

## ANNEX II: TERMS OF REFERENCE

### Results Oriented Monitoring (ROM) system for external aid interventions financed by the European Union Location: Global

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# **1. BACKGROUND INFORMATION**

## **1.1. Partner country**

This contract is not specific to one country.

## **1.2. Contracting authority**

European Union represented by the European Commission (Directorate General for International Cooperation and Development).

## **1.3. Country background**

This contract is not specific to one country.

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

The Directorate General for International Cooperation and Development (DG DEVCO) plays a leading role in ensuring the implementation of the new European Consensus on Development adopted by the Council of the EU, the European Parliament and the European Commission in June 2017<sup>1</sup>.

DG DEVCO leads the Multi-annual Financial Framework exercise in the field of external action, coordinating with other External Relations services. It implements interventions funded through the European Union's external financing instruments, in line with the development effectiveness principles of ownership, focus on results, inclusive partnerships, transparency and accountability.

Within DG DEVCO, Unit 04 – Evaluation and Results is currently responsible, among others, for strategic evaluations, for the results agenda, for quality processes in identification and formulation, and for support to monitoring systems and evaluation at intervention level.

Unit 04 is the Results Oriented Monitoring (ROM) Coordination Unit and as such it may be referred to in this document. Unit DEVCO 04 contributes to quality assurance of DEVCO's intervention throughout the implementation cycle, starting with design and ending with evaluation. It also provides business input for the development of operational IT systems.

- Unit 04 provides general coordination for the quality review process at design stage. Quality Review Groups ensure that Action Documents (ADs) take into account lessons learned through previous interventions, and that they include well-defined and measurable results and indicators.
- During implementation, Operational Managers in EU Delegations and HQ services are supported through guidance and training on internal monitoring. ROM reviews complement internal monitoring, providing an independent assessment of intervention performance.
- At corporate level the EU Results Framework (EU RF), revised in 2018, builds on monitoring systems at intervention level. Yearly results reporting exercises collect and quality-control data on ongoing (and recently closed) interventions. Results from indicators matching with EU RF indicators are aggregated and presented in Annual Reports as well as being used for internal analysis.

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<sup>1</sup> Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission, The New European Consensus on Development: Our World, Our Dignity, Our Future (OJ C210, 30.06.2017 p. 1).

- Factual information gathered during monitoring exercises feeds evaluations at intervention/sector/country and strategic level. Strategic evaluation reports are published at [https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies\\_en](https://ec.europa.eu/europeaid/strategic-evaluations-analyse-eu-strategies_en)

Together with other Commission services, DG DEVCO is currently developing a new IT platform with a view to integrate financial and operational management of EU-funded interventions. This new platform (OPSYS) will support the coordination of the programming exercise for the Multiannual Financial Framework (MFF) 2021-2027 as well as the coordination of the subsequent design stage of Annual Action Programmes and Action Documents. OPSYS is being rolled out in different stages and components (tracks) with a view to have the platform fully operational by the end of 2020. It is expected that OPSYS will introduce substantial changes to the way of working in several areas, including monitoring and evaluation. As a result, the scope of the work of the present contract is expected to evolve during the next years depending on the progressive roll out of OPSYS and until its completion. This will imply changes in the services to be provided by the Contractor.

The ROM system is the external monitoring system of the European Commission. It aims at enhancing the European Commission's (EC) accountability and management capacities with a strong focus on results and supports EU Delegation and Headquarter services by providing an external opinion on project implementation.

The ROM system was first set up in 2001 and was substantially reformed in 2015 to better suit the needs of the Commission.

The 2015 reform aimed at improving the quality of ROM reviews through 1) systematic use of specialised thematic and sector expertise, 2) more days to be spent in the field, 3) the introduction of a robust external Quality Assurance system (QA). Finally, the reform introduced ROM missions aimed at supporting EUDs and HQ services in their results reporting tasks.

Since 2015, the ROM system has been implemented through several service contracts covering interventions implemented by both DG DEVCO and DG NEAR (European Neighbourhood Instrument only).

The new contracts will build inter alia on the experience collected from the implementation of previous contracts providing ROM services.

As of December 2015, an independent Contractor performs quality assurance on the ROM process. The purpose of this separate contract is to verify the quality of the ROM services and deliverables, and to provide recommendations for improving the ROM methodology based on a quality screening of the ROM process.

The ROM QA Contractor screens ROM review deliverables, and performs shadow missions and field missions on a sample of ROM reviews agreed with the EC services. Additional services include *ad hoc* studies and workshops.

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

The ROM system is a key component of DG DEVCO's and DG NEAR's monitoring systems. It complements the internal monitoring performed by the EU Operational Managers (OMs) as well as the monitoring performed by Implementing Partners (IPs). Monitoring reports, evaluation reports, and related analyses produced by IPs should be used by the ROM Contractor, and the implementation of the respective activities should be conducted in a coherent and efficient way to avoid duplications.

## **2. OBJECTIVE, PURPOSE & EXPECTED RESULTS**

### **2.1. Overall objective**

The overall objective of the contract is as follows:

To improve the performance of EU-funded interventions by strengthening design, monitoring and evaluation systems at intervention and institutional level.

### **2.2. Purpose**

The purposes of this contract are as follows:

- **Purpose 1:** to provide an external, objective and impartial assessment on the performance of selected ongoing DEVCO interventions.
- **Purpose 2:** to provide technical support to EC services in the formulation of intervention logics and related logical framework matrices (logframes) as well as in the design of monitoring and reporting systems at intervention level.
- **Purpose 3:** to support results reporting at institutional and intervention level

### **2.3. Results to be achieved by the Contractor**

- ROM reviews are performed on time, in line with the prevailing rules and meet the quality standards detailed in the ROM Handbook.
- Project documents subject to quality assurance have an intervention logic which is coherent with the corresponding ADs and contain measurable indicators, baselines, targets, and sources of verification.
- Intervention-level monitoring and reporting systems subject to quality assurance allow measuring the performance of the intervention as well as reporting on results.
- Results data is quality-checked on time, and follows the standards detailed in the ROM Handbook.
- Monitoring and results data is available for use during evaluations at all levels.

### 3. ASSUMPTIONS & RISKS

#### 3.1. Assumptions underlying the project

The knowledge created is useful and is applied to improve intervention design, implementation and monitoring.

Operational Managers (OMs) and Implementing Partners (IPs) contribute to ROM reviews.

OMs and IPs encode results in OPSYS and make data sources available to ROM experts and to DEVCO 04.

DG DIGIT provides tools to support the activities under this contract through the OPSYS programme.

#### 3.2. Risks

Risk	Level	Mitigating measures
<p><u>Contractor:</u></p> <p>Logistics and administrative challenges in managing ROM missions</p> <p>Challenges in maintaining high quality standards across large teams of short-term experts</p>	Medium	<p>Sufficient project management resources and adequate backstopping provisions are included in the proposal and during implementation.</p> <p>A core team of full-time senior experts provides adequate internal quality control.</p>
<p><u>Commission</u></p> <p>Lack of ownership by the Commission staff of the knowledge produced</p> <p>Limited availability of DEVCO services for feedback to the Contractor/experts</p> <p>Delays in the delivery of OPSYS releases with features supporting results reporting, monitoring and evaluation activities</p>	Medium	<p>Awareness campaigns on functioning of ROM conducted by DEVCO 04 in collaboration with ROM contractors.</p> <p>Knowledge sharing mechanisms (including Capacity for Dev) strengthened by DEVCO 04 in collaboration with ROM contractors to disseminate best practices and lessons learnt.</p> <p>Regular meetings between DEVCO 04, DEVCO R4 and DG DIGIT are conducted (KUGs, DUGs on OPSYS track 1 and 3)</p>

## 4. SCOPE OF THE WORK

### 4.1. General

#### 4.1.1. Project description

The contract will be operationally steered by DG DEVCO, Unit 04 "Evaluation and Results" as the ROM coordination Unit.

This contract will assist DEVCO HQ and Delegations in their monitoring and reporting functions through a catalogue of services to be provided at the different moments during the project cycle.

