

(Call- down Contract)

November 2016

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT (DFID)**Khyber Pakhtunkhwa Education Sector Programme (KESP)
Performance and Process Evaluation****Terms of Reference****I. Introduction**

1. The Khyber Pakhtunkhwa Education Sector Programme (KESP) supports the Government of Khyber Pakhtunkhwa (GoKP), Pakistan, to deliver equitable access to better quality education across the province of Khyber Pakhtunkhwa (KP). In particular, it aims to improve learning outcomes for all children, especially girls and other marginalised children. The education indicators in KP are among the poorest in Pakistan, a country which accounts for more than one in ten of the world's out of school children. Around half of the total 17 million population in KP are illiterate (65% women and 28% men). There are currently 3 million children out-of-school of which 54% (ages 4 to 17) are girls. The intended impact of KESP is to achieve 'more educated people in KP, making a positive social and economic contribution'. Through sector budget support (SBS) and technical assistance KESP aims to support more children to stay in school for longer while learning more. The KESP programme provides support to the GoKP's reform programme across the whole province of KP by directly supporting 244,700 children to gain a decent education and benefits all 4.6 million of school age in school in KP, 125 thousand teachers and more than 27,500 schools. It also works to get many of the 3 million out-of-school children in KP into school and learning, with a focus on girls. KESP contributes towards DFID's fourth strategic objective: tackling extreme poverty and helping the world's most vulnerable.

2. GoKP's long term vision for education reform is outlined in its five year Education Sector Plan (ESP July 2015-June 2020), which is the first of three five year plans to deliver comprehensive education reforms by 2030. The ESP identifies 10 broad policy priorities which have been grouped under four key policy areas: 1) More effective teachers; 2) Better schools and facilities; 3) Equitable access to education; and 4) Good governance and management. KESP is designed to support the implementation of ESP objectives. Equity considerations are at the core of the policy group activities. By actively targeting out of school children, and particularly girls in areas underserved by government schools, the programme advances the vision of ensuring that the most marginalised children are able to receive a decent education.

3. KESP was initially designed as a four year programme (June 2012 - October 2016) with an overall budget of £203.5million. Last year the programme received an extension to July 2020 with an additional budget of £ 79.7 million which brings the total value of KESP to £ 283.2 million. DFID's financial contribution under KESP supports GoKP's ESP. The GoKP's ESP informed the creation of a Joint Review Framework (JRF), which was agreed in June 2015 by the Elementary and Secondary Education Department (E&SED) all foreign donors (DFID, the Australian Government and the European Union (EU)). The JRF provides a set of milestones to assess progress against each year from 2015-2020, according to which SBS is disbursed. Currently in addition to DFID support, Australia and the EU fund SBS in education in KP. There are other donors working in KP. KESP is structured around three components and the total value is £283.2 million plus AUD \$ 63.8m contribution from the Australian Government:

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- a. sector budget support (SBS) component provides funds to the GoKP on the basis of progress against the Education Sector Plan (ESP 2015-2020) and Joint Review Framework (JRF). (£181.2 million); Australian Government portion is AUD \$ 45 million.
 - b. technical assistance to the GoKP to support delivery of the ESP. (£42 million);
 - c. a school infrastructure component to upgrade facilities in existing public schools to ensure they are fit for purpose. This is managed through technical assistance provided by IMC. (£60 million). Australian Government portion is AUD \$18.75 million.
4. KESP's overarching Theory of Change is that more effective teachers, better schools, every child's right to education, and good governance and management will lead to more children being in school, staying longer and learning more (Annex 1). The ultimate goal of all education reforms is improvement of teaching and learning practices in the schools so that children's learning outcome improve. It is at the level of schools that the provincial system of education interacts with its ultimate beneficiaries, the students. The schools must have enough and adequately qualified teachers. To retain children the schools must also be responsive to their needs and therefore create an environment conducive for attendance and learning. Schools must be equipped with running water, functional toilets, sports equipment, enough space to play and learn, teaching and learning materials, boundary walls, and furniture. Schools are nested within and supported by a multi-tiered system of government. The KP ESP recognises the need to simultaneously improve teaching and learning practices, school environments, the system of governance including planning and timely execution of budgets, and importantly to monitor and evaluate the performance of the system on a regular basis for continuous improvement of the schools. The financial contribution is supported by specific targeted technical assistance implemented by Adam Smith International (ASI) and outlined in their work and by IMC's work plan to support infrastructure development.
 5. DFID commissioned an evaluability assessment to establish the feasibility of evaluating the programme and to propose options for an evaluation design. This ToR draws on recommendations from the evaluability assessment (See Annex 6).

II. Purpose, Objectives and Scope

6. DFID is primarily interested to learn how well the programme has performed but also about what sort of education sector support works to improve education systems, what the relative contribution of different components of DFID support has been, and what the unintended effects of these programmes, if any, may have been. This learning is mainly relevant to Pakistan but could be applicable in other contexts too. This would help DFID and partner governments design better education programmes.
7. An independent evaluation will also enhance DFID's accountability to stakeholders, including UK taxpayers, for how well the programme performs and the value for money that it represents.
8. The evaluation will look at the overall performance KESP and its contribution to towards the achievement of the logframe and ESP goals. DFID is interested in evaluating the entire programme to capture how the various components (sector budget support, technical assistance and infrastructure) and strands (teaching and learning, better school facilities, equity and access, and management) of the programme contribute to the final outcome and what linkages between components as well as strands work best to produce results.

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9. The evaluation will support the monitoring framework of the KESP programme and inform and improve implementation. It is also expected to contribute to lesson learning and expanding the evidence base for education sector reform in Pakistan.
10. DFID is procuring and managing the evaluation, but will engage with Department of Foreign Affairs and Trade (DFAT), the EU and GoKP on key evaluation products and findings through quarterly meetings. An Advisory Group will also be set up comprising independent experts to give credibility to the evaluation so that it meets international standards. KESP is due to come to an end in 2020 so the evaluation process and findings are likely to inform any decisions about options for potential programming before the end date of the current KESP programme.
11. DFID is looking to engage one evaluation supplier to undertake two types of evaluation¹:
 - a. **A performance evaluation** that evaluates KESP on the basis of its contribution to the desired programme outcomes and can inform and future programming decisions and design before KESP II ends.
 - b. **A process evaluation**, conducted annually that provides a deeper understanding of the quality of implementation, provides lesson learning and feeds into KESP annual reviews. This information will be used to adapt the programme. The process evaluation should be complementary to the performance evaluation.
12. While the performance and process evaluations have different specific objectives, they should complement and inform one another and, together, should enable a better understanding of the linkages in the programme's causal chain, in particular between outputs and intended outcome.

