

## **Contract Section 3 Terms of Reference**

### **Programme Directorate - Centre of Excellence for Development Impact and Learning**

#### **1. Introduction and Objectives**

- 1.1 The Department for International Development (DFID) has appointed a Programme Directorate to manage and implement the vision and evaluation research agenda of a multi-disciplinary Centre of Excellence for Development, Impact and Learning (CEDIL) in international development. The Programme Directorate will manage and implement the vision and evaluation research agenda of CEDIL, ensuring the delivery of a large, high profile, international centre that will develop impact evaluation research capacity within the UK and internationally.
- 1.2 The objective is to establish a high quality, inter-disciplinary academic centre to innovate in the field of impact evaluation<sup>1</sup>; design, commission and implement impact evaluations; and promote the uptake and use of evidence from impact evaluations. This will be delivered through a consortium consisting of the Research Director and Intellectual Leadership Team who have already been appointed through a separate tender and the Programme Directorate. The purpose of CEDIL is to drive forward the field of impact evaluation and development evaluation both theoretically and in practice. CEDIL will act as an international focal point and develop and demonstrate new and innovative methodologies for impact evaluation and evidence accumulation.
- 1.3 The strategic direction of CEDIL will be guided by the Research Director<sup>2</sup> and Intellectual Leadership Team<sup>3</sup>, with inputs and support from the Programme Directorate. CEDIL will promote and carry out innovative and rigorous impact evaluations to identify 'what works, for whom, in what contexts, how and when' in international development, as well as contribute to the advancement of emergent, pioneering and cutting edge methodologies for impact evaluation, in order to maximise the effectiveness of spending on international development by:
- Strategically delivering high quality, systematic and rigorous evaluation of complex international development interventions, including some of DFID's interventions;
  - Adapting existing methodologies and pioneering new evaluation approaches and designs that draw on social, natural, biomedical science and other disciplines to advance DFID's understanding of 'what works, for whom, in what contexts, how and when' in international development;
  - Developing capacity in DFID, evaluation suppliers and the evaluation community more broadly so that DFID can commission robust evaluations which use the approaches and designs that have been adapted and developed, and the market has the skills to apply them;
  - Systematically and rigorously accumulating, modelling and analysing bodies of evidence in a manner that improves the external validity of findings and identifies where further investigation is most needed;

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<sup>1</sup> The term 'Impact evaluation' is used in a broad sense, to include non-experimental, theory-based approaches and generative causation.

<sup>2</sup> The term 'Research Director' refers to the individual who will have the overall responsibility for the strategic and technical direction for CEDIL. They will lead a consortium of intellectuals to set up CEDIL, in collaboration with the Programme Directorate, design programmes of work for CEDIL to deliver, provide technical advice to these programmes and raise the profile of CEDIL and its work.

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- Promoting the use and uptake of evaluation evidence in international development organisations and their partners (both in the UK and internationally).
- A communication strategy will be required to raise awareness of CEDIL's work and keep partners abreast of progress and key outcomes.

1.5 This Terms of Reference outlines the requirement for the Programme Directorate<sup>4</sup> aspect of this programme only. The Programme Directorate will have overall responsibility for the delivery of this 5 year programme, including the management of a £10m fund for impact evaluation. The Programme Directorate will be responsible for planning, managing and implementing the vision and impact evaluation agenda of the Research Director and Intellectual Leadership Team. DFID will transfer responsibility for the management of the Research Director contract to the Programme Directorate once the Programme Directorate is in place through a transfer of services process following successful completion of inception.

## **2. Recipient**

2.1 The services will be a public good, with many of the outputs from the programme used to inform international development policies and programmes both in the UK and globally. The Centre ("The Centre" encompasses all suppliers operating under CEDIL, including under the Programme Directorate, the Research Directorate, and the Intellectual Leadership Group) will make its products publicly available in accordance with DFID's Open Access Policy, as well as direct service to DFID programmes. DFID and its international partners will also be a recipient of the services.

## **3. Background**

### **Context**

3.1 There has been a strong push for more rigorous impact evaluation of international development in the past 8 years. Development agencies, including DFID, are commissioning more impact evaluations of their programmes, with much stronger links into evidence-based decision making and to major investments in policy relevant research. This has resulted in high demand for specialist support and guidance on the evaluation of priority spending programmes for the UK as well as significant methodological challenges in areas where international development evaluation practice is underdeveloped.

3.2 DFID, its partners and the development community more broadly still face a number of constraints in undertaking impact evaluations to test and improve the development impacts of our programmes and policies:

- a) Imbalances in the thematic impact evaluation coverage: As evaluation coverage is strengthening in many areas, thematic gaps are becoming apparent. For example, there is a strong field of evaluations (including impact evaluation) in the health and education sectors, but there are significant gaps in others, for example conflict, humanitarian, development capital, governance and infrastructure.

