

Frontex Operational Office Evaluation Tender

WKA Consultancy Group

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1. Frontex Background

The applicant is seeking to win a contract for the independent external evaluation study for the Management Board of Frontex.

1.1 European Union and Frontex

Since the Treaty of Rome¹ the European Union has gradually worked towards abolishing internal borders and promoting free movement of persons between Member States (hereafter, MS). The realization of this objective has become increasingly important over time as the EU has become reliant on an ever more integrated security architecture and legal framework. Critical steps such as the adoption of the Schengen Convention in 1995, and the Hague Programme in late 2004, have contributed to building the legal basis and establishing the political guidelines for the creation of an area of Freedom, Security and Justice, within the Schengen Area.

“As of 2010 the Schengen area extends along 42,672 km of external sea borders and 8,826 km of land borders. It comprises 25 countries (including a number of non-EU states), meaning free internal movement for nearly half a billion people.² However, removal of checks at internal borders makes the control of external borders much more important, since all Schengen members are now reliant on the checks made by other members. Simply put, the Schengen area border is only as strong as its weakest link.”³

Simply put, as a direct consequence of its efforts to liberalize human mobility and exchange within the Schengen Area, the EU has necessarily faced a rising need to move beyond segmented national operations and structures, towards broader European networks and strategies founded on a growing cooperation between MS (and Third Country) law enforcement actors on the matter of external border protection.

1.2 Frontex – Towards Integrated Border Management

In 2004, the European Council responded to the challenges posed by the increasing importance and complexity of external border management by creating the European Agency for the management of Operational Cooperation at the External Borders of the Member States of European Union, established under Council Regulation (EC) No. 2007/2004 (‘The Regulation’) and hereafter referred to as Frontex.

Since its operationalization in October 2005, Frontex has served as the leading supra-national agency providing support to and coordinating Member State’s management of external borders. In view of respecting MS sovereignty, Frontex’s role was specifically designed so as to ensure national authorities retain complete responsibility for the control and surveillance of their external borders. Member States are the agency’s main stakeholders; this critical fact is reflected in the composition of Frontex’s management structure: ‘the Management Board is composed of one representative (and his/her alternate) of each MS and two representatives of the Commission (and their alternates). Each country associated with the implementation, application

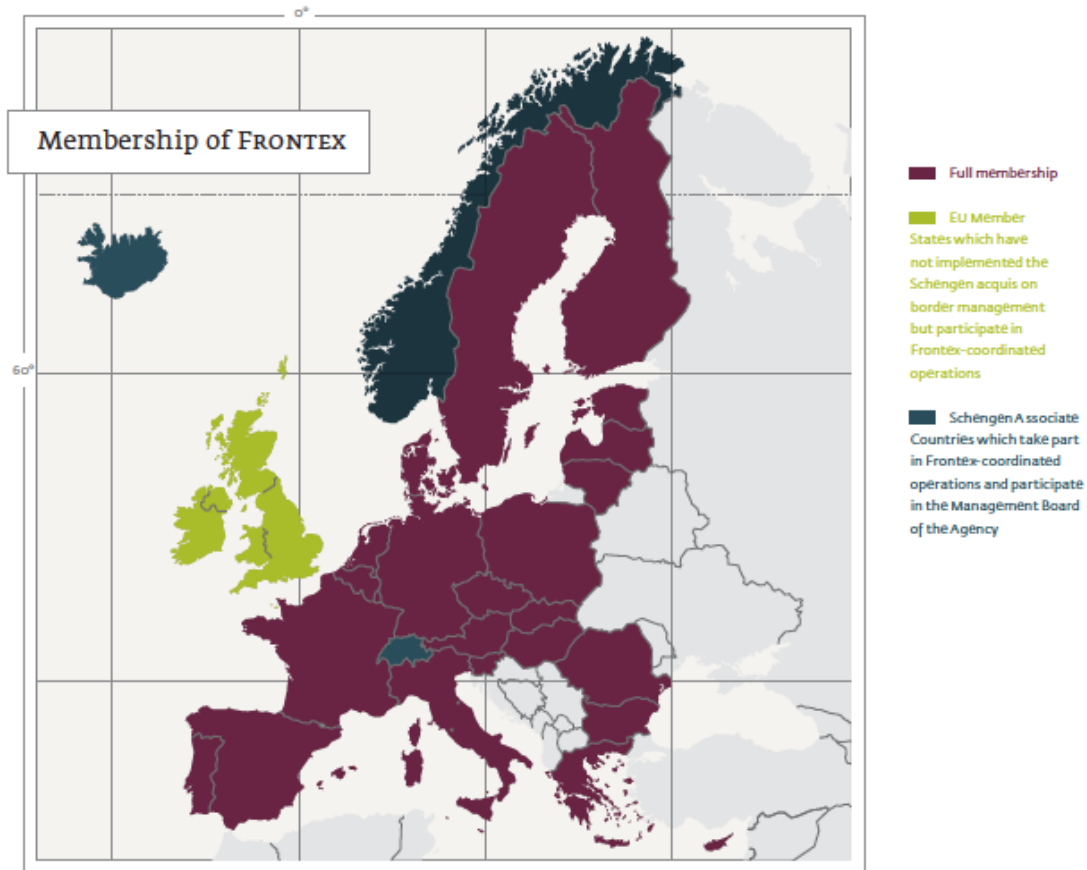
¹http://ec.europa.eu/economy_finance/emu_history/documents/treaties/rometreaty2.pdf

² Beyond Frontiers, Frontex: The First Five Years

³http://www.frontex.europa.eu/assets/Publications/General/Frontex_Brochure.pdf

and development of the *Schengen acquis* has one representative and an alternate in the Management Board, with limited right to vote.⁴

Frontex is therefore intended to act as a centralized body for the implementation of existing and future EU measures concerning border management, for the promotion and facilitation of collaboration and information exchange between MS, and for the development of shared standards, operational processes and best practices. Since late 2006, under the terms outlined by the Justice and Home Affairs Council (JHA Council Conclusions 4./5. December 2006), this role has become institutionalized as the development and implementation of the EU’s model of Integrated Border Management (IBM).



“With a common external border, the need for Member States to rely upon each other to safeguard their mutual security, while ensuring the free movement of people and upholding fundamental rights, has never been greater.

Five years ago Frontex was placed at the forefront of the Member States’ solution to this new challenge. The effective combination of three elements—assessing risks, managing joint operations at the external borders of Member States, and building operational capacity—has been the key to the Frontex’s role as the cornerstone of the European concept of *Integrated Border Management*.”

- Interview with Ilkka Laitinen, Frontex Executive Director – 2010 in *Beyond Frontiers, Frontex: The First Five Years*

⁴ Deloitte. Study on the feasibility of establishing specialized of Frontex. Final Report. December 2009.

The main tasks of Frontex are as follows:

- coordinate operational cooperation between Member States in the field of management of external borders;
- assist Member States in the training of national border guards, including the establishment of common training standards;
- carry out risk analyses;
- follow up the development of research relevant for the control and surveillance of external borders;
- assist Member States in circumstances requiring increased technical and operational assistance at external borders;
- provide Member States with the necessary support in organizing joint return operations.

Figure 1. Frontex' main tasks



Source: Deloitte. Study on the feasibility of establishing specialized of Frontex. Final Report. December 2009.

1.2.1 Towards the creation of specialized branches

Going back as early as Frontex's inception, EU lawmakers and policymakers have anticipated the potential need for the creation of specialized branches that could complement or reinforce certain agency functions with expertise and best practices in specific areas of operation. While an impact assessment conducted at the agency's creation found no need for specialized branches at the time⁵, subsequent changes in Frontex's operating circumstances and challenges have led to repeated calls – from the European Commission, the Parliament, the Council, the European Economic and Social Committee and the Committee of Regions - for this possibility to be revisited.