Performance evaluation

13. The objective of the performance evaluation is to assess the effectiveness of KESP and its contribution (financial and technical) to the final outcome (more children in school, staying longer and learning more). It should also provide an assessment of whether specific strategies and approaches supporting outputs leading to outcomes have had (or are likely to have) the impact intended, as well as some analysis around DFID's contribution to the programme, and the role of the technical assistance (TA).
14. The performance evaluation should cover all three components of the programme: sector budget support (SBS), TA to the Department, and school infrastructure through IMC. The performance evaluation should assess (a) the overall performance of KESP against the government's Education Sector Plan (ESP) and against output and outcome indicators in the KESP logframe; (b) improvements through TA to systems and processes that support the outputs and outcomes including the perspectives of key stakeholders within government of ASI's TA contribution to promote inclusiveness and ownership; and (c) the performance of the school infrastructure component in meeting stated outputs and outcomes.
15. It is important that the performance evaluation includes preliminary information in order to allow DFID and other stakeholders to reflect on achievements, challenges, what worked, what represents value for money and any lessons so as to inform future programming. The findings from the performance evaluation could inform a future KESP programme which is in line with

¹ DFID defines Performance and Process evaluation as follows: Performance evaluations evaluate the effectiveness of an intervention and its contribution to development outcomes and impacts. Process evaluations provide a deeper understanding of the quality of implementation including integrity, relevance and coherence.

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the long-term vision of the GoKP for education reform. The evidence could help DFID structure its future support to KP in case funding is available.

Process evaluation

16. The objective of the process evaluation is to provide a more in-depth analysis of the quality of implementation of all outputs and components (SBS, TA and TACE) and their continuing relevance and coherence in relation to agreed, planned and expected action. The process evaluation will provide some early assessment of whether the KESP interventions are likely to improve the outcomes as well as how well the interventions themselves are being executed. The process evaluation should particularly aim to provide a deeper understanding of the quality of TA implementation and the delivery of the infrastructure components that support outputs 1 – 4.
17. The process evaluation will be informed by the indicators on the M & E frameworks of the service providers (ASI and IMC), the data they collect as well as any implementation studies that are already in progress. Government data would also be reviewed as well as the findings from Independent Monitoring Unit's (IMU) work.
18. The process evaluation will feed into the KESP Annual Review process and should be conducted annually with findings available by June every year before the KESP Annual Review. There should be particular focus on the continued relevance of the outputs and the likelihood that they will lead to the intended outcomes. It is anticipated that findings from the process evaluation will inform programming decisions during the lifetime of the programme.
19. The process evaluation will quality assure existing data, along with generating some additional qualitative and quantitative data required for DFID's annual reviews of KESP, including lessons learned. It will be informed by the indicators on the Monitoring and Evaluation (M&E) frameworks of the service providers (ASI and IMC), the data they collect as well as any implementation studies that are already in progress or will be conducted as part of this evaluation. Government data will also be reviewed as well as the findings from IMU.

III. Evaluation questions

20. The following are some key questions that may help guide the design of the performance and process evaluation and additional studies. These questions are indicative. Using the OECD DAC evaluation criteria as a framework, the evaluator should work with DFID and other stakeholders to further explore, prioritise and rationalise these questions during the inception phase in order to come up with an agreed final set of questions to be used for the different types of evaluation to be conducted under this programme.

Performance Evaluation questions:

- Are more girls and boys **going to school** in KP (in real terms), **staying longer** and **learning more** year on year in 2020 as compared to 2015 (baseline). Are district and gender disparities in these three areas improving? What is the level of confidence in DFID's contribution to outcomes?
- What is the impact of the infrastructure component on access, learning and retention?
- What aspects of the programme represent value for money in terms of effectiveness, efficiency, economy and equity? What is the GoKP's perspective on DFID's financial contribution: how does it make a difference?

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- Are gender disparities by province (overall) and between all districts and pilot districts where DFID have played a role in testing specific TA supported initiatives decreasing, remaining the same or increasing? What are the differences in outcomes for poor girls and boys (enrolling, attending, learning outcomes); what are the gender differences between male and female teachers (access to training; competencies; attendance)? What are the Department's plans to establish, upgrade and/or rehabilitate girls' schools and have they aligned these plans with targets on increased girls' enrolment?
- What interventions would work best to increase girls' enrolment, attendance and retention in education? Are stipends an effective/cost-effective strategy to promote the enrolment and retention of girls in schools? What is the impact of increased number of female teachers, revised terms and conditions for female teachers, CPD/teacher training on the quality of teaching by gender and learning for boys and girls?
- Does the GoKP remain committed to its Education Sector Plan: i.e., is this demonstrated by budget allocations based on the ESP costing and quality of spend?
- Given the performance of the KESP what are the key lessons for DFID's future programme interventions (design, delivery and implementation, M & E, gender, Value for Money, etc.)

Process evaluation questions

- **Teacher effectiveness (Output 1)**
 - On a year by year basis what progress is being made to improve teacher effectiveness? Do the outputs remain relevant? Are gender equality issues taken into consideration? How is value for money achieved in delivery? What lessons have been learnt and how will these be applied in the next period?
 - Compared to the 2014 baseline, **are more teachers attending schools** as reflected by IMU data? How are district education officials holding teachers to attendance targets? Identify and agree with stakeholders all baseline data sources and values to assess progress in this area.
- **Better schools and facilities (Output 2)**
 - How effective is the Parent teacher Council (PTC) conditional grants programme providing missing facilities to schools? How does this approach compare with other standard modes of delivery? Is it more efficient, cost effective and/or better quality? What is the quality of M&E, and how are the new KESP school facilities being managed and maintained?
 - What progress is being made by IMC in carrying out new construction and rehabilitation (planned/achieved)? What barriers are being faced and how are they being overcome, especially the 70:30 ratio for girls' and boys' schools? What improvements can be made to implementation in the next year? What cost efficiencies have been made in implementation in the current year?
 - What are the key differences, if any, between a school delivered by the Communication and Works (C&W) department of the GoKP and a school delivered in DFID's programme? What are the Value for Money differences. This may include comparison of unit cost, quality of construction and community engagement.
 - What impact is construction having on access, learning and retention?
- **More equitable access to schools (Output 3)**
 - Is the voucher programme a successful model for addressing the issue of out of school children? What lessons are we learning and how can this help improve the design of the programme for the following year?
 - How effective are the girls' community schools in addressing the issue of girls' access to education particularly in areas where there are no government schools? Are more girls coming to school, staying longer and learning more? Is this a

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sustainable model and if not what are the plans for transition and/or mainstreaming?