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<sup>4</sup> The Programme Directorate is an organisation that will be contracted to manage the delivery of CEDIL. The Programme Directorate will lead on programme management, procurement and management of the work programmes, and dissemination of findings.

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- b) Little systematic design of evaluations to support accumulation of evidence: A large and growing body of impact evaluation evidence is being generated by DFID and its partners. However, less effort is made to accumulate evaluation evidence in a way that increases the external validity of findings. In particular little or no effort is made to establish the probability that mechanisms are effective in different contexts, or for example, analyse data using mathematical modelling techniques.
  - c) Inadequate investment in evaluations that answer persistent development questions: Academic researchers and development practitioners are often drawn to areas where their work is most likely to be published. Unfortunately this tendency discourages conducting evaluations in areas where more evidence is still needed to strengthen the case for or against prevailing theories.
  - d) Inadequate investment in difficult evaluations: There is a relative lack of studies that tackle more challenging evaluation problems, such as where benefits are hard to measure, traditional impact evaluation designs using credible counterfactuals are difficult to develop, data collection is challenging, and spill over effects may be high. These challenges are particularly prevalent in fragile and conflict affected states and consequently, there is a lack of credible evidence on what works in these contexts.
  - e) Modest investment in methodologies to improve design: In an environment of high demand for evaluations, attention and incentives are focused on the commissioning, managing and delivery of discrete contracts. The existing investments in methods have not been able to deliver the high quality output that the field needs.
  - f) Most evaluation methodologies measure impacts in sector silos: There has been a lack of research on methodologies that can evaluate interventions with cross-sectoral impacts.
- 3.3 In addition to investing in developing impact evaluation methodologies, DFID is also interested in developing data science programmes for development and the capacity to undertake real-time monitoring and evaluation to fully take advantage of the large quantity of data that many development programmes generate and are becoming available more generally from human activities as 'big data'. Current monitoring and evaluation methods that rely on primary data collection are undertaken with significant time lags to provide useful information for decision making. There is also scope to innovate on the tools used, particularly in fragile and conflict affected contexts.
- 3.4 The range of suppliers who provide rigorous impact evaluation expertise or data science analytical skills for development is limited and generally quite narrowly focused, predominantly in US academic institutions and private sector consultancy firms within specific sectors. There is a need for a wider supply base and resources, including the UK and Europe as well as the developing world, which will push boundaries on impact evaluation methodology and data science programmes. Innovative thinking and different perspectives are needed, using high quality researchers from multi-disciplinary backgrounds. The Centre's work on capacity will aim to raise awareness of the new methodologies developed internationally and broaden the supplier base both geographically and in terms of the methodologies.

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3.5 There is a need to generate new knowledge and interest to synthesise lessons and evidence from all sources, and in a form that will enable policy makers, programme designers and practitioners to make better informed decisions and choices. Strengthening evaluation is a major priority to ensure that we and others learn from what DFID and its partners do and to use this learning and experience to demonstrate what works, for whom, in what contexts, how and when in international development. This commitment is reflected in DFID's Evaluation Policy.

### **4. Overview of the Programme**

4.1 There are 3 key requirements that the Centre will deliver against. Within each of these the Centre will bring its academic and multi-disciplinary intellectual leadership to the forefront in delivery. They are:

- I. Develop and use new and existing evaluation research methods for use in designs that establish causal connections in impact evaluations of development programmes:
  - a) Developing impact evaluation programmes that test and apply new and existing methods for evaluating development initiatives (including but not limited to, structural equation modelling) used in other academic disciplines and fields. These programmes should be relevant to DFID's interventions and at least one of the Centre's work programmes should focus on evaluating DFID programmes.
  - b) Developing capacity to use and apply these new and existing methods, both within DFID, the global supplier base and in the wider evaluation community.
  - c) Supporting impact evaluations in areas where evidence is lacking or not yet strong enough to answer priority development questions.
  - d) Promoting multi-disciplinary work on evaluation methodologies across different fields (social, natural, biomedical sciences and other disciplines) in a way that promotes rigour, and encourages the development of a wider range of methods to measuring and evaluating impact.
  - e) Ensuring that the work programmes are sufficiently challenging and capture development benefits or unintended effects for different groups of people, in different locations and at different times, including hard to reach populations.
  - f) Communicating findings and methodological advances through short lesson learning briefs to DFID, publications, workshops and other events in the UK and overseas as appropriate.
- II. Develop a rigorous evidence accumulation and data sciences programme to combine and model evidence generated through monitoring and evaluation of development programmes, using new and existing methods (drawing from social, natural, bio medical sciences and other disciplines).
  - a) Accumulating evidence from evaluations that establish causal connections in order to improve the predictive accuracy of findings, and guide future impact evaluation efforts.
  - b) Developing systems to access and analyse existing data, including from sources like social media, remote sensing, transactional data and other sources.
  - c) Use the accumulation of evidence to identify areas where additional impact evaluations can greatly increase the validity of findings.
  - d) Develop innovative and cost-effective tools and methods for real-time monitoring and evaluation in international development (and specifically in fragile and conflict affected states).
  - e) Develop capacity to use and apply these new tools and methods, both within DFID, the global supplier base and in the wider evaluation community.

