

**Reporting CEC Results and Performance 2005–2010
(Project No. 1.2.1.1.1)**

REQUEST FOR PROPOSALS



Commission for Environmental Cooperation

2009

I. Prospectus

The Commission for Environmental Cooperation of North America (CEC) is requesting proposals from prospective consultants related to an evaluation of its current five-year strategic plan and the project work supporting it. Specifically, the consultant would be expected to:

- prepare a comprehensive report on the results and accomplishments the CEC has made in fulfillment of its 2005–2010 Strategic Plan, of which a preliminary and high-level summary of results will be published in time for the June 2009 meeting of the CEC Council;
- review and evaluate in a comprehensive manner the performance of CEC projects in meeting the specific goals and objectives of the 2005–2010 Strategic Plan;
- provide the Council, the CEC’s Joint Public Advisory Committee and the CEC Secretariat with an analytical foundation for the purposes of expressing the goals, objectives and performance measures to be included in the CEC’s next strategic plan, for 2010–2015; and
- assist the Council and the Secretariat in concluding the ongoing work of refining a monitoring, evaluation and reporting framework, specifically with respect to recommendations and guidance for a future evaluation and reporting framework.

Deliverables Required

The project comprises the following deliverables:

1. A preliminary, high-level report on the key accomplishments of the CEC for the period 2005–2009.
2. A final comprehensive report on the accomplishments of the CEC, measured against the goals and objectives of the 2005–2010 Strategic Plan
3. Analysis and recommendations concerning the efficacy of the CEC’s strategic planning framework and the appropriateness of its components (logic models, performance indicators, etc.) for the purpose of enhancing the robustness of the CEC’s forthcoming 2010–2015 Strategic Plan.

II. Background

In 2004, the CEC Council adopted three broad priorities for the cooperative work program of the CEC (set forth in the *Puebla Declaration*¹):

- Information for Decision-making;
- Capacity Building; and
- Trade and Environment.

Subsequently, and to advance these priorities, the Council adopted the Strategic Plan for the Commission for Environmental Cooperation 2005–2010.² This plan embraces specific five-year goals and objectives as well as several multi-year cooperative initiatives to accomplish them.

The five-year goals under these priorities are to:

¹ <http://www.cec.org/pubs_docs/documents/index.cfm?varlan=english&ID=1551>.

² <http://www.cec.org/pubs_docs/documents/index.cfm?ID=1761&varlan=english>.

- support better decision-making by providing information on the key environmental challenges and opportunities facing North America;
- strengthen the capacities of the three countries to manage environmental issues of common concern; and
- promote policies and actions that provide mutual benefits for the environment, trade, and the economy.

The Strategic Plan further articulates twelve specific multi-year program objectives in support of these priorities. The plan states that, together, “these initiatives comprise a focused, integrated and coherent effort to produce visible and concrete results.”

Since 2006, each of the CEC’s subsequent annual operating plans³ has been developed in such a manner that each project has been intended to accomplish one or more of these stated objectives.

The Council has indicated that, for planning purposes, the project year 2009 will mark the culmination of the current Strategic Plan. A new five-year strategic plan (2010–2015) is expected to be developed and adopted by Council in 2009.

Definitions

Throughout this Request for Proposals, the following definitions will apply:

- CEC—The Commission for Environmental Cooperation is an international organization created by the governments of Canada, Mexico and the United States to protect our shared environment through cooperation, to prevent potential trade and environmental conflict, and to promote the enforcement of environmental law (www.cec.org). The CEC is composed of three bodies: the Council, the Secretariat, and the Joint Public Advisory Committee.
- NAAEC—The North American Agreement on Environmental Cooperation⁴
- Parties—Signatories to the NAAEC: Canada, Mexico and the United States
- Council—The governing body of the CEC, comprising the senior environmental official (minister or equivalent) of each Party
- JPAC—Joint Public Advisory Committee of the CEC, five citizens appointed by the governments of each of the Parties to provide advice to the CEC Council and information to the CEC Secretariat
- Cooperative Work Plan—the annual operational plan of the CEC Secretariat, comprising a diverse set of environmental projects, as agreed to by the Council [this one actually never appears, although maybe it should]

III. Terms of Reference

A. Overview and Scope

General Activities:

- Measurement of the progress, at the annual Operational Plan project level, against stated outcomes and performance indicators for the years 2005–2009, inclusively.