By late 2009, after four years of existence several factors and problem areas were identified as justifying not only the creation of a pilot specialized branch of Frontex, but more specifically one with a focus on the southern maritime external borders of the European Union. These key problems and challenges are as follows:

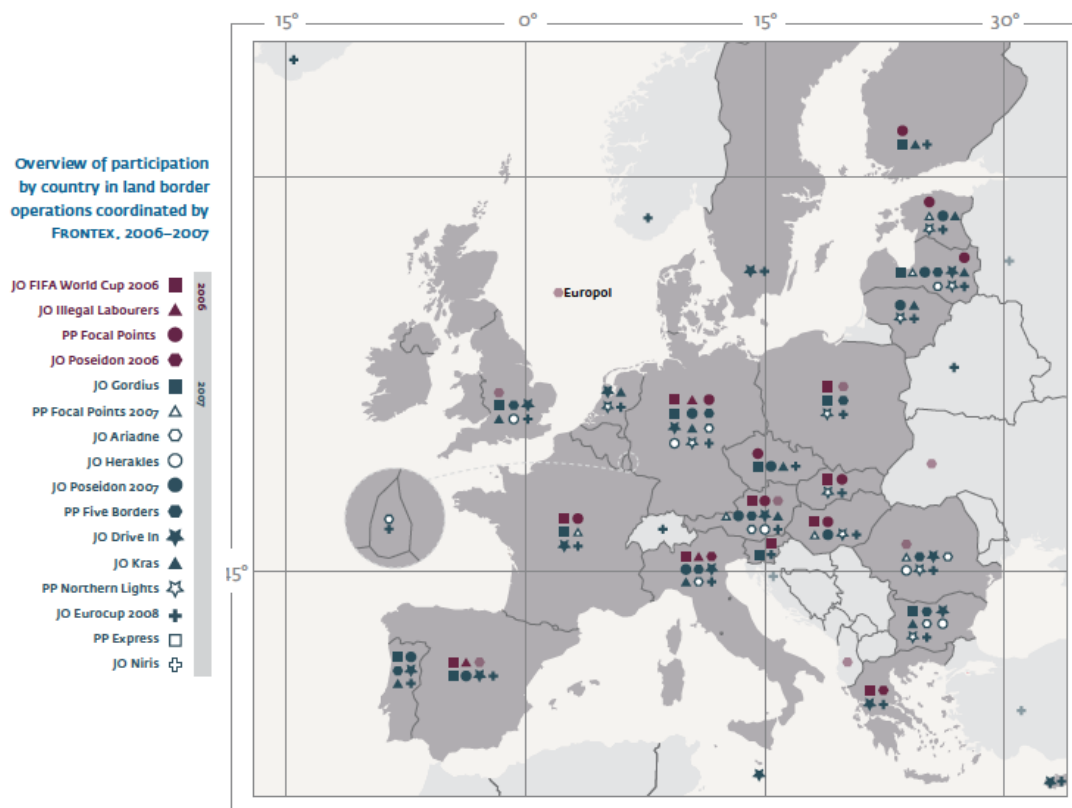
- A “continuous rise in intensity and duration of joint operations”

⁵ Deloitte. Study on the feasibility of establishing specialized of Frontex. Final Report. December 2009.

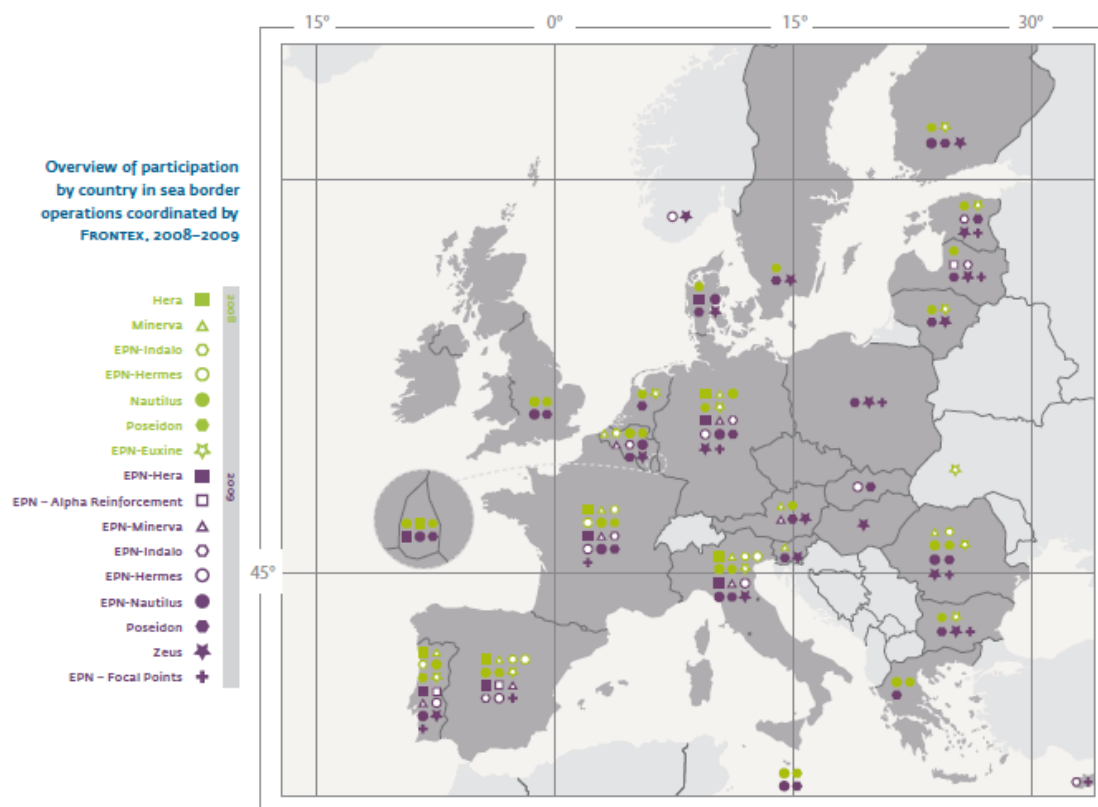
- Frequency of urgent situations at maritime borders in the south of the EU
- Rapid adaptation of migration flows to actions taken by Frontex and Member States.
- A lack of effective and efficient coordination for Joint Operations between Member States and third parties, leading to reduced operational agility and effectiveness.

1) Joint operations

Joint operations represent a key element of Frontex’s responsibilities – from *ex ante* risk analysis and planning phases, to operational and situational awareness support to implementing actors throughout the execution, and including *ex post* evaluations. Since 2005, these joint operations have increased in intensity and duration, involving growing numbers of actors and rising levels operational complexity over longer periods of time. These trends can be observed in the two maps below.⁶ A specialized branch would allow Frontex to more effectively coordinate between member states and adapt its strategies to tackle this new phenomena.



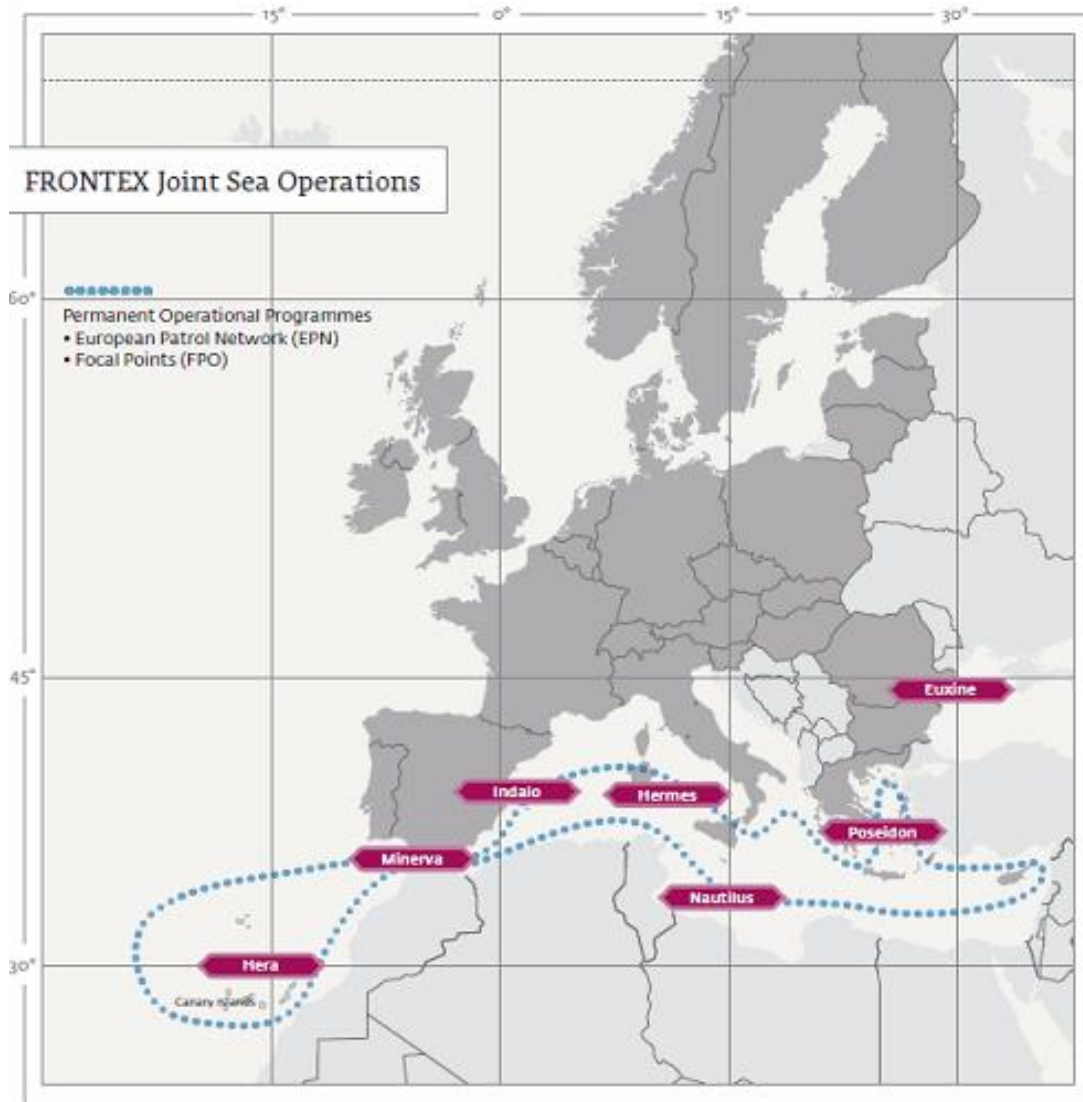
⁶ Beyond Frontiers, Frontex: The First Five Years