ROM services to be provided through this contract are clustered in three components, which are described in this section and further outlined in section 4.2. As further elaborated below, it is expected that OPSYS will introduce substantial changes to the way of working in several areas, including monitoring and evaluation. As a result, the scope of the work of the present contract is expected to evolve during the next years depending on OPSYS' roll out and subsequent possible up-dates and modifications. Modifications in the services to be provided by the Contractor will be agreed and reflected in the updated versions of the ROM Handbook.

The type of services to be delivered are the following:

#### Component 1: ROM reviews

Within this component, ROM Contractors will assess the performance of EU-funded interventions on the basis of the following OECD DAC evaluation criteria: relevance, efficiency, effectiveness, and sustainability.

ROM reviews will cover:

- A sample of EU funded interventions **during the first stages of implementation (6<sup>th</sup> to 18<sup>th</sup> month)**. Design weaknesses and delays in implementation are amongst the top problems affecting EU funded interventions identified in the course of the previous ROM cycle. It is thus key to tackle both issues in the inception stage of the project so to ensure a smoother implementation thereafter. For these intervention, the ROM review will particularly support the OM in confirming or updating intervention logic and logframe matrix (including baseline and targets), in reviewing the monitoring system of the IP, in assessing risks and mitigation measures and fine tune calendar of activities with a view to improve the performance of the intervention across the all OECD DAC Criteria.
- Interventions flagged as having **implementation problems** through the Commission's internal reporting systems. In this case, the ROM review will assist the OM in addressing the main problems, identifying causes and options for solution and make recommendations for follow-up actions.
- Other interventions for which the contracting authority requests a ROM review **on demand**. This covers in particular interventions which could not be visited by EU OMs or for which the necessary sector expertise at EUD level may not be available at a given point of time.
- **Blending operations** for which the Contracting authority identifies a need for ROM review. ROM reviews on blending operations will be limited to a certain number of selected operations per year and will focus especially on assessing the value added of the EU contribution and on the performance of blending interventions in terms of socio-economic development.

#### Component 2: Quality assurance and support at design stage

Within this component, ROM Contractors will provide technical support to EC services in the formulation of intervention logics and related logical framework matrices (logframes) as well as in the design of internal monitoring and reporting systems at intervention level.

ROM experts will assist OMs in defining these elements in the project document agreed with IPs, particularly aiming at improving the quality of the logframe, suggest possible improvements to the quality of monitoring and reporting systems proposed by IPs, and provide further technical input on a needs basis.

With the introduction of OPSYS, logframes will gradually become available for review via the online platform ahead of the contract signature between the European Commission and the implementing partners. Then, the ROM Contractor will be able to deliver these services through the platform. In the meantime, tools and methods will have to be set up under the coordination of DEVCO 04 to establish adequate links with EU staff in charge of drafting project documents.

### Component 3: Support to results reporting at institutional and intervention level

Within this component, ROM Contractors will provide services to encode and quality control results data for a set of interventions subject to results reporting.

Results are reported by IPs against any intervention logframe by means of progress and final reports. Currently, results data for a sample of EU funded interventions are encoded and quality controlled every year as part of the annual exercise of results reporting. The purpose is to ensure quality of data in view of institutional reporting as well as intervention and strategic evaluations.

In this context, ROM Contractors will ensure encoding and quality control of data included in the interventions' logframes. Such quality controls will include, amongst others: verifying that the logframe is correctly encoded and up-to-date, ensuring that the latest available values related to logframe indicators are encoded and documented in sources of verification made available to the ROM Coordination Unit, and supporting the aggregation of intervention-level results into the EU Results Framework or other frameworks.

On a yearly basis, results reporting missions will be scheduled across EU delegations and HQs Units to this purpose. With the introduction of OPSYS, the above quality controls will be performed online and intervention logframes will be already available as encoded by third parties. Until then, the continuation of existing IT tools and methods under the coordination of DEVCO 04 will support the implementation of this component.

The detailed rules, modalities, specifications and quality standards governing the organisation and carrying out of all ROM services to be provided by the ROM Contractor are laid down in the ROM Handbook. Guidelines for the implementation of the external ROM Quality Assurance are also included in the ROM Handbook.

Aspects covered by the ROM Handbook include, but are not limited to:

- The modalities and procedures for the approval of ROM experts, the allocation of man-days for each type of service and the procedure to approve deviations.
- The standards to be observed during desk and field work, such as: delivery of key documents to ROM experts, logistical arrangements prior and during the mission, briefings at the EUD and at DEVCO HQ, stakeholders' consultations, debriefing at the EUD and at DEVCO HQ.
- The format of the ROM reports and the guiding questions which need to be addressed by ROM experts during ROM reviews, by type of ROM review.
- Guidance for quality assurance and support at design stage, and support to results reporting.

The ROM Handbook may be updated by DG DEVCO as and when necessary. During the implementation of the contract, the European Commission may request additional services that will be defined in the ROM Handbook.

#### **4.1.2. Geographical area to be covered**

##### Lot 1 – ROM for Asia and Pacific, Latin America, Caribbean, and Centrally Managed Thematic Interventions

Lot 1 covers EU-funded national and regional interventions whether single or multi-country in:

- Asia and Pacific,
- Latin America and Caribbean, and
- Intervention funded under horizontal and thematic instruments and managed by Thematic Directorates in DEVCO HQ.

Interventions financed by the European Development Fund (EDF) and the general budget of the European Union.

Interventions financed under horizontal and thematic instruments implemented at country level and managed by a EUD in sub-Saharan African are not covered by this lot but by lot 2.

##### Lot 2 – ROM for Sub-Saharan Africa

Lot 2 covers EU-funded national and regional interventions whether single or multi-country in the sub-Saharan African region including intra-ACP (Africa, Caribbean and Pacific) and pan-African programmes.

It covers interventions financed by the European Development Fund (EDF) and the budget of the EU.

Components of the regional interventions managed by the DEVCO regional Africa Units which are implemented in non-African countries will be monitored within lot 2. Projects financed under the Thematic Instruments in Africa and centrally managed from HQ will be monitored within lot 1.

Projects financed under the EU Thematic Instruments and programmes in the African countries and regions are covered by lot 2 (including intra-ACP and pan-African programmes) except for the projects managed under the responsibility of the Foreign Policy Instruments Service (FPI).

Projects financed under the Thematic Instruments and Programmes in the African area, including the Instrument for Stability (IfS)/Instrument contributing to Stability and Peace (IcSP) and the Instrument for Nuclear Safety (INS) /Instrument for Nuclear Safety Cooperation (INSC), and centrally managed by thematic Units in HQ will be monitored within lot 1.

#### **4.1.3. Target groups**

The main target group for ROM services is European Commission staff, and more specifically:

- DEVCO operational staff in charge of designing and monitoring EU-funded interventions both in HQ and EUD;
- DEVCO HQ services in charge of reporting on results and ensuring accountability, transparency and communication to stakeholders (e.g. Member States, EU citizens, other EU and non-EU Institutions);
- DEVCO management.

By promoting a sharper focus on quality of implementation and on results, ROM services also benefit implementing partners, partner countries, and beneficiaries of EU-funded interventions.

## 4.2. Specific work

### 4.2.1. Component 1: ROM reviews

The indicative annual number of ROM reviews to be implemented by the ROM Contractor is estimated as specified in the table below. These numbers cannot be considered as contractual as they can be subject to variations during the implementation of the contract.

Lot	Single country	Multi country	ROM Blending single country	ROM blending multi country
1	Up to 170	Up to 90	Up to 6	Up to 9

The list of interventions eligible for ROM reviews – based on the criteria listed in section 4.1.1 – is communicated by the ROM Coordination Unit to the ROM Contractor after the signature of the contract.

The organisation of ROM reviews by the ROM Contractor proceeds according to a **workplan** to be submitted by the ROM Contractor to the ROM Coordination Unit. The workplan details the organisation of ROM reviews by the Contractor for a period of 12 months. It is submitted the first time within six weeks upon signature of the contract. The Contractor may need to submit a revised workplan as and when necessary for the good implementation of the assignment. The workplan is submitted and managed using the IT tools provided by the Contracting authority.

