



Terms of reference – Invitation procedure

“Independent Evaluation of SDC’s Engagement in Climate Change Adaptation and Mitigation from 2015 to 2020” for the period 25.06.2021 to 30.04.2022 in Switzerland and globally

This procedure is based on the Federal Act of 21 June 2019 on Public Procurement (PPA, SR 172.056.1) and the Ordinance of 12 February 2020 on Public Procurement (PPO; SR 172.056.11).

26.04.2021

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1 Abbreviations

AC	Award criteria
AP	Approach Paper
CCA	Climate Change Adaptation
CCM	Climate Change Mitigation
CLP	Core Learning Partnership
DAC	Development Assistance Committee
E+C	Evaluation and Corporate Controlling Division
EC	Eligibility criteria
FDFA	Federal Department of Foreign Affairs
GCF	Green Climate Fund
GTC	General Terms and Conditions of Business
i.e.	id est – that is to say
IC Strategy	International Cooperation Strategy 2021-2024 (Dispatch on Switzerland's International Cooperation 2021-2024)
IDA	International Development Association of the World Bank Group
NGO	Non-Governmental Organisation
No.	Number
ODA	Official Development Assistance
OECD	Organisation for Economic Co-cooperation and Development
OECD / DAC	Organisation for Economic Co-operation and Development / Development Assistance Committee
PPA	Federal Act on Public Procurement
PPO	Federal Ordinance on Public Procurement
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
SECO	State Secretariat for Economic Affairs
SEVAL	Schweizerische Evaluationsgesellschaft
ToRs	Terms of Reference
VAT	Value added tax

2 Purpose of this document

This document contains the requirements relating to the mandate for project “Independent Evaluation of SDC’s Engagement in Climate Change Adaptation and Mitigation from 2015 to 2020”. It serves as a template for the tenderer to submit his or her offer. Contracts are

awarded according to the invitation procedure according to Art. 20 PPA. At least three bids shall be collected and the Terms of Reference must also be posted on the [FDFA mandates platform](#). The contract is awarded to the most advantageous tender.

3 Goal and content of the mandate

The Evaluation and Corporate Controlling Division (E+C) of the Swiss Agency for Development and Cooperation (SDC) conducts independent thematic evaluations to gain evidence of SDC's contribution to international cooperation results. E+C is outside the operational line and submits its reports to the Directorate of SDC. This backward and forward-looking evaluation shall thereby support SDC in achieving the **objectives of the Dispatch on Switzerland's International Cooperation 2021-2024** (with the title: International Cooperation Strategy 2021-2024) and in contributing to the achievement of the **Sustainable Development Goals** as set out in the **Agenda 2030**. Ultimately, the evaluation shall formulate recommendations on how programmes and projects in Climate Change Adaptation and Mitigation may be addressed in future by SDC.

The evaluation will adapt, as necessary, to the circumstances and challenges created by the COVID-19 pandemic. That includes, but is not limited to, the following:

- Evaluation object: In its analysis, the evaluation will also consider, to the degree appropriate, impacts of the pandemic on planning, implementation, management, and outcomes as well as response of the programmes and projects to the pandemic.
- Evaluation implementation: Dual approach of planning for virtual and in-person interaction. The evaluation will replace in-person interactions (interviews, focus groups, field visits, target population interviews...) wherever necessary through other means, including virtual meetings and local consultants.

3.1 Background

Climate change and its impacts threaten to undo the developmental gains achieved in the past, including progress towards the Sustainable Development Goals (SDGs), the Sendai Framework for Action, and eradication of poverty (Hallegatte, et al., 2016). The threat is particularly pronounced to disadvantaged and vulnerable segments of society, several indigenous peoples, and populations depending on agriculture as primary source of income (Masson-Delmotte, et al., 2018).

Climate change has figured prominently in the Dispatches on *Switzerland's International Cooperation* from the federal council to parliament. The Dispatch on Switzerland's International Cooperation 2013–2016 listed *climate change* (adaptation, forest, energy) as one of nine focus areas of SDC's programmes. Climate change was not only to be integrated into the traditional bilateral cooperation but also supported by a dedicated global programme. The dispatch 2017–2020 defined *climate change and environment* as one of eight thematic priorities. Climate Change and the environment was also addressed through a global programme. The dispatch 2021–2024 (also referred to as International Cooperation (IC) Strategy) defines four goals, one of which is *combat climate change and its effects as well as sustainably manage natural resources (environment)*¹. Climate change has been prominent in all dispatches under consideration.

¹ Switzerland's other development agency, *SECO*, which is part of the *Federal Department of Economic Affairs, Education and Research*, had the following goals mentioned in the dispatches. 2013-2016: *stimulating climate friendly growth* (goal number 5 (of 5)); 2017-2020: *low emission and climate resilient economy* (impact goal IV (of 4)); and 2021-2024: the dispatch does not formulate separate goals per agency, hence SECO has the same goals as SDC.

On the institutional level, on April 30, 2019, SDC's director general issued a memo addressed to all SDC staff underlining the importance of climate change for all SDC programmes and projects. The following three specific measures were listed:

1. A foresight information about the impacts and risks of climate change, with a focus on the regions in which SDC is active, will be issued once a year for the attention of the Directorate. This information will be shared with the organisational units. It is scheduled for September for the first time and will include recommendations as the context evolves.
2. The four networks Climate Change & Environment, Res'EAU, Disaster Risk Reduction, and Agriculture and Food Security form a common cluster. The aim is to increase knowledge about the risks of climate change and about the implementation of appropriate measures. Each organisational unit at the head office will nominate representative to participate in the cluster, also with the aim of facilitating implementation of point 3. Staff from field offices are encouraged to participate as well.
3. In the future, climate risks will be systematically incorporated into cooperation strategies. Consequently, the SDC will use the CEDRIG tool ('Climate, Environment and Disaster Risk Reduction Integration Guidance' – www.cedrig.org) when drafting the cooperation strategies (the Field Handbook and the relevant guidelines will be updated accordingly). A focal point of the cluster will participate in the Operations Committees (SC, GC, HA, CEE) to ensure the inclusion of climate risks in the entry proposals for projects and programmes.