- **Good governance and management (Output 4)**
 - What progress has been made by the IMU in data collection and analysis from schools? What is the quality of the IMU data and is the quality improving year on year?
 - What progress is being made in developing District Education Plans (DEP) (planned/achieved), including implementation of the GoKP policy of 70:30 ratio in favour of girls' education? Are DEPs reflective of the situation on the ground? What evidence exists to suggest that they are used and valued as a living document by stakeholders?
 - How does the annual budget allocation align with ESP targets? If not, what are reasons for this?
- **Delivery of technical assistance (effective, efficient, high quality) (Output 5)**
 - Is the TA achieving what it set out to achieve in its work plan? What challenges were faced and how were they overcome?
 - Has the TA adequately assessed the capacity gaps in the system and developed a strategy to build capacity in these areas? Has the TA team begun to transfer capacity to the E&SED, ensuring long-term sustainability of reforms?
 - Are there lesson learning processes in place and have lessons been captured and shared so as to widen knowledge and improve capacity? Has technical assistance promoted innovation within KESP and what evidence demonstrates this?
 - Does the TA remain relevant and valued by the GoKP? Do key relevant GoKP stakeholders regard the TA delivered as effective and high quality in the key areas outlined above? How does the perceived quality of TA compare with other similar TA provision in Pakistan and globally?
 - What cost efficiencies are being made and how are these measured? How does the Value for Money (VfM) compare with other similar TA provision globally?
 - How is gender equality taken into consideration in the focus of the TA and way in which it is delivered? Is there scope for improvement?

[Please refer to the attached KESP evaluability study – Annex 4, for suggestions on more specific questions on the performance and process evaluation and specific studies.]

IV. Evaluation methods

21. The evaluator is expected to determine the most appropriate approach(es) and methodology(ies) to deliver the evaluation objectives. However, it is expected that a mixed method approach will be applied, drawing on existing and new primary data, both qualitative and quantitative. While the performance and process evaluations do have separate objectives and will require different methodologies, the evaluator can choose the extent to which they wish to combine/integrate delivery of the two evaluation components (taking into account timing, cost, skills sets and a need to minimise the burden on stakeholders and beneficiaries).
22. Given the importance of exploring and testing key linkages between outputs and outcomes, it is also expected that the performance evaluation will take a theory-based approach, drawing on relevant methods such as (but not limited to) contribution analysis. The evaluability assessment found that the conditions were not in place to conduct an experimental or quasi-experimental evaluation.

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23. The process evaluation should draw on existing quantitative data to assess the quality of implementation, but should also incorporate qualitative data to examine and explore the process of implementation.
24. To be able to understand whether specific strategies and approaches that support outputs and outcomes have had the intended impact and explore DFID's contribution to the overall outcomes, the evaluability assessment proposed drawing on smaller studies being carried out during programme implementation as well as carrying out some targeted research to inform both the process and performance evaluations. Suggested areas for this targeted research, which would elicit feedback from key stakeholders regarding DFID's contribution, are included as Annex 3, and described in more detail in the evaluability assessment. The evaluator may choose whether and how best to engage with this requirement to feed into the broader objectives.
25. Evaluators should also be aware of the key cross-cutting issues of gender and equity, and to the extent possible design the evaluations with sub-group analysis in mind. To the extent possible all data collected should be gender and school level disaggregated at a minimum. If the focus is on HSS rather than primary schools, how is this affecting the ESP targets? Where possible additional information about socio-economic characteristics should be collected e.g. ethnicity, religion, income levels, especially where they are relevant to understanding how a programme rolls out (e.g. who benefits, who has access), and how impacts vary across groups.
26. Where possible, unit cost data for the programme inputs and outputs should be collected, or where collected by a third party, analysed, to allow for cost-benefit and cost-effectiveness analysis.
27. The evaluation service provider will need to identify how they will meet requirements set out in these terms of reference, including defining overall conceptual and methodological approach, specific methods anticipated and approach to sampling (including geographical scope), and intended analytical approach.

V. Data availability

28. The evaluation service provider will have access to secondary data² along with qualitative and quantitative data from the two TA providers (ASI and IMC). The service provider will be required to quality assure existing data. In addition to this, where necessary, the service provider will need to undertake some primary data gathering (qualitative and quantitative) aimed at understanding whether specific strategies and approaches that support outcomes and outputs are having the impact intended. The service provider will propose the type and number of studies to be conducted. This will be finalized in discussion with DFID during the inception phase.
29. Baseline data for the most part is available at outcome and output indicators. Gaps in baseline data availability are highlighted in the evaluability study (Annex 4). DFID are confident that missing baselines will be put in place by Service Providers by the end of 2016.
30. KESP has established an IMU that provides regular, updated and reliable information on key education indicators. The IMU provides data to measure multiple indicators including student attendance, student/teacher ratios, teacher attendance, District education office (DEO) visits to schools, school facilities (infrastructure), and the distribution of textbooks and girls stipends. The GoKP contribute important monitoring and evaluation data sets including Annual School Census

² All available data is gender disaggregated.

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Reports through the (Education Management Information System (EMIS). Infrastructure data is also collected by IMC and third party monitors. In addition to this, Elementary Education Foundation (EEF) provides basic data on voucher distribution and redemption but it will need to be augmented by qualitative studies to assess the impact and value of these schemes. Learning outcomes are measured by the Annual Status of Education Report (ASER) and Provincial Education Assessment Centre (PEAC). Project to Improve Financial Reporting and Auditing (PIFRA) provides information on the budget (allocations/execution) at provincial and district levels.

31. KESP has developed comprehensive M&E and VfM Frameworks where existing quantitative data is collated and updated on a regular basis

Risks and Challenges for the Evaluation

32. KP's broad political, fiduciary and security context and the programme's increasing geographical dispersion taking in isolated, remote and disaster prone areas, contribute to the substantial challenges of delivering KESP. Since KESP's inception, the major risks have broadly remained the same, although their relative significance and intensity have varied over the course of implementation. For example, the share of work that needs to be district-based has increased – and will continue to – which makes security management more complex. Any change in the government due to the upcoming elections in 2018 might affect the implementation and ownership of the programme. The same risks will pose a challenge to the effective delivery and implementation of the evaluation. Risk mitigation strategies have been built into all elements of the project.

VI. Audience

33. The evaluation is intended to benefit the GoKP, specifically the E&SED and any associated institutions/government bodies, and key stakeholders in education in Pakistan. Other recipients include children, parents, teachers, policy makers, opinion leaders and development partners. The evaluation findings will also be of interest to the wider global development community working in education through SBS.