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III. Coordinate and deliver technical assistance, evaluation, and design support to international development programmes that use causal-related methodologies for evaluation:

- a) Provide technical assistance for the design of development initiatives to ensure the generation of evidence suitable for testing what works and knowledge accumulation.
- b) The focus will be identified during inception, but should include DFID priority areas: economic development, climate change (for example, resilience and disaster risk and adaptation), humanitarian and conflict programmes.
- c) These evaluations should be undertaken to support evidence-based decision-making of partners and should be delivered in partnership with local stakeholders, including through ensuring that partners are involved in the evaluation process.
- d) Although publication in peer-reviewed journals is included in this objective, the primary success criterion should be whether the evidence is used and has impact.

4.2 The Programme Directorate will manage the Centre's individual work programmes which will be proposed by the Research Director and Intellectual Leadership Team. The number and content of these programmes will be informed by work undertaken by the Research Director and Intellectual Leadership Team during the inception phase, including a review of the potential methods that can be applied in development impact evaluation with evidence of their use, a mapping of gaps in current methods, and a proposal for what innovative methods might address these gaps. DFID may suggest areas that need to be strengthened in order to fill some of the current thematic and methodological gaps and developed methods should be transferable to evaluations of DFID programmes.

4.3 The budget for CEDIL is £15m and it is expected that £10m of this budget will be allocated to the work programmes, which will include programmes on method development, and methods application (with at least one work programme focused on applying these methods to some evaluations of DFID programmes). Capacity development will form a key part of each of the work programmes, as it will be key to embedding these methods and enabling DFID to commission, quality assure and apply these methods. The nature of this capacity development will depend on the purpose and audiences: for instance once a new method has been developed and successfully applied, an in-depth workshop to enable others to apply it would be useful to build capacity in the market. However, to generate awareness and interest amongst the international evaluation community in the new methods developed, presentations at conferences, and published papers on the methods, would be appropriate.

4.4 CEDIL will be deemed a success if it:

- Increases the range of robust and tested evaluation methods for impact evaluations of development programmes that DFID can use, including in fragile and conflict affected states, and the available market can supply;
- Generates awareness and capacity in the wider evaluation community of methods developed through publications, conferences and other means;
- Generates robust evaluation findings in areas where evidence is lacking or not yet strong enough to answer priority development questions, including in DFID priority areas;
- Develops innovative and cost-effective tools and methods for real-time monitoring and evaluation that are applied in DFID, by other partners and the wider evaluation community;
- Accumulates evidence from impact evaluations and uses this to identify areas where additional impact evaluations can greatly increase the validity of findings.

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### **5. Scope of Overall Programme**

- 5.1. There will be scope to review the budget for implementation during inception once the work plan for the programme is finalised.

#### What DFID expects to get from CEDIL

- 5.2. The scope will be largely driven by current development priorities and approaches that test and assist DFID's understanding of causal inferences relating to the impacts of development programmes. This will be done through:
- a) Innovation on current, and possibly also creation of new, impact evaluation methodologies;
  - b) Accumulation of evidence, including from rigorous impact evaluations conducted by CEDIL, in a manner that increases the external validity of findings and identifies priority areas for further investigation;
  - c) Support to impact evaluations in sectors and thematic areas where they are needed (including some evaluation of DFID programmes), to build sufficient evidence to answer persistent development questions;
  - d) Strengthening and harnessing UK and global evaluation research expertise in international development;
  - e) Drawing on expertise from a variety of academic disciplines and the private sector.
- 5.3. There are other initiatives that DFID already supports and it is important that CEDIL does not duplicate existing work, but rather seeks to complement their current activities. Key differences between this tender and work already funded include:
- a) CEDIL will be designing, testing, developing and implementing rather than simply funding impact evaluations.
  - b) CEDIL will be focused on accumulating existing evidence (including evidence generated from the application of the methods developed) and conducting additional secondary analysis (e.g. Bayesian updating, structural equation modelling, etc.) in order to improve the external validity of findings and identify what studies should be conducted next.
  - c) It will also be focused on developing evaluation capacity within DFID, international suppliers, and the wider global evaluation community by drawing on international expertise.
- 5.6 As well as complementing other initiatives supported by DFID, CEDIL should also complement the Centre for Evaluating Complexity Across the Nexus (CECAN) which is funded by the Economic and Social Research Council (ESRC) and the Natural Environment Research Council (NERC) in collaboration with the Department for Environment, Food and Rural Affairs (Defra); the Department of Energy and Climate Change (DECC); the Environment Agency (EA); and the Food Standards Agency (FSA). CEDIL has a similar scope to that of CECAN (leadership, methodology development, methods application and capacity building) so there is likely to be shared learning across the centres. However, some of the challenges faced will be specific to the international development context, e.g. developing methods which will generate robust results in challenging contexts such as fragile and conflict affected states.