The COVID-19 pandemic also affected climate change related activities. After disasters, often the term *build back better*² is used to describe a stimulus that will serve not only the goal of getting economic activities back to pre-disaster trajectories, but to use the crises as an opportunity to advance on the achievement of other goals. Similar proposals are currently advanced regarding the COVID-19 pandemic response. This approach is advocated, among others, by international institutions such as the World Bank (World Bank, 2020). The immediate response to COVID-19 is focusing on the control of the virus and dealing with the health, economic and social consequences of it. The focus is on responding to the situation, mobilising the necessary funds and directing them to those most in need. In a second phase, countries will turn to stimulate economic activities and recovery from the pandemic (Hallegatte & Stephen, 2020).

During the period 2015-19 SDC's expenditures for projects (marked as principal or significant according to the OECD-DAC terminology) in climate change (which SDC steers or co-steers) were on average 118 million per year. Around 58% of the expenditure was through the South Cooperation Domain, 31% through the Global Cooperation Domain. Figure 1 provides a graphic representation of these expenditures. The highest relative expenditure in the South Cooperation Domain with respect to overall portfolio (around 25%) was in Latin America, followed by West Africa (around 15%).

² The original, narrower definition was limited to disaster risk reduction measures, such as per the UNISDR terminology: "The use of the recovery, rehabilitation and reconstruction phases after a disaster to increase the resilience of nations and communities through integrating disaster risk reduction measures into the restoration of physical infrastructure and societal systems, and into the revitalization of livelihoods, economies and the environment. (Annotation: The term "societal" will not be interpreted as a political system of any country.)" <https://www.undrr.org/terminology/build-back-better>

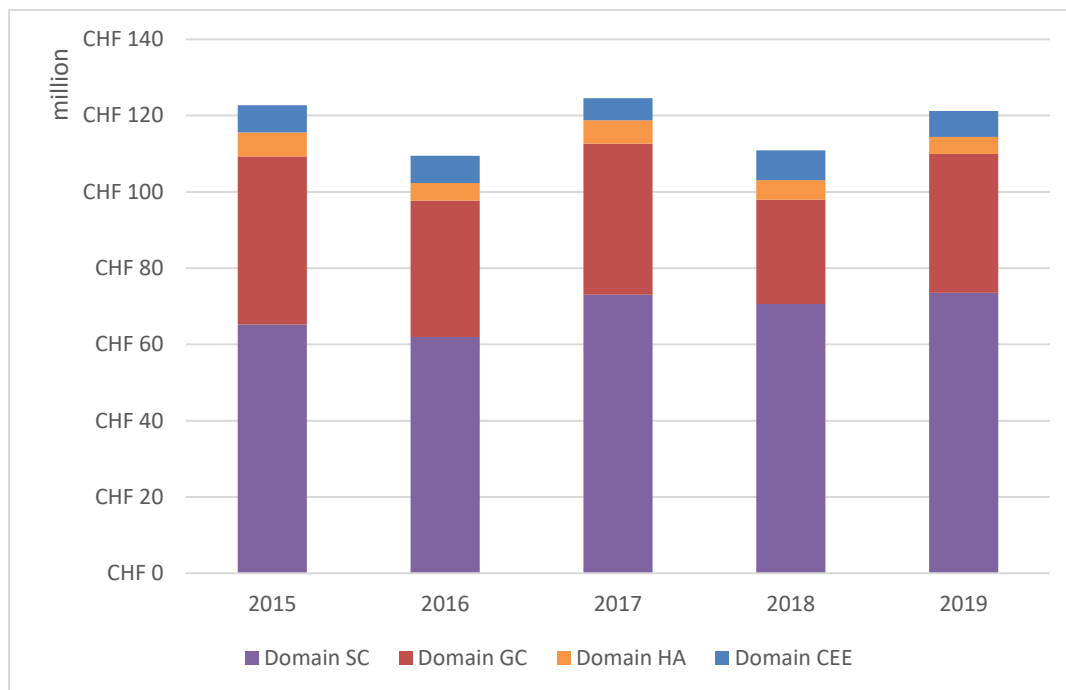


Figure 1: Climate Change Expenditures by Domain (SC = South Cooperation; GC = Global Cooperation; HA = Humanitarian Aid; CEE = Cooperation with Eastern Europe)

3.2 Prior involvement

No potential tenderers were involved in preparing the invitation procedure or drafting the invitation documentation. All tenderers that meet the criteria set are invited to submit a bid.

Independence from the evaluation subject: Please see Eligibility Criteria 10. Proven independence (absence of linkage, close relation or any other issues that might bias the evaluation process or result) from the SDC.

3.3 Objectives

The dispatch on international cooperation 2021–2024 has the following four objectives:

- Contributing to sustainable economic growth, market development and the creation of decent jobs (economic development)
- Addressing climate change and its effects and managing natural resources sustainably (environment)
- Saving lives, ensuring quality basic services, especially in relation to education and healthcare, and reducing the causes of forced displacement and irregular migration (human development)
- Promoting peace, the rule of law and gender equality (peacebuilding and governance)

In order to support the achievement of these objectives, SDC's directorate has decided to prioritize evaluations related to these four goals. These evaluations have high strategic importance for the directorate and its steering of the institution and are hence carried out at the beginning of the dispatch in order to inform its implementation.

The evaluation shall identify 1) successes, difficulties / challenges (including failures) as well as good practices of how programmes and projects in Climate Change Adaptation and Mitigation are being implemented within SDC and assess to which extent and how 'good practices' could be systematically applied within SDC. 2) A comparison or benchmarking of SDC's performance compared to international practices is a second, important element of the evaluation. 3) The evaluation shall assess the effectiveness and rate of achievement of projects and programmes.