³ <http://www.cec.org/pubs_docs/scope/index.cfm?varlan=english&ID=53&doctype=36>

⁴ <http://www.cec.org/pubs_info_resources/law_treat_agree/naaec/index.cfm?varlan=english>

- Measurement of aggregated results in the case of multi-year initiatives (e.g., North American Marine Protected Areas Network, Sound Management of Chemicals, enforcement and compliance).
- Measurement of the progress in achieving the objectives and targets of any specific multi-year program-specific strategic plans (i.e., the Trade and Environment Strategy, Biodiversity Conservation Strategy).
- Assembly and analysis of the above measures and construction of a comprehensive report on the CEC's performance in achieving or advancing towards the specific program objectives articulated in the 2005–2010 Strategic Plan.
- Supplementary analysis to report upon the impact of CEC projects where five-year program objectives or subsequent performance indicators may be insufficiently robust or defined as to limit meaningful expression of accomplishment or not. This work may involve surveys, audits, interviews and the assessment of secondary action on the part of the Parties and of other collaborators who either participate in the delivery or hold direct responsibility for environmental action or policy.

Outputs:

- Preliminary results report (June 2009) that communicates the key accomplishments of the CEC in the preceding five years. This report will contain a compelling set of results, which will communicate the importance of the CEC's role and work, and it will complement any Council expression of the goals and results expected from the succeeding five-year strategic plan.
- Analytical support for the selection and definition of goals, objectives, and performance measures in the CEC's 2010–2015 Strategic Plan (June 2009).
- Comprehensive report (November 2009), which includes both primary and secondary research results from the CEC's project-by-project evaluation of results assessed against the goals and targets of the 2005–2010 plan.
- Recommendations for the completion of a robust monitoring, evaluation, and reporting framework for the CEC for application in the 2010–2015 Strategic Plan (November, 2009).

B. Description of Services

The consultant shall coordinate with the CEC's designated contacts to accomplish the following:

- Agreement of project methodology, including primary research (comparison of objectives to reported results in Strategic Plans, Operating Plans, and CEC progress and other reports) and secondary research (to bridge data and reporting gaps in the above);
- Initial research and review of results via background analysis and desk study of result-level achievements and their contributions to strategic objectives. This will be accomplished through consultation with the Secretariat, briefings with senior staff, review of relevant background documents (2005–2009), development of an analysis matrix, and initial population of matrix;
- Informant interviews, and focus group meetings where necessary to map responses to analysis matrix;
- Completion of preliminary findings (completion of matrix and analysis together with a preliminary, short report of findings);

- Review and verification of preliminary findings (via consultation with Secretariat, officials and others via conference calls etc. and incorporation of results into analysis);
- Preparation of high-level report on the key results of the preceding five years of CEC activity (for presentation to CEC Council and public);
- Completion of detailed review and assessment of project level accomplishments and performance and preparation of a draft final report;
- Completion of a summary report that contains analysis and recommendations concerning the planning and performance reporting framework for the CEC (including assessment of previous such analyses and the efficacy of the 2005–2010 planning and results reporting framework, and recommendations to enhance the adoption of appropriate and robust performance measurement logic models, indicators, etc.)

C. Periodic Reporting Requirements

Because of the nature of this work, constant contact with the CEC Secretariat and program staff is anticipated throughout the contract period, including extended work at the Secretariat's headquarters in Montreal, Quebec. Nonetheless, the consultant will prepare monthly status reports that summarize the following:

- Progress in previous month;
- Current status;
- Anticipated progress in upcoming month;
- Potential problems, with description of, and reasons for, any delays; and
- Actions that should be taken by the CEC Secretariat to facilitate the project.

These reports are to be sent to the CEC Secretariat by email the 10th of the following month. The CEC Secretariat will arrange teleconferences with the consultant, the Program Manager and officials on an as-needed basis at mutually agreeable times.

