



**Expertgruppen för biståndsanalys**

**The Expert Group for Aid Studies**

## **Invitation for proposals: Evaluation of Sweden's application of internationally agreed principles for Engagement in Fragile States**

The Expert Group for Aid Studies (EBA) is a government committee mandated to evaluate and analyse the direction, governance and implementation of Sweden's official development assistance (ODA). The EBA engages researchers and other experts to carry out studies of relevance for policymakers and practitioners.

The EBA works with 'dual independence'. This means that the EBA independently defines what issues to explore and which studies to commission, while the author(s) of each report is responsible for the content and the conclusions.

**The EBA hereby invites proposals for an evaluation of Sweden's application of internationally agreed principles for engagement in fragile countries.**

### **Background and motivation for the study**

At the 4th High Level forum for Aid Effectiveness in Busan, South Korea 2011, 'the New Deal for Engagement in Fragile States' (the New Deal henceforth) was launched. A prime argument was that 1,5 billion of the poorest people in the world live in fragile situations and that ongoing efforts at reaching the millennium goals largely bypassed these groups. Today, mention is seldom made of the New Deal. However, its core principles still form the basis of more recent initiatives and the initiative remains a reference point in some of Sweden's steering documents for development cooperation.

In 2011, Partnerships for peace, resilience and functional institutions were seen as key requisites for poverty reduction in fragile situations. This insight has later influenced discussions leading up to the formulation of the sustainable development goal 16 on peaceful and inclusive societies. Another insight was that this is only possible to achieve if the aid effectiveness agenda is implemented and hence cooperation is built on countries own systems and ownership – also in the case of fragile countries.

The New Deal was agreed upon by the International Dialogue on Peacebuilding and State-building (IDPS), currently consisting of three separate entities: the g7+ group<sup>1</sup>; the OECD International

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<sup>1</sup> The g7+ group is a self-selected group of countries in fragile-, conflict- and transitory situations. The group currently comprises 20 member countries: **Afghanistan**, Burundi, Central African Republic, Chad, Comoros, Côte d'Ivoire, **Democratic Republic of the Congo**, Guinea, Guinea-Bissau, Haiti, **Liberia**, Papua New Guinea, São Tomé and Príncipe, Sierra Leone, **Somalia**, Solomon Islands, **South Sudan**, Timor-Leste, Togo and Yemen. Countries in bold are partner countries in Sweden's development cooperation.

Network on Conflict and Fragility (INCAF) and the Civil Society Platform for Peacebuilding and State-building (CSPPS).

The New Deal comprises several principles that aim to change donor approaches to investing in conflict prone and fragile situations, and simultaneously build a base for peace- and state building led by national governments. Donors, civil society organizations and governments have jointly agreed on **three sets of principles**:

1. 'The Peacebuilding and State building Goals' (PSG)  
The PSG principles aim at i) inclusive politics with particular focus on ii) building and reinforcing security and justice sectors, iii) a stable macroeconomic foundation for societies that iv) enables stable flows of income and v) procurement of basic social services to citizens.
2. 'The FOCUS principles' that seek to map factors driving fragility, to build joint plans and ensure mutual accountability  
The FOCUS principles are **F**ragility assessment; **O**ne vision, one plan; **C**reate a compact **U**se PSG to monitor progress and **S**upport political dialogue and leadership. In other words, these principles provide a political basis for the New Deal.
3. 'The TRUST principles' dealing with Aid effectiveness and national capacity building.  
The TRUST principles, in turn, deal with Aid Effectiveness: **T**ransparency; **R**isk-sharing; **U**se and strengthen country systems; **S**trengthen capacities; and **T**imely and predictable aid.

The Swedish government has, in its policy framework for Swedish development cooperation and humanitarian aid (2016/17:60) stated that: "Sweden shall work in accordance with the New Deal for Engagement in Fragile States that connect political dialogue and development cooperation" in fragile and conflict-ridden states. The bilateral result strategies for relevant countries either directly (Liberia, DRC) or indirectly and partly (South Sudan, Sudan, Somalia, Mali, Colombia, Afghanistan) refer to the New Deal. Thus, these principles constitute guidance for Swedish development cooperation.