Accordingly, the evaluation shall assess, along the OECD-DAC evaluation criteria³, the relevance, coherence, effectiveness, efficiency, impact and sustainability of SDC's programmes and projects in climate change adaptation and mitigation of all four SDC domains (South Cooperation, Cooperation with Eastern Europe, Humanitarian Aid, and Global Cooperation). The evaluation shall duly take into considerations that the different domains have differing mandates, priorities and modes of interventions. It shall assess how these mandates and instruments are employed in synergy and mutually enhancing or as silos. In addition, the evaluation shall consider where and to what extent SDC's engagement is transformational in nature. In doing so, the evaluation shall consider established methodologies such as the ones proposed by the Climate Investment Funds (CIF)⁴ or by M. Q. Patton (Patton, Evaluation Criteria for Evaluating Transformation: Implications for the Coronavirus Pandemic and the Global Climate Emergency, 2020).

The evaluation shall assess to which extent SDC's operationalisation (and institutional processes) of the climate change adaptation and mitigation approach ensure that:

- I. SDC's activities are relevant and anticipate challenges in partner countries / globally;
- II. SDC's programs/projects are consistent with and inform partner countries' development priorities / global priorities, country and global cooperation programmes / instruments and Dispatches on Switzerland's International Cooperation;
- III. SDC has the appropriate instruments at both operational and institutional levels to scale its engagement in climate change;
- IV. The expected results are being achieved and the areas of success or in need of improvement are being identified and appropriately addressed;
- V. The supported activities have multiple benefits beyond climate change adaptation or mitigation, i.e. contribute to poverty alleviation, resilience, inclusion of target populations, and targeting the vulnerable, including the poor and women (leave no one behind);
- VI. The activities are assessed and monitored for potential negative impacts; and
- VII. The activities are (likely to be) sustainable (socially, economically, and environmentally) and reach scale or scope beyond SDC's support and best practices from SDC CCA and CCM approaches being disseminated and adopted at partner, country and global levels.
- VIII. The interplay, collaboration, coordination, and information and knowledge exchange between humanitarian aid, south cooperation, cooperation with Eastern Europe, and global cooperation, in particular also the global programme climate change.

The evaluation will provide **findings, conclusions and recommendations** on whether and how SDC's approaches can be strengthened from a **strategic** and **operational** point of view.

3.4 Content of the mandate

3.4.1 Scope

The framework for this evaluation is set by the Dispatches on Switzerland's international co-operation (2013-16, 2017-20 and for the forward-looking part 2021-2024). The evaluation shall cover those activities implemented during a period of six years (2015-2020) from all domains of SDC (i.e. South Cooperation; Global Cooperation; Humanitarian Aid; and Cooperation with Eastern Europe). It will concentrate on projects in the area of climate

³ For details, see e.g. [Applying Evaluation Criteria Thoughtfully](#) and [Better Criteria for Better Evaluation](#).

⁴ See CIF [Transformational Change Learning Partnership](#).

change adaptation (CCA) and climate change mitigation (CCM) that SDC steers or co-steers. This includes direct implemented projects, mandates and contributions to trust or basket funds, etc. It excludes core contribution and core contribution like contributions to multilateral organizations, large Funds (GCF, IDA, etc.) and NGOs.

The evaluation will distinguish in its analysis between CCA and CCM. It will separate and specify findings, conclusions and recommendations, where necessary and useful, accordingly. The evaluation will be mindful of the interface, intersection and interplay with other, related areas, such as the environment, DRR or agriculture. Some of these areas have been evaluated, such as DRR, Nexus humanitarian aid / development cooperation, Market System Development in Agriculture or Social Protection. For the forward looking part, these interface / interconnection must be explicitly treated.

3.4.2 Indicative evaluation questions

The question catalogue below is a first draft and has been developed by E+C and reviewed by the CLP. It mainstreams the transformational / systemic change aspect into the OECD-DAC criteria, in particular in relevance, impact and sustainability⁵. Transformational / systemic change refers to self-sustaining changes in the functioning of a system. In evaluating transformational / systemic change, the evaluation must clearly state to which system it is referring. The evaluation should distinguish according to the context in which a project is implemented in (e.g. fragile context, LIC, etc.). The evaluations should consider how projects affected (positively or negatively) different segments of the population (e.g. IDPs, women, youth, LNOB).

During the inception phase, the appointed evaluation team will further refine and prioritize the questions in consultation with E+C and the CLP.

Relevance - The extent to which a program is suited to the priorities and policies of the target group, recipient and donor.

- Are programmes and projects in line with Switzerland's dispatches on international cooperation, Switzerland's 2028 Foreign Policy Vision (AVIS 28), cooperation programmes and regional guidelines?
- Do programmes and projects fit with international, regional and partner countries' development objectives?
- Do SDC programmes and projects target, where there is potential, transformational / systemic change? How is the theory of change for transformational / systemic change formulated?
- To what degree are transversal climate change interventions just "add-ons" to sector interventions?

Coherence – The compatibility of the intervention with other interventions in a country, sector or institution.

- To what degree do SDC programmes and projects mainstream / integrate climate change? To what extent is CC mainstreaming monitored in SDC projects?
- Are SDC's strategies and programmes systematically and sufficiently aligned and complementary to partner countries' and other donors' strategic plans?
- To what degree have the interventions considered an inclusive and / or a gender sensitive approach (LNOB)? To what degree were programmes and projects aware of the cross linkages between climate change, migration, conflict and security?

⁵ Pages 4 and 5 of Evaluation of [Transformational Change in the Climate Investment Funds](#) (Date: January 2019)

- Are the interventions of different actors of Swiss cooperation programmes coordinated and coherent?

Effectiveness - The extent to which a programme attains its objectives.

- To what degree do projects and programmes achieve their objectives / outcomes?
- Are the instruments of humanitarian aid, south cooperation, cooperation with Eastern Europe, and global cooperation used in a coordinated way that produce synergies where possible?
- To what degree do programmes and projects innovate and take on risks in pursuance of their objectives? How risk-tolerant is SDC when it comes to the implementation of highly transformative (high risk-high return) projects?
- To what extent do the instruments suite the diverse contexts under which SDC operates?