### **6. Role of the Programme Directorate**

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- 6.1 The Programme Directorate will have responsibility for the overall work programme management and will lead on outreach and evidence dissemination. This will include:
- Managing the work programmes: the procurement process, supervision and day-to-day communications with the teams implementing the work programmes;
  - Delivery of the overall programme (including developing a logical framework and monitoring progress against this, grant management, supervision and day-to-day communications);
  - Outreach, communication and support for uptake of research: dissemination of research findings, building relationships with key audiences, using a range of communication tools to generate interest in the centre and the new methods. As part of this, the Programme Directorate will also play a leading role in monitoring the take up and use of CEDIL's products;
  - The Programme Directorate will also be responsible for the management of the Research Director (RD) and Intellectual Leadership Group (ILT). The Programme Directorate will work effectively with the Research Director and Intellectual Leadership team, and the ability to do so will be a critical factor when considering whether to proceed past Inception Phase.
- 6.2 The Programme Director will convene the Advisory Board. The role of the Advisory Board is to provide independent advice and challenge on the technical quality and policy relevance of the research products and overall research portfolio. This enables the evaluation products to stand up to independent, external scrutiny and so reduces risks to DFID's reputation. Further, this ensures better value for money, as all outputs produced must meet high quality standards. Seats on the Board will be held by: the Research Director, Programme Director, a senior representative from DFID, and external academic experts who will help assess the policy relevance of the evaluation products and overall portfolio. Sign off of reports and deliverables will be by DFID, so invoices will only be approved and paid by the Programme Directorate once DFID has approved the deliverables.
- 6.3 To inform the work programmes, a set of robust selection criteria for priority areas where innovative evaluation techniques are needed will be drawn up by the RD in consultation with DFID. The RD and PD will agree ways of working in developing these criteria and select recommended priority areas. Together they will then put a shortlist of recommended areas and detailed work programmes to the Advisory Board, for comment and advice. DFID will have final approval of the work programmes.

## **7 Programme Directorate – Requirements**

### **7.1 Programme Management**

- 7.1.1 The Programme Directorate will provide overall **programme, financial, procurement and risk management**. It will develop tools and systems for effective programme management. Therefore the Programme Directorate will apply excellence in all aspects of programme management, including technical, analytical, human resource and logistical management. The Programme Directorate will also apply expertise in procuring and contracting in a research/evaluation context.

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- 7.1.2 The Programme Directorate will develop a **comprehensive workplan** for its 5 year contract, across all function areas. **Annual work plans** will also be developed, for all functions – the RD and ILT, the Programme Directorate and Advisory Board. The PD will monitor implementation, manage budgets and ensure key policies and safeguards are in place and being followed including anti-corruption, fraud and risk management, and value for money.
- 7.1.3 A **logical framework** will be developed by the Programme Directorate, based on the Theory of Change for CEDIL. The Programme Directorate will be responsible for monitoring progress on the logical framework, including the use and uptake of CEDIL's products and dissemination activities.
- 7.1.4 The Programme Directorate will have lead responsibility for considering how the work will contribute to reducing inequality, in line with the requirements of the March 2014 International Development (Gender Equality) Bill, across all phases of the programme and aspects of the work. This will include working with Advisory Board to develop a **gender, equity and social inclusion strategy** during the inception phase of the programme.

### 7.2 Procurement Management

- 7.2.1 The Programme Directorate will be responsible for procurement management, including supplier engagement activities for all external work the Centre commissions, including evaluations and data research work. For efficiency, the initial work programmes will be packaged to avoid an excessive number of procurement exercises; however, it will not be practical to conduct a single round of procurement.
- 7.2.2 A set of robust selection criteria for priority areas where innovative evaluation techniques might be applied will be drawn up. It will be for the RD and PD to agree ways of working in developing these criteria and selecting recommended priority areas. Together they will then put a shortlist of recommended areas to the Advisory Board and DFID who will have final approval. The PD will manage the **procurement process** of the work programmes within these areas and **delivery** of the overall programme, including grant management, supervision and day-to-day communications.

### 7.3 Financial and Risk Management

- 7.3.1 The Programme Directorate will be responsible for **accurate forecasting** of budgets as well as **rigorous accounting**. Annual budgets will be developed and agreed with DFID. Quarterly financial reports will be provided to DFID, with quarterly invoices based on agreed milestone payments with actual and forecasted expenditure.
- 7.3.2 The Programme Directorate will support ICAI or other independent assessment/reviews during the programme's lifetime. It will also commission **independent annual financial audits**.
- 7.3.3 The Programme Directorate must have excellent procedures and systems in place to minimise the risks of **fraud, corruption and other downstream delivery risks**. The Programme Directorate will also be responsible for all due diligence on sub-contractors.