### Implementation of the New Deal

Implementation and adherence to the New Deal was scrutinized in an international evaluation in 2016. Nine overriding lessons from the first five years were formulated. Overall, the New Deal was assessed to have won increased (albeit insufficient, not least in terms of funding) adherence and influence. Mistakes, due to political insensitivity, were made when launching the initiative. The G77 group within the UN initially criticized the initiative as OECD-driven and even interventionistic in its character. Development interventions linked to institution building, judicial systems and governance were seen as sensitive. The G77 countries feared that such interventions connected to international conflicts and security issues would risk to open up for foreign interventions. This was clearly not seen to be in the interest of these governments and risked ultimately to threaten national sovereignty.

However, with time the New Deal has come to be integrated in international normative processes, primarily in the SDG 16 aiming at peaceful and inclusive societies where rule of law prevails, and citizens have access to justice.

In April 2016, the International Dialogue on Peacebuilding and State-building (IDPS) agreed on the 'Stockholm Declaration' entitled 'Addressing Fragility and Building Peace in a Changing World'. This declaration was a means to renew the adherence to the New Deal principles – the PSG, FOCUS and TRUST. Furthermore, it was agreed that the parties shall i) address root causes behind fragile situations, conflict and violence; ii) contribute to fulfilling the Agenda 2030 by applying the New Deal principles; iii) use development cooperation more innovatively; iv) promote stronger and wider partnerships.

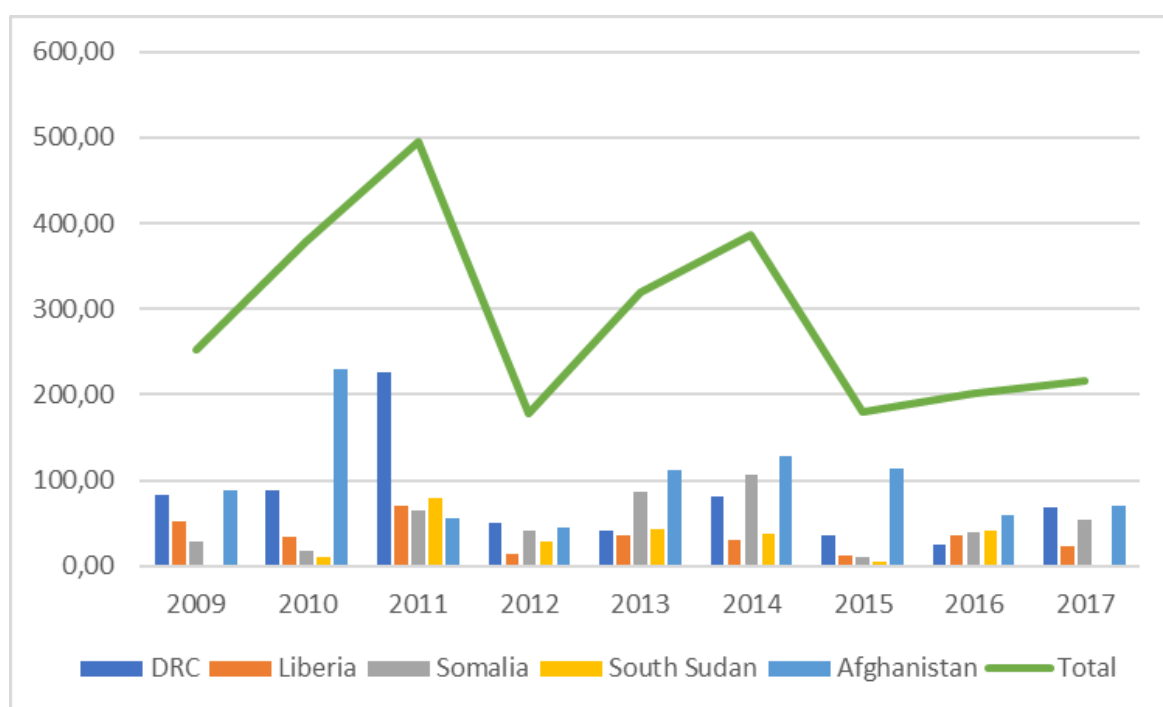
However, 2016 also became a year with the highest number of countries experiencing violent conflicts in nearly 30 years, accompanied by high numbers of battle-related deaths. Gradually, the general character of violent conflicts has also transformed, with operations increasingly taking place outside of state-based frameworks. As a reaction, the UN and the World Bank conducted a joint study and initiative on 'Inclusive Approaches to Preventing Violent Conflict' entitled 'Pathways for Peace'. A main message from this study and initiative is that more efforts and resources ought to be placed on prevention, as compared to general practice. The eight main messages for prevention that the study promotes basically follow the logic of the PSG and the FOCUS principles and hence great similarities are displayed between the two approaches. 'Pathways for Peace' further reinforces the need for cooperation and convergence between diplomatic, security and development instruments. In the 'Pathways for Peace', clear reference is made to the New Deal, and the aid effectiveness component is discussed in some detail. Based on experiences of highly fragmented, volatile, and at times even conflict augmenting, modes of aid delivery the role of aid is qualified (see below) and a **do-no-harm principle** is called for.