Efficiency - Were the results achieved in a cost-effective way?

- Are SDC's procedures (general and financial in particular) and ways of collaboration conducive for implementing climate change adaptation and mitigation programmes and projects?
- Are SDC and its implementing partners using adequate financial and human resources (skills) for effectively implementing programmes and projects?
- How do programmes and project use different modalities such as private sector engagement, contributions, and partnerships in order to achieve outcomes efficiently? Are these modalities applied consistently across different interventions and domains of SDC?

Impact - The positive and negative changes produced by development interventions.

- What are observable effects (intended or unintended, positive or negative) of projects and programs on target groups?
- In what ways were the lives of communities, especially the poor, disadvantaged, and women, affected by SDC's programmes and projects?
- Do projects and programmes scale-up? Have SDC programmes and projects, where envisaged in their objectives, contributed to transformational / systemic change? What were the facilitating factors in those cases?

Sustainability - To what extent will the effects be maintained when SDC's support ends?

- Which factors enhance the sustainability of SDC programmes and projects?
- To what extent are social and economic sustainability issues addressed in an integral way in CCM/CCA programmes and projects? How do programmes and projects deal with conflicts of objectives?
- Does transformational / systemic change persist and constitute a new stable equilibrium? What are the levers of change?
- To what degree do SDC programmes and projects address Climate Change challenges in a systemic way, taking into account the interactions with environmental, social, economic and governance elements?

3.4.3 Methodology

The independent evaluation team will assess the evaluation objectives and questions in a **neutral and objective** way. The overall evaluation approach should represent an adequate

mix of **formative and summative elements**. Selected steps from within developmental evaluation (Patton, 2010) are to be considered, where appropriate. Developmental evaluation is tailored to complex environments and sees the evaluator as combining the rigour of evaluation (evidence-based and objective) with the role of enhancing a programme's capacity, by means of using evidence in reflective thinking on its work. SDC's staff should learn during the entire evaluation process - not just at the end.

The evaluation team shall review and assess existing facts, processes, tools and instruments. The evaluation team shall use or develop adequate rubrics and instruments for assessing all information, interviews etc. within the evaluation. Their findings, conclusions and recommendations shall be evidence based and formulated in an open, constructive, and non-judging manner. The findings and recommendations are expected to inform SDC's strategic and operational decision making, to enhance institutional learning, and to inform SDC's constituency, the Swiss parliament and the public. The evaluation is expected to make use of a series of **different methodological instruments**, such as the following:

- Portfolio Analysis of SDC's engagement in climate change adaptation and mitigation;
- Review of relevant documents from SDC (e.g. evaluation reports; credit proposals; end of phase reports; guiding documents), from SDC's partners (programme and evaluation reports, case studies, etc.), and from other donors (for comparison), as well as research;
- 8-10 case studies with 3 to 5 field (can be virtual, if necessary), including interviews with SDC's field staff, with projects and programmes staff, policy stakeholders, and strongly recommended where feasible with target population;
- Interviews and/or focus group discussions with SDC staff in Berne (or virtual if necessary) from all operational domains (humanitarian aid, south cooperation, cooperation with Eastern Europe, global cooperation) and with selected cooperation offices (virtual communication);
- Interviews with other relevant persons, especially from implementing partners, knowledge partners, and other donors;
- Online surveys as assessed relevant.

The evaluation team will develop a **rigorous and appropriate methodology** during the inception phase, together with a **Theory of Change**, which will set the framework for the evaluation. It is important that the methodology is appropriate for assessing both the operational and institutional aspects of the evaluation. The **indicative key questions** are only suggestions and shall be reviewed and further developed by the evaluation team during the inception phase.

The **Core Learning Partnership** (CLP) shall provide inputs when the evaluation team is drafting the recommendations – while the responsibility remains within the evaluation team. Therefore, elements of **participatory / developmental evaluation** can be integrated. Including such an approach will not only increase the usefulness of the evaluation, but will also support SDC's on-going commitment to develop stronger analyses, program designs, as well as capacities in monitoring and evaluation.

3.4.4 Deliverables

The evaluation will produce the following deliverables:

3.4.4.1 Inception Report

An Inception Report is prepared by the evaluation team - after an initial review of relevant documentation and some initial interviews. It shall present:

- the results of a first round of interviews and the desk review;

- conceptual framework(s) to be used in the evaluation (including a draft Theory of Change which presents SDC's logic regarding the thematic priority areas);
- the key evaluation questions and methodology;
- an analytical framework for answering the evaluation questions with rubrics or assessment scales that will be used for assessing the information, data sources and collection, sampling and key indicators;
- selection and rationale for selection of case studies, respectively countries that will be visited based on purposeful sampling or similar;
- first draft list of interviewees.

The Inception Report also includes a **timeline for the evaluation process**. It shall explain the **strengths, weaknesses and limitations** of the proposed process and methodology and list the **means used to address** these limitations. The evaluation team should suggest a **tentative structure** of the final report.

The Inception Report will be written in English and should **not exceed 20 pages**, excluding annexes. It will be addressed to E+C, and will be discussed with the CLP in Bern.

3.4.4.2 Evaluation Report

- A fit-to-print evaluation report in English containing findings, conclusions and recommendations. The conclusions must be clearly derived from the findings and the recommendations must be clearly based on the conclusions. The report should distinguish between operational and strategic recommendations and indicate the intended user of each recommendation.
- The evaluation report should not **exceed 30 pages** (including an executive summary; excluding annexes), and must be coherent with the formatting guidelines of E+C. The report should contain clear references to important information / data available in the annexes. The executive summary should correspond to the DAC-Standards and should not exceed 2 to 3 pages.
- **Readability.** The the executive summary of the evaluation report should score 50 or above on the Flesch–Kincaid readability test. The evaluation report (excluding the executive summary) should score 30 or above on the same readability test.
- Additionally, a short and concise presentation (PowerPoint) shall be prepared by the evaluation team for SDC's use.
- The quality of the evaluation report (and process) will be assessed based on quality criteria as detailed in the 'Evaluation Quality Assessment'.