The ROM workplan should include details on how the Contractor intends to:

- plan and schedule the ROM reviews and related field visits in agreement with EU Delegations and HQ Units in charge of the interventions,
- allocate ROM reviews to ROM experts, according to their sector of expertise, in agreement with the ROM Coordination Unit.

The ROM Contractor assigns ROM reviews and Quality Control (QC) functions to key and non-key experts according to the area of expertise relevant to the interventions to be reviewed. The ROM experts are either key experts or non-key experts and are proposed in the ROM workplan. The CVs of non-key experts are annexed to the workplan. The workplan and the proposed choice of experts are submitted by the ROM Contractor to the ROM Coordination Unit for approval.

Field visits should be organised in order to group ROM reviews to the maximum extent possible in each visit. Thus, reviews scheduled in the workplan for a given year to any EU Delegation or HQ Unit will be performed through a maximum of two field visits per year, except duly justified exceptions.

Non-key experts performing ROM reviews can be either senior or medium (see Section 6.1).. In any field visit, the pool of experts being proposed by the Contractor shall be a mix of senior and medium short-term experts – being these latter between 40% and 60% of the team deployed. A Mission Leader (ML) will be appointed to lead the field visit and coordinate the work of the other ROM experts allocated to the interventions being reviewed. He/she will also lead the briefing and debriefing sessions scheduled within each field visit and be the focal point for any communication with the Contracting authority. The ML shall be a senior expert.

The standard duration of a ROM review is as follows<sup>2</sup>:

**For single country reviews (including regional interventions implemented in one country):**

- Desk phase: up to 1.5 man/days are allocated to prepare the ROM review from the place of residence of the ROM expert.

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<sup>2</sup> In specific cases, the ROM Contractor may also consider justified to propose a lower number of days for a ROM review.

- Field phase mission: up to 9 man/days are allocated in the field in order to meet with all key stakeholders. This field phase covers travel time and briefing and debriefing with EUDs or HQs Unit. For centrally managed interventions, debriefings will be delivered by one of the Core team experts. For interventions managed by EUDs, the ML will deliver the debriefing at the end of the field mission. In the latter case, HQs services shall be invited to assist to the briefing and debriefing via videoconference, using existing EC videoconferencing facilities.
- ROM report drafting and QC: 2 man/days are allocated to draft the ROM report, Monitoring Questionnaire (MQ), and to comply with the requirements of the internal QC<sup>3</sup>.

**For multi-country reviews:**

- Desk phase: 2.5 man/days are allocated to prepare the ROM review from the place of residence of the ROM expert.
- Field phase mission: 5 man/days are allocated for each country visit in order to meet with all key stakeholders – for a maximum of four countries. This phase covers travel time and briefing and debriefing with EUDs or HQs. The choice of countries to be visited will be agreed by the ROM Coordinator in coordination with the EUDs and/or relevant HQ Units concerned. If more than four international travels and/or more man-days are required to cover the multi-country interventions (e.g to take into account the location of remote and isolated areas and degree of complexity of the intervention), upon a written request of the Contractor, the ROM Coordinator will instruct the latter accordingly<sup>4</sup>. For centrally managed interventions, debriefings will be delivered by one of the Core team experts. For interventions managed by EUDs, the ML will deliver the debriefing at the end of the field mission. In the latter case, HQs services shall be invited to assist to the briefing and debriefing via videoconference, using existing EC videoconferencing facilities.
- Drafting of the ROM report and QC: 4 man/days are allocated to draft the ROM report, Monitoring Questionnaire (MQ), and comply with the requirements of the internal QC. The ROM report covers all the components of the multi-country project or programme for which a field phase took place and contains consolidated recommendations both for these components and for the programme as a whole.

**ROM review on blending operations**

Blending operations eligible for ROM review are identified and communicated on a yearly basis by the ROM Coordination Unit to the ROM Contractor.

As soon as the list is available, ROM reviews on blending operations shall be integrated into the overall ROM workplan and the CVs of non-key experts submitted to the ROM Coordination Unit for approval. Due to the specific nature of blending operations, the scope of the mission and the working days to be allocated to each expert will be confirmed and approved by the ROM Coordination Unit only during the preparation phase, with the submission of a preliminary assessment.

ROM reviews on blending operations are performed by either key or non-key senior experts. As a general rule and if appropriate, blending operations will be monitored by two experts – one with a specialisation in finance (“Financial intermediaries and financial products”) and one with sector expertise corresponding to the sector of intervention of the blending operation. One of the two experts is selected as Mission Leader and is responsible for the organisation of the mission in collaboration with the second expert.

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<sup>3</sup> These two days do not include the QC done by key experts but only cover the work carried out by the ROM expert

<sup>4</sup> A ROM review should not cover more than 4 national components of a multi-country project or programme. Any exception should be approved by the ROM Coordinator.

The two experts will be in the field at the same time, but possibly diversify contacts and interviews at local level to cover both the financial and sector dimensions of the blending operation. They will collaboratively draft all the ROM reporting documents.

The standard duration of a ROM review on a blending operation is as follows:

**For single-country reviews (including regional programmes implemented in one country):**

- Preparation phase: up to 4 days per expert are allocated for preparing for the ROM review. This includes: the review of all relevant documentation, the preparation for the visit to the IFI and the visit itself, the preparation and submission of a preliminary assessment.
- Field phase mission: up to 9 man/days per expert are allocated in the field in order to meet with all key stakeholders. This field phase covers travel time and briefing and debriefing with EUDs or HQ Unit(s). For centrally managed interventions, debriefings will be delivered by one of the Core team experts. For interventions managed by EUDs, the ML will deliver the debriefing at the end of the field mission. In the latter case, HQs services shall be invited to assist to the briefing and debriefing via videoconference, using existing EC videoconferencing facilities.
- ROM report drafting and QC: 3 days per expert are allocated to draft the ROM report and Monitoring Questionnaire (MQ), and to comply with the requirements of the internal QC<sup>5</sup>.

**For multi-country reviews:**

- Preparation phase: up to 4 days per expert are allocated for preparing for the ROM review. This includes: the review of all relevant documentation, the preparation for the visit to the IFI and the visit itself, the preparation and submission of a preliminary assessment.
- Field phase mission: up to 5 man/days per expert are allocated for each country visit in order to meet with all key stakeholders – for a maximum of four countries. This field phase covers travel time and briefing and debriefing with EUDs or HQ Unit(s). The choice of countries to be visited will be agreed by the ROM Coordinator with the support of EUDs and/or relevant HQ Units concerned. If more than four international travels and more man/days are required to cover the multi-country intervention (e.g. to take into account the location of remote and isolated areas and degree of complexity of the intervention), the ROM Coordination Unit will be informed accordingly<sup>6</sup>. For centrally managed interventions, debriefings will be delivered by one of the Core team experts. For interventions managed by EUDs, the ML will deliver the debriefing at the end of the field mission. In the latter case, HQs services shall be invited to assist to the briefing and debriefing via videoconference, using existing EC videoconferencing facilities.
- ROM report drafting and QC: 4 days per expert are allocated to draft the ROM report and Monitoring Questionnaire (MQ), and to comply with the requirements of the internal QC<sup>7</sup>. The ROM report covers all the components of the multi-country project or programme for which a field phase took place and contains consolidated recommendations both for these components and for the operation as a whole.

The main deliverables under this component will be the following

<b>Deliverable</b>	<b>Quantity per year</b>	
ROM review work plan	For each lot: 1	

<sup>5</sup> These three days do not include the QC done by key experts but only cover the work carried out by the ROM expert

<sup>6</sup> A ROM review should not cover more than 4 national components of a multi-country project or programme. Any exception should be approved by the ROM Coordinator.