Against this backdrop, 'Pathways for Peace' concludes that country level contexts are decisive. Unevenly distributed aid can potentially reinforce grievances along identity lines; delivery mechanisms (budget support or project aid) can have opposite effects in different contexts; and aid may replace local capacity and undermine national government legitimacy and reinforce market distortions. Furthermore, most aid is delivered in post-crisis situations and not before violence takes hold. To deal with such potentially negative impacts the do-no-harm-principle calls upon donors to '...identify issues, elements or factors that divide societies as well as local capacity for peace that brings societies together. It also requires donors to consider what aid will do for whom, who are the responsible actors and stakeholders, and who has access to aid.'

With the inclusion of such qualifications regarding the role of development cooperation, the New Deal continues to be a reference point for development cooperation interventions in fragile situations due to its integration into wider international normative initiatives. However, *to what extent are the constituting principles of the New Deal practiced in Sweden's development cooperation with fragile states?*

The key development problem to solve is how to support socio-economic inclusive and sustainable development in fragile countries. The extent of Swedish ODA allocated to such endeavors is shown in the following table.

## Sweden's bilateral aid to five g7+-members 2009-17



Note: Volumes in constant 2017 million USD. Source: OECD/DAC

### Purpose and questions

The aim of this evaluation is twofold:

- (i) To gain an in-depth understanding of Sweden's application of the principles constituting the 'New Deal for Engagement in Fragile States' and the do-no-harm principle.**
- (ii) To generate lessons to inform future application of principles as guidance for development cooperation interventions.**

The EBA expects the evaluation to deepen the knowledge and understanding of how adherence to, and application of, internationally agreed principles contribute to effective development cooperation interventions in fragile states and situations, and to highlight lessons learned that may inform current and future Swedish development cooperation adherence to, and application of, internationally agreed principles in such states and situations.

Three evaluation questions (with sub-questions in italics below) shall guide the evaluation:

1. To what extent has Sweden in its development cooperation applied the principles that constitute the 'New Deal for Engagement in Fragile States' and the do-no-harm principle? *What have been enabling as well as hindering factors or processes for doing this? What have been observable changes in Swedish development cooperation that could be attributed to the implementation of the 'New Deal'?*
2. To what extent has coordination and cooperation with Swedish actors outside of the development cooperation sphere changed as a result of the implementation of the 'New Deal' principles? *More specifically: how has coordination and cooperation between development interventions and the political dialogue evolved as a result of implementation of the 'New Deal'?*

3. What lessons can inform Swedish development cooperation based on internationally agreed principles?

The evaluation is expected to put Sweden's contributions in a wider context of development cooperation guided by internationally agreed principles. The team will choose the period of study and delimitations in terms of countries to study. It is not required to study all fragile states where Sweden pursues development cooperation, however a comparative perspective is suggested.

The main objective of the evaluation is to provide grounded and elaborate responses to the questions above. However, tenderers are, within methodological limits set below, encouraged to let their expertise guide the choice of approach in answering the evaluation questions (including design of the analytical framework, methodological approach and delimitations). We hope that this open approach will be attractive and stimulate innovation in submitted proposals.

### **Intended users**

Primarily intended users of this evaluation are staff responsible for Swedish development cooperation and other engagement with fragile states at the Swedish MFA, at Sida and at the Swedish Embassies in such countries. Secondary target groups include people working with development cooperation in general, Swedish media and the general public in Sweden and fragile states.

### **General structure and conditions**

The suggested method to apply is the 'Principles-Focused' method developed by Michael Quinn Patton. However, within this framework, authors are given an open mandate regarding implementation, focus and design of the evaluation with the aim to let their expertise as much as possible guide the choice of approach in answering the evaluation questions.

The proposal shall include a detailed analytical framework for the study proposed. While the evaluation concerns Swedish support to fragile states during the period after the implementation of the New Deal up until the present, it is up to the authors to choose study design and delimitations. Choices should be justified.