3.4.4.3 Communication

Communication is key – both for institutional learning within SDC and accountability towards the Parliament and the public. The following **deliverables** with regard to communication are required:

- Meetings with the Core Learning Partnership (CLP) at key moments of the evaluation;
- Regular exchange with E+C;
- Presentation of the Final Report to the Directorate of SDC (and potentially prior to that: presentation of intermediate results to the Directorate);
- Key messages for external communication, which are clear, concise and easy to understand. These key messages will be used for the production of a fact sheet for external communication. In addition, the consultant shall produce an infographic that conveys main messages from the evaluation such as main conclusions and most important recommendations on maximally 2 pages.

3.4.5 Roles and responsibilities

3.4.5.1 SDC Senior Management (Directorate)

SDC's Directorate mandate the evaluation and express their standpoint on the recommendations of the evaluation through the Senior Management Response.

3.4.5.2 Core Learning Partnership (CLP)

The Core Learning Partnership (CLP) accompanies the evaluation process. Throughout the process, the CLP is engaged in learning through interactive reflection with the evaluation team. The CLP comments on the evaluation design (Approach Paper, draft Inception Report) and on the draft Evaluation Report. At the capitalisation workshop, the CLP receives and validates the evaluation findings, conclusions, lessons learnt, and recommendations.

The evaluation process will include periodic engagement of the CLP members and/or other relevant SDC staff for following activities:

- Provide support to the evaluation team in better understanding SDC's approaches, structures, and working processes;
- Comment the Approach Paper and the Inception Report and provide feedback to the draft Evaluation Report; and
- Draft the Senior Management Response,

The CLP is composed of representatives of each operational domain of SDC (Humanitarian Aid, South Cooperation, Global Cooperation, and Cooperation with Eastern Europe).

3.4.5.3 Independent Evaluation Team

SDC's Evaluation and Corporate Controlling Division will contract an evaluation team that is independent of the FDFA, especially of SDC (see EC 10).

The evaluation team should offer expertise regarding evaluation and partnership development, innovative thinking, the ability to combine established methods with new approaches and to discuss, evaluate and share results with stakeholders throughout the evaluation process.

The evaluation team shall consist of a **team of at least two experts** with complementary expertise and experience. More particularly, the evaluators are expected to bring along the following evaluation and subject matter expertise and experience:

- Experience and up-to-date knowledge in the field of environmental issues with a focus on climate change adaptation and mitigation;
- Strong analytical and editorial skills, ability to synthesize and write intelligibly for different audiences;
- Professional experience and skills in robust evaluation methodologies and in evaluating strategies, programmes, partnerships, and institutional processes/change;
- Ability to apply the OECD-DAC and SEVAL⁶ (or equivalent) evaluation standards;
- Knowledge of the Swiss development cooperation system; and
- Experience in evaluating bilateral and multilateral development cooperation.

Furthermore, the evaluators are expected to have:

- Ability to steer complex processes involving a multiplicity of stakeholders through participatory methods;
- Competency with gender and governance issues (application of gender sensitive evaluation methodologies);

6 http://www.seval.ch/documents/Standards/SEVAL-Standards%202016_d.pdf

- Ability to work and communicate in English, plus excellent writing skills in English. German, French and Spanish comprehension is a must (must be able to read and understand documents). Good communication in German, French and Spanish is an additional asset; and
- Experience in developing communication content for a wider public.

3.4.5.4 Evaluation Management

The evaluation management's main responsibility is to manage and supervise the entire process of the evaluation. The evaluation management formulates the Approach Paper, commissions the evaluation team, and approves the Inception Report and the Evaluation Report, in consultation with the CLP. Furthermore, the evaluation management drafts and administers the contract with the evaluation team and assists the evaluators in receiving appropriate logistical support and access to information.

The evaluation management coordinates the CLP and their meetings and shall facilitate the review and validation of lessons learnt and recommendations (evaluation team, CLP). If required, the evaluation management also facilitates the elaboration of an action plan for the Senior Management Response with realistic follow-up actions and it is responsible for the publication and dissemination of the evaluation report.

The final evaluation report to be published will be prepared by E+C. It will consist of the Evaluation Report and the Senior Management Response by SDC's Directorate.

3.4.6 Process

The following work plan suggests the dates and responsibilities for the different activities of the evaluation process. This work plan can be adapted during the process.

Activity	Date	Responsibilities
Elaboration Draft Approach Paper including draft portfolio analysis	12.12.2020	E+C
1st CLP meeting: Discuss Approach Paper	17.02.2021	E+C / CLP
Finalize Approach Paper; Elaborate Tender Document	30.03.2021	E+C
Invitation procedure , see section 3.6 for details.		E+C
2nd CLP meeting: Kick-off (in Bern) (with evaluation team) + first round of interviews for inception phase (in Bern and on phone)	28.06.2021	CLP / Evaluators / E+C
Elaboration of the Inception Report: evaluation objectives and questions, evaluation design, methodology	July 2021	Evaluators
Desk study	July & August 2021	Evaluators
3rd CLP meeting: Feedback to Inception Report (with evaluation team)	Early August 2021	Evaluators / CLP / E+C
Finalization of the Inception Report (incorporation of comments by SDC)	August 2021	Evaluators
Handing in Inception Report	30.08.2021	Evaluators
Desk-study, Logistic and administrative preparation of evaluation visits, workshops, etc.	August & September 2021	Evaluators / E+C
Interviews with stakeholders, partners, focus group and workshops, if relevant	July – September 2021	Evaluators
Field visits in up to 5 countries	October 2021	Evaluators

Activity	Date	Responsibilities
4th CLP meeting: Capitalization workshop on intermediate results (with evaluation team)	November 2021	CLP / Evaluators / E+C
Data analysis and elaboration of Draft Report	December 2021	Evaluators
Handing in Draft Report	December 2021	Evaluators
5th CLP meeting (in Bern): Feedback on Draft Report. Review of lessons learnt and recommendations (with evaluation team)	January 2022	CLP / Evaluators / E+C
Handing in Final Report	February 2022	Evaluators
Presentation at SDC Directorate and SDC staff	March 2022	Evaluators, E+C
SDC Senior Management Response	April 2022	E+C / Directorate
Publication	May 2022	E+C

3.5 Estimated amount

A total number of **150 – 170 working days** may be allocated to the evaluation team (international and local experts). These working days should also include the activities of 5 international trips to 5 countries in Africa, Asia, Europe and Latin America for field visits and 6 trips to Berne (Switzerland). The costs of the trips have to be listed separately (see AC 6 and annexe 4). The trips will have to be approved by E+C.