2) Southern maritime borders

The Member States’ southern external maritime borders present a set of particularly delicate and often urgent surveillance and control challenges. All the way from West Africa across to the Eastern Mediterranean, citizens from Third Countries are seeking illegal entry into Member States or conducting illegal activities via often dangerous and hard-to-monitor maritime borders.

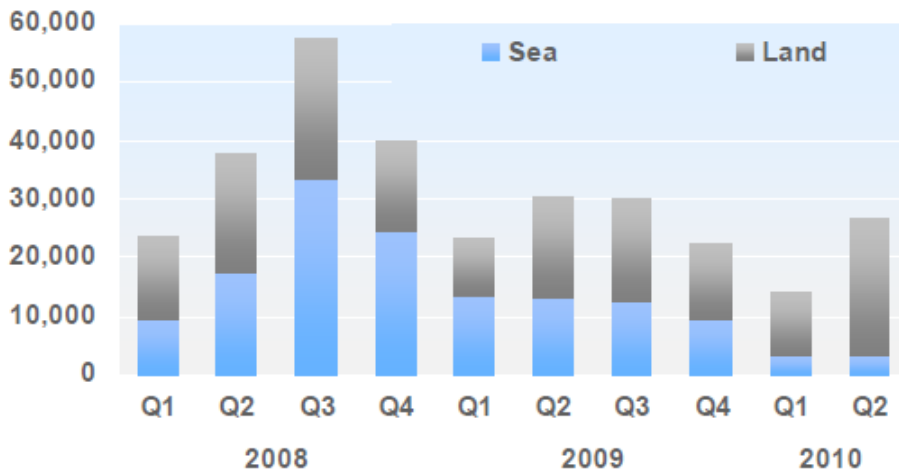
Addressing the particular challenges of this specific type of border has required extensive efforts and multiple targeted joint operations (as seen on map below, joint operations Hera, Indalo, Minerva, Hermes, Mauritius, Poseidon). The success of these joint operations relies on very careful planning requiring accurate and timely situational awareness and intelligence processing, and rapid resource mobilization and deployment (material and human) to not only stem illegal immigration flows but also protect the thousands lives at risk due to the perilous nature of the migration routes.



The importance of strengthened cooperation within southern maritime surveillance has already led to targeted initiatives, such as the creation of the European Patrol Network (EPN). Supported by country-level National Coordination Centers, the EPN is intended to facilitate collaboration between Member States along the Mediterranean coast and optimize border control operations.

As of early 2010, these first steps have already contributed to significant reductions in the detection of illegal migration flows across southern sea borders, a potential sign that the prior operations have been effective:

Figure 2: Bar chart showing total quarterly detections between BCPs, split between detections at the land (grey) and sea (blue) borders



Source: Frontex Fran Quarterly Q2 2010

Despite recent drops in the number of detections, the southern sea borders remain a particular vulnerable type of external borders, requiring extensive and sustained surveillance and involving particular and often urgent operational challenges due to the high risks of loss of human life.

3) Rapid shifts in migration flows

The lack of centralized risk analysis founded on international information and intelligence exchange prevents the timely detection or proper understanding of irregular and abrupt changes in illegal migration patterns.

For example, in early 2010 migration patterns at southern external borders were changing in tandem – at the same time as detections at sea borders continued on a decreasing trend, there was an abrupt increase in detections of illegal border crossing at the land border between Turkey and Greece. Placing the phenomenon in a regional context is necessary to understand why in 2010 Greece became the main entry point for irregular migration into the EU, and Turkey the main transit country for irregular migrants.

Local weaknesses on an external border, legal amendments and policy changes in one MS, or external factors related to Third Countries, can all have direct or indirect, predictable or unpredictable impacts on illegal migration flows, or on cross-border illegal activities

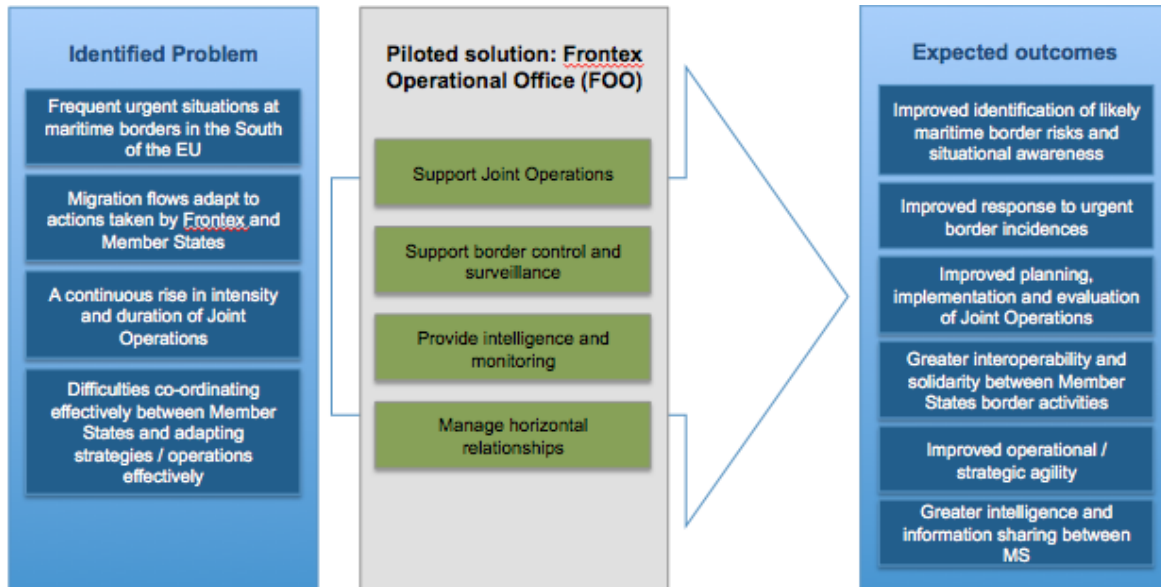
For example, in one instance a sudden increase in illegal border crossings at a small portion of the Greek border was due to facilitators exploiting local vulnerabilities at the EU external border – in particular a 12.5-km stretch of land not delineated by the Evros river, which elsewhere marks the land border between Greece and Turkey.

In some cases, changes to the asylum and refugee acceptance policies of one country can be expected to influence the migration flows affecting other Member States. This problem was witnessed in late 2009 and early 2010, with changes in Norway and UK policies towards Afghan

asylum seekers leading to significant increases in illegal migration from Afghanistan, affecting the EU land border into Greece.⁷

Cooperation with Third Countries and external actors (e.g. UN agencies) is critical, given that migration and cross-border criminality problems cannot be treated as isolated phenomena and must be addressed via their root causes in countries of origin.