<sup>7</sup> These four days do not include the QC done by key experts but only cover the work carried out by the ROM expert

ROM reporting documents	One ROM report for each ROM review. One set of Monitoring Questions for each country visit or as required by the Operational Manager in charge. For blending operations, the preliminary assessment is an additional deliverable.	
All internal QC documentation		

#### 4.2.2. Component 2: Quality Assurance of Project Documents

The indicative annual number of project documents to be quality assured by the ROM Contractor is estimated as specified in the table below. These numbers are not contractual as they can be subject to variations during the implementation of the contract.

Lot	Number of projects
1	Up to 150

Project documents are drafted by EU Delegation and HQ Units in charge following the approval of Action Documents and, eventually, the signature of Financing Agreements with partner countries.

In the project document (one per project), objectives, activities, resources and timeline are defined and agreed amongst the parties. Key elements within these documents are (a) the logframe matrix which is further detailing the proposed intervention logic, and (b) monitoring, reporting and evaluation arrangements agreed between the EC and the IPs.

Under the supervision of the ROM coordination Unit, ROM Contractors will assist OMs with a view to support them in the negotiations with the designated IP on the definition of the aforementioned aspects of the project document.

In this context, the main objectives of this assignment are to:

- i. Support EU Delegations and HQs Units in charge in ensuring that project documents include logframe matrices of adequate quality in terms of results (SMART, in line with the intervention logic and coherent with the corresponding Action Document), measurable indicators (RACER), baselines, targets and sources of verification.
- ii. Support EU Delegations and HQs Units in the definition of appropriate monitoring and evaluation systems to measure the above indicators are included in the project document and budgeted accordingly. This will include tasks under the responsibility of the IP as well as tasks to be implemented by EC services (e.g. project evaluation).
- iii. Support EU Delegations and HQs Units in charge in defining the scope of reporting requirements of the IP in line with established legal provisions.

The selection of the project documents to be quality assured will be based on criteria established by the ROM coordination Unit taking into account the demand from EC services in charge until reaching the estimated yearly threshold. Detailed guidelines on how to deliver the assurance will be further included in the ROM Handbook and take stock of the experience developed by the ROM Coordination Unit in the review of Action Documents.

For each project document a total of 0.75 man/days are assigned, including a maximum two rounds of comments. After a first round of comments by the ROM Contractor a revised document may be submitted by the EC service in charge and a second (final) revision shall be ensured. An additional

0.25 man/days have to be considered for quality control to be performed by the Contractor’s core team of experts.

The main deliverable of this component will be the final draft of the project document commented by the ROM contractor shared with the EU service in charge and the ROM Coordination Unit. Lessons learnt will feed into regular reviews of the quality assurance methodology. It is expected that the ROM Core Team will contribute to such analysis with written contributions.

### 4.2.3. Component 3: Support to results reporting

The indicative annual number of interventions subject to the yearly results reporting exercise is estimated at 1100. Results will be collected through dedicated missions (separate from ROM reviews mission – see section 4.2.1), up to a maximum of 50 results reporting missions per year, as specified in the table below. These numbers are not contractual as they can be subject to variations during the implementation of the contract.

Lot	Number of interventions
1	Up to 1100

The list of interventions subject to results reporting is made available to the ROM Contractor, with a view to schedule and conduct results reporting missions in the second semester of the year. Missions should be performed by short-term medium experts.

The work will be structured around different phases: a **planning phase**, where the workplan of the exercise is finalised; a **desk phase** where the ROM expert will review existing documentation to confirm and/or updated logframes and information there included; a **field phase** (field visit or remote assistance) where information collected in the desk phase will be confirmed and/or updated with EU Operational Managers (OMs); and a **Quality Control (QC) phase** where the information set will be quality checked by ROM experts and the ROM core team according to selected criteria set by DEVCO 04.

Encoding of data will be done through dedicated IT tools provided by the Contracting authority and in OPSYS when available.

**Planning** - The first step in the results reporting support process is the selection of the interventions to be covered as part of the results reporting exercise. In the first semester of the year, the ROM Coordination Unit establishes such list and makes available the related logframes to the ROM Contractor in a dedicated platform. Once the list is transferred, the ROM Contractor shall assign missions to experts that it identified and who were approved by the Contracting authority. In cases where the number of interventions and the degree of complexity of the related results reporting would not justify a mission, remote support will be considered. More than one expert can be assigned to the same mission in order to reduce missions’ duration.

In parallel, all the documentation available in CRIS concerning the projects selected is downloaded by the ROM Coordination Unit and made available to the ROM Contractor as the Results Reporting Library. When not available in advance, any relevant document (e.g. progress reports) will be collected by the ROM Contractors/experts either in the desk phase or during field missions.

In the workplan, the ROM Contractor allocates the number of days to ROM experts according to the table below:

Phase	Description	Man/days (per intervention)
<b>Desk phase</b>	Review of Documentation and of available Logframe pre-identify results values.	0,3
<b>Field Phase</b>	Validation of Logframe with OMs Completion of Logframe with updated results values	0,5

<b>Quality Control by ROM Expert</b>	Exchanges with Contractor's core team and OMs	0,5
	<b>Total</b>	<b>1,3</b>

Furthermore, 0,5 additional man/days per intervention are allocated for the Quality Control by the ROM Contractor as performed by the Contractor's core team of experts. For each mission, the expert is also entitled to 0,5 man/days for briefing and de-briefing in the EUD or HQ Unit visited in the field mission.

**Desk** – On the basis of the documentation made available, the experts will assess the logframe and obtain confirmation that it is the latest version. Then, experts will analyse the intervention documentation — paying particular attention to results values that could be reported against the indicators already encoded. Whenever available, preliminary values will be encoded in the logframe during the desk phase. At this stage the experts will also pre-identify indicators that match with EU Results Framework ones.

In this phase, the ROM Contractor and the ROM expert requests the OMs to make any missing document available. OMs ensure that all missing key intervention's information is made available to the ROM Contractor/expert.

ROM Contractors provide technical and methodological support to ROM experts during the desk phase through their core team of experts.

**Field** – Each mission starts with a briefing session on the results reporting exercise and the EU Results Framework. It is delivered by the expert with the support of the material provided by the ROM Coordination Unit.

The encoded logframes, with corresponding preliminary values prepared in the desk phase, will be shared with the relevant OMs who will confirm if the logframe corresponds to its latest version and/or provide an updated version if changes have been introduced. The OM will also share any additional documentation where relevant data for results reporting are available (progress report, external evaluation, etc.) if he/she has not yet done so during the preparatory desk phase.

If new or updated results values are available following consultations with the OMs, they will be encoded by the ROM expert.

At the end of the mission, the ROM expert will agree with the OMs on the final version of logframes and results values and take part in a de-briefing meeting with the staff in the EUD/HQ Unit. A summary of the mission and the next steps shall be presented.

**Quality Control** - At the end of each mission, the ROM Contractor will perform the Quality Control of all data encoded. Particular attention will be devoted to: i) the completeness of data reported, ii) traceability of the results in the data-sources, iii) validation of EU RF matchings.

A subsequent targeted Quality Control is carried out by the ROM coordination Unit. This might require responses by the ROM expert, in cooperation with the OMs.

Once all the questions raised in the quality control phase have been addressed and the related mission questionnaire completed, the ROM Contractor will close the mission. The Coordination Unit will send the final version of the logframe (or list of results) to EUD/HQ-Unit in charge. At this point, the final results, presented in a data sheet, will be verified by the Head of Cooperation or Head of operational Unit or his/her representative.

After the end of the mission, ROM experts will submit the ROM coordination Unit a structured questionnaire (one per EUD/HQ) on the quality and availability of logframes and related results data. The template of the questionnaire is provided by the ROM Coordination Unit.

The deliverables of this activity for each results reporting mission are: (a) the results data sheet corresponding to all interventions covered in a specific EU Delegation/HQs Unit following

successful completion of all stages of QC; and (b) the structured questionnaire filled with required information.

### **4.3. Project management**

#### **4.3.1. Responsible body**

The contract will be operationally steered by DG DEVCO, Unit 04 "Evaluation and Results" as the ROM coordination Unit.

Unit R5 "Finance, Centre of Gravity, HR Business Correspondent" will be responsible for financial and contractual matters.