The exact number of field visits and the destination countries as well as the number of the trips to Switzerland will be defined during inception phase (Covid 19 pandemic might affect travelling).

All the price details must be indicated in Swiss Francs (CHF) excl. VAT in annex 4 (offer form Type B). The price excl. VAT includes in particular insurances, allowances, social costs, transport, customs etc.

The tenderer will not be reimbursed for any costs arising from the preparation or submission of bid.

3.6 Timetable of the invitation procedure

Date / Deadline	Activity
26.04.2021	Invitation of at least 3 tenderers and publication of the mandate on the FDFA mandates platform
04.05.2021	Expression of interest in submitting a tender by email: sektion.evaluation-controlling@eda.admin.ch
06.05.2021	Deadline for submitting questions by email: sektion.evaluation-controlling@eda.admin.ch
11.05.2021	Sharing of the questions and answers with all the interested tenderers
19.05.2021	Deadline for submission of tenders
Mid-May to Mid June 2021	Evaluation and adjustment of submitted tenders
Mid June 2021	Information of the tenderers by means of individual dispositions: Awarding of the contract and notification of the not considered tenderers
21.06.2021	Signing of contract
25.06.2021	Contract start date

4 Eligibility criteria

The tenderer must duly fulfil without limitation or modification the following eligibility criteria. The tenderer must also provide, where indicated, the necessary evidence with the submission of the bid.

Only those tenderers that fulfil all formal requirements and eligibility criteria will be evaluated on the basis of the award criteria. The other tenderers will be excluded from the further procedure.

EC	Eligibility Criteria	Confirmation / documents to be submitted
EC 1	Economic/financial standing and organisational capability The tenderer / the consortium has appropriate economic/financial standing and organisational capability to carry out the mandate and meet its legal obligations with regard to taxes, duties and social security contributions. <u>All consortia members have to fulfil this criterion and submit the documents.</u>	Confirmation <input type="checkbox"/> The tenderer confirms that it has appropriate economic/financial standing and organisational capability to carry out the mandate and meet its legal obligations with regard to taxes, duties and social security contributions.
EC 2	Compliance with the conditions of participation Compliance with working conditions, workplace health and safety regulations, reporting and authorisation requirements in accordance with Federal Act on Illegal Employment (IEA), requirement of equal pay for men and women, environmental law and anti-corruption rules The tenderer confirms that his company (and his subcontractors and sub-suppliers mandated by said company) comply with the conditions of participation in accordance with the self-declaration of the Federal Procurement Conference (FPC). <u>In the case of a consortium, each member has to fill in and sign the self-declaration.</u>	Documents to be submitted <input type="checkbox"/> Legal signature on the self-declaration 'Compliance with the participation conditions' (Annex 1)
EC 3	Tenderer information The tenderer / the consortium has to fill in the 'Tenderer Information'. <u>All consortia members have to sign the 'Tenderer Information'.</u>	Documents to be submitted <input type="checkbox"/> Completed and signed form 'Tenderer information' according to annex 2.
EC 4	Acceptance of GTC and code of conduct The tenderer shall explicitly confirm, without limitation or modification,	Confirmation The tenderer confirms, without limitation or modification, the acceptance of the FDFA's GTC and

	<p>the acceptance of the FDFA's General Terms and Conditions of Business (GTC) (Type A and B mandate) as well as the acceptance of the Code of Conduct for Contractual Partners of the FDFA as per Annex 3a and 3b.</p> <p><u>In the case of consortia, confirmation must be submitted for every member of the consortium.</u></p>	<p>the acceptance of the Code of Conduct for Contractual Partners of the FDFA as per Annex 3a and 3b of the tender document.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
EC 5	<p>a) Legal status for legal entities and institutions</p> <p><u>All consortia members have to fulfil this criterion and submit the documents.</u></p>	<p>Documents to be submitted</p> <p><input type="checkbox"/> Excerpt from the commercial register and debt enforcement register (copies of certificates; not older than 3 months) <input type="checkbox"/> Comparable proof for tenderers from abroad</p>
	<p>b) Legal documents for self-employed individuals (natural persons) (Type B mandate)*</p> <p>This criterion must be met by self-employed persons only by submitting valid proof (not older than two years) of self-employed status under 'OASI' legislation.</p>	<p>Documents to be submitted</p> <p><input type="checkbox"/> Proof (not older than 2 years) provided by the responsible social security authority at which the company/person is registered <input type="checkbox"/> Comparable proof for tenderers from abroad</p>
EC 6	<p>Experience</p> <p>The tenderer / the consortium has enough experience in projects comparable to the present mandate in terms of scope, financial amount and complexity. As proof of this experience, it provides 5 references for the last 8 years.</p> <p>If a subcontractor provides <u>essential services</u> as part of the present mandate, the subcontractor must also provide proof of suitable experience in the field of activity for this mandate.</p> <p>References on the tenderer for projects carried out for the Confederation are only permitted if the referee consents in writing to the disclosure of this information in each case.</p>	<p>Documents to be submitted</p> <p><input type="checkbox"/> Written evidence of the 5 references, providing the following information as a minimum:</p> <ul style="list-style-type: none"> - Name of company and address of contact person(s) and telephone numbers - Time and place of performance of the mandate - Volume of the mandate performed - Description of the services provided <p>The contracting authority reserves the right to contact the persons indicated.</p>
EC 7	<p>Personnel resources</p> <p>The tenderer has the necessary personnel at its disposal to be able to perform the mandate as described in sections 3.4.5.3 and 3.5.</p>	<p>Confirmation</p> <p>The tenderer confirms that it has the necessary personnel at its disposal to be able to perform the mandate as described in sections 3.4.5.3 and 3.5.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Documents to be submitted:</p>