The identified problems and expected outcomes following implementation of a Specialised Branch can be summarised as follows:

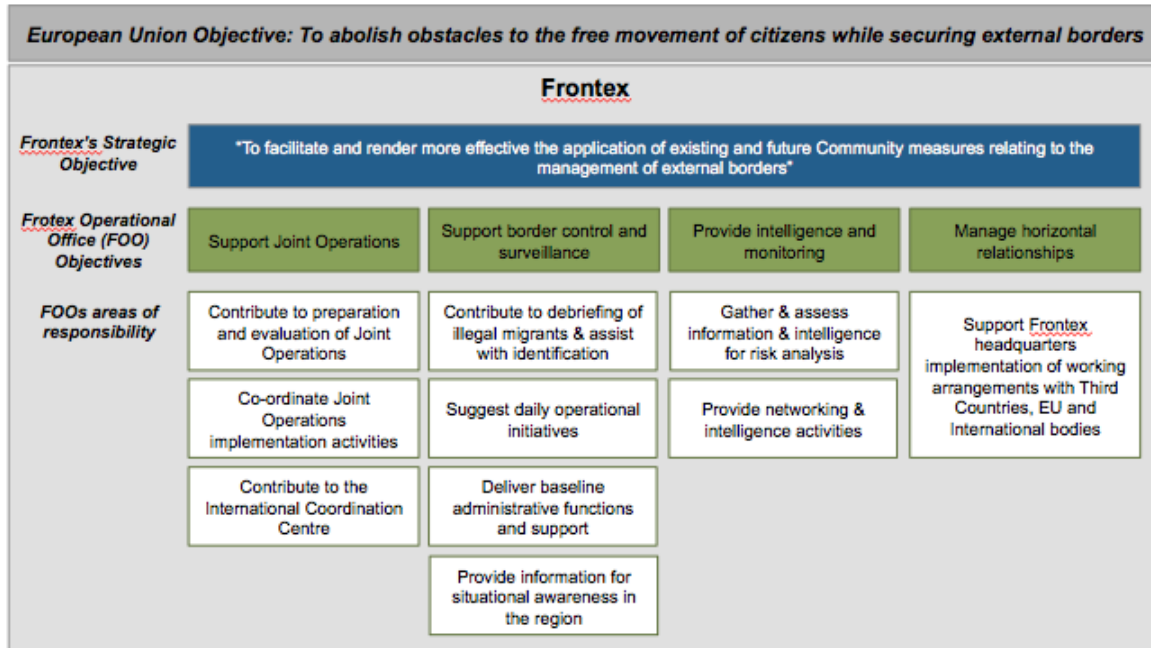


1.2.2 Establishing the Frontex Operational Office for the southern maritime external borders

Following a consultative process involving external consultants, Frontex Management Board and EU lawmakers and policymakers, 2010 saw the establishment of a Frontex Operational Office (FOO) pilot project for southern maritime borders. Flowing from European Union strategic objectives and Frontex’s specific objectives, the FOO aims to strengthen Frontex’s role as a coordinator in Joint Operations, enhance situational awareness in the region, and reinforce its contribution to increasing and harmonizing border management standards across the external borders of the EU.

⁷ Frontex Fran Quarterly Q2 2010

The operational objectives of the FOO can be summarized as follows:



Note: this study considers all areas of FOO responsibility to be in in-scope

FOO Stakeholders

The client for this evaluation is the Management Board of Frontex. Other audiences and interested stakeholders include groups on European, National and International levels. The major actor of this project is the Frontex pilot operational office in Greece (Piraeus).

In light of this, Frontex operational office is in charge of working closely with the Member States, who are the main beneficiaries and stakeholders of Frontex activities. However, FOO's activities involve all the specialized divisions of Frontex. Therefore, this evaluation will take into consideration the views of all parties involved.

These parties include:

1.3 FRONTEX AGENCIES

Organisational Unit:	European Surveillance (EUROSUR)
Principle objective	<ul style="list-style-type: none"> Provide support to the MS in reaching full situational awareness of the situation at their external borders and finding grounds to implement control measures.
Teams and key roles	<ul style="list-style-type: none"> National Coordination Centre (NCC): Basic Framework for border surveillance of the EUROSUR
Location	<ul style="list-style-type: none"> FOO operating Area: Greece, Cyprus, Italy and Malta

Organisational Unit: European Patrol Network (EPN)	
Principle objective	<ul style="list-style-type: none"> • Work in cooperation with maritime surveillance in the Mediterranean area
Key roles	<ul style="list-style-type: none"> • Support common planning and coordination of patrolling activities between MS in FOO operating area with the help of National Coordination centres (NCCs)
Location	<ul style="list-style-type: none"> • Greece
Organisational Unit: The Risk Analysis unit	
Principle objective	<ul style="list-style-type: none"> • Help undertake risk analysis before the Joint operations are planned, gathering information from and disseminating risk analysis to a wide range of partners. Partners include border control authorities both within the Schengen area and at the external borders (e.g. Customs), as well as Member State actors in cooperating neighbouring countries and non-EU states farther afield according to the Common Risk Analysis model (CIRAM). • Contributing to the debriefing of apprehended illegal migrants and assisting in the identification of pre-return assistance, this is in collaboration with specialised screening and debriefing experts
Teams and Key roles	<ul style="list-style-type: none"> • Frontex Risk Analysis Network: Networking and Intelligence activities which involves gathering and assessing information for risk analysis purposes
Location	<ul style="list-style-type: none"> • Greece
Organisational Unit: Frontex intelligence support officers (FISO) in FOO operating area	
Principle objective	<ul style="list-style-type: none"> • A peripheral tool for intelligence gathering, whose tasks include preparation, implementation and evaluation of Frontex joint operations
Location	<ul style="list-style-type: none"> • Pilot Project office in Athens, Greece

Organisational Unit: Rapid Border Intervention Teams (RABITs) and Frontex Joint Support Teams(FJST)	
Principle objective	<ul style="list-style-type: none"> • A pool of experts from the MS trained by the Frontex to enhance the execution of Joint operations • The RABITs consist of a team of specially trained experts (border guards) from EU member states who can be deployed under the coordination of Frontex on a

	<p>temporary basis as a means of rapid operational assistance on border control and surveillance⁸</p> <ul style="list-style-type: none"> • The FJST is a pool of human resources with the larger RABIT pool, more regularly used for Frontex operational activities
Location	<ul style="list-style-type: none"> • Greece
Organisational Unit:	International Coordination Centres
Principle objective	<ul style="list-style-type: none"> • As a standard, every joint international operation at sea is coordinated by an International Coordination Centre (ICC) • Its task is to implement the operational plan, coordinate the development of operations in respective areas, receive reports from the location and collect and evaluate relevant data and information
Key teams and Roles	<ul style="list-style-type: none"> • <u>Joint coordination Board (JCB)</u>, consisting of representatives of the participating Member States (National Officers) and Frontex experts, including a risk analyst
Location	<ul style="list-style-type: none"> • Greece

1.4 Other key Personnel in Joint Operations

Organisation	Objective	Location
Operating Division of Frontex	Frontex agency in charge of Joint Border Operations.	Warsaw, Poland
Frontex joint operations' Coordinators and Analysts	In charge of Joint operations	Greece
The Border Guard authorities of the member states and Schengen Associated Countries	All involved in Joint operations and are key stakeholders in joint operations.	Schengen and associated countries.

⁸ Belachew Gebrewold-Tochalo: *Africa and Fortress Europe: Threats and Opportunities*: Ashgate Publishing, Ltd., 2007 .pp.134

National Border Guard Authorities of the FOO operational area	In charge of National borders in FOO operating area.	Greece, Cyprus, Italy and Malta.
Hosting institution of FOO	Ministry in Host country for location and local help to FOO office.	The Headquarters of the Hellenic Coast Guard, Greece
Personnel from ICO-NET	A web-based information platform for the communication of return flights for third country nationals in Joint Operations	Greece
Personnel from the CRATE	Centralized Record of Available Technical Equipment : In charge of keeping records of equipment deployed by MS in joint operations	Greece
Guest Officers of participating countries	Operative and supportive role in joint operations	Greece

1.4.1 European and International Level Stakeholders

Organisation	Location	Organisation	Location
The European Police Office (EUROPOL)	FOO operating area: Greece, Cyprus, Italy and Malta	The United Nations High Commissioner For Refugees (UNHCR)	FOO operating area: Greece, Cyprus, Italy and Malta
The European Police College	Hampshire, United Kingdom	Interpol	FOO operating area: Greece, Cyprus, Italy and Malta
The European Safety Agency	FOO operating area: Greece, Cyprus, Italy and Malta	The International Organization for Migration (IOM)	FOO operating area: Greece, Cyprus, Italy and Malta
The International center for migration policy development	Brussels, Belgium	The European commission: DG Home affairs	Brussels, Belgium

1.4.2 Third Countries

Frontex considers operational Cooperation with Third countries as an integral part of its mission. Cooperative agreements with Third countries usually cover areas of information exchange, research and Joint operations and Pilot projects.⁹

- TASK force from Third countries involved in FOO operational area: Algeria, Lebanon, Afghanistan, Egypt and Morocco

⁹ FRONTEX external relations website : <http://www.frontex.europa.eu/partners/third-countries>
<http://www.frontex.europa.eu/>

2 Study Objectives

This evaluation will consider two dimensions:



1. Whether the FOO pilot successfully addresses the problems identified by Frontex and should be deployed more broadly

Focused on measuring achievement of the expected outcomes (FOOs overall effectiveness)



2. What working practices have been adopted by FOO and whether these are effective and efficient or if adjustments should be made before full deployment

Focused on measuring the working practices, efficiency and effectiveness of FOO's delivery

2.1 Is FOO delivering the expected outcomes?

This study will focus on the effectiveness of FOO, not just in relation to each of FOO's areas of responsibility but as a complete solution. To understand whether the FOO pilot is the most appropriate solution we will return to the *ex-ante* assessment (completed by yourselves and Deloitte) and evaluate whether the identified problems have been addressed. In particular we will pose the following questions, and assess achievement of the associated indicators. Finally we will also develop a scorecard to demonstrate FOO's performance against these indicators.