VII. Expected Outputs

34. **Inception:** The evaluation supplier is expected to determine an appropriate level of in-country visits and face-to-face engagement with stakeholders during the inception phase. In advance of submission of the inception report, it is recommended that the supplier has close engagement with DFID to agree format and level of detail required.
 - a. Within three months of signing the contract, the evaluation supplier should provide an inception report detailing the approaches to the performance and process evaluations and to any targeted studies deemed important to contribute to these. The report should be clear on methodological approaches and analysis; sequencing of the work; communications and influencing plan with a clear focus on utility of the evaluation; and an evaluation framework that makes clear what evaluation questions will be answered and how across the evaluation. Appreciating the need for detail at this stage, the report should nonetheless be as concise and jargon-free as possible.
 - b. During inception, the evaluation supplier should also look at how they might usefully contribute light-touch inputs by June 2017 to feed into the 2017 Annual Review in August.

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- c. The evaluation supplier should also prepare a presentation of the evaluation design and approach to share with DFID and other key stakeholders.
35. The supplier will submit the following evaluation reports during **implementation**:
- a. A **preliminary** performance evaluation report to present initial available findings and feed into thinking on options for future programming. The date for this will be determined during the inception period.
 - b. A **final** performance evaluation report by July 2020.
 - c. Three annual process evaluation reports (2018, 2019, and 2020) by the start of July every year in order to provide input for the KESP Annual Reviews.
 - d. A presentation of key findings.

In during the inception phase and advance of submission, it is again recommended that the supplier has close engagement with DFID to agree format and level of detail required.

36. The submission of each report will include a full technical report as well as a short (less than 10 pages) briefing note summarising the contents and pulling out headline findings and recommendations. All reports must be rigorous and thorough, be quality assured, and pay especially careful attention to the presentation and interpretation of data, the strength of the evidence being presented and associated claims around causality, correlation or fact. At the same time the reports should be **highly readable and accessible**, paying close attention to visualisation of data, presentation of text and overall aesthetics of the document.
37. Additional communication material as appropriate for key audiences, including briefs, infographics, presentations etc. It is crucial that evidence generated is presented in appropriate formats and is available in spaces where the relevant stakeholders are likely to seek out evidence. The inception report, interim and final performance evaluation reports, and annual process evaluation reports will all pass through DFID's quality assurance service, Evaluation Quality Assurance and Learning Service (EQUALS), as well as being reviewed by relevant KESP stakeholders. The evaluation supplier should ensure that sufficient time is allowed within the evaluation workplan for these processes (EQUALS has a 10 working day turnaround), as well as for their own internal quality assurance processes.
38. DFID will have unlimited access to the material produced by the evaluation supplier.

VIII. Stakeholder engagement and communications

39. The supplier will be expected to develop a detailed communications and uptake strategy for all of its evaluation activities as part of the inception phase, adhering to DFID's Open Access Policy. The evaluation supplier will need to maintain regular contact with DFID Pakistan, the Technical Assistance team, the Government of KP, and other key partners to ensure the outputs are delivering products that meet demand. Communications will include regular seminars, presentations at education summits, and production of policy briefs.
40. The dissemination strategy will include the following:
- a. Ensure that communication of evidence produced is agreed with DFID Pakistan, including determining if any sections may not be suitable for sharing beyond specific audiences.

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- b. Evidence is made available in formats and styles appropriate for each of the priority stakeholders. This will include “hard products” – such as full technical reports, briefing notes and academic papers; and “soft products” – such as meetings and workshops.

IX. Governance, reporting and contracting arrangements

- 41. The supplier will report directly to DFID Pakistan. The supplier will report to the KESP Lead Adviser on technical issues and, if necessary, to the Senior Responsible Owner on strategic and management issues. The supplier will work closely with the KESP Programme Manager and report to the Programme Manager on contract/ compliance requirements and finances.
- 42. DFID and the evaluation service provider will agree on formal governance arrangements during the inception phase. It is likely that there will be a steering/advisory committee that provides technical oversight. DFID will engage with other donors and GoKP through the existing KESP advisory group forum.
- 43. Implementing agencies (e.g. the Technical Assistance team) may be called upon to facilitate logistics and access to programme sites, beneficiaries and key stakeholders. However it is crucial that the team implementing the evaluation work is independent of those delivering the programmes under study.
- 44. The evaluation team will establish strong working relationships with the KESP TA team and the Department to gain access to relevant contacts and information. The team will also build networks with other relevant actors to ensure support, complementarity, and improved coordination.
- 45. Quarterly written progress reports on the progress of the evaluations, any obstacles to delivery and updated financial forecasts will be required.

X. Skills and qualifications

- 46. The evaluation team will need to demonstrate a strong presence in and experience of working in Pakistan, and in particular Khyber Pakhtunkhwa (KP) and the capacity to operate effectively within the context of KP.
- 47. The evaluation team should have a sound understanding of evaluation design and methods, understand the strengths and limitations of different approaches and how to accurately interpret and present findings to a varied audience. The team will require a broad set of skills to be able to effectively design and conduct complex evaluations.
- 48. DFID will require a service provider that can operate effectively in Khyber Pakhtunkhwa conducting interviews with Government officials at all levels (province, district, community).
- 49. The evaluation will require extensive time spent in Pakistan by the evaluation team in order to understand the programme and conduct the evaluation. Representation in Pakistan can be an experienced local partner evaluator, as some local presence is essential to build and manage relationships. The overall team should clearly demonstrate the capacity and capabilities to successfully deliver the evaluations.
- 50. DFID is looking for an evaluation service provider that can demonstrate that it is tapping into national/local expertise by forming strategic partnerships/consortia with specialist local organizations.

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51. The team will be a combination of national and international experts, with experience and understanding of education systems reform in Pakistan together with an understanding of the KP political, cultural context and challenges. The evaluation supplier should consider gender balance within the team they put forward.
52. Strong leadership and management are essential given the complexity of the programmes, and to build the appropriate level of relationships with stakeholders, which are critical to the success of this evaluation.
53. The evaluation team will need to be flexible in the approach to designing the studies to ensure that the evaluation design is closely linked to programme design and implementation.
54. The team will have a demonstrated ability to communicate complex studies and findings in an accessible way for non-technical readers, including presentation of data in visually appealing ways, highly structured and rigorous summaries of research findings and robust and accessible synthesis of key lessons from across different studies.
55. The evaluation team will need to have a mix of skills that covers:
 - The education sector;
 - Evaluation methods along with proven skills in the application of mixed methods;
 - Poverty and vulnerability assessments;
 - Political economy analysis;
 - Presentation of reports, data visualisation, and synthesising findings;
 - Research communications and uptake;
56. The evaluation supplier will need to comply with DFID's policies on fraud and anti-corruption and cooperate with checks and balances programme staff will require from them for the duration of the evaluation e.g. annual audited statements, policies on management of funds. The evaluation supplier should also ensure that it adheres to DFID's ethical principles and any relevant ethical standards within the Pakistan context.