		<input type="checkbox"/> Clear documentary evidence is enclosed regarding the human resources to be deployed for the mandate.
EC 8	Contact partner (SPOC) The tenderer has a single point of contact (SPOC) at its disposal who will be able to do what is necessary so that decisions can be taken and who will take responsibility for the mandate in the event of an escalation of problems.	Confirmation The tenderer / the consortium confirms that it has a single point of contact (SPOC) at its disposal who will be able to do what is necessary so that decisions can be taken and who will take responsibility for the mandate in the event of an escalation of problems. <input type="checkbox"/> Yes <input type="checkbox"/> No Documents to be submitted: <input type="checkbox"/> Last name and first name, contact details, function name and deputy of the SPOC
EC 9	Language skills of the key persons The tenderer is willing to deploy key persons who can communicate in English both orally and in writing. At least one key persons is able to understand and analyse the project results and documentation in German, French and Spanish, respectively.	Confirmation The tenderer confirms that it is willing to deploy key persons who can communicate in English both orally and in writing. At least 1 key persons is able to understand and analyse the project results and documentation in German, French and Spanish, respectively. <input type="checkbox"/> Yes <input type="checkbox"/> No Documents to be submitted: <input type="checkbox"/> Document evidencing the language skills of the key persons
EC 10	Independence from the evaluation subject Proven independence (absence of linkage, close relation or any other issues that might bias the evaluation process or result) from the SDC.	Confirmation The tenderer confirms independence from the evaluation subject: <input type="checkbox"/> Yes <input type="checkbox"/> No

***Information for self-employed natural persons (type B mandate) – long-term mandates**

Please note: the awarding of long-term mandates to self-employed persons (sole proprietorships) can lead to their economic dependence on the contracting authority which can result in the re-classification of the contractor as 'type A' for the purposes of the Old-Age and Survivors' Insurance Act).

5 Award criteria

The following table shows the award criteria (AC) and the corresponding weightings, on the basis of which the bids will be evaluated.

AC	Award Criteria	Weighting
AC 1	Understanding of the mandate	20%
AC 2	Proposed methodology, approach and timeline	25%
AC 3	Qualification, experience and expertise of the organization	10%
AC 4	Qualifications of the personnel to be deployed (CVs)	20%
AC 5	Clarity of financial offer	5%
AC 6	<p>Financial offer – overall price</p> <p>The overall price is to be submitted in CHF only together with the budget form as per Annex 4 of the tender document and to include the following (see also section 3.5):</p> <ul style="list-style-type: none"> • 5 field visits to Africa, Asia, Europe and Latin America with 2 case studies per field visit • 4 visits to Berne of the evaluation team (except local consultants) for the Kick-Off/first round of interviews, the discussion of the inception report, capitalisation workshop as well as draft evaluation report • 2 visits to Berne of the team leader for the presentation and discussion of the evaluation report to the Directorate and the presentation to an External Reference Group (the other meetings and interviews will take place via video call/phone). • All travel expenses including transportation, per diem, hotels, transfers, etc. <p>The overall amount (excl. VAT) across the mandate will be estimated using the following formula:</p> $\text{Score} = M \times \left(\frac{P_{\min}}{P} \right)^2$ <p>P = Price of the bid being assessed P min = Price of the cheapest bid M = Max. points (= score 5)</p>	20%
	Total	100%

Each further award criterion will be evaluated according to the following score table:

Score	Fulfilment and quality of the criteria	
0	Cannot be established	<ul style="list-style-type: none"> • Information has no significance
1	Very poor fulfilment	<ul style="list-style-type: none"> • Information is incomplete • Data quality is very poor
2	Poor fulfilment	<ul style="list-style-type: none"> • Information relates inadequately to the requirements • Data quality is poor
3	Average fulfilment	<ul style="list-style-type: none"> • Information generally relates adequately to the requirements • Data quality is adequate
4	Good fulfilment	<ul style="list-style-type: none"> • Information focuses well on requirements • Data quality is good

5	Very good fulfilment	<ul style="list-style-type: none"> • Information clearly relates to the achievement of outputs • Data quality is excellent
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6 Structure and content of the bid

The tenderer must adhere to the following structure in the interests of fairness and in order to

Nr.	Contents	Max. No. Pages	EC/AC
01	Cover letter with signature(s) and documents evidencing organisational capability	1	EC 1
02	Self-declaration form 'Proof of compliance with the participation conditions'	1	EC 2
03	'Tenderer Information' form		EC 3
04	Acceptance of GTC and Code of Conduct	1	EC 4
05	Legal documents		EC 5
06	Written proof of experience – References	10	EC 6
07	Written confirmation of human resources for the mandate	1	EC 7
08	Written confirmation of contact partner (SPOC)	1	EC 8
09	Documentary evidence of the language skills of the key individuals		EC 9
10	Understanding of the mandate	3	AC 1
11	Proposed methodology, approach and timeline	5	AC 2
12	Qualification, experience and expertise of the organization	3	AC 3
13	Qualifications of the personnel to be deployed (CVs)	Max 3 pages per CV	AC 4
14	Financial offer according to the budget form in annex 4.	1 narrative page + budget form	AC5, AC6

7 Administrative Aspects

7.1 Official name and address of the contracting authority

Federal Department of Foreign Affairs FDFA
Swiss Agency for Development and Cooperation SDC
Evaluation and Corporate Controlling Division
Freiburgstrasse 130
3003 Berne

The Evaluation and Corporate Controlling Division of SDC is in charge of the awarding procedure and also acts as direct contracting authority towards the tenderer.