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#### 7.4 Programme Governance

- 7.4.1 The Programme Directorate is headed up by a Programme Director with a proven track record leading, managing and delivering a multi-year, large-scale research programme on time, to agreed quality standards and timeframes. The Programme Director has more than 20 years' experience leading work in monitoring and evaluation in international development, With extensive experience in evaluation management and leading multi-year, large-scale programmes, with the ability to convene and work effectively with scholars and evaluation experts.
- 7.4.2 The Programme Directorate will consult the Research Director on developing preferred and most effective ways of working and propose strategies of their own to establish clear lines of communication, reporting and responsibility with all elements of the programme (including the RD, ILT, Advisory Board, and DFID). Regular communication and collaborative ways of working will need to be maintained with internal and external stakeholders. The success of the 'way of working' strategy devised by the PD will be a key criteria for the decision to extend past the Inception Phase.
- 7.4.4 The Programme Directorate will work in **close collaboration** with the Research Director and Intellectual Leadership Team responsible for the overall strategic and technical direction of the research Centre. The Programme Director and senior team members will engage on a technical level with the research work cooperatively with the Research Director to translate the vision for the Centre into effective implementation and the timely production of deliverables. Feeding up information on outputs and offering guidance on what information would be available for synthesis products.
- 7.4.5 Building productive **partnership agreements** with external research stakeholders will be an important role. The Programme Directorate will lead on efforts to find **additional sources of funding**. However, the RD will be expected to support the Programme Directorate in ensuring the Centre's longer term sustainability. Conversely, whilst the ultimate vision and strategic direction will be determined by the RD, the PD will support and advise the RD as they develop and shape this.

#### 7.5 Research Impact

- 7.5.1 The Programme Directorate will ensure that all research complies with DFID's Open Access Policy, including public access to data collected and open access to articles published.
- 7.5.2 The Programme Directorate will have responsibility for research outreach. It will support the Research Director to convene researchers and practitioners to build a **community of practice** around innovative evaluation techniques. In order to do so it will prepare a detailed **research outreach strategy**, in consultation with the RD & ILT. This will draw on the mapping of stakeholders, and the development of outreach objectives, and will include communication of knowledge for policy understanding together with publication in high-impact peer-reviewed journals. The Programme Directorate will work where appropriate with DFID funded programmes on research outreach and other institutions that might provide strong channels for dissemination and will lead on monitoring the implementation and effectiveness of this strategy and the impact of the products.
- 7.5.3 The Programme Directorate will have responsibility for oversight and supervision of research communications and outreach work carried out by the Centre ensuring high quality, branded research outputs and products.

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7.5.4 The Programme Directorate will be responsible for the overall communications of the programme outcomes, building relationships with key audiences and using a wide range of communication tools. They will be expected to identify **forums for debate** ideally linking into existing high profile international and national events and conferences. The Programme Directorate may also convene seminars and workshops in order to build on the existing research efforts in terms of both ongoing or planned data collection and to build capacity on methods. The Programme Directorate will work in close collaboration with DFID and the Research Director in agreeing the scope and agendas for these meetings. The overall plan will be signed off by DFID with inputs from the Advisory Board. DFID spending control guidance<sup>5</sup> provides important guidance and rules in this respect. The Programme Directorate will also use a range of online and other value for money platforms to convene interested researchers and policy makers globally around this area of research.

7.5.5 The Programme Directorate will produce a number of **evidence and policy briefs** to be agreed during the inception phase and in co-ordination with the RD and ILT.

7.5.6 The Programme Directorate will **facilitate and coordinate the publication of articles** by the RD, ILT and work programme leads in peer reviewed journals, and manage the quality assurance process.

## 8 Programme Directorate - Outputs

8.1 The Programme Directorate is responsible for the following high level outputs:

Task	Sub-task	Anticipated Outputs to include (at a minimum) [ <b>Bold</b> : to be done during Inception Phase <u>Underlined</u> : to be done in consultation with RD/ILT]
Programme Management	Project Management	<ul style="list-style-type: none"> <li>- A five year costed <b><u>programme work plan</u></b>, including inputs from the RD/ILT</li> <li>- <u>Annual delivery plans</u> including inputs, deliverables and timelines for the RD/ILT (and Advisory Board)</li> <li>- <b><u>Inception Report</u></b> (after six months)</li> </ul>
	Procurement Management	<ul style="list-style-type: none"> <li>- <b>Policy on procurement and management of work programmes</b></li> <li>- <b>Supplier market engagement</b> plan</li> <li>- Well-advertised and subscribed calls for proposals for suppliers to undertake the Centre's work programmes (number and nature of these to be determined by the RD in the inception phase)</li> <li>- Signed contracts and grant agreements with successful applicants</li> </ul>
	Financial Management	<ul style="list-style-type: none"> <li>- Annual budgets, with demonstrated cost efficiency</li> <li>- Quarterly <b>financial reports</b> using agreed template, with invoices for agreed milestone payments</li> <li>- Annual independent audits of PD</li> </ul>
	Risk Management	<ul style="list-style-type: none"> <li>- <b>Risk matrix</b> and mitigation strategy, to be reported against in quarterly reports (see financial above)</li> <li>- <b>Conflict of Interest policy</b></li> <li>- Due diligence assessments for grantees</li> </ul>

