

CALLDOWN CONTRACT

Framework Agreement with: **IMC Worldwide Limited**

Framework Agreement for: **DFID Global Evaluation Framework Agreement**

Framework Agreement Purchase Order Number: **7448**

Call-down Contract For: **Central Asia Portfolio Evaluation**

Contract Purchase Order Number: **8466**

I refer to the following:

1. The above mentioned Framework Agreement dated 12th September 2016; and
2. Your proposal of **1st March 2019**.

and I confirm that DFID requires you to provide the Services (Annex A), under the Terms and Conditions of the Framework Agreement which shall apply to this Call-down Contract as if expressly incorporated herein.

1. Commencement and Duration of the Services

- 1.1 The Supplier shall start the Services no later than **30th July 2019** ("the Start Date") and the Services shall be completed by **29th July 2023** ("the End Date") unless the Call-down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement. DFID reserves the option to extend the Call Down contract by up to 12 months.

2. Recipient

- 2.1 DFID requires the Supplier to provide the Services to the **Department for International Development (DFID)** ("the Recipient").

3. Financial Limit

- 3.1 Payments under this Call-down Contract shall not, exceed £798,505.80 ("the Financial Limit") and is exclusive of any government tax, if applicable as detailed in Annex B. For the avoidance of doubt, exercising the option to extend is at DFID's sole discretion. The value of the extension option is up to a maximum of £600,000. The total value of the contract shall not exceed £1,398,505.80 including all extension options.

When Payments shall be made on a 'Milestone Payment Basis' the following Clause 28.1 shall be substituted for Clause 28.1 of the Framework Agreement.

28. Milestone Payment Basis

28.1 Where the applicable payment mechanism is "Milestone Payment", invoice(s) shall be submitted for the amount(s) indicated in Annex B and payments will be made on satisfactory performance of the services, at the payment points defined as per schedule of payments. At each payment point set criteria will be defined as part of the payments. Payment will be made if the criteria are met to the satisfaction of DFID.

When the relevant milestone is achieved in its final form by the Supplier or following completion of the Services, as the case may be, indicating both the amount or amounts due at the time and cumulatively. Payments pursuant to clause 28.1 are subject to the satisfaction of the Project Officer in relation to the performance by the Supplier of its obligations under the Call-down Contract and to verification by the Project Officer that all prior payments made to the Supplier under this Call-down Contract were properly due.

4. DFID Officials

5. Key Personnel

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6. Reports

- 6.1 The Supplier shall submit project reports in accordance with the Terms of Reference/Scope of Work at Annex A.

7. Duty of Care

All Supplier Personnel (as defined in Section 2 of the Agreement) engaged under this Call-down Contract will come under the duty of care of the Supplier:

- I. The Supplier will be responsible for all security arrangements and Her Majesty's Government accepts no responsibility for the health, safety and security of individuals or property whilst travelling.
- II. The Supplier will be responsible for taking out insurance in respect of death or personal injury, damage to or loss of property, and will indemnify and keep indemnified DFID in respect of:
 - II.1. Any loss, damage or claim, howsoever arising out of, or relating to negligence by the Supplier, the Supplier's Personnel, or by any person employed or otherwise engaged by the Supplier, in connection with the performance of the Call-down Contract; and
 - II.2. Any claim, howsoever arising, by the Supplier's Personnel or any person employed or otherwise engaged by the Supplier, in connection with their performance under this Call-down Contract.
- III. The Supplier will ensure that such insurance arrangements as are made in respect of the Supplier's Personnel, or any person employed or otherwise engaged by the Supplier are reasonable and prudent in all circumstances, including in respect of death, injury or disablement, and emergency medical expenses.
- IV. The costs of any insurance specifically taken out by the Supplier to support the performance of this Call-down Contract in relation to Duty of Care may be included as part of the management costs of the project and must be separately identified in all financial reporting relating to the project.
- V. Where DFID is providing any specific security arrangements for Suppliers in relation to the Call-down Contract, these will be detailed in the Terms of Reference.

8. Call-down Contract Signature

- 8.1 If the original Form of Call-down Contract is not returned to the Contract Officer (as identified at clause 4 above) duly completed, signed and dated on behalf of the Supplier within 15 working days of the date of signature on behalf of DFID, DFID will be entitled, at its sole discretion, to declare this Call-down Contract void.

For and on behalf of
The Secretary of State for

Name:

International Development

Position:

Signature:

Date:

For and on behalf of
IMC Worldwide Limited

Name:

Position:

Signature:

Date:

Terms of reference

8466 Central Asia portfolio evaluation

1. Context

The Department for International Development (DFID) leads the UK's global efforts to end extreme poverty, deliver the Global Goals for Sustainable Development (SDGs) and tackle a wide range of global development challenges. Tajikistan and Kyrgyzstan face many challenges in a fragile region. DFID Central Asia (CA) is providing support to the region, and in Tajikistan and Kyrgyzstan in particular, to develop more open and integrated economies, strengthen their governance institutions, and reduce vulnerability to internal and external threats. The UK is doing this by focussing on two pillars: economic development and good governance. DFID support is also playing an influential role in areas requiring major investment such as the infrastructure deficits and tackling corruption.

2. Purpose

The overarching purpose of this contract is to improve overall delivery by DFID Central Asia. This will be done in 3 parts, firstly through monitoring and evaluation support tailored to specific programmes. Secondly, looking more broadly at delivery by DFID Central Asia and answering thematic portfolio level questions for example by testing the office theory of change. Thirdly, research to deepen our overall understanding of the context.

DFID Central Asia has two pillars: economic development and good governance. The programmes within each pillar have closely aligned programme cycles. The economic development pillar consists of two programmes, both were approved in late 2017, both are expected to start implementation this financial year; they are due to close in 2022 and 2023. The three programmes under the good governance pillar are all in implementation, 2 are expected to end in early 2020 and the other in early 2021. Each pillar therefore has clear monitoring and evaluation needs.

The programme level support of this contract will focus on the economic development pillar. The aim is to develop a monitoring and evaluation framework for both programmes and deliver based on this. The work on the good governance pillar will focus on an evaluation of the Governance In Action programme. However, the portfolio level analysis will answer questions relating to delivery more broadly.