D. Deliverables and Schedule

The timetable presented below is approximate, and may change. The CEC invites prospective consultants to modify the schedule suggested below, based on their evaluation of this proposal. The proposal should include the following actions within the following general timeframe:

No.	Activity	Approximate month/date (2009)									
		2	3	4	5	6	7	8	9	10	11
1	Kickoff meeting to agree on workplan	■									
2	Background analysis	■	■								
3	Informant Interviews/focus groups		■								
4	Completion of preliminary findings		■	■	■						
5	Review of preliminary findings				■						
6	Preparation of high-level report				■	■					
7	Completion of final draft report						■	■	■	■	■
8	Analysis and recommendations re. Strategic Planning Framework components									→	■

E. 2009 Operational Plan Project Description

Reporting CEC Results and Performance 2005–2010 is described within the CEC's 2009 Operational Plan as a discrete project. Please note the appended description for more information.

IV. Requirements and Proposal Evaluation

A. Mandatory Requirements

To be eligible for further consideration, all consultants must fulfill the following basic requirements.

1. Composition

For the purposes of this RFP, the term "consultant" may refer to either a group or company or a single individual.

If a proposal is submitted by a consortium of individuals or institutions, a "lead" consultant should be designated to take responsibility for ensuring overall coordination, the coherence of activity outputs, and the integration of information and ideas.

2. Qualified and Competent Key Personnel

The consultant must possess competence and experience in:

- monitoring and evaluation (M&E)
- organizational assessment
- strategic planning and results reporting
- assessing operational performance and results against stated objectives
- relevant environmental issues and policy within North America
- superior analytical and writing skills

Familiarity with the CEC and its operations is required. References must be supplied upon request.

3. Proposal Submission

It is the intention of the CEC Secretariat to include the **Terms of Reference (Section III)** of this document) in the contract negotiated with the successful applicant. Therefore, prospective consultants should refer to these for more detailed information on the project and the services to be provided. Prospective consultants are requested not to reiterate the Terms of Reference in their submissions, but are invited to suggest modifications to enhance the proposal.

Proposals should include the following:

- A brief statement of interest and intent. This statement should be based upon and serve to demonstrate the consultant's experience and subject knowledge. The statement should address desired results; guidelines (parameters within which results are to be accomplished); resources (human, financial, technical, or organizational support available to help accomplish the results); and other aspects deemed applicable by the consultant. The purpose of this

statement is to demonstrate not only the consultant's general and specific familiarity with the subject area, but also to highlight writing skills. This document will be evaluated by the Evaluation Committee and will serve as a basis for contract award;

- Proposed methodology
- Suggested modifications to the Terms of Reference and Schedule, and the reasons for such modifications;
- Resumes of the Key Personnel who would be involved in the project;
- Detailed cost breakdown, including number of person/days of Key Personnel and other personnel, direct and indirect costs, travel costs and applicable taxes; and
- Description of relevant experience and any other relevant information.

B. Other Information to be Provided

Potential consultants are encouraged to submit any additional information that they believe will assist the CEC Secretariat in the evaluation of their proposal. However, the proposal should not exceed 12 pages, exclusive of applicant CVs or corporate brochures.

C. Type of Contract to be Used for These Services

The CEC Secretariat intends to use its standard time-based contract for these services. A sample is available upon request. If the contract is negotiated with a consortium, the CEC will offer the consultants the option to have separate contracts between each consultant and the CEC.

All work within the contract must be completed by end of December 2009.

D. Selection Procedure

The consultant will be selected in accordance with the CEC Consultant Services Procurement Manual <see http://www.cec.org/contract_job_rfp/consult.cfm?varlan=english>.

Proposals that the CEC Secretariat determines to be complete will be evaluated according to the procedure described here. Prospective consultants who submit proposals determined by the CEC Secretariat to be incomplete will be so notified in writing.

Each complete proposal that is submitted will be evaluated by the CEC Secretariat according to the following criteria, with a point rating assigned for each:

Evaluation Criteria	Maximum Point Rating
Understanding of project requirements, adequacy of work plan	10
Familiarity with CEC	20
Consultant's M&E, planning and organizational assessment experience and competency of personnel	40
Writing and report preparation competence	30
<i>Total</i>	100

A minimum score of 80 will be required for the prospective consultant's proposal to be eligible for further consideration. Prospective consultants whose proposals score less than 80 will be so notified in writing, together with the reasons for the score. Cost efficiency and value for money will be taken into account in the evaluation.

