignments on issues related to Commission recent practices in the areas of work of the contract, the status of the implementation of the project and relevant specific tasks, and provide them with any other information/document relevant for the implementation of the specific task.

## **6.2. Office accommodation**

Office accommodation of a reasonable standard and of approximately 10 square metres for each expert working on the contract and required to be based in Brussels is to be provided by the Contractor.

The costs of the office accommodation are to be covered by the fee rates.

## **6.3. Facilities to be provided by the Contractor**

The Contractor must ensure that experts are adequately supported and equipped. In particular it must ensure that there is sufficient administrative, secretarial and interpreting provision to enable experts to concentrate on their primary responsibilities. It must also transfer funds as necessary to support their work under the contract and to ensure that its employees are paid regularly and in a timely fashion.

## **6.4. Equipment**

No equipment is to be purchased on behalf of the contracting authority / partner country as part of this service contract or transferred to the contracting authority / partner country at the end of this contract. Any equipment related to this contract that is to be acquired by the partner country must be purchased by means of a separate supply tender procedure.

## **6.5. Incidental expenditure**

The provision for incidental expenditure covers ancillary and exceptional eligible expenditure incurred under this contract. It cannot be used for costs that should be covered by the Contractor as part of its fee rates, as defined above. Its use is governed by the provisions in the general conditions and the notes in Annex V to the contract. It covers:

- Travel costs and subsistence allowances for missions, outside the normal place of posting, undertaken as part of this contract. If applicable, indicate whether the provision includes costs for environmental measures, for example CO<sub>2</sub> offsetting.
- Costs associated with the organisation of meetings, trainings, workshops, coaching sessions etc., in particular travel, visa and accommodation costs for sponsored participants, catering, room rental and related equipment, printing costs for the supporting materials, promotional material (e.g. USB, pens, folders etc.);
- Costs related to interpretation during trainings, workshops and translation of specific project deliverables, as needed (e.g. training materials);
- Other costs to be agreed upon with the contracting authority on a case-by-case basis.

The provision for incidental expenditure for this contract is EUR 170,000. This amount must be included unchanged in the budget breakdown.

Per diem are daily subsistence allowances that may be reimbursed for missions foreseen in these terms of reference or approved by the contracting authority, carried out by the Contractor's authorised experts outside the expert's normal place of posting. The per diem is a maximum fixed flat-rate

covering daily subsistence costs. These include accommodation, meals, tips and local travel, including travel to and from the airport. Taxi fares are therefore covered by the per diem. Per diem are payable on the basis of the number of hours spent on the mission. Per diem may only be paid in full or in half (no other fractions are possible). A full per diem shall be paid for each 24-hour period spent on mission. Half of a per diem shall be paid in case of a period of at least 12 hours but less than 24 hours spent on mission. No per diem should be paid for missions of less than 12 hours. Travelling time is to be regarded as part of the mission. Any subsistence allowances to be paid for missions undertaken as part of this contract must not exceed the per diem rates published on the website - [https://international-partnerships.ec.europa.eu/funding/guidelines/managing-project/diem-rates\\_en](https://international-partnerships.ec.europa.eu/funding/guidelines/managing-project/diem-rates_en) - in force at the time of contract signature.

The contracting authority reserves the right to reject payment of per diem for time spent travelling if the most direct route and the most economical fare criteria have not been applied.

Prior authorisation by the contracting authority for the use of the incidental expenditure is not needed with the exception of any activity where the incidental expenditure budget exceeds EUR 10,000.

## **6.6. Lump sums**

No lump sums are foreseen in this contract.

## **6.7. Expenditure verification**

The provision for expenditure verification covers the fees of the auditor in charge of verifying the expenditure of this contract in order for the contracting authority to check that the invoices submitted are due. The provision for expenditure verification for this contract is EUR 4.000. This amount must be included unchanged in the budget breakdown.

This provision cannot be decreased but can be increased during execution of the contract.