Initial problem: Frequent urgent situations at maritime borders in the South of the EU	
Question	Has FOO contributed to improving the identification of likely border risks and the effectiveness of responses to urgent incidents?
Judgment Criteria	<ul style="list-style-type: none"> • Awareness and mitigation of likely border risks • Speed of response to urgent incidents and deployment of equipment, personnel or support • Effectiveness of response to urgent incidents
Indicator	<ul style="list-style-type: none"> • Number of urgent border situations • Response times to border situations • Availability of equipment, personnel or support for border incidents • Resolution rate (closure and perceived level of success)

Initial problem: Migration flows change and adapt to actions taken by Frontex and Member States	
Question	Has FOO contributed to improved identification of changes in migration flows in order to reinforce situational awareness and more appropriately adapt border surveillance and control along the southern maritime external borders?
Judgment Criteria	<ul style="list-style-type: none"> • Awareness and communication of migration flows • Adaptability of border control and surveillance
Indicator	<ul style="list-style-type: none"> • Number and accuracy of situational reports produced • Number of additional information sources • Use of communication channels and number of communications sent

	<ul style="list-style-type: none"> • Agility of resource assignment • Turn around time for changes in operational processes
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Initial problem: A continuous rise in intensity and duration of Joint Operations	
Question	Has FOO contributed to improved planning, implementation and evaluation of existing and new Joint Operations (JO) on the southern sea borders?
Judgment Criteria	<ul style="list-style-type: none"> • Duration and effectiveness of JOs • Cooperation between JO stakeholders • Mobilization of necessary information and intelligence throughout all stages of JOs • Mobilization of necessary equipment and resources (via CRATE and FJST) throughout all stages of JOs
Indicator	<ul style="list-style-type: none"> • Perceived level of success for JOs • Availability and accuracy of JO reports and updates • Availability and quality of equipment for JOs • Agility of resource allocation

Initial problem: Difficulties coordinating between Member States and effectively adapting strategies / operations	
Question	Has FOO promoted solidarity between Member States and facilitated information sharing, integration and aligned operations?
Judgment Criteria	<ul style="list-style-type: none"> • Communication and exchange of intelligence between Member States • Standardization and interoperability of processes
Indicator	<ul style="list-style-type: none"> • Number of inter-MS communication channels • Availability of intelligence reports • Number of inter-MS operational and training initiatives • Level of process standardization

2.1 Is FOO delivering the right working practices, effectively and efficiently?

Working with you we will drill-down into each of FOO’s areas of responsibility to identify the component tasks. FOO’s delivery of each task can then be evaluated to understand what working practices have been adopted and whether these are delivered efficiently and effectively.

According to Article 16 of the Frontex Regulation:

“the Management Board of the Agency shall evaluate the need for, and decide upon the setting up of specialized branches in the Member States, subject to their consent, taking into account that due priority should be given to the operational and training centers already established and specialized in the different aspects of control and surveillance of the land, air and maritime borders respectively. The specialized branches of the Agency shall develop best practices with regard to the particular types of external borders for which they are responsible. The Agency shall ensure the coherence and uniformity of such best practices (...).”

Responses will be weighted such that an emphasis is placed on effectiveness, then efficiency and then whether working practices do not interfere with existing national bodies and whether they are market leading and/or appropriate considering their strategic priority.

For each identified task we will consider the following:

	Question	Weighting	Indicator
Working	Are FOO employing the	25%	<ul style="list-style-type: none"> • Roles and responsibilities

Practices	appropriate tools/systems, processes, organisational roles and governance structures to deliver services?		<ul style="list-style-type: none"> • Skills required / utilised • Processes followed • Systems/tools used • Governance framework applied
Efficiency	Are tasks and processes delivered efficiently, do they avoid any overlap or duplication with existing actors, are they accomplished accurately and in a time- and cost-efficient manner?	35%	<ul style="list-style-type: none"> • Task frequency / volumes • Turn-around times • Operational cost • Error rates
Effectiveness	Are FOO achieving their operational objectives, in alignment with stakeholder expectations and having an impact on the root problems?	40%	<ul style="list-style-type: none"> • Stakeholder satisfaction (quality) • Stakeholder perception of value (importance) • Timeliness

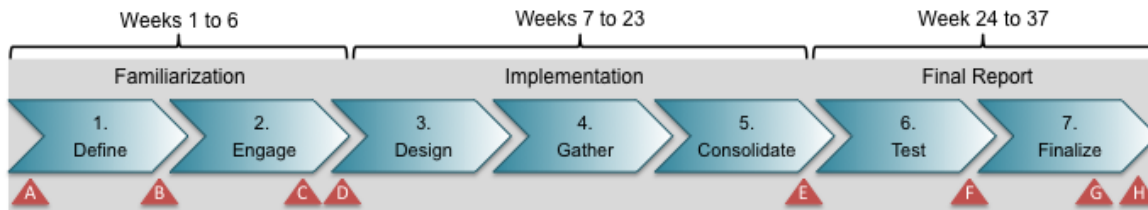
As an example: we would expect FOO to be producing daily situational reports and making these available to Member States. Working with FOO and the Member States we would pose and answer the following questions:

To evaluate...	We will ask and answer the following questions...
Working Practices	<ul style="list-style-type: none"> • Who is accountable for producing and distributing the situational report and what skills do they require? • How are these roles organised (team structure) and what governance processes are in place to manage and review their work? • How is the information or data required for this report collected? • What tools / systems are used to generate the report? • What are the principle process steps to generate this report? • How is this report distributed?
Efficiency	<ul style="list-style-type: none"> • How frequently is this report run? • How long does it take to produce this report (man-hours by role)? • What is the loaded cost of expended man-hours? • What is the purchase / license / maintenance cost of the systems or tools used to produce this report? • How accurate is the data / information contained within this report?
Effectiveness	<ul style="list-style-type: none"> • Is the information contained within this report useful and easy to understand? • Does this report arrive in time? • How important is this report to its recipients, does it help them do their job better?

3 Study methodology

As proposed by yourselves this study would be structured into three phases: familiarisation, investigation and final report. We will use our proven methodology to complete each phase and leverage standard tools to accelerate mobilisation and delivery.

3.1 Principle activities and timeline



Familiarisation

- Engage:** Holding initial meetings with key stakeholders to understand their expectations / concerns and developing a stakeholder engagement plan
- Define:** Agreeing the indicators we'll use to measure FOOs success and developing a scorecard to demonstrate achievement of those indicators (based on Deloitte Feasibility Study and FOO strategy) objectives identified within the Deloitte feasibility study. Finalising project governance, plans and evaluation methodology

Milestones

- A** Feasibility methodology and plan (presented 2 weeks after contract signature and agreed before commencement of the familiarization phase)
- B** Signed-off project plan and objectives
- C** Initial findings presented to Steering Committee

Implementation

- Design:** Understanding FOOs scope of responsibility, processes and organisation and tailoring our standard evaluation tools and Border Management activity framework.
- Gather:** Managing the distribution of surveys, completion of interviews and associated communications activities. Assessing FOO costs, volumetrics and working practices against market benchmarks.
- Consolidate:** Collecting completed surveys, interview notes etc. reconciling data points and identifying any gaps / outliers. Following-up with FOO teams and stakeholders as required.

Milestones

- D** Implementation kick-off
- E** Preliminary report presented to Steering Committee

Final Report

- Test:** Running workshops with a selection of FOO employees to review initial findings, reconcile anomalies, identify areas for further investigation and develop assumptions (where data is missing.)
- Finalize:** Drafting, reviewing and signing-off the final report with the Steering Committee. Briefing Board Members and addressing their concerns before results are presented in November.