Proposals in response to this request will be evaluated by the CEC Program Manager and designated technical reviewers, who will form an Evaluation Committee. Each member of the Evaluation Committee shall receive a copy of the proposals and will be asked to rate each proposal using the evaluation criteria and its maximum point ratings given above.

The CEC Program Manager will arrange for a conference call/meeting among the members of the Evaluation Committee to discuss the ratings, arrive at final scores, and, subsequently, a ranking of all proposals. The strengths and weaknesses of each proposal, in terms of the evaluation criteria, will be noted and summarized. Once the selection has been made, each prospective consultant will be provided with his/her score—if requested—along with their comparative ranking compared to the others. However, neither the evaluations nor the scores of other bidders will be provided.

E. Estimated Level of Resources Required

The budget for this activity is expected to range between C\$80,000 (eighty thousand Canadian dollars) to C\$100,000 (one hundred thousand Canadian dollars), including professional fees and expenses.

If a currency other than Canadian dollars is used, the consultant should indicate the total cost of the professional services in C\$ as well as the currency of choice, for comparison purposes.

It should be noted that the CEC Secretariat and program staff will provide considerable support in terms of provision of background documentation, organization of interviews, conference calls and meetings, and the provision of key contacts and data.

F. Basis of Payment Required

Payment shall be made only for *bona fide* consultant fees and legitimate expenses incurred in accordance with the contract for professional services, and only upon receipt and documented acceptance by the Secretariat of statement(s) of account/invoice(s) from the consultant.

Settlement of invoices that are acceptable for payment will normally be made 30 days from the date of receipt by the Commission.

G. Financial and Other Confidential Information

For this proposal, the CEC Secretariat will not require the submission of any confidential information nor will the CEC Secretariat require information regarding insurance, bonding financial status, or company ownership.

H. Deadlines for Proposal Submission and Decision

The proposal, including all relevant attachments, must be received by the CEC Secretariat offices by **17:00 on 30 January 2009**. Proposals submitted after this deadline will not be considered.

Proposals must be submitted via e-mail to <elloyd@cec.org>. Proposal format may be in Microsoft Word or Adobe PDF format. Once the proposal has been submitted electronically the CEC will confirm proposal receipt within three business days. If receipt of electronic submission

is not received by e-mail within this time, **applicants must contact the CEC to confirm receipt.** Upon completion of electronic submission, a signed copy of the proposal with authorized signatures is also required and should be postmarked no later than 30 January 2009. Three copies of the proposal should be sent by courier to:

Evan Lloyd
Director of Programs
Commission for Environmental Cooperation
393, rue St-Jacques Ouest, bureau 200
Montreal, QC
Canada H2Y 1N9
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The CEC Secretariat intends to select the consultant within five (5) working days following the proposal submission deadline. Notification of selections will be made on or about 6 February 2009.

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Project 2	Reporting CEC Results and Performance 2005-2010	Responsible Project Manager at the CEC Secretariat	Evan Lloyd
Planned Allocation	C\$165,000	Working Group(s) associated with this work	General Standing Committee (GSC), State of the Environment Advisory Group (SOEAG)

Objective of Project

This project has four objectives:

- To prepare a comprehensive report on the results and accomplishments the CEC has made in fulfillment of its five-year 2005–2010 Strategic Plan, of which a preliminary and high-level summary of results would be published in time for the 2009 Council Session
- To review and measure in a comprehensive manner the performance of CEC projects in meeting the specific goals and objectives of the 2005–2010 Strategic Plan.
- To provide the Council, JPAC and the Secretariat with an analytical foundation for the purposes of expressing the goals, objectives and performance measures to be included in the CEC’s next strategic plan, 2010–2015.
- To assist the Parties and the Secretariat in concluding the ongoing work of refining a monitoring, evaluation and reporting framework.

