MODEL CALLDOWN CONTRACT

Framework Agreement with: Ecorys UK Limited

Framework Agreement for: Global Evaluation Framework Agreement (Lot 2)

Framework Agreement Purchase Order Number: PO 7448

Call-down Contract For: Evaluation of the Research on Improving Systems of Education (RISE) Programme

Contract Purchase Order Number: PO 10034

I refer to the following:

1.   The above mentioned Framework Agreement dated 7 September 2016;

2.   Your proposal of 23 January 2020

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

1.   Commencement and Duration of the Services

1.1   The Supplier shall start the Services no later than 20 April 2020 ("the Start Date") and the Services shall be completed by 30 September 2025 ("the End Date") unless the Call-down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement.

2.   Recipient

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

3.   Financial Limit

3.1   Payments under this Call-down Contract shall not, exceed £701,274 ("the Financial Limit") and is exclusive of any government tax, if applicable as detailed in Annex B**.**

4.   DFID Officials

4.1   The Project Officer is:

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4.2   The Contract Officer is:

5.   Key Personnel

The following of the Supplier's Personnel cannot be substituted by the Supplier without DFID's prior written consent:

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6.   Reports

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

7. Duty of Care

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

I.   The Supplier will be responsible for all security arrangements and Her Majesty's Government accepts no responsibility for the health, safety and security of individuals or property whilst travelling.

II. The Supplier will be responsible for taking out insurance in respect of death or personal injury, damage to or loss of property, and will indemnify and keep indemnified DFID in respect of:

II.1.   Any loss, damage or claim, howsoever arising out of, or relating to negligence by the Supplier, the Supplier's Personnel, or by any person employed or otherwise engaged by the Supplier, in connection with the performance of the Call-down Contract;

II.2.   Any claim, howsoever arising, by the Supplier's Personnel or any person employed or otherwise engaged by the Supplier, in connection with their performance under this Call-down Contract.

III. The Supplier will ensure that such insurance arrangements as are made in respect of the Supplier's Personnel, or any person employed or otherwise engaged by the Supplier are reasonable and prudent in all circumstances, including in respect of death, injury or disablement, and emergency medical expenses.

IV. The costs of any insurance specifically taken out by the Supplier to support the performance of this Call-down Contract in relation to Duty of Care may be included as part of the management costs of the project, and must be separately identified in all financial reporting relating to the project.

V.   Where DFID is providing any specific security arrangements for Suppliers in relation to the Call-down Contract, these will be detailed in the Terms of Reference.

8.   Call-down Contract Signature

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

For and on behalf of
The Secretary of State for
International Development

Name:

Position:

Signature:

Date:

For and on behalf of

Ecorys UK Limited

Name:

Position:

Signature:

Date:

Annex A - Terms of Reference for an Evaluation of the Research on Improving Systems of Education (RISE) programme

21 November 2019

Introduction

1. DFID is seeking an Evaluation Supplier to conduct an evaluation of the Research on Improving Systems of Education (RISE) programme between 20 April 2020 and 30 September 2025. The evaluation will be commissioned through DFID's Global Evaluation Framework Agreement (GEFA). RISE is DFID's flagship education research programme, and learning from RISE has the potential for broad impact on similar education and systems research programmes in future.

2. To support the information set out in this Terms of Reference, a list of publicly available relevant documentation has been included in Annex A. Throughout the text, acronyms have been written out in full in the first time of use, and a list of acronyms has been included at Annex B.

Outline of the RISE programme

3. RISE aims to understand how education systems can unlock quality learning outcomes for all, including those facing multiple disadvantages. It goes beyond research on individual education interventions and instead focuses on the set of changes that is required to transform the way the education system works to deliver learning.

4. RISE is an eight-year programme (2014-23) funded through a collaboration between DFID (£36m), the Department of Foreign Affairs and Trade (DFAT) in Australia (Australian $9.85m) and the Bill and Melinda Gates Foundation (BMGF, £1.2m). The programme is managed day-to-day by the RISE Directorate, originally a partnership between Oxford Policy Management (OPM), the Center for Global Development (CGD) and the Blavatnik School of Government (BSG) – now a partnership between OPM and BSG. The Directorate receives intellectual input and steers on research direction from the Delivery Board (made up of experts from a variety of fields) and the Intellectual Leadership Team (ILT), led by Lant Pritchett as Research Director. The ILT write and publish working papers, and act as the overseeing 'quality promotion' body for research conducted by the Country Research Teams (CRTs).

5. There are seven CRTs based in Ethiopia, Tanzania, Nigeria, India, Pakistan, Vietnam and Indonesia. Each team runs a large-scale research programme, approximately £4m, designed to look in-depth at a systems reform issue in the country. More information on the individual country programmes can be found on the RISE website. Each RISE CRT is responsible for stakeholder engagement, and has discretion over the appropriate types, frequencies and phases of engagement with a focus on building strong relationships with government, DFID country offices and the local education group.

6. In 2017, DFID and RISE introduced a new Political Economy Team (PET) workstream into the programme. The PET is designed to support the CRTs in conducting political economy analysis, and to focus minds on this critical aspect of systems reform. The PET has two streams: PET Adoption (PET-A) which looks at the political economy around policy decisions, and PET Implementation (PET-I) which looks at how these policy decisions are implemented at a school and community level. The PET work is coordinated by the Research Directorate.