# **7. REPORTS**

## **7.1. Reporting requirements**

Please see Article 26 of the general conditions.

The first deliverable will be the inception report, which will comprise a detailed work plan for the first year of operation. The Contractor will draft the inception report following consultations with relevant stakeholders and discussions with the Project Steering Committee. The inception report will be finalised by the end of the first quarter and approved by the contracting authority.

Interim reports must be prepared every six months during the period of implementation of the tasks. They must be provided along with the corresponding invoice, the financial report and an expenditure verification report defined in Article 28 of the general conditions.

The interim progress reports will be no longer than 20 pages without annexes and include information about the progress in implementation of the activities and outputs in line with the work plan, a critical analysis of the activities conducted under each service as per Section 4.2 of these Terms of Reference with indication of progress towards target and the outputs produced; and an updated version of the annual work plan.

There must be a final report, a final invoice and the financial report accompanied by an expenditure verification report at the end of the period of implementation of the tasks.

The draft final report must be submitted at least one month before the end of the period of implementation of the tasks. Note that these interim and final reports are additional to any required in Section 4.2 of these terms of reference. The final report will be approved by the Contract Authority

after consultation of the Project Steering Committee. The final report should not be longer than 60 pages excluding the annexes.

Each report must consist of a narrative section and a financial section. The financial section must contain details of the time inputs of the experts, incidental expenditure and expenditure verification.

To summarise, in addition to any documents, reports and deliverable specified under the duties and responsibilities of each key expert above, the Contractor shall provide the following reports:

<b>Name of report</b>	<b>Content</b>	<b>Time of submission</b>
Inception Report	Analysis of existing situation and work plan for the project.	No later than 3 months after the start of implementation period.
6-month Progress Report	Short description of progress (technical and financial) including problems encountered; planned work for the next 6 months accompanied by an invoice and the expenditure verification report.	No later than 1 month after the end of each 6-month implementation period.
Draft Final Report	Short description of achievements including problems encountered and recommendations.	No later than 1 month before the end of the implementation period.
Final Report	Short description of achievements including problems encountered and recommendations; a final invoice and the financial report accompanied by the expenditure verification report.	Within 1 month of receiving comments on the draft final report from the Project Manager identified in the contract.

## **7.2. Submission & approval of reports**

Electronic copies of the reports referred to above must be submitted to the Project Manager identified in the contract. The reports must be written in English. The Project Manager is responsible for approving the reports within one month from their submission. After this period, the reports are deemed approved.

## **8. MONITORING AND EVALUATION**

### **8.1. Definition of indicators**

The Contractor will define specific performance indicators to provide valid, useful, practical and comparable measures of progress towards achieving the expected results. These can be quantitative measures of quantity, including statistical statements; and or qualitative judgments and perception derived from subjective analysis. Whilst a draft monitoring and evaluation plan will be part of the offer submission, it is expected that a detailed monitoring and evaluation plan will be developed during the inception phase and be part of the inception report. The monitoring and evaluation plan will be approved by the contracting authority and updated every six months as integral part of the reporting duties.

## **8.2. Special requirements**

### **8.2.1. Duty of care**

With regards to all duty of care responsibilities including safety and security, the Contractor shall put in place for its staff members and contracted experts for the specific assignments, all foreseeable duty-of-care measures to mitigate against all possible risks and hazards they could face during the missions to partner countries. The Contractor shall inform them of any prevailing security risks prior to every mission and take appropriate measures to protect them during the conduct of their mission to partner countries. The Contractor shall ensure that it can maintain communications with them throughout the duration of all missions in order to respond appropriately to any crisis or emergency situation. Staff members/experts shall always carry reliable communication devices and know who to contact 24/7 in the event of an emergency or incident. The Contractor needs to swiftly take all necessary mitigating measures for ‘unexpected’ events during the implementation of the assignments.