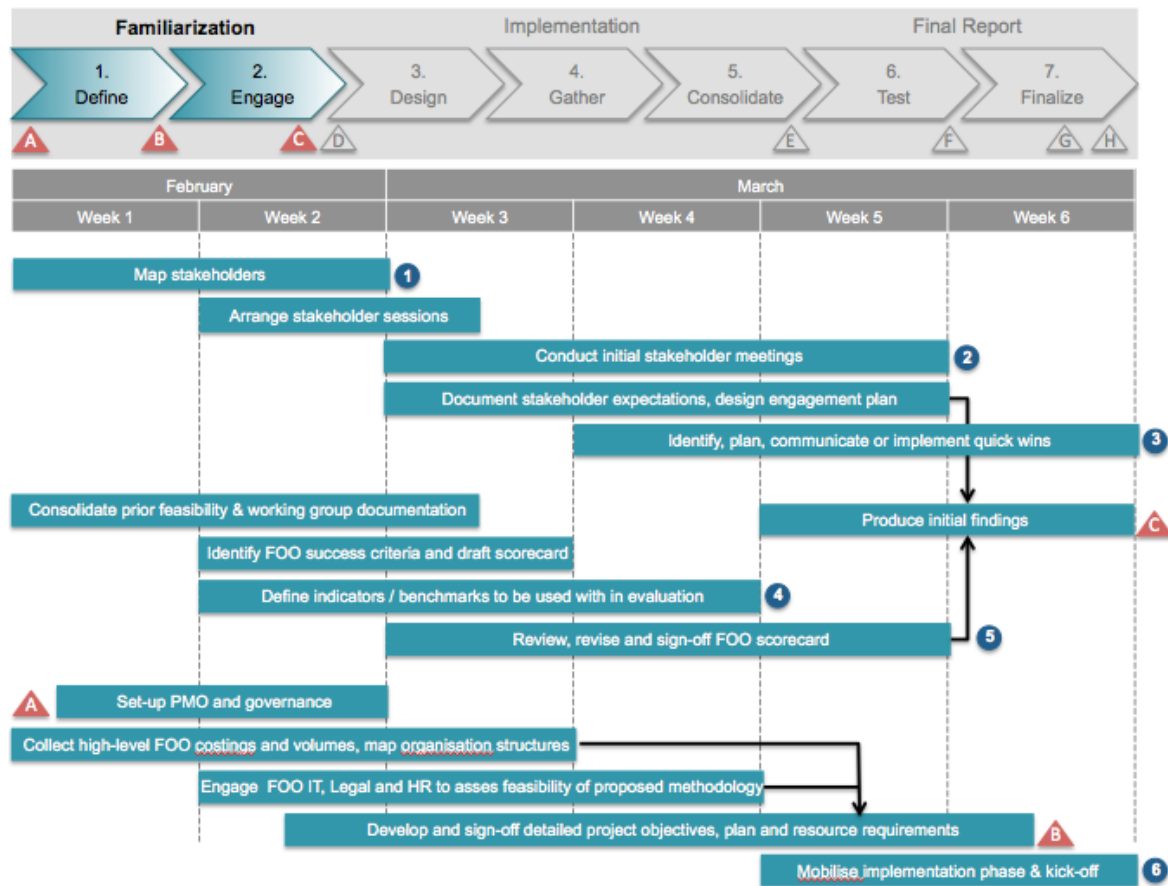
Milestones:

- G** Final report presented to Steering Committee
- H** Presentation to Management Board
- F** Draft final report

3.2 The Familiarisation Phase:

We understand the common issues faced by border agencies today; best practices for securing, surveying and controlling borders; and are experienced at working with the European Freedom, Security and Justice policy. We will of course bring this expertise to the study. However, we also understand the importance of tailoring solutions to a specific context, so this phase is about us familiarising ourselves with your organisation, your stakeholders and the specific challenges that you face. It is also an opportunity to engage with your key stakeholders, to understand their concerns and priorities and ensure that these will be addressed through the evaluation. If we identify quick, early wins, we'll work with you to implement them. Together we will also design a scorecard of indicators to demonstrate FOO's effectiveness and agree the methodology and tools used to implement this evaluation.

Activities & timeline:



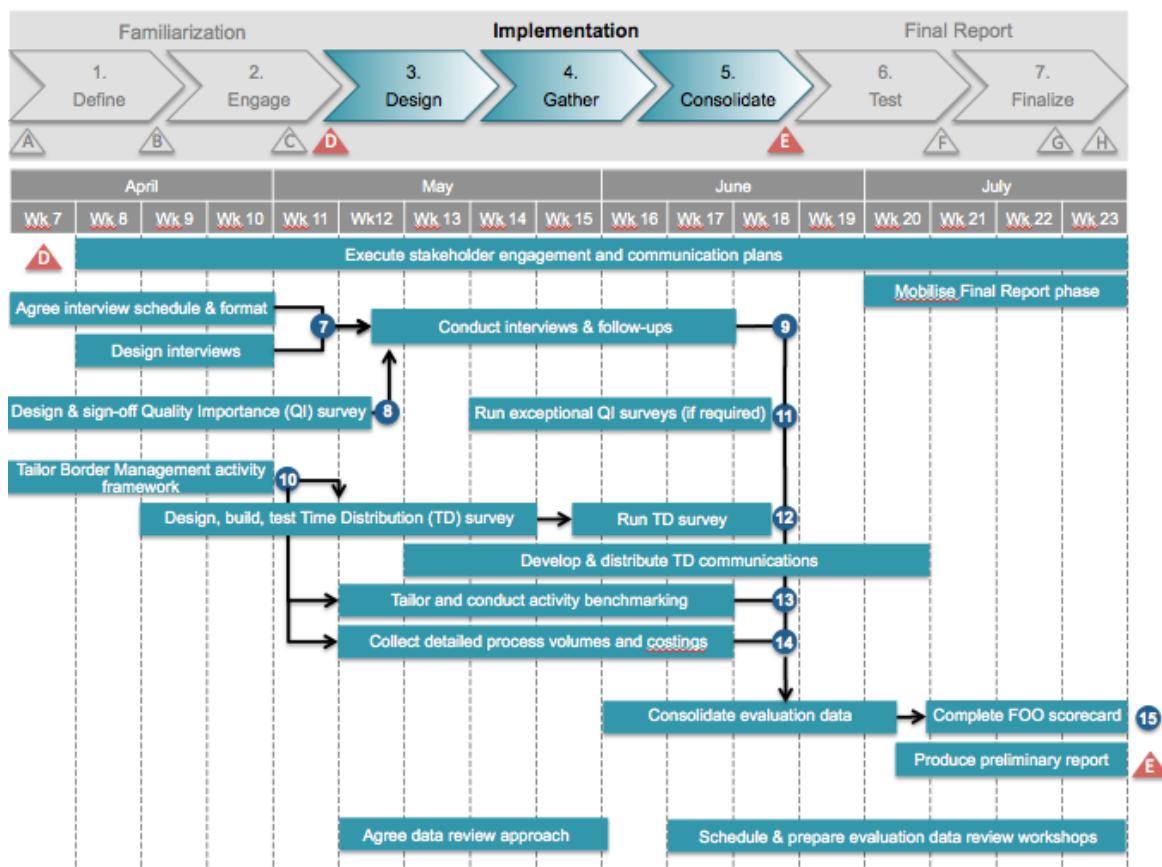
Milestones & deliverables:

- A** Feasibility methodology and plan (presented 2 weeks after contract signature and agreed before commencement of the familiarization phase)
- B** Signed-off project plan and objectives
- C** Initial findings (available 1 week prior to kick-off)
- 1** Stakeholder map
- 2** Stakeholder engagement plan
- 3** Quick wins action plan
- 4** Evaluation indicators and benchmarks
- 5** FOO scorecard
- 6** Kick-off materials and proposed approach for final report (available 1 week prior to kick-off)

3.3 The Implementation Phase:

Working with you we'll conduct a quantitative and qualitative assessment of FOO with an emphasis on communication and engagement. We'll first work with you to tailor our proven Borders Management Activity framework to reflect FOOs language, scope of responsibility and current processes. We'll then develop a series of quantitative and qualitative surveys (using our standard products as a foundation) which will assess the effort, cost, volume and accuracy of FOOs delivery against Border Management activities, the perceived value and quality of delivery and relative performance against the market. This data will be reviewed and consolidated in a preliminary report for the Steering Committee. We'll work with FOO management to ensure that FOO employees and stakeholders understand the objectives of this evaluation, how they will be involved, and what the likely outcomes will be.