<sup>5</sup>[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/285923/spending-control-guidance-research-progs.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/285923/spending-control-guidance-research-progs.pdf)

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		<ul style="list-style-type: none"> <li>- Ethics policy</li> </ul>
Programme Governance	Internal coordination & communication	<ul style="list-style-type: none"> <li>- <b>Way of Working Strategy</b> (to cover all aspects of Programme Governance, including quality assurance of output)</li> <li>- Annual conferences</li> </ul>
Demonstration of Impact	Getting findings (of evaluations and techniques) into policy and technical debates	<ul style="list-style-type: none"> <li>- <b>Outreach Strategy</b></li> <li>- <u>Policy and evidence briefs from vision documents and working papers produced by ILT</u></li> <li>- <u>Publication strategy for RD/ILT in world class peer reviewed journals</u></li> </ul>
Monitoring and Reporting	Monitoring	<ul style="list-style-type: none"> <li>- <b>Programme logical framework</b></li> <li>- <b>Monitoring and reporting strategy, including tools and indicators</b> for use by all programme functions (financial, process, outputs, uptake and use of products disseminated, disaggregated as required)</li> </ul>
	Reporting	<ul style="list-style-type: none"> <li>- Annual Reports, reporting against the logical framework</li> <li>- Inputs into DFID programme Annual Reviews (coordinated by DFID)</li> </ul>

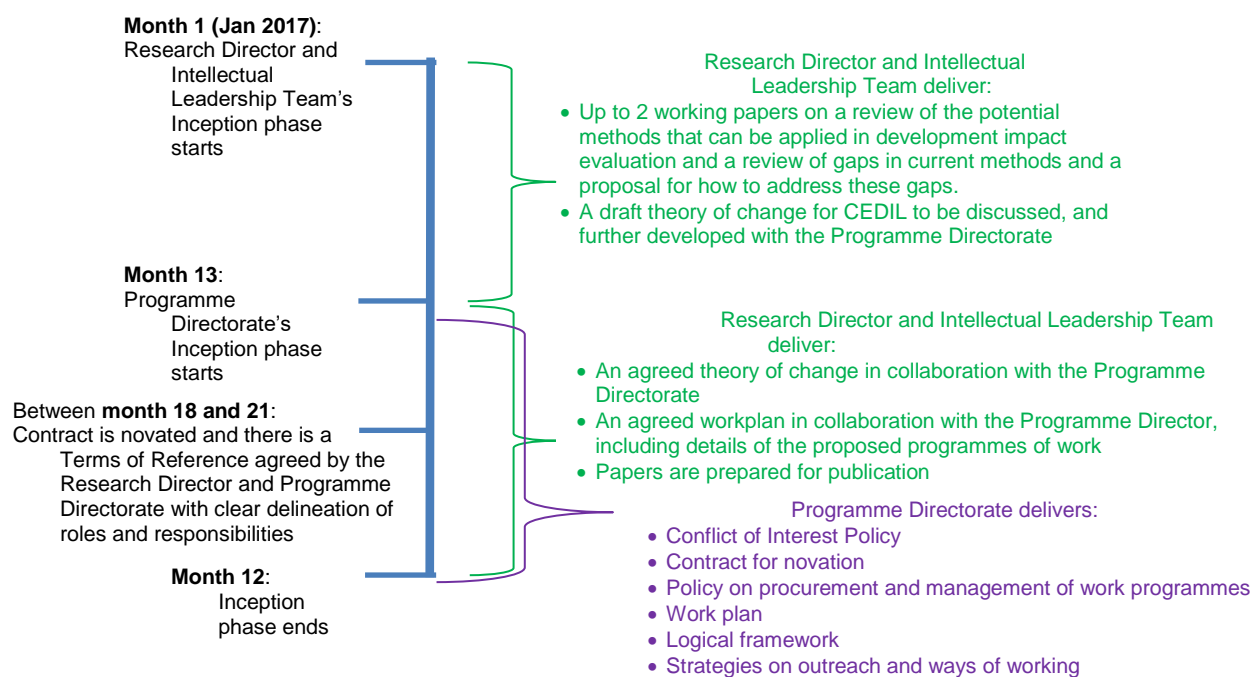
8.2 The below diagram illustrates how the Programme Directorate's deliverables in the inception phase fits in with those of the Research Director and Intellectual Leadership Team. The envisioned division of labour between the Research Director and the Programme Directorate for collaboration will be as follows:

Programme Directorate – Take ownership of and manage work plans, commission and manage the work programmes, lead on delivery and dissemination of all evaluation outputs.

Research Director – Provide strategic leadership, undertake mapping and scoping activities, produce evidence synthesis, provide technical assistance to the work programme teams, and champion CEDIL and its methods at international conferences.

