Section 3

TERMS OF REFERENCE

INVESTMENTS IN FORESTS AND SUSTAINABLE LAND USE

Evaluation Manager for Partnerships for Forests

BACKGROUND

1.   The Department for International Development (DFID) leads the UK's work to end extreme poverty. DFID's Climate and Environment Department focuses on supporting developing countries to reduce poverty, respond effectively to the impacts and climate change and protect natural resources.

2.   DFID is seeking a Supplier to serve as Evaluation Manager under its programme for Investments in Forests and Sustainable Land Use (IFSLU).

3.   IFSLU is a new centrally-managed programme which aims to catalyse increased private investment in sustainable forestry and 'zero-deforestation' agriculture.[1]

4.   The programme is working to achieve this through convening the private sector and governments in a dialogue focused on a transition to sustainable value chains and business models; and providing technical assistance and grant finance to develop public-private partnerships. In future, the programme may also provide capital to invest into viable public-private partnerships.

5.   DFID has committed funding of £60 million to an initial phase of the programme, funded from the UK Government's International Climate Fund (ICF).

6.   The greater part of this funding has been committed to a facility which offers grants and technical assistance to develop and implement public-private partnerships over a five year period (November 2015-November 2020). This facility is known as Partnerships for Forests (P4F) and is managed by Palladium and McKinsey & Company.

7.   P4F is providing support for:

- *Demand-side measures*, to accelerate public and private commitments to sustainable sourcing and create a more valuable market for timber and agricultural commodities from sustainable sources;

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[1] http://devtracker.dfid.gov.uk/projects/GB-1-202745/documents

- *Enabling conditions*, to improve the business environment for investments in sustainable forestry and agriculture;

- *Partnerships and investments*, to finance public-private partnerships and develop a pipeline of future public-private investment opportunities.

8.   Expected results include improved livelihoods, more sustainable jobs, avoided deforestation, reforestation of degraded land, and leverage of private finance.

9.   Results will be tracked using ICF key performance indicators[2], and these could include reduction of poverty amongst forest-dependent people (KPI 3); creating sustainable jobs in forestry and agriculture (KPI 5); mitigating greenhouse gas emissions (KPI 6); avoiding deforestation (KPI 8); and mobilising private finance (KPI 12). Results will also be tracked in terms of their disaggregated gender impacts.

ICF monitoring, evaluation and learning

10.   DFID places an emphasis on monitoring, evaluation and learning for all work financed under the ICF.

11.   A Monitoring, Evaluation and Learning (MEL) contract has been awarded for the ICF and this is supporting a wider process of evaluation and learning against the ICF key performance indicators (KPIs). The ICF MEL contract is managed by ITAD.

12.   Separately, but closely coordinated with the ICF MEL programme, methodologies are being developed to track the impacts of ICF forest programmes on the reduction of poverty amongst forest-dependent people (ICF KPI 3) and forest area change (ICF KPI 8). These contracts are managed respectively by IFRI and Ecometrica.

P4F monitoring, evaluation and learning

13.   Monitoring, evaluation and learning undertaken for the P4F programme will be aligned with the wider monitoring, evaluation and learning framework set up around the ICF.

14.   The P4F monitoring, evaluation and learning programme will require close collaboration between the Evaluation Manager and the P4F facility, with distinct roles for these two entities.

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[2] https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/253682/ICF-KPI-summary.pdf

15.   The P4F facility is establishing a comprehensive results monitoring system at the project and programme levels, focused primarily on programme outputs. The P4F facility manager will also develop a framework to guide monitoring, evaluation and learning around programme activities.[3]

16.   The Evaluation Manager will complement this by developing and implementing an evaluation and learning strategy focused primarily on the outcome level of the programme and on learning across programme activities, supporting adaptive management and knowledge management within P4F.

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[3] A draft of the programme M&E framework will be available from month three of programme implementation and a final version available from month six. These will be made available to inform tenders.

OBJECTIVE

17.   To develop and implement a P4F evaluation and learning framework focused primarily on the outcome level of the programme and on learning across programme activities.

RECIPIENTS AND CLIENT OF SERVICES

18.   The client and recipient of the Services is the UK Department for International Development (DFID).

SCOPE OF SERVICES

19.   The services will include:

(i) Developing a programme evaluation and learning framework, in consultation with DFID and the P4F facility;

(ii) Developing a baseline to support future evaluation of programme outcomes and impacts;

(iii) Implementing an evaluation and learning framework for P4F programme activities.