7. In 2018, DFID and RISE signed a cost extension to bring additional resource to the programme for synthesis, outreach and research uptake. The cost extension increased

DFID's contribution to the programme to £36m. As part of this work, the RISE Research Directorate has hired a 'Theme Team' to undertake thematic synthesis across five areas (teaching, roles and responsibilities, equity, innovation and private schools). The programme is also using this additional funding to link with similar research initiatives to spread RISE messaging and coordinate global research efforts on education system reform. These 'associate' researchers will not receive RISE funding directly, but will benefit from RISE's donor, policy and research networks, and will be invited to share findings at key RISE outreach events, such as the annual RISE Conference. RISE will also continue to refine, pilot and develop its country diagnostic, which aims to enable policy makers to identify key issues in their existing systems. Finally, the cost extension will enable RISE to develop an online learning course to help spread RISE messages and insights. A diagram of the current programme is presented in *Figure 1*. A summary of the main workstreams and governance bodies is included in Annex C.

Figure 1: Diagram of the current RISE programme
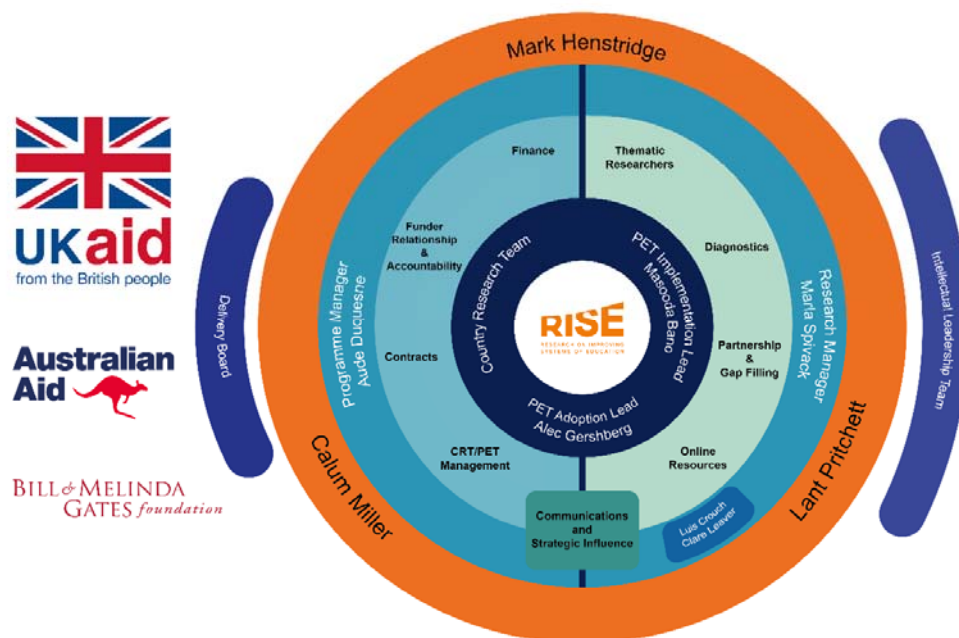
8. DFAT and BMGF are supportive of the evaluation of the RISE programme and have had sight of this TOR. All evaluation findings and reports will be shared with DFAT and BMGF after each phase of the evaluation.

9. DFID has conducted an Annual Review for each year of the programme. In advance of the programme's first contractual breakpoint in September 2018, DFID also conducted an informal assessment of the programme's progress towards outputs, outcomes and its contractual KPIs. As part of this process, DFID's adaptive programme management leads also conducted 'Learning Journeys' with key members of the RISE team at OPM and BSG. This focussed on the key programmatic processes, including the annual review and the organisation of the annual RISE Conference. The learning from this was incorporated into the RISE 2018 Break Point Review which will be shared with the successful bidder.

10. RISE was originally designed as a programme to promote equity in education, with a specific focus on improving learning for girls. However, after the programme was procured, the focus on the most marginalised was altered to instead look at raising learning for *all* children. Over the past few years, DFID and RISE have worked hard to sharpen the focus on equity within the programme.[1] A high level summary of RISE's work on equity is included in Annex D.

Theory of Change

11. The expected impact of RISE is to accelerate progress at improving learning for all children in developing countries. The outcome statements for the RISE programme's Theory of Change (ToC) are organised around its three core audiences:

- **Influential global actors** including the World Bank, Global Partnership for Education (GPE, more information here) and UN Agencies including UNICEF and UNESCO. RISE aims to catalyse a paradigm shift in thinking amongst these actors, promoting and engaging them with evidence-based thinking on systems reform. A significant assumption underpinning the RISE programme is that influencing global actors will prompt a 'trickle down' effect, leading to policy change at a global, national and frontline level.

- **National policy makers**, predominantly Ministries of Education and Finance (both at a national and regional level), but also local influential donors and NGOs. Ultimately, RISE aims to have impact at this national level to influence education policy and programming to promote learning for all children. We assume that RISE will have more of a direct impact across the seven 'RISE-countries' (Tanzania, Ethiopia, Nigeria, India, Pakistan, Vietnam and Indonesia) as researchers are physically conducting research in these countries, and engaging in research outreach to relevant local stakeholders. However, we would hope that the programme's impact is not confined to RISE countries, and that the learning from research on education reforms can influence and inform national policy makers more broadly. The 'associate RISE membership' initiative, and the development of a RISE diagnostic (which can be used across a greater number of countries) are both mechanisms through which RISE can engage with a larger number of national policy makers.