Intellectual Leadership Team – Support the Research Director with mapping and scoping activities, produce evidence synthesis and provide technical assistance to the work programme teams.

Diagram of the years 1&2 of CEDIL and roles and responsibilities



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- 8.3 There is scope to change the delineation of the work and deliverables between the Research Director and the Programme Directorate during the collective inception phase as plans for CEDIL evolve. A final Terms of Reference produced by the end of the inception phase will be the result of discussions on roles, responsibilities and deliverables between the Research Director and Programme Director and will cover the agreed roles, responsibilities and delineation of work. This final Terms of Reference will be signed off by DFID.

### **9 Overview of the structure of the contract**

- 9.1 DFID has separately procured a Research Director and Intellectual Leadership Team for the Centre of Excellence for Development Impact and Learning. The initial contract for the Research Director and Intellectual Leadership Team will be managed by DFID for up to 21 months, at which stage it will transfer to the Programme Directorate to manage in order to ensure the Programme Directorate maintains ultimate responsibility for the effective delivery of this programme. The Research Director and their budget, roles, responsibilities and deliverables will then be managed by the Programme Directorate for the remainder of the programme. The ability of the Research Director and the Programme Directorates to collaborate effectively is critical to the success of the programme and ensuring that an effective working relationship (both contractually and operationally) has been established will be a key factor for DFID when considering whether to proceed to implementation period of this programme. There will also be a mutual exit clause at the end of the PD inception period, which allows the Research Director and Programme Directorate to withdraw from the contract if an effective working relationship cannot be established to enable delivery on the contract.
- 9.2 A proposed organisational structure is set out above, but will be revisited during the inception phase and finalised with the Programme Director and Research Director.
- 9.3 Once implementation starts, the Programme Directorate will be responsible for sub-contracting the Intellectual Leadership.
- 9.4 Payments under this contract will be strongly linked to performance and delivery of outputs.

### **10 Timeframe**

- 10.1 The initial contract will be for five years with a view to the centre starting to become self-sufficient beyond this period. Programme Directorate will start in March 2018. DFID will then transfer responsibility for the management of the Research Director contract to the Programme Directorate once they are in place through a transfer of services. This is expected to take place shortly after the Inception phase. There will be two break clauses in both the contract for the RD and PD, one at the end of the inception period and another midway through implementation (after 3 years) where DFID will review progress and performance including the core funding arrangement after year three. DFID reserves the right to terminate either contract at these stages if satisfactory progress has not been made.

### **11 Reporting and Monitoring and Evaluation**

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- 11.1 The Programme Directorate will report to DFID and following the transfer of services it will also be responsible for reporting on the Research Directorate and Intellectual Leadership elements of this programme to DFID. The Research Director will then report to the Programme Directorate.
- 11.2 The Programme Directorate will produce **quarterly reports** (including financial forecasts) for DFID, reporting progress against key performance indicators and objectives in the logical framework, as well as providing updated six monthly financial reporting for all aspects of the programme. The Programme Directorate will lead the finalisation of the **logical framework** during Inception Phase, working with the Research Director, Intellectual Leadership Team and DFID.
- 11.3 The Programme Directorate will produce an **Annual Report** for DFID, assessing progress against the logical framework as well as other notable achievements or difficulties faced by the programme. Templates for and contents of annual and other reports will be discussed and agreed during the inception phase.
- 11.4 The Programme Directorate will publish, disseminate, support and monitor the uptake and use of evidence products by the research and policy community.
- 11.5 An evaluability assessment will be conducted to test and refine the theory of change for CEDIL and identify potential evaluation approaches and questions against which the progress of CEDIL may be evaluated. Subject to this evaluability assessment two independent evaluations are proposed: one mid-term to assess progress, provide information to strengthen the initiative to ensure effective delivery of intended results and one ex-post to capture the outcomes and impacts of CEDIL (to date and prospective) in promoting evaluation, furthering methodologies, conceptual and practice debates, informing policy development and practice and building capacity and engagement.

## **12 DFID coordination and management**

- 12.1 The Centre will be managed in DFID by the DFID lead adviser on technical issues and Senior Responsible Officer. The PD will report to the SRO for the programme and the PD is required to set out who will be responsible for reporting to DFID. This should be a single reporting structure to avoid duplication. DFID will also have senior support and representation on the Advisory Board.
- 12.2 DFID is ultimately accountable for ensuring the delivery of an effective and efficient programme and thus holds final decision making authority. This will be exercised in cases of strategic importance or mediation of conflict, taking into consideration advice from the Advisory Board. DFID will have oversight of CEDIL, including both the RD and PD's work and will sign off on all key products. An internal DFID management group has been established to take key decisions, ensure DFID requirements are met and sign off key products. DFID are responsible for the deliverables of both the Research Directorate and Programme Directorate in Inception Phase; the Programme Directorate will be responsible for the delivery of outputs by the work programmes and the Research Directorate following completion of the process for the transfer of services.
- 12.3 When the Research Director is sub-contracted by the Programme Directorate, the Research Director will be managed by the Programme Directorate for all contractual matters,

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and will also report to DFID for strategic and intellectual matters. There needs to be strong lines of communication and a very good working relationship developed between the Research Director and Programme Directorate. Serious issues that may impede the implementation of the programme and that cannot be resolved in the first instance by the Advisory Board will be taken to a senior representative in DFID for advice and action.