#### **4.3.2. Management structure**

The Contractor will work in close cooperation with DG DEVCO services and EU Delegations benefitting from this contract under the overall supervision of the ROM coordination Unit. The Contractor will report on technical matters to the Contracting Authority. The representative of the Contracting Authority will designate the person in charge of liaising with the Contractor for the day-to-day running of the project (ROM coordinator). All administrative and financial matters concerning the contract will be handled between the contractor's designated representative, as mentioned in the contract, and the ROM Coordination Unit.

The Contractor shall organise training sessions for all ROM experts under his responsibility. The European Commission may propose training material and training packages on various topics, with a particular attention to topics related to results reporting and quality assurance of project documents.

Any additional reports, analyses, monitoring missions requested by DEVCO services will need to be approved by the ROM Coordination Unit and described in ad hoc Terms of References. The Contractor will assist the concerned service in drafting the Terms of Reference. These Terms of Reference, to be approved by the ROM coordination Unit, 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. After approval, 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.

Within the ROM coordination Unit, the ROM Coordinator will act as project manager and be responsible for the day-to-day management of the contract, for monitoring the rolling work plan, and for coordination with other DEVCO services. The ROM Coordinator will be the main point of contact for the Contractor and will be in charge of approving inter alia: experts, deviations from the procedures outlined in the ROM Handbook, and ad hoc Terms of Reference. He/she will receive/comment/approve the reports described in section 7.1. The ROM Coordinator will also communicate / discuss any changes to the ROM Handbook with the Contractor.

The Contractor/core team and the ROM Coordinator will meet regularly in the DG DEVCO premises to discuss project activities in terms of inter alia quality and conformity of outputs, timing, financial aspects etc. These meetings will take place on ad hoc basis. Besides meetings, regular communication and exchanges between the Contractor and the ROM coordination Unit will take place via e-mail and phone. All formal correspondence related to the management of the contract will be in English.

In addition to the ROM coordination Unit, the core team is expected to liaise with:

- HQ operational Units and EUDs benefitting from ROM services,
- The ROM Quality Assurance Contractor,
- Other technical assistance services supporting the ROM coordination Unit.

The exact organisation of the Core Team and functioning of the Contractor's office (notably the management of logistics and other ancillary tasks) will need to be explained in the offer as part of the Organisation and Methodology (Annex III). This document shall also detail the strategy for effective coordination with DEVCO services as well as the proposed monitoring and quality arrangements.

### **Internal Quality Control (QC) and Documentation**

Through its Core Team Experts, the Contractor will ensure that each deliverable is subject to internal QC prior to its submission to the Commission services. The Contractor will establish internal QC reports for each deliverable and component as further detailed below and specified in the ROM Handbook.

Internal QC needs to be undertaken at different stages throughout the provision of ROM services. Therefore, the internal QC by the Contractors starts with establishing a systemic approach for such a control as regards the day-to-day implementation of the contract. To ensure an appropriate level of information amongst its experts, the ROM contractor will produce an internal quality manual, describing the quality criteria and the processes to facilitate the best quality of ROM deliverables, and will brief all the Experts under its responsibility.

For Component 1 – ROM reviews, internal QC will focus on: a) availability of documentation and any problems encountered by the expert in this respect; b) the completeness of the ROM report and its quality in terms of language and clarity; c) the adequacy and reliability of the data used and the data assessment by the expert; the soundness of data analysis, the coherence of the answers to the monitoring questions and the coherence of conclusions; d) the motivation of the findings, the consistency in grading, the quality and usefulness of recommendations.

As part of the internal QC system, the ROM expert will complete a QC checklist for each ROM review (template to be provided in the ROM Handbook), where he/she assesses the conditions of the mission, in particular in terms of availability of relevant documentation and ability to interact with stakeholders. The Expert will send the completed checklist to the Contractor together with the Draft of the ROM reporting documents.

The Core Team expert in charge of internal QC will assess the quality of the ROM reporting documents using the QC report template to be provided in the ROM Handbook. The draft QC report is sent to the Expert. The Expert modifies or corrects the ROM reporting documents accordingly, and returns them to the QC expert. This interactive process may potentially take repeated returns between the Expert and the QC Expert.

The QC report records all aspects relating to procedural quality issues (e.g. meeting deadlines, revisions of ROM reports), quality control efforts undertaken and provides a score for the various quality issues based on the quality control template. In case the quality control discussions imply several returns between the expert and the QC expert, the latter updates the initial QC report each time by adding additional comments related to the quality of the revised ROM report. The purpose of this is to be able to demonstrate to the QA contractor the quality control efforts that have been undertaken by the Contractor.

The duration of the overall internal QC process will not exceed 14 days after the end of the ROM review field phase.

For the Component 2 – Quality Assurance of Project Documents, internal QC will focus on: a) the technical quality of the inputs provided and their alignment with the standards detailed in the ROM Handbook; b) the completeness of the comments and their clarity.

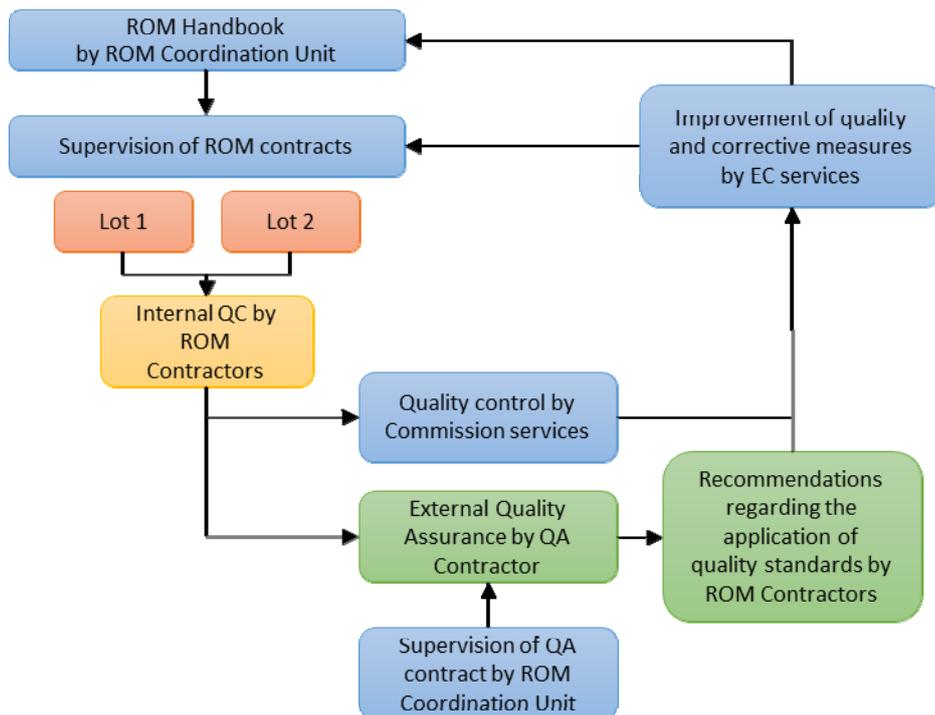
For each set of documents subject to Quality Assurance under Component 2, the Core Team expert in charge of internal QC will complete a QC checklist (template to be provided in the ROM Handbook).

For the internal QC within Component 3 – Support to Results Reporting, particular attention will be devoted to: a) the completeness of data reported, b) traceability of the results in the data-sources, c) validation of matching with Results Frameworks. The Core Team expert in charge of internal QC will complete a QC checklist (template to be provided in the ROM Handbook).

At the end of each mission, ROM contractors will have 14 days to perform the Quality Control of all data encoded. Whenever relevant, ROM experts will involve the OM during the QC phase. Any exchange of emails during this phase will be kept in the Contractor’s QC files. A successive targeted Quality Control is carried out by the ROM Coordination unit. This is finalised within 14 days after the end of the previous phase and might involve questions and responses by the Expert, in cooperation with the OM.