- **The academic and research community**, predominantly universities, to include both early career and established researchers in education and international development. RISE aims to build and engage a broader community of practice around RISE concepts and findings of its systems research. There are already over 100 researchers working on the RISE programme, so the goal is to move beyond these people, to have impact on the type of work undertaken by the broader academic and research community. Ideally, this impact would take place globally, including with respect to the work of Southern Institutions.

12. The RISE Theory of Change is presented in *Figure 2*. Key assumptions underpinning the Theory of Change have been included in Annex G. Both the RISE logframe and Theory of Change were revised in 2018 to incorporate the new activities under the cost extension, and to ensure that the programme documentation accurately reflected the programme as some assumptions had shifted over the past few years. The current version has been agreed by key stakeholders (OPM, BSG, DFID, DFAT and BMGF). The Theory of Change should be central to the evaluation framework. While DFID is happy to discuss this further during the Inception Phase, we do not necessarily

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[1] This working paper summarises the RISE core message on equity to date.

anticipate an overhaul or reworking of the Theory of Change as part of this evaluation process. Each of the three pathways within the Theory of Change (global policymakers, national policymakers and researchers) should be included in the evaluation.

Evidence

13. RISE was designed to respond to a gap in the evidence base on education systems reform. Strong evidence from different contexts suggests that more resources alone do not drive better learning outcomes, we also need to understand how these resources should be used[2]. Many academics, such as Woessman[3], concluded that international differences in student performance are due to institutional factors, such as centralised assessment, rather than differences in the level of resources in the system. Education research had traditionally tended to focus on inputs, and there is a significant evidence gap around education systems. RISE is the first large-scale education research programme to look at system reform, through studying national and regional reform programmes in a variety of countries. While RISE has added to the evidence base over the past few years, predominantly through ILT working papers, there is still a long way to go in understanding 'what works' in designing and implementing system reform. A summary of the evidence underpinning the RISE programme is included in Annex E. The conceptual framework underpinning RISE research is Lant Pritchett's 5x4 grid which has been included in Annex F.

Purpose of the evaluation

14. The primary purpose of this evaluation is to identify and document lessons learned from the RISE programme to improve programme performance and to provide useful evidence and learning to inform other education research programmes. A secondary purpose is to provide accountability in respect of a substantial DFID research investment.

15. The formal recipient for the evaluation will be DFID. The key audiences are DFID's Education Research Team and relevant country offices, other donors and potential funders of RISE, and the RISE programme itself. Additional audiences include other teams in the Research and Evidence Division (RED) who are commissioning large scale systems research and other funders who may consider investing in similar research programmes. There are also be other potential audiences, such as the wider research community, development consultancies and NGOs, who could learn from lessons arising from an assessment of RISE and testing its underlying assumptions.

16. We would expect learning from this evaluation to link directly to and impact other research programmes, particularly those commissioned by DFID. A number of DFID's Education Research Team's other programmes have been based on the RISE model, including DFID's Education Technology programme. There are also relevant DFID funded programmes in other sectors, such as Effective States and Inclusive Development (ESID) and Economic Development and Institutions (EDI) programmes.

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[2] Bruns, B. Filmer, B. Patrinos, H. (2011) *Making Schools Work: New Evidence on Accountability Reforms,* World Bank, US

[3] Woessman, L. (2003) Schooling Resources, Educational Institutions and Student Performance: the International Evidence *Oxford Bulletin of Economics and Statistics* 65(2): 117-7