Certain tasks under this project also support the continuing development of the CEC’s reporting on the state of the North American environment.

Background

Project History and Foundation

In 2004, the CEC Council adopted three broad priorities for the cooperative work program of the CEC (the Puebla Declaration¹):

- Information for Decision-making;
- Capacity Building; and
- Trade and Environment.

Subsequently, and to advance these priorities, the Council adopted the Strategic Plan for the Commission for Environmental Cooperation 2005–2010.² This plan embraces specific five-year goals and objectives as well as several multi-year cooperative initiatives to accomplish them.

The five-year goals under these priorities are to:

- support better decision-making by providing information on the key environmental challenges and opportunities facing North America;
- strengthen the capacities of the three countries to manage environmental issues of common concern; and
- promote policies and actions that provide mutual benefits for the environment, trade, and the economy.

¹ <http://www.cec.org/pubs_docs/documents/index.cfm?varlan=english&ID=1551>.

² <http://www.cec.org/pubs_docs/documents/index.cfm?ID=1761&varlan=english>.

The Strategic Plan further articulates twelve specific multi-year program objectives in support of these priorities. Together, the plan states “these initiatives comprise a focused, integrated and coherent effort to produce visible and concrete results.”

Since 2006, each of the CEC’s subsequent annual operating plans has been developed in such a manner that each project has been intended to accomplish one or more of these stated objectives.

The Council has indicated that, for planning purposes, the project year 2009 will mark the culmination of the current Strategic Plan. A new five-year strategic plan (2010–2015) is expected to be developed and adopted by Council in 2009.

Key Stakeholders, Resource Leveraging, Partnerships (to date)

The key stakeholders associated with this project are the Council and other constituent elements of the Commission for Environmental Cooperation.

Advisory Groups Related to this Project

Activities and outputs of this project will be conducted in collaboration with the CEC’s General Standing Committee and the State of the Environment Advisory Group.

Rationale

Periodic objective analysis of achievement in the delivery of a multi-year program of work is widely recognized as organizational best practice, both to inform management with regard to performance as well as to provide input into future planning processes. With the “completion” of the 2005–2010 Strategic Plan, the logic of developing the succeeding plan demands a reliable measure of the efficacy and impact of the previous plan and the years of project activity dedicated to reaching its stated objectives. Moreover, the measurement and assessment of results would provide valuable and timely information for the purpose of communication with the CEC stakeholders and audiences.

A comprehensive strategic planning framework will include five elements:

1. A Strategic Plan

2. An Operational Plan
3. A Management Approach
4. An Implementation Plan
5. An Evaluation and Monitoring Framework

The CEC has made significant progress in the adoption of the first four items. Although a comprehensive planning, monitoring, evaluation and reporting framework has been the subject of discussion and review since 2004, this matter remains incomplete and its completion remains on the agenda of the Council’s General Standing Committee and the Secretariat.

Fulfillment of Strategic Objectives

While not targeting support to any one strategic objective this project is intended to support the assessment of the CEC’s effectiveness in achieving all 2005-2010 objectives, and to inform future work.

North American Scope of the Project and Its Relevance to the Three Parties

Results will be expressed in North American terms and will inform both the Parties and the CEC as a whole.

CEC Niche and Value Added

It is assumed that the CEC is the appropriate body to measure and report upon the performance of the 2005-2010 Strategic Plan.

Linkages with other CEC projects

- The results of this project will be of use throughout the CEC to inform all audiences and partners of the accomplishments and role of the CEC 2005-2010.
- The results of this project will support and inform 2009 Strategic Planning activity within the CEC and the enhancement of future operational plans.

Activities and Outputs

This project will have several components, including the following:

- Measurement of the progress, at the annual Operating Plan project level, against stated outcomes and performance indicators for the years 2005–2009, inclusively.
- Measurement of aggregated results in the case of multi-year initiatives (i.e., NAMPAN, SMOC,³ enforcement compliance).
- Measurement of the progress in achieving the objectives and targets of any specific multi-year program-specific strategic plans (i.e., the Trade and Environment Strategy, Biodiversity Conservation Strategy).
- Assembly of the above measures, and construction of a comprehensive report on the CEC's performance in achieving or advancing towards the specific program objectives articulated in the 2005–2010 Strategic Plan.
- Supplementary analysis to more effectively measure the impact of CEC projects where the stated five-year program objectives or subsequent performance indicators are so insufficiently robust or defined as to frustrate any meaningful expression of accomplishment or not. This work may involve surveys, audits, interviews and the assessment of secondary action on the part of the Parties and of other collaborators who either participate in the delivery or hold direct responsibility for environmental action or policy.