7.2 Deadline and address for submitting bids

The bids (format pdf) must be submitted to sektion.evaluation-controlling@eda.admin.ch by 19.05.2021, 23:00 (CEST) at the latest. Bids received late cannot be taken into consideration. They will be returned to the tenderer.

The email must mention "Independent Evaluation of SDC's Engagement in Climate Change Adaptation and Mitigation" in the reference line. Tenderers must confirm in the email the binding force of the bid.

The receipt of the bids submitted via email will be acknowledged via email at the latest until Friday 21.5.2021. Please come back to us if you don't get a confirmation email by Friday 21.5.2021 (mails might get lost in spams).

In all cases the tenderer must retain proof of the timely submission of the bid.

7.3 Expression of interest in submitting an offer and receiving documents

Interested tenderers can express their interest by email until 04.05.2021 and will receive the annexes to these terms of reference.

7.4 Answering questions

No individual information is given to the tenderers. Any questions must be submitted by 06.05.2021 to sektion.evaluation-controlling@eda.admin.ch. Questions submitted late cannot be answered. The document with all questions received and their answers will be sent to all tenderers by 11.05.2021.

7.5 Type of procedure

Procurement is carried out by invitation o tender in accordance with the Federal Act on Public Procurement of 21 June 2019, PPA, SR 172.056.1.

It is **not** possible to appeal the award.

7.6 In accordance with GATT / WTO agreement or treaty

This is a public contract under Annex 5 no. 1 let. d PPA. There is no right of appeal.

7.7 Evaluation and adjustment of bids

Tenders are evaluated in accordance with Art. 38 PPA. Tenders may only be adjusted at the contracting authority's specific request. Adjustments must be undertaken in accordance with Art. 39 PPA and subject to the conditions set out therein.

7.8 Bidding consortia

Consortia of tenderers are permitted. If the SDC concludes the contract with several contractors (consortium), all parties must sign, having first designated a person to represent the consortium vis-à-vis the SDC. The representative is expressly authorised to act for and on behalf of the consortium members. The consortium members shall be jointly and severally liable. The tenderer lists all members and their roles.

7.9 Subcontractors

Subcontractors are permitted, subject to the prior approval of the awarding entity. If the tenderer engages subcontractors in order to carry out the work, the tenderer will assume overall responsibility. It must list all the subcontractors involved, together with the roles allocated to them, in Annex 1 "Tenderer information".

Any contractual delegation by the contractor of performance of all or part of the present contract to subcontractors shall be subject to the prior written consent of the contracting authority. Subcontractors and their personnel must satisfy all conditions stipulated in the present contract and the appendices thereto. The contracting authority shall be liable solely to the contractor. In the event that the contractor delegates performance of all or part of the contract, the contractor shall bear sole liability for the acts of any subcontractors. As a general rule the tenderer is required to make the characteristic supply.

7.10 Multiple tenders by single tenderers, consortia and subcontractors

Consortia members are allowed to participate exclusively in one bid. The tenderer lists all members and their roles.

Single tenderers are allowed to participate exclusively in one bid.

Subcontractors are allowed to participate in different bids.

7.11 Validity of bids

180 days after the deadline for receipt of bids.

7.12 Languages of invitation document

The invitation document are available in: English.

7.13 Language of the procedure

The present procurement procedure is conducted in English. This means that all statements on the part of the awarding authority are made at least in this language.

7.14 General Terms and Conditions of Business (GTC)

The General Conditions of Business (GTC) of the FDFA for mandates (type A and type B) shall be deemed to have been accepted by the contractor on submission of the bid.

7.15 Conclusion of contract

The contract is concluded subject to the prior approval of credits by the FDFA.

8 Further information

8.1 Confidentiality

The parties shall keep confidential any facts and information that are not generally known or in the public domain. In case of doubt, all facts and information shall be treated as strictly confidential. The parties shall take all measures, to the extent that they are commercially reasonable and practicable in technical and organisational terms, to ensure that confidential

facts and information are properly protected against access by, or disclosure to, unauthorised third parties.

Any transfer of confidential information by the contracting authority within its own organisation (or within the Federal Administration), or to any third parties appointed, is not deemed to constitute a breach of the obligation of confidentiality. The foregoing also applies to tenderers to the extent that the disclosure of confidential information is required for the performance of the contract, or provisions of the contract are disclosed within the organisation.

The tenderer may not, without the contracting authority's written consent, publicise the fact that a cooperation arrangement with the contracting authority is or was in effect or cite the contracting authority as a reference.

The parties shall ensure that their employees, subcontractors, suppliers and any other third parties appointed comply with the foregoing obligations of confidentiality.

8.2 Integrity clause

Tenderers undertake to take all necessary measures to avoid corruption and, in particular, agree not to offer or accept payments or other advantages.

Tenderers who breach this integrity clause are required to pay a contractual penalty to the contracting authority amounting to 10% of the value of the contract or at least CHF 3,000 for each instance of breach.

The tenderer notes that any breach of the integrity clause will generally result in cancellation of the award or early termination of the contract for good cause by the contracting authority.

The parties shall inform each other of any well-founded suspicions of corruption.

8.3 Property rights

All industrial property rights which arise in the course of the performance of the mandate shall pass to the contracting authority.

9 Annexes

No.	Annex
1	'Proof of compliance with the participation conditions' form
2	'Tenderer Information' form
3a	General Terms and Conditions (GTC) of the Federal Department of Foreign Affairs (FDFA) for mandates (type A and B)
3b	Code of conduct for contractual partners of the FDFA
4	Budget forms Budget form type B – for legal entities, organisations and self-employed persons
5	Approach Paper: Independent Evaluation of SDC's Engagement in Climate Change Adaptation and Mitigation 2015-2020

10 Bibliography

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