Figure 2: RISE Theory of Change
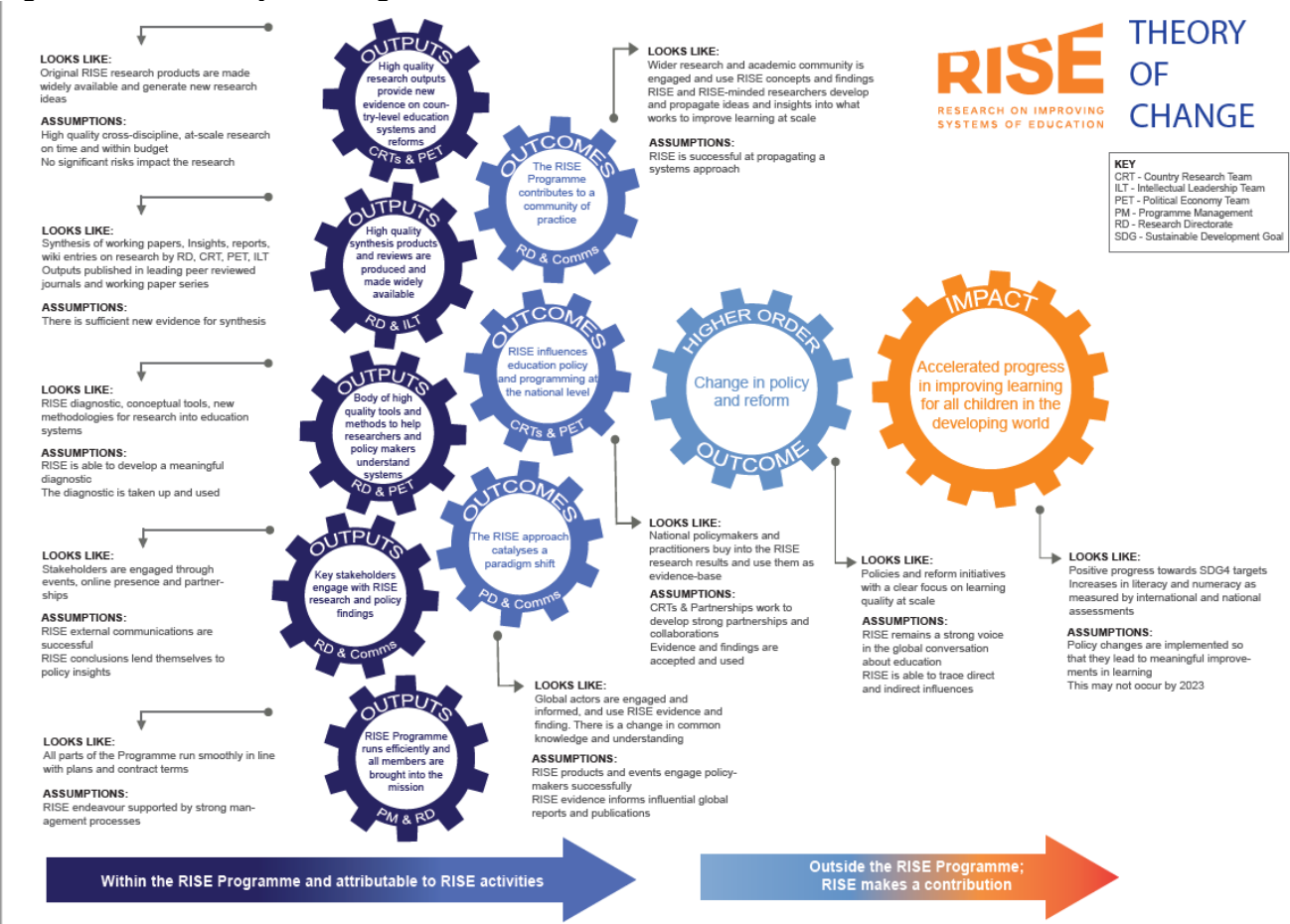
- **DFID's Education Technology** research programme will create a global evidence hub to provide decision makers with cost effective solutions to spread and scale education technology interventions to deliver learning outcomes for all children.
- **Effective States and Inclusive Development (ESID)** aims to create a robust, relevant and accessible body of evidence that will help improve local, national and international efforts in developing countries to secure more effective states and state-society relations. Further information is available on the ESID website.
- **Economic Development and Institutions (EDI)** aims to produce a body of research evidence and analysis indicating practical ways of changing institutions so as to increase economic growth in poor countries. Further information is available on the EDI website.

17. There is also potential to link with other non-DFID research programmes, such as USAID's Monitoring, Evaluation, Research and Learning Innovation (MERLIN) and Strategic Program for Analyzing Complexity and Evaluating Systems (SPACES) programmes. We would like evaluators to explore the scope for linkages through context mapping during the evaluation's inception phase.

18. As the RISE programme has been implementing since 2014, this evaluation will need to be run alongside the programme. The evaluation should involve three key engagements with the programme, with the indicative benchmark review taking place before the next RISE breakpoint in September 2020. We would like the subsequent phases of the evaluation to take place near the end of the RISE programme (in 2022), and up to three years after the end of the programme (in 2025) to test the short and longer-term impacts. A suggested timeline is presented in *Figure 3.*

Figure 3

	Activity
April – June 2020	Inception Phase
July 2020	Benchmark Report due
September 2020	**RISE Break Point**
September 2022	Evaluation Report due
March 2023	**End of RISE programme**
September 2025	Final Evaluation Report due

Scope and Objectives
19. The evaluation will cover the entire RISE programme, not just the aspects of the programme supported through DFID financing. DFID provides the majority of funding to RISE (approximately 90%) but works collaboratively with the other donors on the programme as a whole.

20. The objectives for this evaluation are as follows:

- Evaluate the extent to which RISE has produced its expected outputs and whether these have contributed to expected outcomes and impact. This will include identifying and testing key assumptions underpinning RISE and its operations. Any unintended outcomes, spill-over effects and impact should also be identified as part of the evaluation.
- Identify transferable lessons learned and key principles of a global systems research programme, which might be relevant to other programmes, particularly those in the area of education research. This would involve examining key areas

of the RISE model being used in other education research programmes including cost, complexity, partnerships and cross-disciplinary working. It is anticipated that lessons learned during the first 'benchmarking' phase of the evaluation will directly help improve programme performance, principally of RISE itself but also other relevant DFID programmes.

- Document and assess the programme's ability to influence its key audiences; national policy makers, global actors, and the research community including its ability to respond to emergent windows of opportunity for influencing. Identify any activities, relationships, individuals or aspects of the programme that were particularly influential in this, or which could have held the programme back. This should also include considerations around the sustainability of any potential RISE impact.

21. This evaluation will run from 20 April 2020 until 30 September 2025. There will be a formal break point in the evaluation contract in August 2020 (after the Inception Phase), and continuation beyond this point will depend on both satisfactory performance and DFID decision on the practicality and value of a further phase.