3. Programme level decision making

Three DFID programmes will be evaluated as part of this contract. Under the governance pillar Governance in Action (GinA) and under the economic development pillar Enterprise & Innovation Programme (EIP) and the Policy Innovation Facility (PIF).

4. Portfolio level decision making

As well as providing programme level learning, coordinated evaluations and standalone research can answer important thematic questions. This evaluation will also develop evidence on:

- a) The effectiveness of DFID Central Asia's delivery model;
- b) How working in 2 countries influences delivery;
- c) Identifying the type of programming that influenced important policy decisions;
- d) DFID CA's contribution to delivering UK objectives in the National Security Council (NSC) strategy; and
- e) Testing the office level theory of change/strategy.

5. Research questions

DFID Central Asia aims to deliver value for money in its programming. This is challenging in a complex environment like Central Asia where identifying the most effective points of entry and activities can be unclear. Research questions will be relevant to the governance or economic development pillar but may focus on issues around peace and security. Research is expected to consist of literature reviews as well as consultations with key informants. Questions will be agreed over the course of the evaluation contract, the expectation is that the contract will answer approximately 3 or 4 questions.

6. Target beneficiaries

The aim of this contract is to support poverty reduction in Tajikistan and Kyrgyzstan, audiences include:

- a) Implementing partners: especially for the programme level components;
- b) DFID Central Asia;
- c) Teams in DFID delivering programmes in Central Asia which are managed centrally;
- d) The UK public. In line with DFID's commitment to evaluation and transparency key documents will be made public; and
- e) Regional Stakeholders. While the primary audiences for this evaluation are internal to the programme itself and to DFID, DFID may choose also to disseminate findings to regional stakeholders and organisations such as: government counterparts, civil society organisations and other donors engaged in the same sectors.

7. How the rest of this document is laid out

Section 3 - outlines the work plan and summarises all the outputs and

Section 4 - covers roles and responsibilities.

Section 5 - provides information on the skills and qualifications of the evaluation team

The annexes - include detailed information on the individual programme requirements, portfolio level and research questions.

Within section 5 there is information on the purpose & objectives, high level evaluation questions, evaluation criteria, methodology and outputs.

8. Work plan

Start date and duration

The contract is expected to start in July 2019 and has a contract term of up to four years. The length of the programme will depend on the deliverables agreed during inception and may reflect broader changes in DFID programming. The term of this contract may, at DFID's sole

discretion, be extended by up to 12 months. A maximum of £600k is the financial limit for any extension period.

The first deliverable will be the Governance In Action evaluation which will be delivered in 2019. The timing of other deliverables will be agreed during the inception period which will be due 3 months after contract agreement.

9. Expected outputs

Area	Output	Partners
GIA	1 programme evaluation	One implementing partner based in Bishkek
PIF	To be finalised in inception. Tentatively: a monitoring and evaluation framework, a mid-term and end term evaluation and ongoing programme monitoring support.	Implementing agency not recruited yet.
EIP	To be finalised in inception. Tentatively: a monitoring and evaluation framework, a mid-term evaluation and ongoing programme monitoring support.	Implementing agency not recruited yet.
Portfolio	To be agreed in inception. Tentatively: 3 evaluative pieces testing assumptions in DFID Central Asia's theory of change.	N/A
Overall	An inception report which provides detailed delivery plan for the remainder of the programme. Periodical reporting including support to programme Annual Reviews.	N/A
Research	3-4 reports answering key research questions.	To be decided

10. Break points

Given the need for this contract to be responsive, flexible and adaptive in some areas, and the potential for scale up or down, the supplier's performance, and workplan and budget will be reviewed at key time points and break points will be inserted into the contract to reflect this. Key review stages for the programme and contract will be at the end of the Inception phase (3 months from the start of the contract), and at key milestones in the contract – likely at the contract midpoint (after 2 years) and subsequently annually. Progression beyond each break point will be subject to the outcome of reviews, satisfactory performance of the Supplier and agreement to any revised work plans or budgets. In the event that DFID determines not to proceed with the contract as a result of the review, the Contract will be terminated in accordance with the DFID Standard Terms and Conditions.

11. Budget

The budget for this procurement is a maximum of £830,000. Submissions to deliver these services should set out a separate budget for the inception phase, programme and portfolio evaluations and research questions.

12. Reporting / DFID coordination

The supplier's evaluation manager will report to an evaluation steering committee consisting of the DFID Central Asia Governance Adviser, Private Sector Adviser, Evaluation Adviser, Economist and programme manager who will review and approve the outputs. Terms of reference for the steering committee will be developed and agreed during the inception phase of the contract.

Each of the implementing partners of the programme components (projects) covered by the scope of this Evaluations' Terms of Reference will share monitoring data with the supplier's evaluation manager.

DFID will own all of the outputs produced in this project by the supplier.

13. Relationship between the evaluation partners, DFID and programme implementing partners

Close collaboration will be required between the evaluation partner, the DFID programme managers and implementing partners (the partners delivering the interventions: PIF, EIP & GIA). Clear lines of responsibilities and respect for the independence of the evaluation will be supported by developing a suitable protocol. This could involve a memorandum of understanding.

To support the new economic development programmes (EIP and PIF) the evaluation partner will co-operate closely with DFID and the implementing partner to regularly review the theory of change and develop a monitoring and evaluation framework. It will be the responsibility of the evaluation partner to ensure that key monitoring and evaluative data is identified, this could include data needed for programme evaluations and the portfolio evaluation. The implementing partner will be responsible for collecting, analysing and reporting monitoring data; however, if agreed with DFID some regular data collection may be undertaken by the evaluation partner. This may be necessary to generate data to answer portfolio level questions.

The evaluation partner is responsible for defining and collecting additional primary data required for evaluation purposes. They are also expected to provide support to implementing partners to collate and surface existing data for purposes of the evaluation.

14. Risks

Consideration should be given to the risks of implementing the evaluation work and how these will be mitigated by the supplier's evaluation manager. Given the involvement of the supplier across a range of activities, including monitoring, capacity building for monitoring, proximity to project management, there is a risk to the independence of evaluations. This risk should be acknowledged, and mitigation strategy provided. Risks at programme level are outlined in more detail throughout this document.