SOE related tasks:

- Evaluation of the 2008 Mosaic report on the state of the North American environment and identification of priorities for future state of environment (SOE) reporting.
- Investigation of the feasibility of developing North American environmental indicators for future SOE reporting.

Outputs include the following:

- A clear report on the results of the CEC's activities 2005–2010.
- A preliminary version of the above, containing high-level conclusions and assessment for presentation by the Council.

³ NAMPAN—North American Marine Protected Areas Network; SMOC—Sound Management of Chemicals.

- Clarity of outcome responsibility between the CEC and the Parties for CEC-related activity.
- Enhanced understanding of the effective capacity of the CEC to accomplish the goals of NAAEC.⁴
- Support for the selection and definition of goals, objectives, and performance measures in the CEC's 2010–2015 Strategic Plan.
- Support for the completion of a monitoring evaluation and reporting framework for the CEC.
- Meeting of the SOE experts and identified priorities for future CEC work on SOE reporting.
- Guidance document summarizing opportunities for CEC in ongoing SOE reporting and exploring feasibility--in terms of time and resources required--of North American environmental indicators development.

Activities include the following:

- Agreement of project methodology, including primary research (comparison of objectives to reported results in Strategic Plans, Operating Plans, and CEC progress and other reports) and secondary research (to bridge data and reporting gaps in the above).
- Development of a work plan and management responsibility.
- Identification of contract and other staff support.

Target groups

- Council
- Parties
- Affiliated agencies
- JPAC
- CEC public constituencies
- Provincial/State officials

⁴ North American Agreement on Environmental Cooperation.

Anticipated Outcomes and Performance Indicators

Direct Outcomes

- Preliminary results report (June 2009) that communicates the key accomplishments of the CEC in the preceding five years. This report will contain a compelling set of results, which will communicate the importance of the CEC's role and work, and it will complement any expression of the goals and results expected from the succeeding five-year strategic plan.
- Comprehensive report (November 2009), which includes both primary and secondary research results from the CEC's project-by-project evaluation of results assessed against the goals and targets of the 2005–2010 plan.
- Proposed approach for future SOE reporting, including rationale and timeline.

Performance Indicators

- Completion of the preliminary results report, June 2009

Intermediate Outcomes

- A critical assessment of the effectiveness of the CEC's work compared to goals and targets. This analysis is essential to the credibility and quality of the CEC's next five-year strategic plan.
- Guidance document for continued North American SOE reporting by the CEC.

Performance Indicators

- Completion of the final assessment document
- Next report on state of North American environment.

Final Outcomes

- A higher degree of confidence in the CEC's unique and important role in the protection and enhancement of the North American environment.
- Greater understanding of the state of the North American environment as well as trends over time.

Timetable, Project Completion and Sustainability Beyond

- Fall 2008: project development and preparation
- November–April: primary and secondary research
- May–June: preparation of preliminary report for Council 2009
- June–November: completion of final assessment
- Fall 2009: incorporation of revised monitoring and evaluation framework elements according to new strategic plan in 2010; draft Operational Plan; and project descriptions (first year of implementation of the CEC's next five-year strategic plan)

SOE

- Spring 2009: meeting of SOE experts
- Summer/fall 2009: summary of SOE experts' advice; development of guidance document for continued North American SOE reporting, to include an overview of the feasibility of environmental indicators development.

Communications

The high-level report and the assembly of results of CEC action have the potential to create compelling communications material for utilization by the Council and the CEC as a whole. Concise and comprehensive results will inform key messages for the CEC.

Information Management

No immediate impacts are expected upon the CEC's information management framework, although it may emerge that management of this resource can play an enhanced role in the monitoring and reporting of project activity and results.