Activities & timeline:



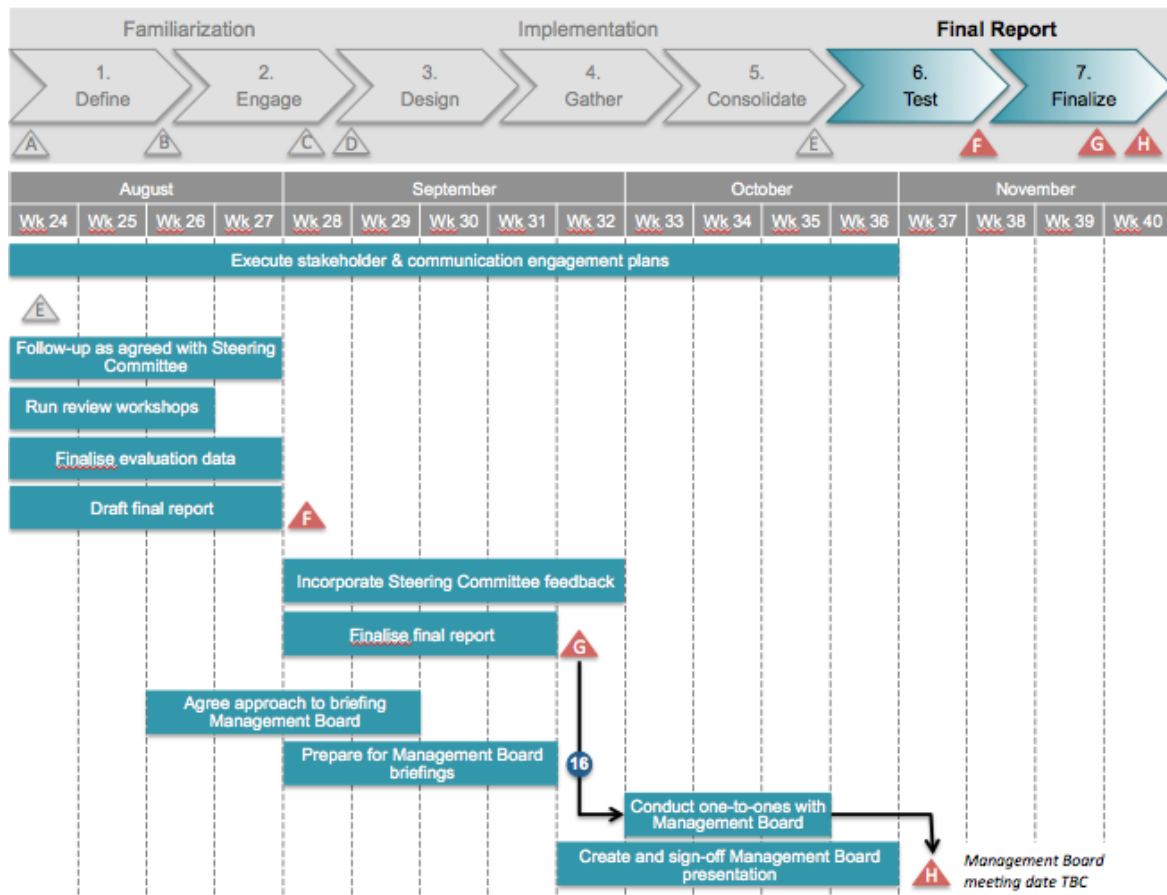
Milestones & deliverables:

- ▲ **D** Implementation kick-off
- ▲ **E** Preliminary report presented to Steering Committee
- 7** Stakeholder interview design and materials
- 8** Quality & Importance (QI) survey
- 9** Interview findings and action plan
- 10** Quality & Importance survey findings
- 11** Borders Control Activity Framework (BCAF)
- 12** Time Distribution (TD) survey
- 13** Completed benchmark assessment
- 14** FOO costings, volumetrics and organisation design
- 15** Completed FOO scorecard

3.4 The Finalisation Phase:





In this phase we will first run review workshops with key stakeholders (team and unit leaders) in order to obtain their feedback on our results and findings. We will also complete and submit the draft final report, and collaborate with the Steering Committee to validate the findings and ensure it is positioned appropriately ahead of Management Board meeting in November.

Activities & timeline:



Note: The final report will be delivered slightly ahead of the timings suggested in the RFP to accommodate Management Board Briefings

Milestones & deliverables:

-  Draft final report
-  Final report presented to Steering Committee
-  Presentation to Management Board
-  Materials for Management Board one-to-ones

3.5 Tools

We will use standard tools (tailored to reflect FOOs language and operational model) to accelerate delivery and facilitate benchmarking

Tool	Objective	Format	Audience	Associated Cost
Scorecard	<ul style="list-style-type: none"> To demonstrate FOOs performance against it's strategic goals 	Excel	Frontex Management Board FOO Steering Committee	N/A
Executive & Stakeholder Interviews	<ul style="list-style-type: none"> To understand expectations of FOO To understand perspectives on the quality of FOOs delivery To understand perspectives on FOOs strategic goals and in relation to stakeholder's priorities 	Face-to-face Semi-structured	Frontex Management Board FOO stakeholders (EPN, RABITs, FRAN, FJST, ICCs, NCCs) FOO senior management	Consultant Travel & Expenses only
Quality & Importance (QI) Survey	<ul style="list-style-type: none"> To measure perception of the quality of FOOs principle services Perceptions of the importance of FOOs principle services Services rated against a scale of 1 to 5 	Completed during the Executive & Stakeholder interviews and/or distributed electronically if deemed necessary	Frontex Management Board FOO stakeholders (EPN, RABITs, FRAN, FJST, ICCs, NCCs) FOO senior management Any additional roles nominated by Executives or key stakeholders during the interviews	N/A
Borders Management Activity Framework	<ul style="list-style-type: none"> To document the principal processes undertaken within Border Management and the component activities To provide a common structure and terminology within all data gathering activities 	Excel	Signed-off by FOO Steering Committee	N/A
Time Distribution (TD) Survey	<ul style="list-style-type: none"> To map all work undertaken by FOO personnel against Border Management activities To identify overlaps or gaps in responsibilities between roles To capture the approximate effort 	Internet based Intelligent (i.e. selects questions based on previous responses)	All FOO personnel	€10,000 (to configure, test and translate) €1 for every completed response (for management & processing)

	(manhours) spent on each activity	Local language		
Border Management Benchmark Assessment	<ul style="list-style-type: none"> To compare FOO working practices against a catalogue of basic, common and leading edge practices within the market and so understand relative sophistication To compare FOO volumetrics 	Excel	Conducted by the project team based on document or systems reviews and input from selected FOO resources	N/A
Operational Assessment	<ul style="list-style-type: none"> To collect the process volumetrics, activity frequency and costs associated with FOO services 	Excel (potentially completed in partnership with a project resource)	Team leaders within FOO units FOO reporting/governance function	N/A
Review Workshops	<ul style="list-style-type: none"> To review initial findings, reconcile anomalies, identify areas for further investigation and develop assumptions (where data is missing) 	Face-to-face	Team leaders within FOO units and/or their nominees	Consultant Travel & Expenses only

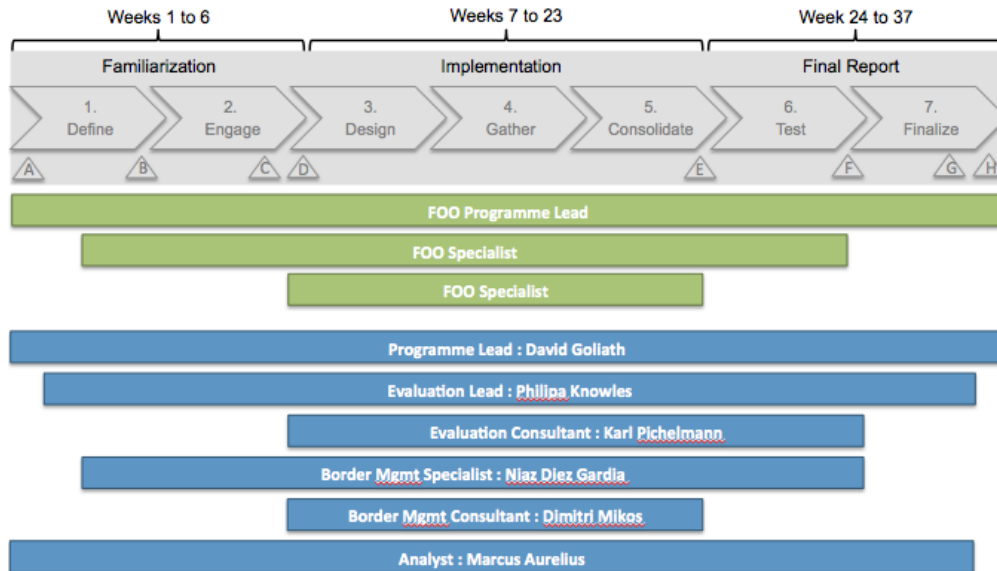
3.6 Methodology Assumptions:

- FOOs stakeholders will be informed about the evaluation study and will participate in the assessment of FOOs effectiveness
- FOO has an existing communication capability and change network which can be leveraged for this evaluation study
- Data/document requirements and meeting/workshop schedules will be determined during the familiarisation phase and communicated so that FOO teams have a clear understanding of their expected involvement and can plan accordingly
- FOO will provide access to systems and/or databases containing any information required to complete the evaluation
- All evaluation activities will be planned to minimise disruption and provide a sense of 'joined-up thinking' i.e. meetings held with FOOs stakeholders will combine interview and QI questions (to minimise data requests) and will be included in the stakeholder engagement plan to ensure contextual messages are aligned