### **8.2.2. Conflict of interest**

Due to the nature of this support services contract, special attention will be paid to candidates that are already involved (as leader or member of a consortium or on an individual basis) in ongoing contracts (including framework contracts) related to results-oriented monitoring and evaluation (both at strategic and at intervention levels) in DG INTPA and DG NEAR.

These include:

- Ongoing contract “Results Oriented Monitoring for Asia and Pacific, Latin America, Caribbean, and Centrally Managed Thematic Interventions” (Tender ref. EuropeAid/139798/DH/SER/Multi);
- Ongoing contract “ROM Lot 2 - Results Oriented Monitoring for Sub-Saharan Africa” (Tender ref. EuropeAid/139798/DH/SER/Multi);
- Ongoing contract “Results Oriented Monitoring (ROM) systems for external aid interventions financed by the European Union - Enlargement Region” (Tender ref. EuropeAid/139806/DH/SER/Multi);
- Ongoing contract “Results Oriented Monitoring (ROM) systems for external aid interventions financed by the European Union - Neighbourhood Region” (Tender ref. NEAR/2021/EA-RP/0020);
- The ongoing framework contract EVA 2020 “Strategic Evaluations of the EU External Action” (Tender ref. EuropeAid/140122/DH/SER/MULTI).

Being already involved in one of the ongoing contracts and being awarded the contract under INTPA/2022/EA-RP/0143 will require setting up mitigating measures.

Situations of professional conflicting interests (linked to, e.g., the quality control of terms of reference for specific contracts or the review of the quality of deliverables), which may negatively affect the contractor’s capacity to perform the contract (Point 20.6 Annex 1 to the Financial Regulation), will be assessed by the evaluation committee on a case-by-case basis. Based on the abovementioned provisions of the Financial Regulation, the Commission may reject the application from candidates that are in such situation of professional conflicting interests.

In this context, attention of economic operators should be drawn to the situation of professional conflicting interests that may also occur in relation to the future Framework Contract SEA 2023 “Services for EU’s external action 2023” (prior information notice published on 20/07/2022 in OJ/S S138 with ref. number INTPA/2022/EA-OP/0102) that will succeed to the ongoing Framework Contract SIEA 2018 “Services for the Implementation of External Aid 2018” (Tender ref.

EUROPEAID/138778/DH/SER/MULTI), for its envisaged lots on monitoring and evaluation (lots 15, 16 and 17).

Any entity involved in the present service contract (as leader or member of a consortium or on an individual basis) that would also become involved (as leader or member of a consortium or on an individual basis) in lots 15, 16 or 17 of Framework Contract SEA 2023 may thus be excluded from most requests for specific contracts.

There are several factors that could influence the decision to exclude (or not) an economic entity (and the consortium to which they belong) in a situation of professional conflicting interests from requests for specific contracts under the future FWC SEA 2023:

- First, SEA 2023 is intended to be used by all services of the European Commission. Therefore, the exclusion from “most” requests for specific contracts thereby refers only to those requests that will be issued by DG INTPA and DG NEAR. For lot 15, the potential exclusion refers only to those requests that will be issued by INTPA.D4 or NEAR.A4, or in which one or both of the Units are involved (e.g. in the design of the request for services or in the quality assurance of its deliverables).
- Second, should such situations of professional conflicting interests arise, the contracting authority intends to set up mitigating measures such as requesting the signature of non-disclosing agreements for both the economic entities concerned and all the experts involved (key and non-key). Should these measures not be sufficient, both INTPA and NEAR services could decide on exclusions, on a case-by-case basis and depending on the nature of the involvement of the economic entity implementing the support services.

In case an economic operator (leader or member of a consortium) is in a situation of conflict of interest vis-à-vis one of the lots of SEA 2023 (or also vis-à-vis ongoing framework contract EVA 2020), the exclusion from specific requests for specific contracts would apply to the entire consortium to which the economic operator belongs.

### **8.2.3. Statement of Confidentiality**

Tenderers are informed that all experts (both key and non-key) working on this contract will be required to sign a statement of confidentiality before the start of their assignment.

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