15. Contract Mechanism

DFID's preferred method is to link payments to milestones (payment by results). The underlying inputs, including fee days and expenses that make up the completion of a payment point output should be clearly set out. The Supplier is free to propose an alternative contracting model so

long as this is well reasoned. Bidders should propose a payment plan using payment by results linked to programme outputs that incentivises the achievement of results and value for money. Bidders are expected to:

- a) Demonstrate how they will maximise value for money while minimising administrative and supplier costs;
- b) Propose a payment plan based on outputs achieved, which will be subject to negotiation; and
- c) Use public sector rates for travel and subsistence as relevant to each country.

Payment is subject to approval of inputs contributing to milestones by the DFID Project Evaluation Board. The board will include the programme SROs, the DFID evaluation advisor and the evaluation's programme manager. DFID's independent evaluation quality assurance facility (EQUALS) will help support the board.

Key Performance Indicators (KPIs) will also be used to measure performance of this contract. The KPIs are:

- a) Timely delivery of reports in accordance with DFID's deadlines;
- b) Quality of outputs based on assessment from advisory group;
- c) Quality of financial management measured by timely submission of invoices; and
- d) Performance of key personnel measured by feedback from DFID.

The suppliers must be self-supporting and responsible for their own activities. They should not rely on DFID Central Asia to provide facilities, logistical or administrative support.

16. Plan of Work

Bidders should set out a work plan after contract is issued to deliver the project using a Gantt chart and supporting narrative descriptions for each activity to be undertaken.

DFID will facilitate introductions to the implementing partner and main beneficiaries.

DFID and other HMG Departments will have unlimited access to the material produced by the supplier (as expressed in DFID's general conditions of contract).

17. Contacts

DFID are commissioning the evaluation and are, therefore, the supplier's main contact. The supplier will liaise with the implementing partners to access the evidence, and DFID will share the findings internally to elicit opinions. The suppliers will report to the programme manager on all administrative and contractual matters and to the DFID evaluation advisor on technical matters. The programme manager will oversee the commission, and the programme manager will be the first point of contact from DFID.

18. Skills and Qualifications of Evaluation Team

- a) The successful bidder will have expertise and experience in designing, managing and leading evaluations, relevant methods and approaches including experience managing qualitative evaluations.
- b) The successful bidder will have expertise in, and a demonstrated successful track record of evaluation in complex environments, with a high degree of political risks, corruption, and implementation challenges.
- c) The successful bidder will have expertise in, and a demonstrated successful track record of evaluation of governance and accountability programmes, economic development initiatives, including support to SMEs, innovation, Smart Cities, central bank risk management and e-government.
- d) Experience working on economic development, governance and peace and security programmes.
- e) Experience working closely with implementing partners to effectively deliver monitoring, evaluation and learning products, including expertise on theories of change.
- f) Relevant experience of developing monitoring and evaluation indicators for (a) economic development programmes (b) governance programmes.
- g) Relevant experience conducting research.
- h) Skills in value for money analysis.
- i) At least 5 years demonstrable experience in evaluations and familiarity of working with DFID's results systems including logframes, theories of change and results frameworks.
- j) A track record of working with local partners and data collection in Tajikistan and Kyrgyzstan.
- k) It would be advantageous to have a mix of national and international consultants, so as to minimise delays on visa and travel arrangements and to keep costs down.

Bids should present the different roles and responsibilities of the different team members as well as the approach to quality assuring key deliverables.

The evaluation supplier will need to comply with DFID's policies on fraud and anti-corruption and cooperate with any checks required from them for the duration of the evaluation e.g. annual audited statements, policies on management of funds, etc.

19. Conflict of Interest

Given the need for high levels of contextual and programme knowledge, care should be taken to ensure that the suppliers do not have any conflict of interest when doing the evaluation. The successful supplier, or its consortium partners, should not be involved in implementing any programmes managed by DFID Central Asia.

20. General Data Protection Regulations (GDPR)

Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in Appendix A and the standard clause 33 in section 2 of the contract.

Appendix A: of Contract Section 3 (Terms of Reference)

Schedule of Processing, Personal Data and Data Subjects

The completed schedule must be agreed formally as part of the contract with DFID and any changes to the content of this schedule must be agreed formally with DFID under a Contract Variation.

Description	Details
Identity of the Data Controller and Data Processor for each category of Data Subject	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract:</p> <ol style="list-style-type: none">1) The Parties acknowledge that Clause 33.2 and 33.4 (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the Parties are independent Controllers in accordance with Clause 33.3 in respect of Personal Data necessary for the administration and / or fulfilment of this contract.2) For the avoidance of doubt the Supplier shall provide anonymised data sets for the purposes of reporting on this project and so DFID shall not be a Processor in respect of the anonymised data as it does not constitute Personal Data.

Annexes

Programme level evaluations

1. Overview of programmes

Programme	PIF	EIP	GInA
Programme start dates	Not yet in implementation	Not yet in implementation	April 2014
Expected programme end date	Autumn 2022	November 2023	March 2020
Arrangement type	Contract	Contract	Contract
Delivery location	Kyrgyzstan	Kyrgyzstan & Tajikistan	Kyrgyzstan & Tajikistan
Supplier/delivery partner names	DAI	DAI	Not contracted yet
Dev tracker link	https://devtracker.dfid.gov.uk/projects/GB-GOV-1-300392	https://devtracker.dfid.gov.uk/projects/GB-1-204989	https://devtracker.dfid.gov.uk/projects/GB-1-204613

2. Governance in Action Evaluation

2.1. Context

The Governance in Action programme aims to support a more responsive political system that fosters citizens' trust and helps to address the constraints to inclusive growth. It includes three Outputs:

- Output 1: More effective accountability mechanisms in parliament
- Output 2: More responsive political parties and MPs
- Output 3: Action to target citizens' priority needs including corruption and other constraints to inclusive growth

A private sector contractor is responsible for delivering Outputs 1 and 3. The implementation phase of Outputs 1 and 3 began on 1st March 2017. An international NGO is responsible for delivering Output 2. Implementation of Output 2 began in July 2016. The Implementing Partners for all three Outputs will provide the evaluation manager with access to their monitoring data, theory of change, reports and deliverables.