22. We would expect this evaluation to conduct analysis in key RISE countries to see how far the programme is having an impact on the thinking and decision making of national policymakers. While all CRTs will need to be engaged within the evaluation, to ensure depth we suggest greater focus is given to three or (at most) four countries. We would suggest that any in-country work is focussed on DFID priority countries which RISE has been working in for a significant period of time, i.e. Ethiopia, Tanzania and Pakistan. We would expect any in-country work to involve local evaluators. Bidders should set out their approach to in-country work in their proposal, including how they will manage logistics including policies and practices on duty of care and safeguarding.

23. We are also interested in evidence of RISE influencing of non-RISE countries. We would expect the RISE Evaluation Team to have capacity to follow up on anecdotal examples of impact (or explore potential impact arising from the RISE country diagnostic or associate membership scheme) in up to 3 non-RISE countries. We anticipate that this will be a much lighter-touch process than the analysis to take place in RISE countries.

Evaluation Framework and Questions
24. DFID proposes that the evaluation be structured into five component studies, each with over-arching core question(s) and a set of sub-questions. These are presented in the extended table below. Bidders will recognise that these draw on RISE's Theory of Change and the OECD-DAC evaluation criteria, and may wish to comment or suggest further linkages.

25. Bidders should present proposals for developing a full evaluation framework, including data sources, methodologies and so forth, based on these evaluation components and questions. The selected evaluation team shall work with DFID during the Inception Phase to finalise these questions and other elements of their proposed design. DFID would welcome initial comments from bidders suggesting adaptations, deletions and additions to the proposed questions.

EVALUATION COMPONENTS and DRAFT QUESTIONS	
Networks Study	
Core Questions	Sub-Questions
How successful has the RISE programme been in: a) reaching and engaging relevant stakeholders who can affect change at an international or national policy level; and b) contributing to an emerging community of practice around research in education systems?	• What are key features of RISE's network, both internationally and in each RISE country? How broad and deep is this network? • How successful has RISE been at reaching relevant and influential global and national policymakers and other actors? Which Country Research Teams have been most successful in making meaningful links? What are the enablers of and barriers to effective engagement? How well do members of RISE understand this landscape and RISE's reach within it? • To what extent and with what effectiveness has RISE established, supported, facilitated and/or participated in community/ies of practice in the sphere of education research for international development? • Which contextual factors enable engagement strategies to be most successful? • Has RISE been able to maximise opportunities for impact by harnessing emergent windows of opportunity for influence and reassessing and changing approach where pathways of influence are proving ineffective?
Organisations and Outputs Study	
Core Questions	Sub-Questions
How well have the RISE Directorate and wider RISE team functioned as an organisation? How do the relevance, range, quality, quantity and utility of RISE outputs compare with targets and expectations?	• Organisationally, is the design and structure of RISE optimal? • Across RISE, are roles and responsibilities clear, appropriate and understood? • How well do the governance arrangements function? • How effective is the partnership between OPM and BSG. • Does DFID manage and contribute effectively? • To what extent do wider RISE team members (CRTs, PET, the Delivery Board and the ILT) feel part of the RISE endeavour? Which actions of the RISE Directorate have been successful and which less successful in enabling the wider RISE team to feel bought-in to the programme? • Is there evidence of equity within the organisational structure and components of RISE, particularly with regard to gender and meaningful engagement with academics from the Global South? • What have been the implications, organisationally, of seeking and securing additional donor funding? • How has RISE approached, planned and carried through the production of outputs? Has this method been effective? • Across a set of criteria – including relevance, range, quality, quantity, accessibility and utility – to what extent is RISE delivering outputs which meet the expectations of the Directorate, the wider team and donors and the needs of policymakers and other external stakeholders?

	• How far do the research outputs of the RISE programme demonstrate due regard to gender? • Overall, to what extent has the RISE programme developed the evidence base on education systems?
Key Decisions Assessment	
Core Questions	Sub-Questions

How did the major decisions taken on RISE affect the programme's relevance and performance?	• What have been the major decisions? To include, but not limited to:
	  o procuring the Research Directorate and the Programme Directorate separately, and novating the contracts at a later date
	  o enabling countries of focus to be selected during inception (instead of being pre-determined by DFID)
	  o enabling CRTs to have a 'tight but loose' relationship with the RISE Directorate, meaning that they can take their country research in a variety of directions
	  o adding funding during Year 4 to enable further synthesis and policy uptake work
	 • What assessment can be made of the efficacy, over time, of these decisions? Which factors have supported and/or constrained success?

Outcomes and Impact Study	
Core Questions	Sub-Questions

To date, to what extent has RISE contributed to notable outcomes and impacts (intended and unintended, positive and negative)?	• Were expectations for outcomes resulting from RISE well-articulated and realistic?
	 • What have been the main outcomes to date, having regard but not limited to:
	  o the number of recently adopted national sector plans demonstrating RISE concepts, e.g. prioritisation, awareness of political context and systems thinking (notwithstanding difficulties surrounding attribution)
	  o the extent to which RISE research has led to sustainable change at a country level
	  o how far RISE is catalysing intellectual debate on the nature of education systems; the traction gained by the RISE 5x4 grid
	  o the extent that the RISE argument on equity in education systems is shaping global or national approaches to equity and equality in education systems?
	  o the extent to which RISE has encouraged or supported evidence-based policy making
	  o how DFID education advisers and senior officials have changed practice as a result of engagement with RISE research
	  o whether the (2019 addition of an) 'associate membership' scheme is catalysing broader academic engagement in the RISE programme
	 • To what extent are opportunities to achieve and enhance outcomes being identified in a timely way and grasped and/or missed?
	 • Are unintended, potentially negative, outcomes being observed?
	 • How much of RISE's influence is attributable to the reputation of its Research Director, ILT members and CRT PIs?