XI. Performance Management

57. The Service Provider will be responsible for managing their and all implementing partner's performance and tackling poor performances. They will be required to demonstrate strong commitment towards transparency, financial accountability, due diligence of partners and zero tolerance to corruption and fraud.
58. DFID will manage performance of the service provider through key performance indicators. Payment will be linked to the delivery of time-bound quality outputs and key performance indicators (KPIs) identified in the inception phase. The payment for KPIs will be reduced if the quality is not satisfactory. KPIs will not be allowed to be deferred unless under exceptional circumstances agreed with DFID.

XII. Payment of Fees

59. The service provider will be responsible for delivering the outputs and deliverables as stated in the terms of reference. This will include but not be limited to providing their own tools and other resources required.

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60. The contract will use a hybrid approach of payment to the service provider and suppliers should include a proposed hybrid payment mechanism in their bids, clearly linked to the outcomes of the programme, this could include proposed KPIs, milestones and an element of input-based payments.

XIII. Timeframe

Time	Deliverable
By May 2017	Contract signed
July 2017 (3 months after contract signature)	Inception report delivered Light touch inputs to 2017 annual review
By 1st July 2018, 2019, 2020	Annual process evaluation reports
January 2020	Interim performance evaluation report
November 2020	Final evaluation report

The contract will run until November 2020 with the possibility of an extension if judged by DFID to be required. The programme may be scaled up by up to 24 months.

XIV. Budget

61. The budget for this programme is between £1,000,000 and £1,250,000.

XV. Break Points

62. There will be a break point after the inception phase and annual break points in the contract where the performance of the supplier will be assessed against agreed work plans, the quality of reports and key working principles.
63. In the event that DFID decides not to proceed to the Implementation Phase the Contract will be terminated at no further cost to DFID.
64. In the event that DFID decides to proceed to the Implementation Phase, a contract amendment will be issued to include details of the services to be provided and detailed costs.

XVI. Duty of Care

65. The appointed Evaluation Service Provider will be responsible for managing all logistics, including any in-country travel arrangements for the purposes of this evaluation. The Evaluation service provider will be responsible for the duty of care, safety and well-being of their Personnel and Third Parties affected by their activities, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for domestic and business property.
66. 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.

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

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briefing as outlined above. Travel advice is also available on the CFO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

This Procurement will 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.

This Procurement will require the Supplier to operate in conflict-affected areas and parts of it are highly insecure. 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.

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.

Tenderers must develop their 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 developed by DFID (see at the end of this section). They must confirm in their Tender 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.

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

Acceptance of responsibility must be supported with evidence of capability and DFID reserves the right to clarify any aspect of this evidence. In providing evidence Tenderers should consider the following questions:

- a) Have you completed an initial assessment of potential risks that demonstrates your knowledge and understanding, and are you satisfied that you understand the risk management implications (not solely relying on information provided by DFID)?
 - b) Have you prepared an outline plan that you consider appropriate to manage these risks at this stage (or will you do so if you are awarded the contract) and are you confident/comfortable that you can implement this effectively?
 - c) Have you ensured or will you ensure that your staff are appropriately trained (including specialist training where required) before they are deployed and will you ensure that on-going training is provided where necessary?
 - d) Have you an appropriate mechanism in place to monitor risk on a live / on-going basis (or will you put one in place if you are awarded the contract)?
 - e) Have you ensured or will you ensure that your staff are provided with and have access to suitable equipment and will you ensure that this is reviewed and provided on an on- going basis?
67. Have you appropriate systems in place to manage an emergency / incident if one arises?
See Annex 6 for DFID's duty of care risk matrix.

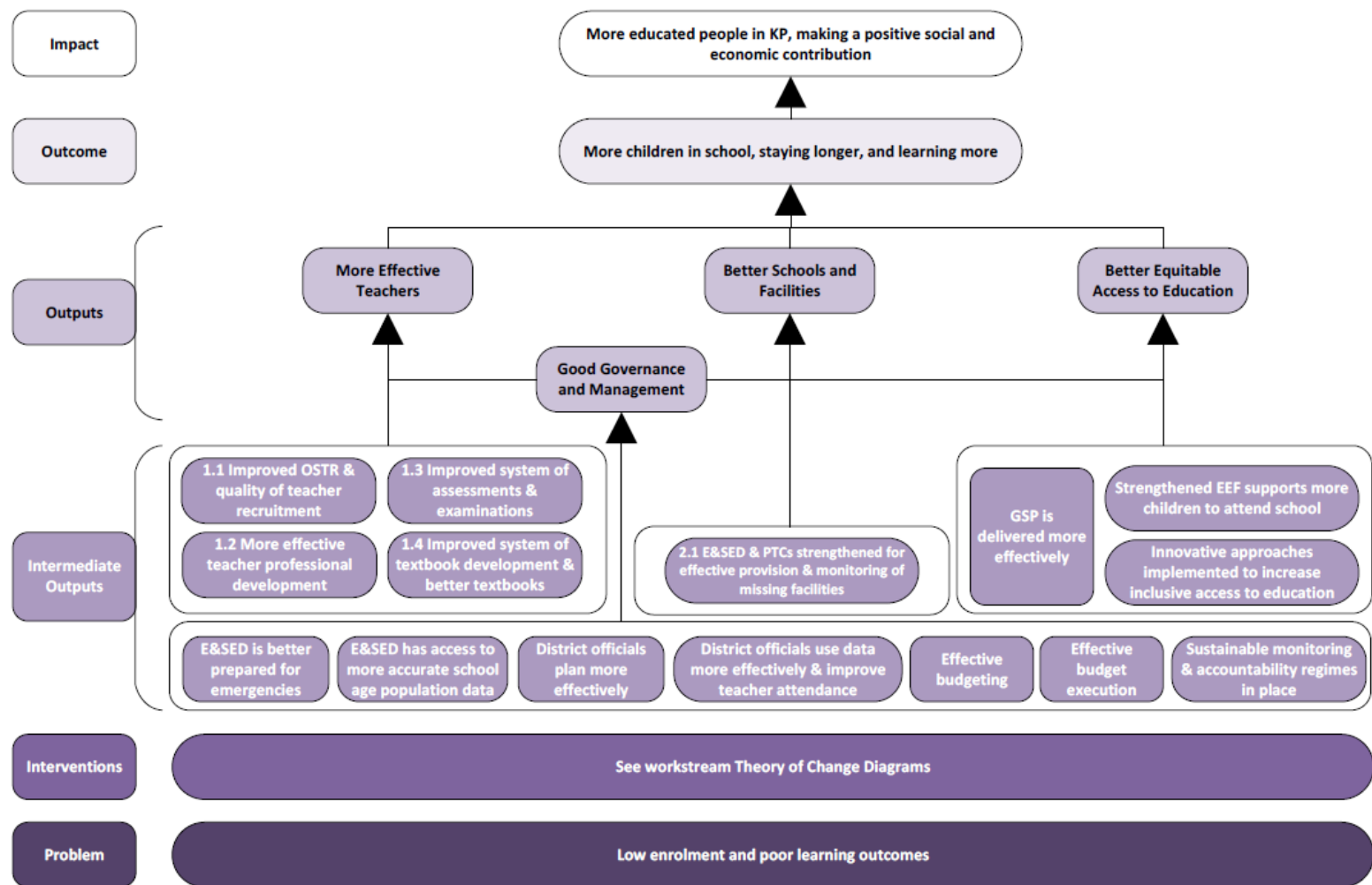
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XVII. Key Documents