2.2. Scope and Objectives

The primary purpose of the evaluation is to contribute to the evidence of what works (and does not work) in supporting political system reform through (i) issues-based coalitions, (ii) institutional reform in parliament, and (iii) capacity building of political parties as a means to contribute to inclusive economic growth.

The evaluation should also:

- Assess the impact of the programme on contributing to inclusive economic development in Kyrgyzstan
- Assess the extent to which the programme represents good value for money to DFID
- Assess the effectiveness of the adaptive management approach applied to deliver Outputs 1 and 2

2.3. Risks

Consideration should be given to the risks of implementing the evaluation work and how these will be mitigated by the supplier's evaluation manager. In particular, for the Governance In Action component, there are risks related to political sensitivities that will need to be discussed with DFID and implementing partners during inception.

2.4. High level evaluation questions

Evaluation questions will be finalised when the contract is awarded. Expected questions include:

2.4.1. Overall programme

- What contribution (if any) has the programme made to inclusive economic growth in Kyrgyzstan?
- Do the Theories of Change of both add up to an overarching robust and verifiable Theory of Change that delivers against the objectives set out in the Business Case?
- What changes have been (or are being made) to achieve a more responsive political system, and what are the benefits that have resulted from coalitions working in the public interest to foster inclusive growth?
- Where has the programme been effective and achieved good value for money and how could this have been improved?

2.4.2. Component delivering outputs 1 & 3:

- To what extent, how, and why was this component able to effectively work on two objectives in parallel (strengthening institutions and addressing inclusive growth constraints)? What are/were the key barriers and lessons learnt?
- Outputs 1 and 3 of the Governance in Action programme apply a flexible and adaptive approach to delivery. The Implementing Partner uses real time analysis to propose short-term pilot interventions that will contribute to the programme Outcome, capitalising on emerging opportunities to leverage political interest in addressing specific issues. Short term interventions are then adapted, scaled up or cancelled based on their success. The Evaluator is expected to assess:
 - The process of identifying, designing and implementing short term interventions (so called issues and parliamentary strengthening/test initiatives);
 - The extent to which short term interventions actually contribute to delivering the programme outcome
 - The extent to which the issue-based approach has helped achieve governance objectives effectively

- The effectiveness of issue-based approaches operating in a complex political economy environment (i.e. the Kyrgyz context).
- The extent to which the component's adaptive approach has informed implementation effectiveness
- What contribution, if any, has the programme made to inclusive economic growth in Kyrgyzstan?

2.4.3. On the component delivering output 2

- What are the lessons learnt in building stronger links between citizens and political parties and their representatives?
- What contribution to improved accountability outcomes can a party strengthening programme make in a political economy context such as Kyrgyzstan? What are the key lessons, challenges and achievements?

2.5. Evaluation criteria

The evaluation criteria to be applied should be based upon the OECD-DAC principles (relevance, efficiency, effectiveness, impact and sustainability), unless agreed otherwise during the inception period. However, it is not expected that the evaluation will cover all of these criteria.

As part of the theory driven approach, the supplier's evaluation manager will be required to define a clear set of hypotheses (including the data points and analytical issues) from the Theory of Change that will be tested through the evaluation work. These should be proposed in the supplier's tender bid proposal which will be evaluated as part of the bid process. There will be further opportunity to refine this during the inception phase.

If there are specific cross-cutting issues that should be examined these should be mentioned e.g. highlighting involvement of women MPs, inclusion of marginal groups, ensuring wide geographical representation.

2.6. Methodology

The supplier will deliver a theory based performance evaluation, testing the programme theories of change. The evaluation should include political economy analysis elements (building on existing PEA from the components) and assess the above evaluation questions building on this analysis. Bidders should clearly state the specific evaluation methodology and approach that they intend to use in order to address the evaluation questions. This approach will be refined during the production of an Evaluation Strategy; but the proposal must state the proposed data gathering activities that will be undertaken and the analytical frameworks that will be used to analyse the data gathered.

2.7. Data

Secondary data sources for this evaluation include the project logframe, annual reviews and quarterly partner reports.

It is also expected that this evaluation will collect primary data. Including stakeholder interviews and focus group discussions. Participants will likely include government officials and parliamentarians. Data collection will be based on qualitative sampling agreed with DFID during the inception process.

2.8. Outputs

- An inception report, as the evaluation will occur early in the contract, the inception report for this evaluation may precede the overarching inception report.
- A programme evaluation answering the questions above.

3. Enterprise & Innovation Programme (EIP)

3.1. Context

The economies of Kyrgyzstan and Tajikistan have narrow bases, dependent on remittances and a few key commodities. They lack a dynamic and growing small and medium sized enterprise sector. The level of start-up businesses and formal entrepreneurship remains low. Many small businesses remain informal, seeking to avoid interference from the authorities.

The programme will help to broaden and diversify the economic base by encouraging start-ups and SMEs thereby stimulating innovation and growth.

The programme has three outputs,

- Establish incubators
- Support existing business advisory organisations
- Provide direct business advice to SMEs

3.2. Scope and Objectives

The primary support needed for this programme is to aid learning by providing lessons and insights with the aim of influencing future programming decisions. It will do this through a monitoring and an evaluation component.

The monitoring component will provide accountability and provide high quality assurance on what has been delivered; it will also help assess which parts of the programme represent good value for money. The evaluation should also review implementing partners' systems providing accountability for DFID funding.