	• Are outcomes leading to, or likely to lead to, impacts (especially on learning)? • How far has the programme demonstrated that the assumptions in its theory of change were correct? • Overall, how do achieved outcomes and impacts compare with expectations?
Value for Money Analysis	
Core Questions	Sub-Questions
Does RISE deliver good value for money across the 4Es (economy, efficiency, effectiveness, equity)?	• Throughout RISE, how strong is the culture of and attention to Value for Money? • In its own activities and ways of working, does the Directorate achieve good value for money? • To what extent does the Directorate incentivise and demand value for money from partners? How effective is its approach? • How far does the work of the CRTs provide good value for money? • How does the split of management vs research time compare with other research programmes of similar scale? Are there potential time efficiencies that could be gained in the running of RISE? • To what extent does RISE routinely and robustly interrogate its Theory of Change, assessing whether outputs are contributing to intended outcomes and whether the return on investment is as expected? Overall, how far does the RISE programme provide good value for money across the 4Es?

Approach, Methodology and Data

26. We would like the evaluation to be:

- *Theory-based* – tackling the evaluation studies and questions in a way which provides holistic assessment of RISE and its theory of change. The evaluation should explore the extent to which the inputs provided to RISE are producing the expected outputs, outcomes and impact through the causal pathways envisioned in the Theory of Change, and the extent to which the assumptions made are holding true.
- *Utilisation-focused* - ensuring that the evaluation is useful and used. We would like the evaluators to identify key stakeholders and involve them in the evaluation. As well as formal evaluation reports, we would also like to see focused learning or knowledge products that can be delivered more quickly – for example short (1-2 pages) briefing papers and/or slide sets. It is hoped that the feedback from the 'benchmarking' phase of the evaluation will directly help improve programme performance.
- *Participatory* – particularly in terms of identifying learning around elements of the RISE model and when/how that should be applied to other programmes. The evaluation will be expected to draw out lessons learned from stakeholder engagement, rather than determining recommendations mainly as external observers.

27. Bidders will recognise – from the evaluation questions, programme documentation and DFID policy statements – the importance attached to gender, disability and social inclusion. This must be reflected throughout the conduct of the evaluation and addressed sufficiently in findings and lessons.

28. DFID is not prescribing a full methodology for the conduct of this evaluation, but would expect use of multiple methods and systematic triangulation of evidence. Bidders should spell out as fully as possible the evaluation design and methodology they propose to use. This should include modes of data capture, as well as methods for data analysis and synthesis. The successful bidder will then refine this proposal as part of the inception phase. DFID is committed to quality and rigour in line with international good practice in evaluation.

29. A minimal list of suitable methods follows, but we are open to additional and/or innovative methods. We anticipate that primary data collection will focus mainly on qualitative methods.

- *Review of key documents.* An initial list of programme and project documents will be prepared by DFID/RISE and provided for the evaluator, in order that they may refine and extend this during inception and then in each evaluation phase.
- *Face-to-face meetings* with a range of RISE donors, principal staff, stakeholders and users in the UK and focus countries should be incorporated within each substantive phase.
- *A broad range of further interviews with members of RISE teams and potential users.* To give an indicative steer rather than an exhaustive list, we expect to see representation among interviewees from the following groups external to RISE: relevant Ministries of Education and Finance, donors and international agencies, UK/US and Southern universities and academics, district officials, local education groups, NGOs, and community groups.
- *Surveys or other methods of data collection* to solicit input from additional participants and/or stakeholders. If surveys are used to produce estimates, these should be rigorously designed with appropriate sampling methods and expectation of acceptably high response rates. Alternative or complementary

approaches may be considered, including use of tools to collect feedback from those not selected for interview and/or online moderated discussions.

- *Case studies (of CRTs, other RISE units, observed policy impact processes and so forth)* could well be a suitable means to provide the depth expected from an evaluation of this scale and duration, recognising that comprehensive examination across all aspects of and contexts for RISE will not be practical.

30. As the evaluation will examine the differential effect of RISE on marginalised groups, particularly girls, we would expect any data collected to be disaggregated wherever possible.

31. In addition, as RISE is a systems research programme, we would welcome any approaches that adopt a systems methodology. Bidders may draw on the experiences and tools of the [USAID Monitoring Evaluation Research and Learning Innovation (MERLIN)](#) programme.

32. In addition to the primary data collected, we anticipate that the following data sources will be available to support the evaluation:
- RISE analytics – including data on working papers produced, published and downloaded, social media data and other relevant programmatic data, including those on progress towards the logframe
- Financial data from RISE and DFID
- Contextual datasets available for particular countries or internationally

Outputs and Timing
33. An indicative list of core outputs, with timings, is included below. We would expect bidders to comment on these in their proposal, and the list will be finalised by agreement during the inception period.

