External evaluation of the support to the ICoCA governance mechanism
Terms of Reference

1 SUMMARY

Object of the evaluation:

The International Code of Conduct for Private Security Service Providers’ Association (ICoCA) is a multi-stakeholder initiative formed in 2013. The ICoCA promotes the provision of responsible private security and strives to ensure that its Member & Affiliate companies respect human rights and humanitarian law. ICoCA serves as the oversight and implementation mechanism of the International Code of Conduct for Private Security Service Providers (the “Code”). ICoCA’s mission is to raise private security industry standards and practices and to engage with key stakeholders to achieve widespread adherence to its Code globally.

Direct support is provided by Switzerland to the secretariat of the International Code of Conduct Association for Private Security Service Providers (“ICoCA”) in order to enable it to implement the oversight functions of this international initiative in the area of business and human rights, in accordance with its Strategic Plan 2019-2023. This support is key for the success of an initiative that is fully in line with the Swiss policy of favoring inclusive and accountable multi-stakeholder approaches based on the UN Guiding Principles on Business and Human Rights.

Objective: Assess the relevance and the impact of the Swiss core contribution to the ICoCA secretariat on the implementation of the ICoCA Strategic Plan 2019-2023. Identify key priorities and avenues for support in a possible next phase.

Timeframe of the evaluation: 1.05.2019 – 30.06.2020
Costs of the evaluation: ~CHF 25’000.-
Focal Point: Frédéric Chenais

2 BACKGROUND: ICOCA SECRETARIAT

The International Code of Conduct for Private Security Service Providers’ Association (“ICoCA” or “the Association”) is the independent multi-stakeholder governance and oversight mechanism charged with overseeing the implementation of the International Code of Conduct for Private Security Service Providers (“the Code”). In May 2019, the board of the ICoCA adopted a five-year strategic plan for 2019-2023.

The first goal of the plan is to build the capacity of private security companies to implement the Code of Conduct and become certified members of the ICoCA. In the last years, a specific emphasis has been put on building capacity of private security companies to prevent sex-

1 https://www.icoca.ch/en/strategic-plan
ual exploitation and abuse and to develop accessible grievance mechanisms, with the production of associated guidelines. In addition, the Association has been streamlining and evaluating certification procedures that would have greatest impact in raising security standards.

The second goal of the plan is to continue to develop effective systems for evaluating compliance with the Code; in that regard, a self-assessment company tool has been developed, and was successfully used by 90% of member companies. Countries are also helped to be compliant with the code, and in-country assessments were conducted in Peru, Iraq, Kenya, Tanzania and South Sudan. It is planned to share these country assessments with the relevant Peace Policy sections of the Human Security Division in order to develop potential synergies. The Association will continue to strengthen the capacity of its CSO members to support the monitoring of private security companies.

The third goal is to expand the initiative. This should be done through contacts with clients of security companies by raising their awareness and convincing them to require certification from private security providers. In addition, the Association is looking to broaden its sphere of influence with key stakeholders along the security supply chain. This includes donors, regulators, trade associations, humanitarian agencies, international organizations and multinational corporations.

The Fourth goal of the strategic plan is to promote global standards and to reach a level playing field when it comes to human rights and private security. This will be done through the promotion of the ICoCA brand and through participation in international fora. It will also be achieved by strengthening cooperation with other relevant multi-stakeholder organizations like the Voluntary Principles on Security and Human Rights.

Finally, as a consequence of COVID-19, the Association is reviewing the impact of the pandemic on the nature and evolution of the private security industry in complex environments.

3 GENERAL OBJECTIVES OF THE EVALUATION

The purpose of the external evaluation is to assess the relevance, the outcomes and the impact of HSD’s contribution to the ICoCA. The sustainability of the funding structure of the ICoCA should also be addressed.

The relevance of HSD’s contribution should be assessed against the relevant plans and strategies of the federal Administration such as :

- The Swiss Foreign Policy Strategy 2020 – 2023\(^2\),
- The Swiss National Action Plan for the implementation of the UNGP\(^3\),
- The FDFA Human Rights Strategy\(^4\),
- The report " The Swiss commodities sector: current situation and outlook\(^5\)."


\(^3\) [https://www.nap-bhr.admin.ch/napbhr/en/home.html](https://www.nap-bhr.admin.ch/napbhr/en/home.html)


\(^5\) [https://www.newsd.admin.ch/newsd/message/attachments/55063.pdf](https://www.newsd.admin.ch/newsd/message/attachments/55063.pdf)
• The Swiss Strategy for International Cooperation (IZA)

The outcome and the impact of the Swiss contribution should be assessed against the 5 years strategic plan of the ICoCA, adopted in May 2019 (cf. above).

A third section of the evaluation should outline different options for the future collaboration between the ICoCA and HSD in the area of business and human rights. A specific focus should be put on the following questions:

• Does HSD’s contribution support the overall goals of the FDFA human rights policy?