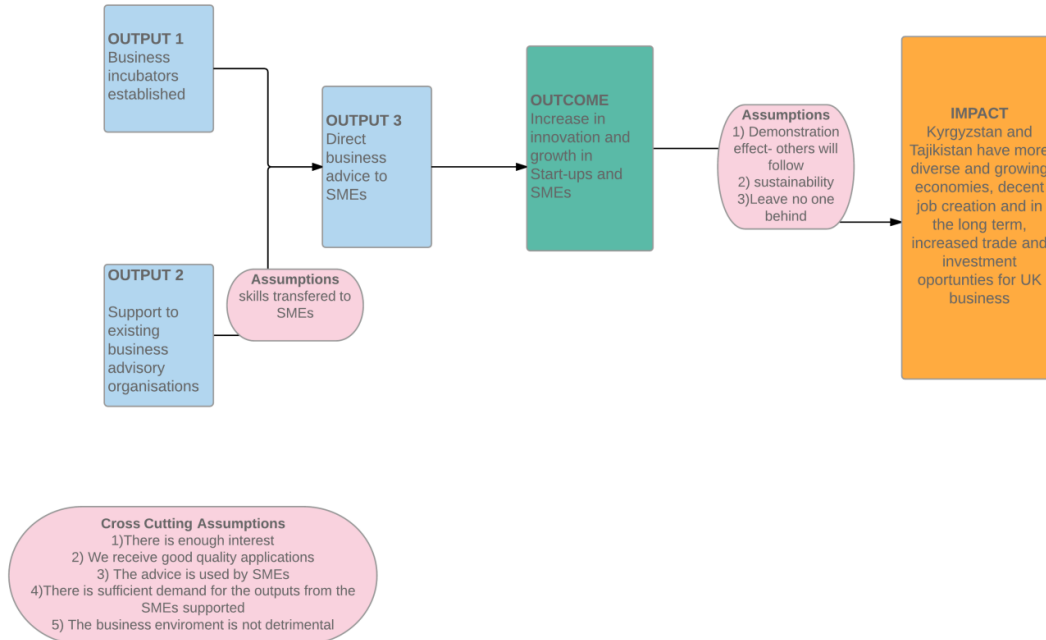
The evaluation component will include expanding the programme theory of change and identifying data sets necessary to test it, including causal links and assumptions. It will also include a mid-term evaluation which will test the theory of change. It will also explore options of whether a *nimble* impact evaluation¹ is viable. An end term evaluation is outside of the scope for this evaluation, however it is expected that the evaluation component will play a large role in developing the methodology.

3.3. Objectives

Design and conduct a theory based performance evaluation testing the theory of change and conduct an evaluability assessment to review whether a nimble evaluation is viable

¹ <https://blogs.worldbank.org/impactevaluations/category/tags/nimble-evaluations>

EIP THEORY OF CHANGE



Potential questions include:

- Whether the methods used improve the quality of implementation of technical assistance (TA) for business development in fragile and conflict (FCAS) states?
- To what extent can the programme be replicated in other contexts?
- Are business incubators effective ways to stimulate job creation?
- How relevant are business incubators for stimulating increases in employment?
- How effective is the programme for job creation?
- Incorporate a participatory M&E process?

Design and implement a monitoring strategy. Implementing partners will conduct routine monitoring of their activities, however support will:

- Design a monitoring, evaluation and learning strategy. This will include a focus on businesses and jobs which will feed into the office's results reporting.
- Provide quality assurance: reviewing and advising on any necessary improvements to the existing results framework and theory of change.
- Advise, and build capacity where needed, amongst implementing partners to ensure consistency across their results frameworks. If necessary, some data collection may be included.
- Identify additional data needs for the portfolio evaluation and if necessary collect data
- Feed into the Annual Review by collating data and providing reporting on annual progress from key partners;

- Develop Value for Money (VFM) indicators and framework.²

Design and deliver an independent evaluation of the programme that will include a process element focusing on suppliers' project and financial management systems as part of a broader value for money assessment.

3.4. Risks

Consideration should be given to the risks of implementing the evaluation work and how these will be mitigated by the evaluation manager in the inception report.

Risks could include

- Timing
- How do regulations and the legal status of delivery partners affect the collection of data and programme management?
- Is there a risk about the quality of data collection due to the political and economic context?
- Are there any commercial or confidentiality issues to consider?

3.5. Evaluation criteria

The evaluation criteria to be applied should be based upon the OECD-DAC principles (relevance, efficiency, effectiveness, impact and sustainability) unless agreed otherwise during the inception period. The evaluation is not expected to cover all criteria.

As part of the theory driven approach, the evaluation manager will be expected to define a clear set of hypotheses (including the data points and analytical issues) from the Theory of Change that will be tested through the evaluation work. These should be proposed in the EM's proposal and then confirmed during the inception phase.

If there are specific cross-cutting issues that should be examined these should be mentioned e.g. highlighting involvement of women MPs, inclusion of marginal groups, ensuring wide geographical representation.

3.6. Methodology

Bidders should clearly state the specific evaluation methodology and approach that they intend to use in order to address the evaluation questions. This approach will be refined during the production of an Evaluation Strategy; but the proposal must state the proposed data gathering activities that will be undertaken and the analytical frameworks that will be used to analyse the data gathered.

The supplier will determine a robust set of questions to use, which focusses on EIP's theory of change. The evaluation proposal ought to state the questions which will be prioritised – although the inception period will provide an opportunity to finalise questions.

The suppliers will design a clear and detailed M&E plan which must be submitted to DFID Central Asia as part of the overarching inception report. The plan must propose a methodology and analytical framework for the evaluation.

² VFM for DFID is based around economy, efficiency and effectiveness. For more info see: <https://www.gov.uk/government/publications/dfids-approach-to-value-for-money-vfm>

3.7. Data

Key data sources for this evaluation include the project logframe, annual reviews and quarterly partner reports.

The contract will also identify key areas for data collection which will support monitoring and evaluation. This may include identifying data that the programme should collect as well as primary data collection by the supplier for the programme evaluation. It is also expected that this evaluation will require stakeholder interviews and focus group discussions. Participants will likely include government officials and parliamentarians. Data collection will require appropriate sampling methodologies which will be agreed during evaluation specific inception periods.

3.8. Outputs

1. An inception report
This should be part of the overarching inception report. It will detail how the suppliers will deliver the evaluation services in consultation with DFID and partners. The evaluation phase will only commence once the inception report has been approved by DFID. The inception report will cover how the suppliers will respond to objectives such as:
 - The evaluation objectives and strategy, methodology, approach and communication plan how stakeholders will be engaged.
 - An evaluability assessment of a nimble evaluation
 - Framework to assess VFM
 - Agreed process for regular monitoring reports to feed into Annual Reviews and quarterly progress reviews.
 - A communication plan to disseminate key findings beyond the immediate audience of DFID, co-donors and implementing partners
2. Support iterations to the programme theory of change
3. Support to Annual Reviews
4. Reporting on M&E service delivery –
 - a. In the first year, once the Inception Report has been approved, the suppliers will submit brief regular reports
5. A performance evaluation – testing the programmes theory of change