- *Communications/Use and Influence Plan:* As the purpose of this evaluation is to identify and share learning from the RISE programme, the evaluator should include a communications plan in their inception report. This should focus on identifying key audiences and their current levels of interest as well as plans for engagement and how learning can be best communicated. **Deadline: End of three month inception period.**

- *Inception Report and Stakeholder Mapping:* An inception report should itemise all the elements of the evaluation as specified in the Terms of Reference. It should detail the methodology that will be used for the evaluation. In order to inform details of the evaluation design, some stakeholder mapping will be necessary. A fuller mapping is envisaged at the start of the benchmark phase, to support evaluation implementation and help address key questions in the networks study. **Deadline: End of three month inception period (except full stakeholder mapping).**

- *'Benchmark' Report:* We would like a benchmark report on the performance and progress to date of RISE to be delivered before the second RISE break point (September 2020). This will encompass all five component studies, but may be able to provide only indicative/preliminary findings on some questions. **Firm deadline: End July 2020**

- *Phase 2 Evaluation Report:* We would expect a substantial, thorough evaluation report to be completed near the end of the programme. **Deadline: September 2022**

- *Phase 3 Evaluation Report:* We would like the final report to be delivered well after the end of the RISE programme, with the main focus on capturing the longer term outcomes and impacts, while reviewing other findings with the benefit of further perspectives and evidence which may be captured. **Deadline: September 2025**

- *Presentations* at DFID on each of the three substantive reports.

- *Focused learning/ knowledge products.* These could include short (1-2 page) briefing papers and/ or slide sets. We would expect four to six of these for each phase of the evaluation.

34. All reports require high quality, accessible, well designed Executive Summaries (of 2-3 pages for the inception report and 6-8 pages for substantive reports).

35. Draft evaluation outputs will be reviewed by DFID's Evaluation Quality Assurance and Learning Service (EQUALS).

36. The supplier will grant DFID an irrevocable right to publish and re-use the outputs from the evaluation.

37. DFID would encourage a publication related to the RISE model in a peer-reviewed journal, although this would not be a specific output of the evaluation. DFID would like to discuss this further with the evaluation contractor and RISE management during the inception period.

Risks
38. We expect that there will be a number of risks and challenges that the evaluation team will encounter. Therefore, proposals should set out how they will mitigate against these risks as well as specifying a system for identifying, managing, and reporting risks during the implementation of the evaluation. We have listed a few of the more significant challenges below and bidders are invited to comment on and/or extend this list. A full risk assessment should be conducted during inception phase. Ongoing risk management will be needed during the evaluation, with any high or severe risks flagged to DFID immediately.

- *Difficulty in assessing performance and tracking outcome and impacts from the middle of the programme.* We understand that there will some limitations to the evaluation as the RISE programme has already been implementing for 4 years. However, partly due to the length of time spent in procurement at the start of the programme, we expect that outcomes and impacts will occur mainly towards the end, or after the end, of RISE activities.
- *Concerns over evaluating a programme co-directed by OPM, itself a major evaluation contractor to DFID.*
- *Difficulty in building engagement and relationships at all levels right across RISE.* There are over 100 individuals working on the RISE programme, and we recognise the challenges in building and maintaining these relationships. DFID will support where possible.
- *Difficulties in accessing policy-makers and other relevant stakeholders* to collect data necessary to assess outcomes and impacts.
- *Discontinuity in the evaluation team, given the duration of the evaluation.*

Workplan

39. Bidders should propose a workplan for this evaluation, including activities, using a Gantt chart..

Budget

40. Bidders will be expected to submit a detailed financial proposal which will be assessed as part of the procurement process. This should include professional fees, travel, other expenses and VAT (where applicable). DFID expects the evaluation contract value (exc VAT) to be in the range of £600,000 to £750,000, and would encourage bidders to be innovative in their approach to this TOR, ensuring that they can deliver the best value for money. Suppliers will be paid by fees and expenses.

Requirements

41. We would expect the bidding team of evaluators to have the following skill set.

- Extensive knowledge of evaluation methods and techniques **Essential**
- Extensive experience of evaluating large, international development programmes **Essential**
- Strong qualitative and quantitative research skills **Essential**
- Experience of evaluations with high level of stakeholder participation **Essential**
- Established expertise in the field of education research, and establishing research impact **Essential**
- Proven ability to work collaboratively with a wide range of stakeholders including senior people from the public sector and academia **Essential**
- Expertise in assessing value for money **Essential**
- Excellent written and oral communication skills in English **Essential**, including the ability to communicate lessons learned quickly and in accessible ways **Desirable**
- Good knowledge of gender analysis **Desirable**

42. A gender balance is preferred within the evaluation team and, for in-country evaluation work, we would expect the evaluation team to work with local/ national evaluators.

Ethics

43. Proposals should outline their view of the ethical considerations for this evaluation and spell out how they plan to address these. Suppliers will be expected to have an ethics policy/code (consistent with but expanding upon Ethics principles for evaluation and research and DFID's Ethical guidance for research, evaluation and monitoring activities) and apply ethical clearance protocols, where appropriate. Bids should set out how they propose to ensure the confidential treatment of project documentation and data collected throughout the evaluation.

General Data Protection Regulations (GDPR)

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

Evaluation governance and management

45. The evaluation will be overseen by a Management Group (MG) of 4-6 members. The RISE Senior Responsible Owner (SRO) and Programme Manager will be joined on

this MG by the Research and Evidence Division's Evaluation Adviser. DFID will invite other donors, DFID teams and/or government departments to nominate a representative, with discretion also to invite an external education or evaluation expert to join the MG. The MG will be responsible for approving the evaluation outputs and commenting on draft reports (drawing on the quality assurance reviews by EQUALS).