### External Quality Assurance

The internal QC implemented by the ROM Contractor is part of the overall quality system depicted below:



The ROM Contractor provides the external QA Contractor with access to all QC records (QC checklists and reports) and other relevant information (such as work plans, annual consolidated ROM analyses, and timesheets). The QA Contractor submits quarterly QA reports for each lot to the ROM Coordination unit. The ROM Coordinator will share the QA reports with the ROM Contractor.

The specific responsibilities of the ROM Contractors, ROM experts, external QA Contractor and Commission services, related to the overall quality system, are described below. Further details are provided through the ROM Handbook.

Actors	Specific responsibilities
<b>ROM experts</b>	<p>Apply the ROM Handbook in the implementation of ROM services.</p> <p>Keep track of sources utilised and major elements occurred in the preparation of each deliverables and transfer them to the ROM Contractor in a form accessible to the external QA Contractor.</p>
<b>ROM Contractors</b>	<p>Apply the ROM Handbook in the implementation of ROM services and ensure coherence across products delivered through the different components of the contract.</p> <p>Complete the QC report for each ROM review except for ROM reviews implemented by TL or Deputy TL, which are subject directly to QA by the QA Contractor.</p> <p>Share QC reports and checklists with ROM experts.</p> <p>Ensure timely follow-up of QC comments by ROM expert.</p> <p>Consider deliverables as satisfactory when they reach an overall minimum quality score of four out of five points.</p> <p>Take corrective measures to ensure quality of ROM services.</p> <p>Keep records of all QC documentations. They must be available upon request in a form accessible to the external QA Contractor.</p>
<b>External QA Contractor</b>	<p>Applies ROM Handbook.</p> <p>Reviews ROM reports across lots on the basis of a sample selected each month by the external QA Contractor in the ROM workplan of each ROM lot in accordance with the Handbook.</p> <p>Reviews all ROM reports implemented by the TL or Deputy TL. In these cases, the QA Contractor will follow the same process as foreseen above for the ROM Contractor for other ROM reviews.</p> <p>Completes a QA report for each ROM report verified.</p> <p>Submits QA reports with critical issues (with quality scores below 4) or addressing specific issues not covered by the scores to the ROM Coordination unit.</p> <p>Reviews on a quarterly basis the level of compliance with ROM review standards by each ROM Contractor and establishes the corresponding quarterly QA reports.</p> <p>Submits the draft quarterly reports to the ROM Coordination unit.</p> <p>Submits the draft annual QA reports across lots to the ROM Coordination unit, including the recommendations for the improvement of the rules, modalities, specifications and quality standards governing the ROM system.</p>
<b>ROM Coordination unit</b>	<p>Approves quarterly and annual QA reports in consultation with ROM Coordinators.</p> <p>Defines and proposes at any follow-up needed within DG DEVCO.</p> <p>Ensures appropriate overall coordination of the ROM system.</p> <p>Shares QA reports with issues on individual ROM reviews and quarterly QA reports with the ROM Contractor and ensures any follow-up needed.</p>

Actors	Specific responsibilities
<b>DEVCO Operational Managers</b>	<p>Ensure that all draft ROM reports are commented on time and define the measures that the Delegation or Unit intends to take in connection with the recommendations contained in the ROM review.</p> <p>Share ROM reports with stakeholders.</p>

#### **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 operational base of the core team will be in Brussels. To ensure good preparation of ROM reviews and proper coordination with DEVCO services at all time, the Contractor will maintain an office in Brussels comprising at least the Core team key experts and the Core team non-key Junior Expert(s) and Project Assistant(s).

Core team experts will travel to fulfil tasks described in section 4 and further detailed in the ROM Handbook. Additional missions will be allowed in duly justified cases, subject to approval by the ROM Coordinator. The related costs (travel, per diems) will be financed from the incidental expenditures.

ROM experts will work home-based and will carry out missions in the sense of Annexe V to fulfil the tasks described in section 4 and further detailed in the ROM Handbook. The related costs (travel, per diems) will be financed from the incidental expenditures.

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

The intended start date is 15.08.2019 and the period of implementation of the contract will be:

- Lot 1 – twelve months from this date,

Articles 19.1 and 19.2 of the special conditions define the start date and period of implementation.

## **6. REQUIREMENTS**

### **6.1. Staff**

Note that civil servants and other staff of the public administration, of the partner country or of international/regional organisations based in the country, 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.

The Contractor will set up a "Core Team" of experts based in Brussels (see section 6.2). One of the senior experts from the Core Team will be the Team Leader 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 four components of this contract are effectively interrelated. The Core Team will include the following categories of experts:

**Core Team:**

- **Team Leader (TL) (key expert 1):** The TL has the overall responsibility for the implementation of the contract and for quality management both in terms of process and products. He/she ensures methodological coherence and synergies across components. He/she is responsible for the work plan, for the coordination with EC services and for reporting. Depending on workload and needs, he/she carries out ROM reviews and performs internal quality control on ROM reviews and other deliverables.
- **Deputy Team Leader (DTL) (key expert 2):** The DTL supports the TL in fulfilling his/her tasks and responsibilities. More specifically, he/she is in charge of the internal QC system implemented by the Core Team of Senior Experts and of the supervision and training of all ROM experts. He/she follows up on the recommendations of QA reports. Depending on workload and needs, he/she carries out ROM reviews and performs internal quality control on ROM reviews and other deliverables.
- **Core Team Senior Experts (SE) (key expert 3, key expert 4, eight non-key experts):** SE implement the internal QC system and perform ROM reviews and other conceptual/analytical tasks described in section 4.2, according to their area of expertise. They ensure timely delivery of ROM reports and other deliverables by ROM experts. They contribute to fulfilling the reporting requirements described in section 7.1.
- **Core Team Medium Experts (ME) (3 non-key experts):** ME carry out ROM reviews and conceptual/analytical tasks pertaining to components 2, 3 and 4, according to their area of expertise. They contribute to fulfilling the reporting requirements described in section 7.1.
- **Core Team Junior Experts (JE) (5 non-key experts):** JE support the rest of the core team and the ROM experts in the preparation and organisation of missions, in encoding and analysing data, in document management and reporting. This includes using DEVCO's IT tools and the Contractor's internal information management to encode data, upload deliverables and store documents.
- **Core Team Project Assistants (PA) (3 non-key experts)** PAs provides administrative, financial and coordination support to the team including budget monitoring, planning and logistic support for experts' field missions.

The positions described above are full-time (220 man days/ year).

The core team will work closely with **ROM Medium and Senior Experts**, i.e. short-term experts assigned for the implementation of ROM reviews and other ROM services not carried out by the key experts.

In exceptional and duly justified cases, ROM Senior Experts may be used to perform the internal QC of ROM reviews in their area of expertise. ROM Medium Experts together with the Core Team Medium Experts shall implement between 40 and 60% of the total number of ROM reviews within the contractual year and perform tasks pertaining to components 2, 3 and 4.

For specific requests, and on the basis of ad hoc terms of reference provided by the Contracting authority, the Contractor may need to mobilise experts in other fields who will contribute to the implementation of activities (e.g. translators, experts in the fields of data analysis and statistics).

The Contractor is responsible for the delivery of correct and complete information on the components of this contract to its own experts. In this sense, it shall, at its own expenses and in line with guidance provided by the ROM Coordination Unit, organise training sessions for all ROM experts under its responsibility.

Relating to article 9 of the General Conditions, the following applies:

No expert may review an intervention in which he/she, or the firm employing him/her under this contract, has been previously involved to any significant degree which could raise concerns of bias.

- As to conflict of interest at the level of the firm, in the case of a consortium or other kind of temporary association, all members of the consortium or association are seen as having a conflict of interest. In such case, the ROM Contractor should take appropriate action so that another ROM Contractor is assigned and paid for the ROM review of the intervention.
- As to individual experts, they shall not have any conflict of interest with regard to the intervention to be reviewed. More specifically, ROM experts have not been involved in the implementation of the intervention that they review. A declaration of objectivity and independence is signed by ROM experts with regard to each ROM review.

#### **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. The key experts will organise and supervise the implementation of the contract, carry out ROM reviews, be in charge of the internal Quality Control and will draft the annual as well as the end of contract consolidated ROM analysis.