68. The following is not an exhaustive list. Further documentation, including studies conducted by the TA team, will be provided during inception phase.

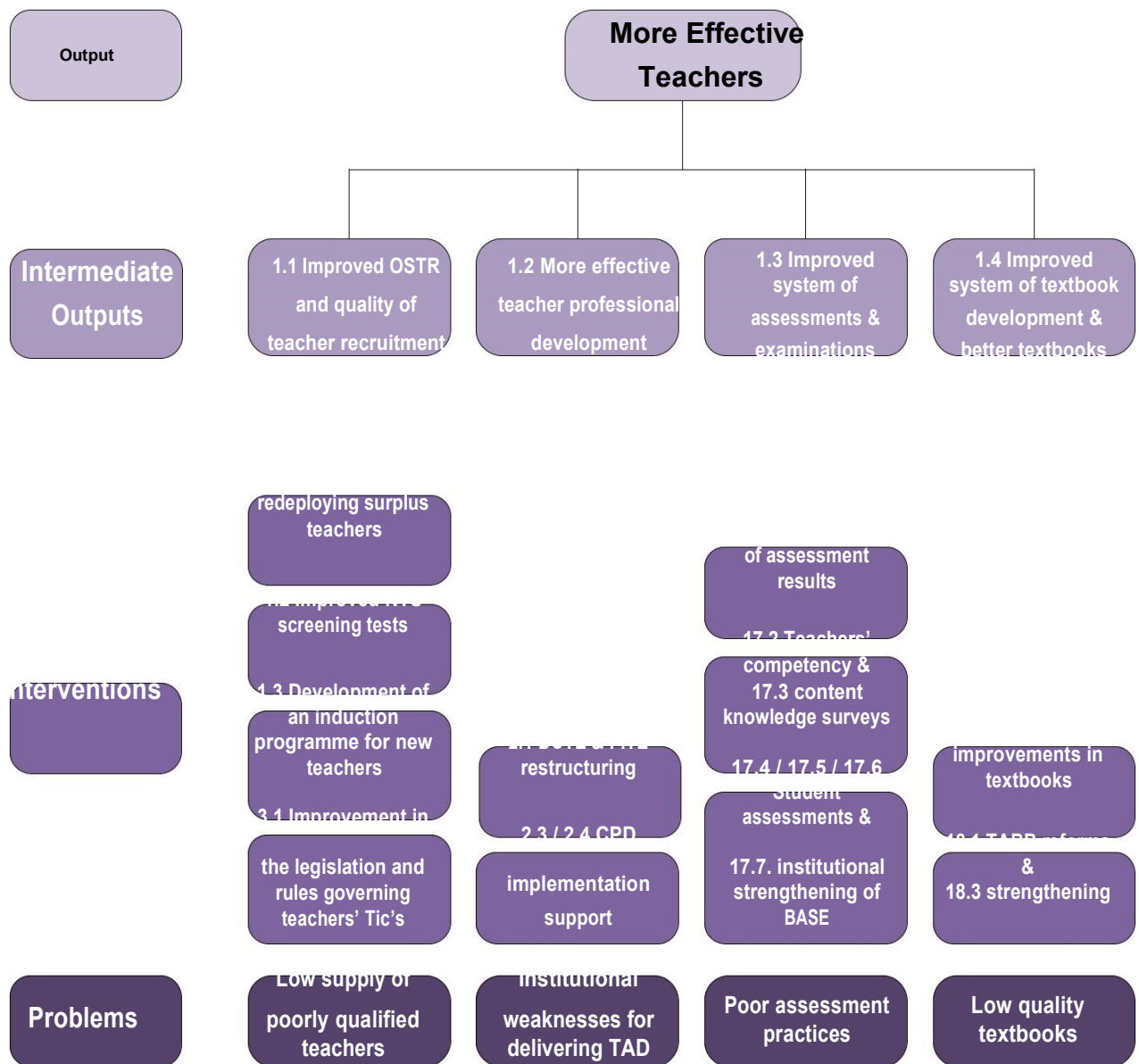
- KP Education Sector Plan (2015-20)
- Khyber Pakhtunkhwa Education Sector Programme (KESP) Business Case Addendum
- KESP log frame
- ESP Joint Review Framework (JRF)
- KESP Annual Review (latest)
- KESP Evaluability Assessment

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Annex 1 – Overall theory of change for KESP**Figure 4 - KESP TA High level ToC**