4. Central Asia Policy Innovation Facility (PIF) evaluation

4.1. Context

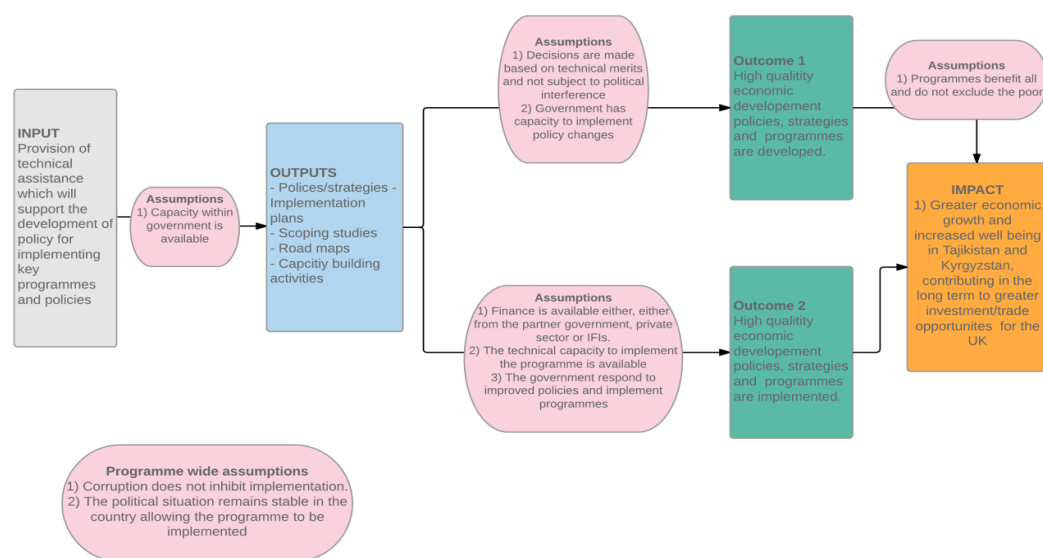
The UK will spend £5m over four years on a series of flexible technical assistance projects including expert advice, training, coaching, mentoring and production of new tools and guidance delivered by a Supplier (or consortium) – referred to in this business case as the managing agent - contracted through a competitive tender process. The maximum size of any one project will be £500,000 and the maximum duration 12 months. The projects will work with executive offices, ministries, state agencies and local government to help unlock better use of public, private and development partner finance for downstream implementation. Early opportunities identified for PIF funding include:

- Expert advice to help develop an implementation plan for the Kyrgyz *Taza Koom* Initiative, which plans to provide government services online for greater transparency; developing

smart cities and smart transport corridors offering greater use of digital services and access to Wi-Fi for people and business.

- Expert advice to help the City of Dushanbe (Tajikistan) and Bishkek (Kyrgyzstan) develop an implementation plan for its smart cities initiative; and
- Expertise to the National Bank of Tajikistan on how to manage risks and develop a plan to manage the ongoing financial sector crisis

PIF THEORY OF CHANGE



4.2. Scope and Objectives

The purpose of this evaluation is to support learning and accountability. Learning will be achieved by conducting a performance evaluation that tests the programme theory of change. Accountability will be achieved through a process evaluation which will include an assessment of suppliers' delivery of the programme.

4.3. Objectives

1. Design and conduct a theory based performance evaluation (or set of evaluations) testing the theory of change. This could also include a process component evaluating the supplier's delivery of the programme. Potential questions include:
 - a. How effective has the PIF programme been in improving the quality of the formulation of economy policy.
 - b. How effective has the PIF programme been in introducing evidence-based methods of policy making into the context of Tajikistan and Kyrgyzstan.
 - c. Can the approach from the PIF programme be replicated in fragile and conflict states (FCAS) states with a similar context, particularly small, post-conflict states that are highly dependent and affected by regional political and economic drivers?

2. Design and implement a monitoring strategy. Implementing partners will conduct routine monitoring of their activities, however support will:
 - a) Design a monitoring, evaluation and learning strategy. This will include looking at the influence the programme has had on economic policies and on their implementation, as well as how coherently the areas selected / fit together.
 - b) Provide quality assurance: reviewing and advising on any necessary improvements to the existing results framework and theory of change.
 - c) Advise, and build capacity where needed, amongst implementing partners to ensure consistency across their results frameworks. If necessary, some data collection may be included.
 - d) Identify additional data needs for the portfolio evaluation and if necessary collect data
 - e) Feed into the Annual Review by collating data and providing reporting on annual progress from key partners;
 - f) Develop Value for Money (VFM) indicators and framework

4.4. Risks

This programme will be evaluating government deliverables. A fear of reputational damage from partner governments could impact on delivery of the evaluation.

4.5. Evaluation criteria

The evaluation criteria to be applied should be based upon well-defined criteria such as the OECD-DAC (relevance, efficiency, effectiveness, impact and sustainability).

As part of the theory driven approach, the evaluation manager will be expected to define a clear set of hypotheses (including the data points and analytical issues) from the Theory of Change that will be tested through the evaluation work. These should be proposed in the EM's proposal and then confirmed during the inception phase.

If there are specific cross-cutting issues that should be examined these should be mentioned e.g. highlighting involvement of women MPs, inclusion of marginal groups, ensuring wide geographical representation.

4.6. Methodology

Bidders should clearly state the specific evaluation methodology and approach that they intend to use in order to address the evaluation questions. This approach will be refined during the production of an Evaluation Strategy; but the proposal must state the proposed data gathering activities that will be undertaken and the analytical frameworks that will be used to analyse the data gathered.

The supplier will determine a robust set of questions to use, which focusses on PIF's theory of change. The evaluation proposal ought to state the questions which will be prioritised – although the inception period will provide an opportunity to finalise questions.

The suppliers will design a clear and detailed M&E plan which should be included in the programme inception report. The plan must propose a methodology and analytical framework for the evaluation.

4.7. Data

Secondary data sources for this evaluation include the project logframe, annual reviews and quarterly partner reports.

It is also expected that this evaluation will require stakeholder interviews and focus group discussions. Participants will likely include government officials and parliamentarians.