### **13 Duty of Care**

- 13.1 The Supplier is responsible for the safety and well-being of their Personnel (as defined in Section 2 of the Contract) 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.
- 13.2 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.
- 13.3 This contract 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).
- 13.4 This contract may require the Supplier to operate in conflict-affected areas and parts of it are highly insecure. Travel to 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).
- 13.5 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)[1] safety in the field training prior to deployment.

DoC responsibilities in even the most challenging of environments.

- 13.6 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.
- 13.7 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.
- 13.8 The PD is fully responsible for Duty of Care in line with the details provided and confirm that:

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- They fully accept responsibility for Security and Duty of Care.
- They understand the potential risks and have the knowledge and experience to develop an effective risk plan.
- They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.

#### **Annexes**

1. Conflict of Interest Principles
2. DFID Ethical Principles for Research and Evaluation
3. DAC Quality Standards for Development Evaluation
4. Research Uptake Guide

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### **Annex 1 - Conflict of Interest Principles**

Presented below are key principles to mitigate any potential Conflict of Interest. A detailed and comprehensive Conflict of Interest policy, based on these key principles, will be developed in the inception phase by the Programme Directorate who will be responsible for implementing this policy and managing adherence to it.

A specific potential risk of a perceived conflict of interest relates to the possibility that current or former members of CEDIL (i.e. all those currently or previously paid to support the programme in one form or another: the Programme Directorate or Research Director, or the Intellectual Leadership Team, or the Advisory Board) may intend to lead or join bids for the work programmes. Clear feedback was provided at the early market engagement exercise that institutions would be unwilling to bid for the position of the Research Director if it meant that others in their institutions were not eligible to bid for CEDIL's programmes of work. Whilst DFID wishes to gain from the expertise of those that have been selected to advise, steer and deliver this work it must also be seen to be even-handed in its approach and not offer particular advantage in the competitive tendering process to those current or former members of the CEDIL Directorate.

To mitigate the risk of real or perceived conflict of interest, the following principles will apply:

#### **1. Research Director**

- Current Research Directors are not eligible to bid for the work programmes.

#### **2. Intellectual Leadership Team**

DFID is keen that world-class researchers like those on the Intellectual Leadership Team should be encouraged to bid and as such, current or former Intellectual Leadership Team members who have pre-registered an interest in bidding for the work programmes are eligible to bid. For Intellectual Leadership Team members interested in bidding for a work programme, the Programme Directorate will ensure:

- They are not privy to information regarding the bid selection process that may give them or their bid partners an advantage relative to other bidders.
- There is no contact between the Intellectual Leadership Team member and the Directorate during the bidding process.
- They are excluded from assisting the Review Panel in the evaluation of bids.

#### **3. Programme Directorate**

Given that the Programme Directorate is responsible for procurement and management of the work programmes, it is not possible to put sufficient firewalls in place to prevent a conflict of interest arising. They play a key decision-making role on the evaluation of bids and, ultimately, the award of contracts with sizeable value. It is therefore critical that there is no conflict or perceived conflict in their decisions. As such, current staff in the Programme Directorate are not eligible to bid for the work programmes.

#### **4. People in the same institution as the Research Director or Intellectual Leadership Team**

There are two particular risks of a perceived or actual conflict of interest in the case of people in the Research Director's or Intellectual Leadership Team's institution bidding for the work programmes. Firstly, the Research Director's organisation may have access to information about CEDIL and its work programmes that could put it at an advantage over other bidders. Second, a Research Director or member of the Intellectual Leadership Team in this position may find it harder to objectively quality assure the outputs and outcomes of the work programme. However, there is a limited market for this type of work and automatically proscribing the Research Director or Intellectual Leadership Team's organisations from



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bidding for the work programmes would reduce the number of skilled organisations who can undertake this work. As such, the following is proposed:

- The Research Director and Intellectual Leadership Team's institutions can bid for the work programmes as the commissioning, procurement and management of the work programmes is conducted by a separate organisation (the Programme Directorate).
- People in the same institution as the Research Director or Intellectual Leadership Team will be required to pre-register an interest in bidding for the work programmes.
- The Research Director or Intellectual Leadership Team member will be expected to recognise the potential for a perceived conflict of interest and set out clearly to the Programme Directorate how they will manage this risk. The Programme Directorate will assess the adequacy of this management strategy and either accept it, require an amendment to it, or reject it. As with other aspects of the conflict of interest policy, the Programme Director will maintain a record of the steps taken to manage any potential conflict of interest.