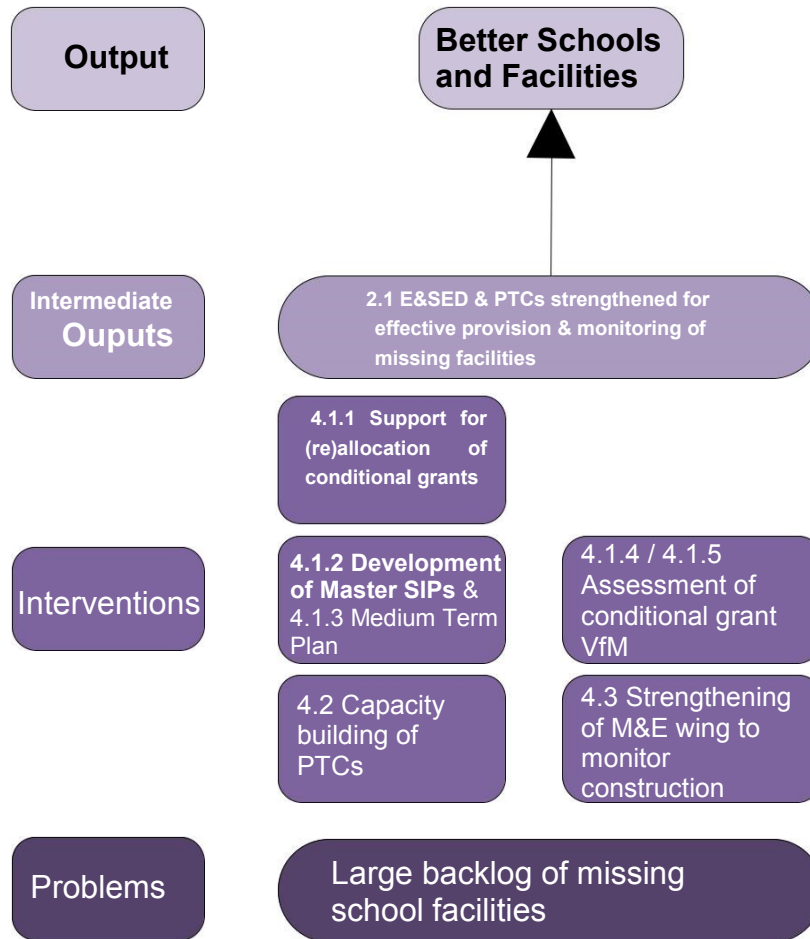
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Annex 2
Policy Group 1 – More Effective Teachers



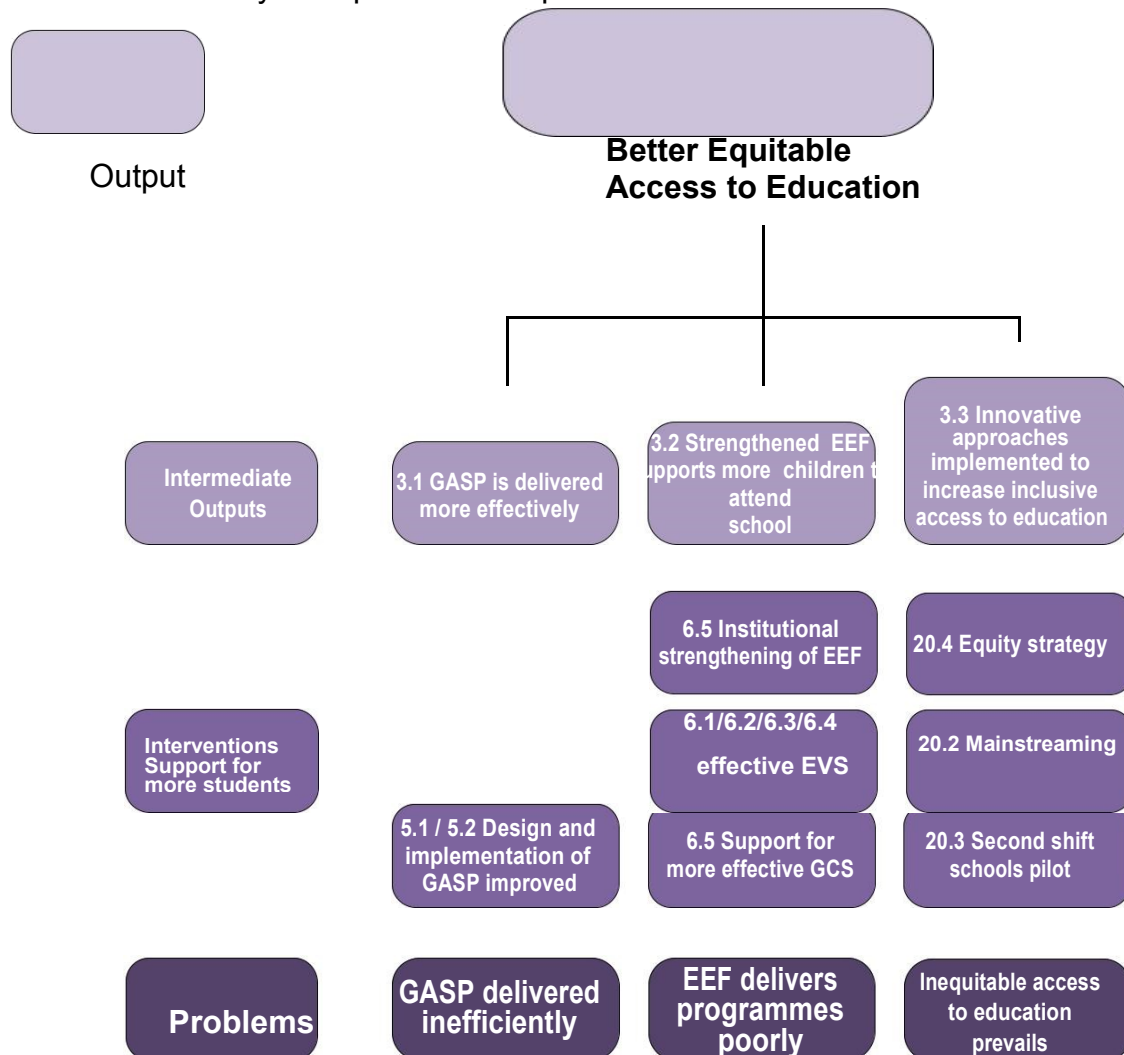
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Policy Group 2: Better Schools and Facilities



(Call- down Contract)

Policy Group 3: Better Equitable Access to Education



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Annex 3

Targeted areas for research

1. The evaluation service provider might wish to conduct additional targeted qualitative and quantitative areas for research as well as an analysis of existing studies conducted during implementation both by service providers (ASI and IMC) and by other donors. This would provide a deeper understanding and analysis of programme performance, explore critical causal linkages within the results chain, and also to ascertain confidence levels in DFID's contribution (financial and technical) to outputs and outcome. Findings from these studies would contribute to the process and performance evaluation.
2. Seven potential areas for study are outlined below. A decision on which studies should be taken forward will be determined during the inception phase. The overall approach to these studies should be included within proposals, with more detailed plans to be further developed and finalised during the evaluation inception phase.
 - a. **Effectiveness of strategies/interventions to improve teacher performance and competencies**
 - The impact of teacher rationalization; and revised teacher recruitment and appointment processes
 - The impact of a revised teacher performance management approach; changes to teacher terms and conditions
 - The impact of CPD/teacher training; teacher knowledge; teacher attitudes and classroom practices on quality of teaching by gender and girls' and boys' learning.
 - b. **Effectiveness of strategies/interventions to improve school infrastructure/impact on children/teachers**
 - Improvements to the planning, provision and management of school facilities and achievement of 70:30 ratio for girls and boys school facilities, and how the barriers are being overcome to reach this ratio?
 - The impact of infrastructure on gross/net enrolment; student/teacher attendance; student retention, particularly between grades; reduced class size and learning outcomes in early grades by gender.
 - c. **The effectiveness of strategies/interventions to improve equitable access to education**
 - The impact of girls stipend programme in ensuring attendance, retention and completion by girls in middle and secondary schools
 - The effectiveness of government systems/ institutional arrangements in promoting access to education through public private partnerships, in particular, the effectiveness of the voucher programme
 - The effectiveness of the Gap's response to education in emergencies