4.8. Outputs

1. An inception report
This should be part of the overarching inception report. It will detail how the suppliers will deliver the evaluation services in consultation with DFID and partners. The evaluation phase will only commence once the inception report has been approved by DFID. The inception report will cover how the suppliers will respond to objectives such as:
 - The evaluation objectives and strategy, methodology, approach and communication plan how stakeholders will be engaged.
 - Framework to assess VFM
 - Agreed process for regular monitoring reports to feed into Annual Reviews and quarterly progress reviews.
 - A communication plan to disseminate key findings beyond the immediate audience of DFID, co-donors and implementing partners?
2. Evaluations agreed in the inception report.

5. Portfolio evaluation

5.1. Scope and Objectives

As with the rest of the evaluation, the purpose of the portfolio level component is to support poverty reduction in both countries. It will affect decision making by DFID Central Asia, the office are therefore a key audience, we also expect interest from partners, other donors and the Tajik and Kyrgyz government.

Questions will be agreed in the inception period of the evaluation. They will be directed in the broad areas outlined below.

1. The effectiveness of DFID Central Asia's delivery mechanism. The office almost exclusively delivers programmes through small scale technical assistance, often with partner governments as the direct beneficiary. In this context is this effective? Where has it been more or less effective and why?
2. Validating the DFID Central Asia theory of change. The theory of change describes the logical path from DFID CA's actions and how they contribute to intended impacts. The office theory of change is still in development at the time of drafting. Validation will include analysis of assumptions and causal mechanisms. As well as the office's contribution to impact goals – for example delivering inclusive growth.
3. What has worked – evaluators will be asked to identify key country policy or programme changes and assess what was most important in instigating them.
4. With reference to DFID's value for money strategy, what useful value for money indicators could be used for the overall portfolio?
5. Economic development
6. Political economy analysis

5.2. Methodology

No methodology is prescribed; however, it is expected that the portfolio evaluation will leverage the programme level evaluations, therefore the methodology for the portfolio evaluation needs to be considered during the design of the programme level evaluations. Although the portfolio evaluation can use data collected for the programme level evaluations it is expected that additional data collection will be necessary.

5.3. Risks

There are multiple issues that could constrain the evaluation. Suppliers should demonstrate their ability to manage these. The proposal should include a risk register setting out mitigation measures against the five areas of risk: External Context, Safeguards, Fiduciary risk, Delivery risk, operational risk and reputational risk. Additionally, some information may be politically sensitive mitigation for this will also be necessary.

5.4. Evaluation criteria

The evaluation will follow the OECD-DAC evaluation guidance unless agreed otherwise during the inception period. All 5 criteria are relevant.

5.5. Outputs

To be agreed in inception phase. Expectations are that approximately 4 broad questions will be agreed in the inception period. Evidence will be collected on them over the course of the contract and reporting against them will occur periodically over the lifetime of the contract.

6. Research questions

6.1. Scope and Objectives

DFID Central Asia aims to deliver value for money in its programming. This is challenging in a complex environment like Central Asia where identifying the most effective points of entry and activities can be unclear. Research questions will be relevant to the governance or economic development pillar but may focus on issues around peace and security. Research is expected to consist of literature reviews as well as consultations with key informants. Again, the office is a key audience and we expect interest from partners, other donors and the Tajik and Kyrgyz government.

6.2. Questions

Questions will be agreed over the course of the evaluation contract, scoping will be done with the suppliers and DFID Central Asia. The expectation is that the contract will answer approximately 3 or 4 questions. The set of questions below give an indication of the types of questions that will be asked:

1. What have been the most successful recent development programmes in Kyrgyzstan and Tajikistan, how have they been delivered and what helped them succeed?
2. In Kyrgyzstan what are the main barriers preventing people and businesses holding institutions to account more effectively?
3. What is the extent of development work happening in the Fergana valley? What are NGOs in the valley doing?
4. What are remittances spent on and are there development opportunities around remittances?

5. What is the ambition of E-services in each country? What are the development opportunities and risks?
6. Synthesising evidence products produced by (1) programmes delivering in Central Asia but are managed centrally in DFID (2) other donors.
7. What is the impact of the black economy and grey economy and how do they affect growth and stability?

6.3. Outputs

The scope of questions will be agreed during the inception period. Although specific questions will be agreed over the course of the evaluation contract, the expectation is that the contract will answer approximately 2 or 3 research questions.

6.4. Ethical principles

It is a requirement that all DFID evaluations comply with DFID's Ethics Principles. Proposals and tenders to conduct research or evaluations should include consideration of ethical issues and a statement that the researchers will comply with the ethics principles. This assurance will then be contractually binding. Treatment of ethics will be included in the assessment of bids. In practice this will involve:

1. Considering whether external ethics approval is needed
2. Ensuring that the research will not cause harm to participants
3. Ensuring participation is voluntary
4. Ensuring confidentiality is protected
5. Taking account of international and local legislation
6. Checking research and evaluation designs respect gender and cultural sensitivities
7. Publication of research findings
8. Protecting the independence of research and evaluation
9. Seeking to ensure participation of marginalised groups.

6.5. Transparency

DFID requires suppliers receiving and managing funds, to release open data on how this money is spent, in a common, standard, re-usable format and to require this level of information from immediate subcontractors, sub-agencies and partners. It is a contractual requirement for all suppliers to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, publishing of accurate data and providing evidence of this DFID. Further information is available from: <http://www.aidtransparency.net/>.

6.6. Branding

UK Aid Branding Partners that receive funding from DFID must use the UK aid logo on their development and humanitarian programmes to be transparent and acknowledge that they are funded by UK taxpayers. Partners should also acknowledge funding from the UK government in broader communications, but no publicity is to be given to this Contract without the prior written consent of DFID.

6.7. Delivery chain mapping

Delivery Chain Mapping is a process that identifies and captures, usually in visual form, the name of all partners involved in delivering a specific good, service or charge, ideally down to the end beneficiary. Mapping the delivery chain down through every tier is the only way to improve visibility, provide a level of assurance and mitigate a growing burden of risk. This includes DFID funds being distributed to each implementing (downstream or indirect) partner. We require partners to map out the delivery chain as part of the tender process. DFID is also interested in gathering details of the organisations working within the delivery chains of directly contracted partners. As part of the contractual compliance checking process, suppliers will be required to submit returns providing these details, as a minimum on an annual basis.