The proposal shall be written in English.

Potentially important sources of information are written sources from the MFA, Sida and partner organizations, evaluations, mid-term reviews, final reports, previous research etc. While there is no requirement for the main applicant to understand Swedish, the evaluation team should include someone with the ability to analyse documents written in Swedish.

The EBA works under what is termed "double independence". This means that the EBA defines which questions and areas are to be studied, independently of the Ministry for Foreign Affairs. At the same time, analysis, conclusions and recommendations in each study are the responsibility of the author(s).

For all studies, the EBA sets up a reference group consisting of experts in the field of study (members are designated by the EBA in dialogue with the authors). The overall purpose of the reference group is to strengthen the quality of the report. The group will be chaired by one of the EBA members.

The evaluator(s) shall deliver a report (in English) presenting the results from the study to be published in the EBA report series ([www.eba.se/en/published-reports/](http://www.eba.se/en/published-reports/)). The length of the report should not exceed 40 000 words (about 80 A4-pages) ([www.eba.se/en/published-reports/](http://www.eba.se/en/published-reports/)).

The evaluator(s) shall present preliminary results at a pre-launch meeting with the MFA, Sida and the EBA, and present the final report at a public dissemination event (details to be specified in consultation with the EBA at a later stage).

## **Procurement procedure, budget and timetable**

The maximum cost for this evaluation is SEK 1 400 000 excl. VAT. The budget shall be denominated in SEK. Since the procurement is under the EU threshold value, applicable law is Chapter 19 of the Swedish Public Procurement Act (2016:1145). The procedure will be a two-stage selective procedure with possible negotiation.

First stage: Application to submit tenders

All suppliers have the right to apply to submit tenders (expression of interest). The EBA will invite three (3) suppliers to submit tenders and may negotiate with one or more tenderers.

Selection of applicants to invite to submit tenders will be based on the team leader's CV and proven prior expertise in conducting similar evaluations and studies.

Applications to submit tenders shall be registered at the tender portal Kommers Annons eLite [www.kommersannons.se/elite](http://www.kommersannons.se/elite), no later than 14 April 2020. The application should contain:

1. CV of the team leader/principal investigator
2. Preliminary team
3. A list of relevant evaluations and studies (including company references)
4. At most three sample evaluations or studies carried out by members of the proposed team

Suppliers must submit a self-declaration in the form of a European Single Procurement Document (ESPD) by filling in the tender form at [www.kommersannons.se/elite](http://www.kommersannons.se/elite). Please make sure enough time is allocated for completing the ESPD form when submitting the expression of interest.

Second stage: Submission of tenders

The proposal shall be no longer than 15 pages, including a presentation of the members of the evaluation team, detailed schedule, allocation of time and tasks between the members of the group and budget (stated in SEK).

CVs and at most three sample evaluations or studies carried out by members of the proposed team (may be the same or different from the application to submit tenders) shall be appended.

At least one person in the evaluation team must speak and read Swedish.

The budget shall enable two to four meetings with the study's reference group (to be appointed by the EBA following dialogue with the authors), a workshop in Stockholm and participation at the launching event. The reference group will meet in Stockholm, but one or two meetings may be conducted by video link. The following timetable should be considered.

Tenderers shall give an account of all potential conflicts of interest pertaining to members in the evaluation team, as this may be a ground for excluding tenders.

The proposal shall be registered at the tender portal Kommers Annons eLite [www.kommersannons.se/elite](http://www.kommersannons.se/elite), no later than 20 May 2020. Tenderers are advised to monitor the tender portal regularly, as it is not possible to guarantee the receipt of e-mails.

Proposals shall be valid until 30 August 2020.

During the procurement process, the EBA is not permitted to discuss documentation, tenders, evaluation or any such questions with tenderers in a way that benefits one or more tenderers.

Questions shall be sent, by 11 May 2020, to the Questions and Answers function (“Frågor och svar”) on the procurement portal Kommers Annons eLite, [www.kommersannons.se/elite](http://www.kommersannons.se/elite). Questions and answers to questions are published anonymously and simultaneously to everyone registered for the procurement.