20.   The independent evaluation and learning framework should provide learning opportunities throughout the term of the contract, reporting on an annual basis (although some years may be more intensive than others) about outcomes, impacts where possible, and lessons learned.

21.   Bids for this contract should describe in outline how this would be achieved, with further work to develop the framework during the inception phase for the contract.

22.   Innovation is encouraged, including the use of adaptive and participatory approaches, involving the P4F facility and other stakeholders to maximise learning and capacity development opportunities.

23.   The services provided by the Supplier should be undertaken by a team with expertise which includes but is not limited to:

- Evaluation techniques and methodologies;

- Evaluation and learning over the life of a programme, and participative and collaborative approaches to evaluation and learning;

- Quantitative and qualitative methods of collecting and analysing data for evaluations;

- Communicating complex and technical evaluation findings in engaging and accessible ways;

- Sustainable forestry and agriculture; public-private partnerships; private sector investment in sustainable forests and agriculture; and related finance;

- Political economy, social and gender issues;

24.   In providing these services, the Supplier will cooperate closely with the P4F facility, and ensure coherence and coordination with work undertaken to assess the overall impact of ICF investments under the ICF Monitoring, Evaluation and Learning (MEL) contract, and ongoing work to develop methodologies for ICF KPI 3 and ICF KPI 8.

OUTPUTS

Development of an evaluation and learning framework

25.   The evaluation and learning framework should set out an approach to assessing outcome level results from the programme and should include:

a)   An evaluation methodology for the programme, including questions to be addressed and assumptions to be tested. This should include approaches for understanding i) outcomes (and impacts where possible) ii) documenting lessons learned and iii) understanding how and why outcomes were achieved;

b)   An assessment of the appropriateness of the theory of change, log-frame indicators, verification methodologies, milestones and targets and where appropriate recommend modifications, including:

i.   data collection, and methodologies for reporting progress against indicators,

ii.   the feasibility of targets and expected results.

c)   Approaches to verifying achievement of results;

d)   Arrangements for coordination with the P4F facility in a coherent and collaborative programme-wide approach to monitoring, evaluation and learning

activities, including roles and responsibilities, collaboration, data sharing and other relevant arrangements.

26.   The evaluation and learning framework will be agreed with DFID and in consultation with the P4F facility.

Development of a baseline

27.   The baseline should provide an initial point of reference to support future evaluation, including

    a)   State of play in relevant countries, regions, markets and commodity value chains;

    b)   Assessment and assembly of existing data, identification of data gaps, and strategies to augment relevant data.

28.   Innovative approaches to selecting and populating an appropriate baseline data set are encouraged. This could include a research output on public-private partnerships in forests and land use in a recent defined time period, including drivers, composition, structure and outcomes, and using that as a basis for guiding future evaluation.

Implementation of an evaluation and learning framework

29.   The Supplier will deliver annual reports which:

    a)   Describe the extent to which programme activities have contributed towards the programme outcome;

    b)   Explain how and why outcomes were achieved;

    c)   Synthesise lessons learned from the programme;

    d)   Examine the programme against DAC criteria reflecting on the relevance of interventions; responsiveness to changing contexts; impact; sustainability; equity; and value for money.

    e)   Make recommendations for adaptive management for consideration by DFID and the P4F facility; and in later years of the contract, make recommendations for the scope of future phases of work, for consideration by DFID.

30.   Evaluation reports should also consider and comment on:

a) Whether risks and assumptions inherent in the programme approach are valid, whether any need to be modified, and whether any actions should be undertaken to mitigate risks;

b) The effectiveness with which P4F has contributed to achievement of DFID's wider goals; and effectiveness in working with relevant DFID regional and country programmes

c) Effectiveness in working with other stakeholders, including other UK government departments, donor governments and multilateral agencies; the private sector and civil society.

31. Ongoing implementation of the evaluation and learning framework should include reviews of secondary information sources, interviews with key informants, and primary data collection through a sample of site visits to field activities.

32. All research and evaluation activities are expected to adhere to DFID's Ethics Principles for research and evaluation.[4]

COUNTRY FOCUS

33. The P4F facility has established hubs for Southeast Asia located in Jakarta; for East Africa in Addis Ababa; and for West and Central Africa in Accra). The Supplier will be expected to work in these regions.