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- The effectiveness of Gap's safety and security strategy/ multi-sectoral approach to improving school security.
- d. The effectiveness of good governance and management strategies**
 - Improvements in the capacity of district education offices in planning, budgeting, management, monitoring and academic support and supervision. This will include effective implementation of the Gap policy of 70:30 ratio in favour of girls' education in district level planning, budgeting, resource allocation for monitoring, support and supervision.
 - The quality and utility of District Education Plans (Deeps).
 - How the use of data is improving planning and management. The quality of IMP data and its utility to and uptake from Gap and other stakeholders for decision-making purposes.
 - The extent to which governance capability, institutions, processes and systems have been built to manage school and teacher performance.
- e. Technical assistance and financial aid (SBS)**
 - The level of confidence in DFID's technical assistance support delivered by ASI and IMC? Do key relevant Gap stakeholders regard the TA delivered as effective and high quality in the key areas outlined above
 - Additionality of SBS, contribution to improvements in government spending year on year
- f. Contextual factors**
 - Political economy analysis: What are the political economy constraints within the government of continued and expanding support to the education sector? What are the factors that impede or contribute to progress in improving the education systems?
 - Equity and inclusion: Differences among children in access to education and learning outcomes due to gender, poverty, geographical location, disability, language, ethnicity, security/safety issues, transport.

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Annex 4

KESP evaluability study (see separate document)

Annex 5

DFID's ethical principles

- I. Researchers and evaluators are responsible for identifying the need for and securing any necessary ethics approval for the study they are undertaking. This may be from national or local ethics committees in countries in which the study will be undertaken, or other stakeholder institutions with formal ethics approval systems.
- II. Research and evaluation must be relevant and high quality with clear developmental and practical value. It must be undertaken to a sufficiently high standard that the findings can be reliably used for their intended purpose. Research should only be undertaken where there is a clear gap in knowledge. Evaluations might also be undertaken to learn lessons to improve future impact, or in order to meet DFID's requirements for accountability.
- III. Researchers and evaluators should avoid harm to participants in studies. They should ensure that the basic human rights of individuals and groups with whom they interact are protected. This is particularly important with regard to vulnerable people. The wellbeing of researchers/ evaluators working in the field should also be considered and harm minimised.
- IV. Participation in research and evaluation should be voluntary and free from external pressure. Information should not be withheld from prospective participants that might affect their willingness to participate. All participants should have a right to withdraw from research/ evaluation and withdraw any data concerning them at any point without fear of penalty.
- V. Researchers and evaluators should ensure confidentiality of information, privacy and anonymity of study participants. They should communicate clearly to prospective participants any limits to confidentiality. In cases where unexpected evidence of serious wrong-doing is uncovered (e.g. corruption or abuse) there may be a need to consider whether the normal commitment to confidentiality might be outweighed by the ethical need to prevent harm to vulnerable people. DFID's fraud policy will apply if relevant.
- VI. Researchers and evaluators should operate in accordance with international human rights conventions and covenants to which the United Kingdom is a signatory, regardless of local country standards. They should also take account of local and national laws.
- VII. DFID funded research and evaluation should respect cultural sensitivities. This means researchers need to take account of differences in culture, local behaviour and norms, religious beliefs and practices, sexual orientation, gender roles, disability, age and ethnicity and other social differences such as class when planning studies and communicating findings. DFID should avoid imposing a burden of over-researching particular groups.
- VIII. DFID is committed to publication and communication of all evaluations and research studies. Full methodological details and information on who has undertaken a study

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should be given and messages transmitted should fully and fairly reflect the findings. Where possible, and respecting confidentiality requirements, primary data should be made public to allow secondary analyses.

- IX. Research and evaluation should usually be independent of those implementing an intervention or programme under study. Independence is very important for research and evaluation; in fact evaluations in DFID can only be classified as such where they are led independently. Involvement of stakeholders may be desirable so long as the objectivity of a study is not compromised and DFID is transparent about the roles played. Any potential conflicts of interest that might jeopardise the integrity of the methodology or the outputs of research/ evaluation should be disclosed. If researchers/ evaluators or other stakeholders feel that undue pressure is being put on them by DFID officials, such that their independence has been breached, this should be reported to the Head of Profession for Evaluation who will take appropriate action
- X. All DFID funded research/ evaluation should have particular emphasis on ensuring participation from women and socially excluded groups. Consideration should be given to how barriers to participation can be removed.

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Annex 6

Duty of care risk matrix

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Theme	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score
Province	Peshawar	Mardan	Lower Dir	Upper Dir	Charsadda	Nowshera	Kohat	Abbottabad	Haripur	Chitral	DI Khan	Lakki Marwat	Tank	Bannu	Karak	Hangu	Kohat	Malakand	Swat	Swabi	Shangla	Battigram	Kohistan	Mardan
Overall Rating*	4	3	4	4	4	3	4	3	3	3	4	4	4	4	3	3	3	3	3	3	3	3	3	3
FCO Travel Advice	4	2	4	2	4	2	4	2	2	3	4	4	4	4	2	2	2	2	4	2	2	2	2	2
Host Nation Travel Advice	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Transportation	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Security	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Civil Unrest	2	2	2	2	3	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Violence/crime	4	3	2	2	3	3	4	3	3	2	2	2	2	2	2	2	2	2	3	2	2	2	2	2
Terrorism	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Conflict (war)	3	3	3	3	3	3	3	2	2	2	2	2	3	3	2	3	2	2	2	2	2	2	2	2
Hurricane	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
Earthquake	4	3	4	4	4	4	4	4	4	4	3	3	3	3	3	3	4	3	4	4	4	4	4	4
Flood / Tsunami	2	3	3	3	2	2	3	3	3	3	2	3	3	3	3	3	3	3	3	3	3	3	2	2
Medical Services	2	2	3	3	2	2	2	2	2	3	2	2	2	2	2	2	2	2	2	2	3	2	3	2
Nature of Project Intervention	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3