## Timetable

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Invitation to apply to submit tenders	25 March - 15 April 2020
Invitation to (3) suppliers to submit tenders	17 April 2020
Last day to submit tender	20 May 2020
Possible Negotiation	25-29 May 2020
Decision by the EBA	10 June 2020
Standstill period (10 days)	June 2020
Contract signed	June/July 2020
Presentation of preliminary findings	Specified at a later stage
Final report delivered (the latest date possible to suggest in proposal)	30 April 2021
Launching event	Q2 2021

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## Selection of proposals in the second stage

An assessment group comprising members of the Expert Group and the secretariat will assess proposals received based on the relationship between price and quality. The following criteria will be used when assessing proposals received:

1. Quality of proposal, in terms of design, methods and plan for implementation (weight: 60 per cent).
2. Experiences and qualifications of team members in the areas of 1a) Principle-based evaluation and advanced studies of development assistance; 1b) Fragile state development including security and justice sectors; 1c) Development cooperation interaction with political dialogue; 2) Quality of previous evaluations/studies conducted by team members (based on studies attached to the proposal); 3) Academic merits of the team members (weight: 25 per cent).
3. Cost (weight: 15 per cent).

See the table at the end of this document for the factors that will be considered under each of these three criteria. The assessment of each proposal will be based on the material submitted by the tenderer by the end of the bidding period. Negotiation may take place, but the EBA reserves the right to award the contract based on an original tender.

## Confidentiality

After the communication of the EBA’s selection, all submitted proposals will become official documents, meaning that the Swedish principle of public access to official records applies.

Sentences, sections or paragraphs in a document may be masked in the public version if "good reasons" (thorough motivations in terms of causing economic damage to the company) can be provided and deemed valid. The tenderers are fully responsible for making their claims of confidentiality.

### **About the Expert Group for Aid Studies (EBA)**

The Expert Group for Aid Studies (EBA) is a government committee mandated to evaluate and analyse the direction, governance and implementation of Sweden's official development assistance with a specific focus on results and efficiency. The aim is to contribute to an efficient implementation of well-designed aid. The EBA focuses primarily on overarching issues within Swedish development assistance, not on individual projects. The EBA consists of an expert group of ten members, and a secretariat placed in Stockholm.

In 2020 the Expert Group consists of: Helena Lindholm (chair), Johan Schaar (vice chair), Kim Forss, Torgny Holmgren, Sara Johansson De Silva, Staffan I. Lindberg, Magnus Lindell, Joakim Molander, Julia Schalk, Janet Vähämäki and Anders Trojenborg (adjunct expert from the Swedish MFA).



## Assessment criteria

Criteria	1. Quality of proposal in terms of design, methods and plan for implementation. (Weight: 60 per cent)	2. Experiences and qualifications of team members in the areas of interest. (Weight: 25 per cent)	3. Cost. (Weight: 15 per cent)
<b>Scale</b>	Each criterion is graded on a scale of 0–5 (where 0 = not applicable, so effectively 1–5 is applied). Grade 5 = extraordinary or exceeds all expectations. Grade 1 = sub-standard. Grade 3 = fair, reasonable, in line with what can be expected. Each criterion is then weighted to obtain a final grade (the sum of the weighted grades) between 0 and 5.		
<b>Specifications (numbered in order of importance)</b>	<ol style="list-style-type: none"> <li>1. Does the study design, i.e. suggested methodological approach and plan for implementation, make it possible to fulfil the study's purpose?*</li> <li>2. Have important or pertinent limitations with the method been described clearly?</li> <li>3. Have the approach and method(s) been described in a specific and transparent manner?</li> <li>4. Will the study design enable conclusions that can be expected to form the basis of use, learning and reflection among the study's target groups?</li> <li>5. Does the proposal have a thorough and realistic workplan and timeline?</li> </ol> <p>* An overall assessment that the evaluation is feasible to implement and that it can be implemented without any ethical breaches occurring is presupposed. While such an appraisal is required, it is not included as a separate sub-criterion.</p>	<ol style="list-style-type: none"> <li>1. The team participants' experience of:               <ol style="list-style-type: none"> <li>a) Principle-based evaluation and advanced studies of development assistance;</li> <li>b) Fragile state development including security and justice sectors;</li> <li>c) Development cooperation interaction with political dialogue;</li> </ol> </li> <li>2. Quality of previous evaluations/studies conducted by team members (based on studies attached to the proposal)</li> <li>3. Academic merits of the team members (excl. assistants)</li> </ol> <p>* Sufficient language skills in relation to the needs of the assignment are required to be shown and are therefore not specified as a separate sub-criterion.</p>	<ol style="list-style-type: none"> <li>1. Total price in SEK</li> <li>2. Price/hour</li> </ol>