• Has the Swiss support to the ICoCA achieved the goals of HSD, as described in its internal project proposal?

• How did the different activities help to establish and facilitate synergies with related initiatives and stakeholders?

• How effective has the ICoCA been in meeting expected outcomes of its own strategic plan? If they have proven to be ineffective, what were the reasons and what was done to address them?

• Is the structure of HSD’s contribution (core contribution to the secretariat) suitable to implement expected outcomes of the ICoCA strategic plan? Does it allow for the necessary flexibility? Should the structure be adapted for a possible new phase beyond 2020?

• Has the ICoCA achieved its goals as described in its workplan? How far did the Swiss support allow the ICoCA to operationalize its activities? Can you identify additional results that HSD’s contribution has achieved?

• How has HSD’s support helped the ICoCA to become a more established and operational organization?

• How sustainable is ICoCA funding structure? What would be the impact on the Association if one major donor would reduce its funding? How dependent is ICoCA on the Swiss Contribution?

4 Methodology

The evaluation shall be based on document studies (thematic reports, annual narrative and financial reports, website, blogs) and on interviews.

The evaluation should take the following perspectives into consideration:

a) ICoCA perspective: Interviews with staff

b) Stakeholders’ perspective: interview with companies, civil society and other governments’ representatives

c) FDFA – Human Security Division staff
5 Expected Output

The evaluation is expected to produce a report with the following characteristics:

- Max. 20 pages long
- Findings from the assessment, options and recommendations for future collaboration between HSD and the ICoCA in the area of business and human rights.
- One page Executive summary

HSD and the ICoCA will be able to review and provide comments on the draft evaluation report. The evaluation team will debrief the Steering Committee and the Focal Point and present the final version of the report to HSD and IHRB.

6 Steering Committee for the Evaluation and Focal Point at HSD

HSD mandates and finances the external evaluation. The planning, management and guidance of the evaluation process is assigned to a “Steering Committee” (SteeCom) consisting of a member of the HSD staff office, HSD’s Deputy Head of Division and the Head of Human Rights Policy section.

The Focal Point at HSD is the Project lead at human security and business

7 Estimation of Working Days and Budget / Application

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<tr>
<th>Item</th>
<th>Estimation of working days</th>
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<tbody>
<tr>
<td></td>
<td>Lead Evaluator</td>
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<tr>
<td>Preparation (study of documents, methodology, planning/inception report)</td>
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<tr>
<td>Interviews, meetings</td>
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<tr>
<td>Analysis of data, drafting report</td>
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<tr>
<td>Debriefing / final report</td>
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<tr>
<td>Total suggested working days (without travelling)</td>
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Based on the estimation of a total of 15 to 25 working days, a detailed budget shall be proposed by the evaluation team.

The application can be sent by email to frederic.chenais@eda.admin.ch and should contain the following documents:

- Application letter, covering previous experience and how it is relevant to the proposed assignment.
- Profile and CVs of the consultant, and/or organization.
- Proof of completion of similar assignments.
- Technical proposal with details of overall methodology of research.
- Detailed budget covering specific cost related to assessment, i.e. consultancy fee and other associated cost.
8 **TIME TABLE**

<table>
<thead>
<tr>
<th>Item</th>
<th>Responsible</th>
<th>Deadline 2020</th>
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<tbody>
<tr>
<td>Kick-Off Telcon with ICoCA; purpose:</td>
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<tr>
<td>◆ Information on process</td>
<td>Focal Point</td>
<td>End August</td>
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<tr>
<td>◆ Feedback on ToR</td>
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<tr>
<td>Adoption of ToR</td>
<td>SteeCom</td>
<td>End August</td>
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<tr>
<td>Tender</td>
<td>Focal Point</td>
<td>September</td>
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<tr>
<td>Submission of proposals</td>
<td>Evaluators to Focal Point</td>
<td>Q2 October</td>
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<tr>
<td>Selection of evaluators</td>
<td>SteeCom upon recommendation by Focal Point</td>
<td>Q3 October</td>
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<td>Acceptance of inception report</td>
<td>SteeCom</td>
<td>Q3 October</td>
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<td>Evaluation process (interviews and analysis)</td>
<td>Evaluation Team</td>
<td>Q3 October</td>
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<tr>
<td>Draft report</td>
<td>Evaluators to Focal Point</td>
<td>Q3 November</td>
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<td>Discussion FDFA /IHRB-Evaluator</td>
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<td>Q3 November</td>
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<tr>
<td>Incorporation of comments and final report</td>
<td>Focal Point to Evaluators</td>
<td>Q4 November</td>
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<tr>
<td>Adoption of final report and Mgmt response</td>
<td>SteeCom</td>
<td>Q2 December</td>
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9 **REFERENCES**

This evaluation follows the [DAC Guidelines on Evaluating Peacebuilding Activities in Settings of Conflict and Fragility](http://example.com/dac_guidelines).