Key experts will have their place of posting in Brussels.

As a team, key experts shall cover at least four of the following areas of expertise:

- a. Education and Culture, Health, Social protection
- b. Rural development, Nutrition and Food security
- c. Migration
- d. Water and Sanitation, Environment and Natural resources
- e. Democracy and rule of law, Gender equality, Human rights
- f. Civil society, Local authorities
- g. Sustainable cities, Transport infrastructure and Digitalisation
- h. Energy and Climate change
- i. Investment climate, Private sector development, International trade
- j. Nuclear safety and security, Conflict prevention
- k. Financial intermediaries and financial products
- l. Statistics and data measurement

In addition, at least one of the key experts will have a minimum of 5 years of experience in statistics and performance measurement.

As a team, key experts proposed for lot 1 shall have regional expertise on Asia (Asian, Central Asian, and Gulf and Pacific countries) and Latin America, together with experience in the implementation and monitoring of multi-country projects.

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

### **Key expert 1 – Team Leader (senior expert)**

With overall responsibility for the project. In addition to experience at senior level in monitoring and evaluation, the Team Leader has to demonstrate proven experience in the management of large projects as well as excellent skills in team leadership.

#### Qualifications and skills

He/she has a university Master's degree (or equivalent).

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages<sup>8</sup> as demonstrated by certificate or by past relevant experience.

Ability to operate in Spanish or French language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### General Professional Experience

He/she has a minimum of 12 years of experience in development cooperation with a minimum of 6 years of experience as TL.

#### Specific professional experience

He/she has a minimum of 8 years of experience in one or more of the above mentioned areas of expertise. He/she has a minimum of 5 years of experience in results based approaches, monitoring and/or evaluation.

He/she has a minimum of 5 years of field experience in partner countries.

He/she has a minimum of 5 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

#### Assets

Experience in other of the above mentioned areas is an asset.

Experience in gender mainstreaming related to his/her area of expertise is an asset.

### **Key expert 2 – Deputy Team Leader (senior expert)**

Supports the Team Leader in fulfilling his/her tasks and responsibilities. He/she is in charge of the application of the internal quality system.

#### Qualifications and skills

He/she has a university Master's degree (or equivalent).

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

Ability to operate in Spanish or French language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

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<sup>8</sup> <https://www.coe.int/en/web/common-european-framework-reference-languages/table-1-cefr-3.3-common-reference-levels-global-scale>

### General Professional Experience

He/she has a minimum of 12 years of experience in development cooperation.

### Specific Professional Experience

He/she has a minimum of 8 years of experience in one of the above mentioned areas of expertise.

He/she has a minimum of 5 years of experience in results based approaches, monitoring, and/or evaluation.

He/she has a minimum of 3 years of experience in quality systems in services sectors: improving work processes and efficiency, defining quality policies and objectives, implementing quality procedures.

He/she has a minimum of 5 years of field experience in partner countries.

He/she has a minimum of 5 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

### Assets

Experience in other of the above mentioned areas is an asset.

Experience in gender mainstreaming related to his/her area of expertise is an asset.

## **Key experts 3 and 4 – Core Team senior experts**

### Qualifications and skills

They have a university Master's degree (or equivalent).

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

Ability to operate in Spanish language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

### General Professional Experience

They have a minimum of 10 years of experience in development cooperation.

They have a minimum of 5 years of experience on project management.

### Specific Professional experience.

They have a minimum of 10 years of experience in one of the abovementioned areas of expertise.

They have a minimum of 5 years of experience in results based approaches, monitoring, and/or evaluation.

They have a minimum of 3 years of field experience in partner countries.

They have a minimum of 3 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

### Assets

Ability to operate in Portuguese or French language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Experience in other of the above mentioned areas of expertise is an asset.

Experience in gender mainstreaming related to his/her area of expertise is an asset.

The positions described above are full-time (220 man days/ year).

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

### **6.1.2. Non-key experts**

CVs for non-key experts should not be submitted in the tender but the tenderer will have to demonstrate in their offer that they have access to experts with the required profiles.

The non key experts proposed by the Contractor are subject to ex ante written approval by the Contracting Authority before the start of their implementation of tasks.

Their normal place of posting is their home residence or office in the place of residence. The profiles of the non-key experts of this contract are as follows:

#### **Non-Key Core Team Senior Experts (8)**

These positions are full-time (220 man days/ year).

##### Qualifications and skills

They have a university Master's degree (or equivalent).

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

Ability to operate in Spanish language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

##### General Professional Experience

They have a minimum of 10 years of experience in development cooperation.

They have a minimum of 5 years of experience as project manager.

##### Specific Professional experience.

They have a minimum of 10 years of experience in one of the abovementioned areas of expertise.

They have a minimum of 5 years of experience in results based approaches, monitoring, and/or evaluation.

They have a minimum of 3 years of field experience in partner countries.

They have a minimum of 3 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

##### Assets

Ability to operate in Portuguese or French language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Experience in other of the above mentioned areas of expertise is an asset.

#### **Non-Key Core Team Medium Experts (3)**

These positions are full-time (220 man days/ year).

##### Qualifications and skills

They have a university Master's degree (or equivalent).

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### General Professional Experience

They have a minimum of 6 years of experience in development cooperation.

#### Specific Professional experience.

They have a minimum of 3 years of experience in one of the abovementioned areas of expertise. They have a minimum of 3 years of experience in results based approaches, monitoring, and/or evaluation.

They have a good knowledge of EU and other donors implementing modalities.

#### Assets

Ability to operate in Spanish, Portuguese or French language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Experience in other of the above mentioned areas of expertise and regional expertise are an asset.

Long term assignments in partner countries are an asset.

### **Non-Key Core Team Junior Experts (5)**

These positions are full-time (220 man days/ year).

Junior Experts have a Master's degree and at least 3 years' professional experience in international cooperation. They are proficient users of Ms Office applications, and are comfortable in using IT tools and databases.

Ability to operate in English language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### Assets

Ability to operate in Spanish, Portuguese or French language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Experience in statistical data management and analysis is an asset.

### **Non-Key Core Team Project Assistants (3)**

These positions are full-time (220 man days/ year).

Project Assistants have previous professional experience in administration and logistics and are proficient users of Ms Office applications.

Ability to operate in English language at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### Assets

Ability to operate in Spanish, Portuguese or French language at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Previous professional experience within International Organisations and/or International Financial Institutions (IFI) is an asset.

### **ROM Senior Experts (non key)**

These are short-term experts assigned for the implementation of ROM services. In exceptional cases they will conduct internal QC of ROM reviews in their area of expertise.

#### Qualifications and skills

They have a university Master's degree (or equivalent).

Ability to operate in English or Spanish languages at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### General Professional Experience

They have a minimum of 10 years of experience in international cooperation and/or development (as relevant for the sector).

#### Specific Professional experience.

They have a minimum of 10 years of experience in the area of expertise corresponding to the project for the review of which the expert is proposed.

In case of contribution to activities of Component 3, the area of expertise must be statistics and performance measurement.

They have a minimum of 3 years of experience in results based approaches, monitoring, and/or evaluation.

They have a minimum of 3 years of field experience in partner countries.

They have a minimum of 3 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

For financial experts reviewing blending operations in support of SMEs, experience in financial intermediaries and financial products.

#### Assets

Ability to operate in French, Portuguese or Russian languages at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

A good knowledge of EU and other donors implementing modalities is an asset.

Experience in gender mainstreaming related to his/her sector of expertise is an asset.

### **ROM Medium Experts (non key)**

These are short-term experts assigned for the implementation of ROM services.

#### Qualifications and skills

They have a university Master's degree (or equivalent).

Ability to operate in English or Spanish languages at C2 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience.

#### General Professional Experience

They have a minimum of 6 years of experience in international cooperation and/or development (as relevant for the sector).

#### Specific Professional experience.

They have a minimum of 3 years of experience in the area of expertise corresponding to the project for the review of which the expert is proposed. In case of contribution to activities of Component 3, the area of expertise must be statistics and performance measurement.