4 Study Resources

4.1 Resource profile

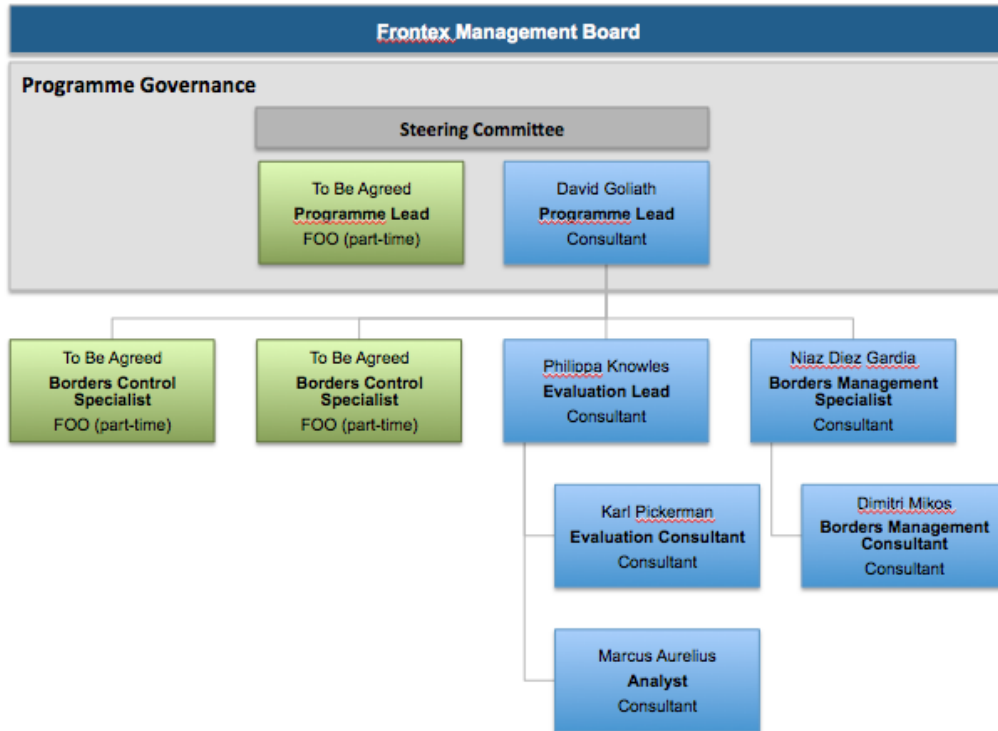
The resourcing profile will change during the project life-cycle to balance having the right skill-sets and sufficient capacity against project cost.



Please see the costs section for a detailed breakdown of mandays, by week, by resource

4.2 Team structure

The team will be comprised of both FOO and contractor resources to balance bringing market expertise and perspective with a good understanding of FOOs practices. The team will be jointly managed and report into the FOO Steering Committee



4.2.1 Roles, responsibilities, mandays and cost

Role	Working pattern	Responsibilities	Day Rate	Total Mandays	Total Cost
Programme Lead (FOO)	Part-time (variable)	<ul style="list-style-type: none"> Programme governance (including Steering Committee) Ensuring appropriate FOO involvement and representation Senior stakeholder 	N/A	83	N/A
Border Control Specialist (FOO)	Part-time (40%)	<ul style="list-style-type: none"> Facilitate data collection activities Provide insight into FOO Operations 	N/A	58	N/A
Border Control Specialist (FOO)	Part-time (60%)	<ul style="list-style-type: none"> Facilitate data collection activities Provide insight into FOO Operations 	N/A	51	N/A
Programme Lead	Part-time (variable)	<ul style="list-style-type: none"> Programme governance Senior stakeholder engagement / interviews Steering Committee & Management Board presentations 	€1800	133	€239,400
Evaluation Lead	Full-time	<ul style="list-style-type: none"> Delivery of all evaluation activities Initial, preliminary and final reports Stakeholder analysis and engagement plan 	€1400	175	€245,000
Evaluation Consultant	Full-time	<ul style="list-style-type: none"> Time Distribution Survey Data review workshops 	€800	100	€80,000
Border Management Specialist	Full-time	<ul style="list-style-type: none"> FOO scorecard Early quick wins Benchmark assessments Q&I survey and/or interviews 	€1200	115	€138,000
Border Management Consultant	Full-time	<ul style="list-style-type: none"> Consolidating and understanding Border Control costings, organisation structure and volumetrics Border Control Activity Framework 	€800	85	€68,000
Analyst	Full-time	<ul style="list-style-type: none"> Running the project management office Supporting communication and engagement activities Supporting data consolidation and reconciliation 	€600	175	€105,000
TOTAL*				768	€847,400

*Totals only consider consultant resources

4.3 Proposed team

We have selected people from across our practice to ensure the right balance of Evaluation, Integrated Border Management and European Policy (Freedom, Security and Justice) specialism. All our people are fluent in English.

Role	Name	Prior Experience
Programme Lead	David Goliath	<p>A regulatory and defense policy specialist, David set up MKA following a career in research and the public sector. After completing a Masters and PHD in International Security at Cambridge University, he has now worked in border control related research and policy development for over thirty years.</p> <p>From 1994-2000 David was the senior advisor at the EU- UK defense project (EUDP) EU's largest defense related technical assistance program worldwide.</p> <p>As the director of WKA David oversaw the review of various UK defence policy and engagements, including the Joint Operations Command System and the Biometric Collection System.</p>
Evaluation Lead	Philippa Knowles	<p>Throughout Philippa's 10 years of expertise in program evaluation analysis, operational management, and project coordination, she has had the opportunity to support, assist, and</p>

		collaborate with David to drive corporate functionality and capitalize on opportunities for improvement. Her comprehensive ability to facilitate operational effectiveness partnered with her experience in program development and relationship management makes her an invaluable asset to the team at WKA.
Evaluation Consultant	Karl Pichelmann	Karl has worked at various evaluative agencies, including the United Nations Industrial Development Organisation (UNIDO) Evaluation Group, responsible for the independent evaluation of UNIDO in support to lesson learning and accountability. He has had vast experience in creating evaluation methods and standards.
Borders Management Specialist	Niaz Diez Gardia	Niaz has previously worked as a senior research fellow at the Commission of European Policy Studies (CEPS) and published widely on the topic of migration patterns in Eastern Europe. Her research interest focuses on illegal migration triggers and transitory persons.
Borders Management Consultant	Dimitri Mikos	Dimitri was a Research Advisor 1998 at the EU Commission on Migration until 2000, when he became an associate professor at Université Libre de Bruxelles, Institut d'Etudes Européennes. His research interest focuses on illegal migration triggers and transitory persons.
Analyst	Marcus Aurelius	Before joining WKA Markus has worked at the UN Economic and Social Commission for Western Asia (UN-ESCWA), Beirut, Lebanon, (July 2009 - January 2010), after which he became the course manager of the International Center for Policy development (ICMPD), Brussels, Belgium, (March 2010 - July 2010). Both experiences have equipped him with a well rounded understanding of EU's member states and their various economic and social triggers.

5 Study Costs

5.1 Costing Assumptions:

Based on the scope, methodology, resource profile and tools outlined within this document we estimate costs to be as follows:

Cost Item	Cost
Resources	€847,400
Tools (Time Distribution Survey)	€10,000
Travel & Expense	€84,740
Total	

These costs exclude VAT or other tax liabilities

5.2 Costing Assumptions:

- Assumption that 80% of FOO employees will complete the Time Distribution Survey (at a cost of €1 per response)
- FOO will be liable for all Travel & Expenses incurred by the consultants however we will commit to ensure that these do not exceed 10% of the total contract value. Where appropriate the FOO travel and expenses policy will be followed
- The cost of producing hard copy and CD versions of the requested reports has been included. Any reprographics in addition to this will be discussed and agreed with FOO on a case-by-case basis.
- Resource costs have been calculated based on the following manday profile

Role	Feb.		March				April				May				June				July				August				September				October				N.			
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34		35	36	37
Programme Lead (FOO)	2	2	2	2	2	2	2	2	2	2	2	3	3	3	3	3	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	3	3	3	3	3	
Borders Specialist (FOO)			2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2		
Borders Specialist (FOO)							3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3		
Total	4				16					28					41																						3	
Programme Lead	5	5	5	5	5	5	2	2	2	2	2	5	5	5	5	5	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	5	5	5	5
Evaluation Lead		5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
Evaluation Consultant							5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
Borders Mgmt Specialist				5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
Borders Mgmt Consultant							5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
Analyst	0	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	0	
Total	20				60					108					147																						5	