REPORTING

34. Within two months after commencing services the Supplier will submit an Inception Report that sets out the approach to performing the services.

35. Within six months of commencing the contract, the Supplier will submit a programme evaluation and learning framework to DFID.

36. Within one year of commencing the contract, the Supplier will prepare a baseline to support future evaluation of the programme.

37. On an annual basis, at dates to be agreed in consultation with DFID and the P4F facility, the Supplier will submit annual evaluation and learning reports that include analysis of outcomes and lessons learned.

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[4]

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67

38.   The content and structure of these reports will be agreed with DFID during the inception phase of the contract.

39.   DFID will draw on the annual evaluation reports and annual reports submitted by the P4F facility to complete the annual review of the programme.

START DATE AND DURATION

40.   The services will commence in October 2016 and run for a period of 48 months to October 2020, with possibility of extension for a further period of up to 48 months, subject to continued need and satisfactory performance. Additional budget could be made available for any extension of the work beyond the initial period, up to a maximum of a further £1.35m.

BUDGET

41.   A maximum budget of £1.35m is available for this contract.

DIGITAL SPENDING

42.   All digital[5] content produced by the Supplier is subject to UK government digital principles as set out by the Government Digital Service (GDS). All digital developments should put the needs of users first; learn from and improve these services over time; be freely available for other DFID programmes to use. For more information see https://www.gov.uk/designprinciples

43.   The Supplier should consider the use of digital elements to maximise value for money while ensuring the programme remains inclusive and fully accessible. Any proposed digital elements will require approval in line with DFID's Smart Rules.

44.   The Supplier should not propose unnecessary bespoke systems or tools to implement and instead make use of existing and freely available systems and tools in all aspects of the programme where possible.

TRANSPARENCY

483/dfid-ethics-prcpls-rsrch-eval.pdf
[5] Defined as any service provided through the internet to citizens, businesses, civil society or NGOs. This includes, but is not limited to, information services, websites and transactional services. This includes services provided by others but funded by DFID.

45.   DFID has transformed its approach to transparency, reshaping our working practices and pressuring others across the world to do the same. DFID requires Suppliers receiving and managing funds to release open data on how this money is spent, in a common, standard, reusable format and to require this level of information from immediate sub-contractors, sub-agencies and partners.

46.   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 to DFID. Further information is available from: www.aidtransparency.net

DUTY OF CARE

47.   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.

48.   DFID will share available information with the Supplier on security status and developments in-country where appropriate.

49.   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.

50.   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).

51.   This procurement 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 areas required within the region in order to deliver the contract (subject to travel clearance being granted).

52.   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 dangerous, fragile and hostile environments etc.). The Supplier must ensure their Personnel receive the required level of training.

53.   Tenderers must develop their PQQ response and tender (if invited to Tender) on the basis of being fully responsible for Duty of Care in line with the details provided above and the initial risk assessment matrix prepared by DFID (see Annex A of this ToR). They must confirm in their PQQ Response that 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.

54.   If you are unwilling or unable to accept responsibility for Security and Duty of Care as detailed above, your PQQ will be viewed as non-compliant and excluded from further evaluation.

55.   Acceptance of responsibility must be supported with evidence of Duty of Care capability and DFID reserves the right to clarify any aspect of this evidence. In providing evidence, interested Suppliers should respond in line with the Duty of Care section in Form E of the Pre-Qualification Questionnaire (PQQ).

Annex A: Risk scores for indicative list of countries

Date of assessment: April 2016

	Cameroon	Republic of Congo	Democratic Republic of Congo	Cote d'Ivoire	Ghana	Liberia	Tanzania	Mozambique
OVERALL RATING	**2**	**3**	**4**	**3**	**3**	**4**	**2**	**3**
FCO travel advice	3	4	4	3	2	4	2	2
Host nation travel advice	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Transportation	4	4	5	4	3	4	3	3
Security	3	3	4	3	3	3	4	3
Civil unrest	3	3	5	3	3	3	4	3
Violence/crime	3	3	5	3	3	3	4	3
Terrorism	2	2	2	2	2	1	3	2
War	2	2	4	3	1	2	2	2
Hurricane	1	1	1	1	1	1	1	1
Earthquake	2	1	2	1	1	1	1	1
Flood		1	1	2	1	2	2	3
Medical Services	4	2	5	3	3	4	3	3
Nature of Project/Intervention	2	2	2	2	2	2	2	2