They have a minimum of 2 years of experience in results based approaches, monitoring, and/or evaluation.

They have a minimum of 2 years of experience on Asia and/or Latin America and/or implementation and monitoring of multi-country projects.

#### Assets

Ability to operate in French, Portuguese or Russian languages at C1 level for understanding, speaking and writing skills according to the Common European Framework of Reference for Languages as demonstrated by certificate or by past relevant experience is an asset.

Good knowledge of EU and other donors implementing modalities is an asset.

Experience in gender mainstreaming related to his/her sector of expertise is an asset.

#### **General remarks**

The Contractor must select and hire other experts as required falling under one of the categories above. It must clearly indicate the experts' type 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, language skills and work experience. The key aspects of that procedure will be described in the Organisation and Methodology, Annexe III. The findings of the contractor's selection panel must be recorded. The selected experts are subject to approval by the contracting authority before the start of their implementation of tasks.

#### **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 and include: quality control of the project deliverables, administrative management of the project office, accounting, computer management, secretarial support, documentation, translation (except communication materials), editing, logistics support for project experts, maintenance, car driving.

The Contracting Authority might reserve the right to ask an increase in support staff should this prove necessary for the proper execution of the contract.

## **6.2. Office accommodation**

Office accommodation of a reasonable standard and of approximately 10 square metres for each expert working in Brussels within the Core Team 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 translation/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 and experts are paid regularly and in a timely fashion.

The Contractor takes the lead in gathering key intervention-related documents necessary for its work across the four components described above and in organising missions of ROM experts. For component 1 – ROM reviews, the Contractor provides ROM experts with key intervention-related documents at least 3 weeks before the start of the desk phase.

It is the responsibility of the Contractor to introduce the ROM expert to the Operational Manager of the intervention to be reviewed, subject to results reporting or to be quality assured (components one to three). After this introduction, additional documents may be requested by the ROM Expert to the concerned EC service.

Meetings with key stakeholders must be set before the start of any field phase. The Contractor makes the necessary logistical arrangements and estimates, when applicable, the budget for domestic inter-city travels not covered by per diem. As soon as the concerned EC service informs the key stakeholders of the field mission, the ROM Contractor or the ROM expert(s) take direct contact with the key stakeholders in order to schedule relevant meetings.

The Contractor is responsible for arranging international flights for ROM experts. When the ROM field mission takes place outside the main city, the ROM Contractor or the ROM experts can, in consultation with the Operational Manager, establish direct contact with the implementing partners to coordinate logistics including local travel and accommodation.

For all activities performed by ROM experts, the Contractor will ensure that experts have all the necessary contacts and information to carry out their activities, and to that end will liaise with the ROM coordination Unit and other concerned EC services.

## **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 (including visa costs) and subsistence allowances for missions, outside the normal place of posting, undertaken as part of this contract. This includes field missions in the region(s) covered by this contract including Brussels when required.
- Costs for security measures for missions in high risks or particularly dangerous countries. The Contractor bears the responsibility of taking appropriate security measures.

The provision for incidental expenditure for this contract is EUR **2,580,000** This amount must be included unchanged in the budget breakdown.

Daily subsistence costs may be reimbursed for missions foreseen in these terms of reference or approved by the contracting authority, and 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 nights spent on the mission by the Contractor's authorised experts for missions carried out outside the expert's normal place of posting. The per diem may be paid in full or in half: for each night spent on the mission= 100% of the per diem rate is paid, for periods of missions not entailing overnight stay= 50% of the per diem rate is paid. Travelling time is to be regarded as part of the mission. When an expert travels during night time the full per-diem rate of the country of arrival shall be paid. In case of multi-country missions, the per diem rate of the country where the night is spent shall be paid. In case of longer stop-overs in another country the per diem rate of the country where the stop-over takes place shall be paid. 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 - [http://ec.europa.eu/europeaid/funding/about-calls-tender/procedures-and-practical-guide-prag/diems\\_en](http://ec.europa.eu/europeaid/funding/about-calls-tender/procedures-and-practical-guide-prag/diems_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.

No prior approval is needed in the following cases:

- a) If only non-refundable tickets are available.
- b) For non-refundable travel ticket, the total amount of the ticket will be reimbursed to the Contractor if the cancellation of the travel results from the Contracting Authority. Copy of this decision is to be attached to the invoice. If the cancellation results from the Contractor/the expert, the Contracting Authority will not reimburse.
- c) If an the expert departs from/travels back to a location different from his her/his place of residence (provided the cost of this ticket is the same or cheaper than the one from/to her/his place of residence). In case this change entails additional DSAs, the additional DSA will not be eligible.
- d) when the expert needs to spend a night outside his/her place of residence while in transfer (the DSA of the transit country applies)
- e) when the expert should link up two missions under the Contract in two different countries, with a weekend in between the two missions
- f) when there is no a flight on the evening of the last agreed assignment (1 extra day per diem is allowed)
- g) in case of early arrival or late check out when required by the assignment (1 extra per diem is allowed)

**Prior authorisation** by the contracting authority for the use of the incidental expenditure is not needed with the exception of

- Travel not foreseen by the ROM Handbook
- Miscellaneous expenditure

Please note that prior authorisations should only be requested exceptionally.

## 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 charged with verifying the expenditure of this contract in order to proceed with the payment of any pre-financing instalments and/or interim payments.

The provision for expenditure verification for this contract is EUR 45,000. 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. 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. There must be a final report, a final invoice and the financial report accompanied by an expenditure verification report at the end of the total 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.

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 output specified under the duties and responsibilities of each key expert above, the Contractor shall provide the following reports:

Name of report	Content	Time of submission
Inception report	Analysis of existing situation and work plan for the project.  Maximum 20 pages (excluding annexes)	No later than 1 month after the start of implementation
6-month progress report	Concise description of progress (technical and financial) including problems encountered and	No later than 1 month after the end of each 6-month implementation period, starting when the contract comes into

	<p>methodological issues to be addressed; planned work for the next 6 months accompanied by an invoice and the expenditure verification report.</p> <p>Maximum 40 pages (excluding annexes)</p>	force.
Annual consolidated analysis of ROM reviews (Component 1)	<p>Qualitative and quantitative analysis of the ROM reviews carried out during the year and since the start of the contract. This includes an overview of the key findings by region, by country and by sector.</p> <p>The focus of this analysis will be further specified in the ROM Handbook and/or in dedicated administrative order in the sense of Art 20.2 of the General Conditions.</p> <p>The overall analysis (excluding regional/country/sector summaries) should not exceed 40 pages</p>	No later than 1 month after the end of each 12-month implementation period.
Annual consolidated analysis of support to results reporting (Component 3)	<p>Summary assessment of the quality of indicators and data as well as of the constraints encountered by the Delegations/HQ Units concerned in relation to results reporting.</p> <p>The focus of this analysis will be further specified in the ROM Handbook and/or in dedicated administrative order in the sense of Art 20.2 of the General Conditions</p> <p>Maximum 30 pages (excluding annexes)</p>	No later than 1 month after the end of each 12-month implementation period.
Draft final report	<p>Concise description of achievements including problems encountered and recommendations.</p> <p>Maximum 50 pages (excluding annexes)</p>	No later than 1 month before the end of the implementation period.
Final report	Concise description of achievements including problems encountered and	Within 1 month of receiving comments on the draft final report from the Contracting

	<p>recommendations; a final invoice and the financial report accompanied by the expenditure verification report.</p> <p>Maximum 50 pages (excluding annexes)</p>	<p>authority.</p>
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## **7.2. Submission & approval of reports**

Draft reports will be submitted in electronic version only, final versions will be submitted additionally in two printed versions. These reports will be also submitted via e-mail in Word/Windows compatible format. The reports must be written in English.

The drafts reports will be commented/approved by the contracting authority within 28 calendar days upon submission. In case of comments, the ROM Contractor will submit a revised version within 7 days upon reception of those comments.

## **8. MONITORING AND EVALUATION**

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

Not applicable.

### **8.2. Special requirements**

Not applicable.

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