6.8. Duty of Care

1. The Supplier is responsible for the safety and well-being of their Personnel and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
2. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.
3. This procurement may require the supplier to operate in a seismically active zone and is considered at high risk of earthquakes. Minor tremors are not uncommon. Earthquakes are impossible to predict and can result in major devastation and loss of life. There are several websites focusing on earthquakes, including:
<http://geology.about.com/library/bl/maps/blworldindex.htm>

The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).

4. This procurement may require the Supplier to operate in conflict-affected areas and parts of it are highly insecure. Travel too many zones within the region will be subject to travel clearance from the UK government in advance. The security situation is volatile and subject to change at short notice. The Supplier should be comfortable working in such an environment and should be capable of deploying to any area required within the region in order to deliver the Contract (subject to travel clearance being granted).
5. The supplier is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract (such as working in seismically active, dangerous, fragile and conflict-affected environments). The Supplier should ensure their personnel receive the required level of training and, if appropriate, complete a UK government approved hostile environment training course (SAFE) safety in the field training prior to deployment.

6. As the countries/areas of work involved in this intervention are currently undetermined, DFID is not in a position to be able to provide a Duty of Care assessment at this point. On this basis, DFID assumes that this programme will be rated as 'Medium/High' risk. Therefore, as part of their PQQ response, bidders will be asked to submit a 'generic' response to provide assurance to DFID that they can manage DoC responsibilities in even the most challenging of environments.
7. During the programme, it is DFID's expectation that any contracted supplier will provide a full Duty of Care assessment for each potential country/area of work where in-country ground work is expected to be necessary. If the programme activities take place in medium or high risk locations, DFID will share available information with the Supplier on security status and developments in-country where appropriate.
8. Tenderers must develop their PQQ Response and ITT response (if invited to Tender) on the basis of being fully responsible for Duty of Care in line with the details provided above and should confirm that:
 - a. They fully accept responsibility for Security and Duty of Care.
 - b. They understand the potential risks and have the knowledge and experience to develop an effective risk plan
 - c. They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.
9. If bidders are unwilling or unable to accept responsibility for Security and Duty of Care as detailed above, or if DFID deems the arrangements proposed by bidders to be materially insufficient, the PQQ will be viewed as non-compliant and excluded from further evaluation.

10. Duty of care risk matrix

1	2	3	4	5
Very Low Risk	Low Risk	Medium Risk	High Risk	Very High Risk
Low		Medium	High Risk	

Country	City	Overall Security	Violent Crime	Civil Disorder	Terrorism	Espionage
Afghanistan	Kabul (Capital)	5	4	4	5	-
Bangladesh	Dhaka (Capital)	3	3	3	4	-
Botswana	Gaborone (Capital)	3	3	3	2	-
Burkina Faso	Ouagadougou (Capital)	4	4	4	4	-

Burundi	Bujumbura (Capital)	4	4	4	4	-
Cambodia	Phnom Penh (Capital)	2	2	2	2	-
Cameroon	Yaoundé (Capital)	3	3	3	3	-
Central African Republic	Bangui (Capital)	4	5	5	3	-
Chad	N'Djamena (Capital)	4	4	4	4	-
Democratic Republic of the Congo	Kinshasa (Capital)	4	5	5	2	-
Cote d' Ivoire	Abidjan (Capital)	3	3	3	2	-
Djibouti	Djibouti City (Capital)	3	2	2	3	-
Equatorial Guinea	Malabo (Capital)	2	2	2	1	-
Eritrea	Asmara (Capital)	2	1	1	2	-
Ethiopia	Addis Ababa (Capital)	3	2	2	3	-
Gabon	Libreville (Capital)	2	2	2	1	-
Gambia	Banjul (Capital)	2	2	2	2	-
Ghana	Accra (Capital)	3	3	3	2	-
Iraq	Baghdad (Capital)	5	5	4	5	-
Jordan	Amman (Capital)	4	2	2	4	-
Kenya	Nairobi (Capital)	4	5	5	4	-
Kyrgyzstan	Bishkek (Capital)	2	2	2	2	-
Laos	Vientiane (Capital)	2	2	2	2	-
Lebanon	Beirut (Capital)	4	3	3	4	-
Lesotho	Maseru (Capital)	4	4	4	1	-

Liberia	Monrovia (Capital)	3	3	3	1	-
Libya	Tripoli (Capital)	4	3	3	4	-
Madagascar	Antananarivo (Capital)	3	3	3	2	-
Maldives	Malé (Capital)	2	2	2	1	-
Mauritius	Port Louis (Capital)	2	1	1	2	-
Mozambique	Maputo (Capital)	3	3	3	2	-
Namibia	Windhoek (Capital)	3	3	3	1	-
Nigeria	Abuja (Capital)	4	4	4	4	-
Pakistan	Islamabad (Capital)	5	4	3	5	Specific security concern
Rwanda	Kigali (Capital)	2	2	2	2	-
Senegal	Dakar (Capital)	3	2	2	3	-
Seychelles	Victoria (Capital)	3	3	3	2	-
Sierra Leone	Freetown (Capital)	3	3	3	2	-
South Africa	Cape Town (Capital)	4	4	4	2	-
South Sudan	Juba (Capital)	4	5	5	3	-
Sri Lanka	Colombo (Capital)	3	3	2	3	-
Sudan	Khartoum (Capital)	4	3	3	4	-
Swaziland	Lobamba (Capital)	2	2	2	1	-
Tajikistan	Dushanbe (Capital)	3	2	2	3	Specific security concern
Tanzania	Dar es Salaam (Capital)	4	4	4	3	-
Thailand	Bangkok (Capital)	3	3	3	3	-
Togo	Lomé (Capital)	4	4	4	1	-
Turkey	Ankara	4	2	2	4	-

	(Capital)					
United Arab Emirates	Dubai (Capital)	3	1	1	3	-
Uganda	Kampala (Capital)	3	3	3	3	-
United States of America	Washington DC (Capital)	2	2	2	2	-
West Bank and Gaza	Jerusalem	4	3	3	4	Specific security concern
	Gaza City (Capital)	4	3	4	4	-
Yemen	Sana'a (Capital)	5	3	3	5	-
Zambia	Lusaka (Capital)	3	3	3	1	-
Zimbabwe	Harare (Capital)	3	3	3	1	-