46. Within DFID, the main points of contact will be as follows:
- Technical Matters: RISE Senior Responsible Owner
- Contractual Matters: DFID Procurement and Commercial Department
- Logistics: RISE Programme Manager

47. In their proposal, bidders should explain how their team will be structured, what the anticipated roles and responsibilities will be, and be clear on leadership and points of contact. Bids should set out how quality will be assured throughout the evaluation and in all outputs (before delivery of drafts).

48. Bidders should also explain how they will ensure close working relationships with DFID and the RISE consortium while ensuring independence. Proposals should include an explanation of how bidders will avoid a conflict of interest, and how they would handle any situations of undue pressure.

49. The Supplier will provide regular updates to DFID on the progress of the evaluation; brief monthly updates are likely to be appropriate during intensive periods with quarterly updates at other times. Bidders should expect two formal MG meetings and one presentation at DFID during each phase of the evaluation (noting this is in addition to tele-conferences, as necessary, and plans for communications to RISE partners and externally). These meetings will be hosted in London, but may involve teleconferencing or video conferencing with MG members working elsewhere. The evaluation team may use video conferencing for some participation, but should budget for core members to attend a minimum of one meeting and one presentation per phase.

Duty of Care

50. The Supplier is responsible for the 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 their domestic and business property.

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

52. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel. Travel advice is available on the FCO website, and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

53. This procurement may require the Supplier to operate in a seismically active zone considered at high risk of earthquakes. 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).

54. This procurement may require the Supplier to operate in conflict-affected areas and those that are highly insecure. Travel to many zones within such regions will be subject to travel clearance from the UK government in advance. In such contexts, the security situation may be 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 such regions in order to deliver the contract (subject to travel clearance being granted).

55. 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 and [where appropriate] complete a UK government approved hostile environment or safety in the field training prior to deployment. Bidders must develop their tender on the basis of being fully responsible for duty of care in line with the details provided above. They must confirm in their ITT Response that:

    ● They fully accept responsibility for security and duty of care.

    ● They have made a full assessment of security requirements.

    ● They have the capability to provide security and duty of care for the duration of the contract.

56. If you are unwilling or unable to accept responsibility for security and duty of care as detailed above, your bid will be viewed as non-compliant and excluded from further evaluation.

57. 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 the Invitation to Tender (ITT).

58. Acceptance of responsibility must be supported with evidence of capability (no more than 2 A4 pages) and DFID reserves the right to clarify any aspect of this evidence. In providing evidence bidders 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?

f) Have you appropriate systems in place to manage an emergency / incident if one arises?

Annex A: List of key documents

A list of relevant documentation is as follows:
- RISE original business case (2013) on Dev Tracker.
- RISE business case amendment (2018)
- Annual Review (2014)
- Annual Review (2015)
- Annual Review (2016)
- Annual Review (2017)
- RISE logframe (2018)
- RISE Tender TOR Documents (2014)
- www.riseprogramme.org (includes further details on country research teams and their research priorities)

Annex B: Acronyms

BMGF	Bill and Melinda Gates Foundation
BSG	Blavatnik School of Government
CGD	Centre for Global Development
CRT	Country Research Team
DFAT	Department for
DFID	Department for International Development (UK)
EDI	Economic Development and Institutions
ERT	Education Research Team
EQUALS	Evaluation Quality Assurance and Learning Service
ESID	Effective States and Inclusive Development
GEFA	Global Evaluation Framework Agreement
GPE	Global Partnership for Education
GEQAF	General Education System Quality Analysis Framework
ILT	Intellectual Leadership Team
KPI	Key Performance Indicator
MERLIN	Monitoring, Evaluation, Research and Learning Innovations Programme
MG	Management Group
MOOC	Massive Open Online Course
NGO	Non-Governmental Organisation
OECD-DAC	Organisation for Economic Cooperation and Development - Development Assistance Committee
OPM	Oxford Policy Management

PET	Political Economy Team
PET-A	Political Economy Team (Adoption)
PET-I	Political Economy Team (Implementation)
RED	Research and Evidence Division
RCT	Randomised Control Trial
RISE	Research on Improving Systems of Education
SABER	Systems Analysis for Better Education Results
SPACES	Strategic Program for Analysing Complexity and Evaluating Systems
SRO	Senior Responsible Owner
TOC	Theory of Change
TOR	Terms of Reference
'RISE Countries'	Countries in which a RISE CRT is operating: Ethiopia, Tanzania, Nigeria, India, Pakistan, Vietnam and Indonesia

Annex C: Key workstreams and governance structures within the RISE programme

This Annex sets out more information on the different workstreams and governance structures of the RISE programme, as set out in *Figure 1* on page 2.

Governance Structures
- **RISE Delivery Board** is made up of representatives from the RISE donor groups (DFID, DFAT and BMGF), as well as key stakeholders (including USAID and the World Bank). This is a governance function providing accountability for programme performance to funders.
- **RISE Donor Group** (DFID, DFAT and BMGF) meet with RISE every quarter to discuss programme progress. The RISE programme has experimented with different reporting structures over the years, and currently sends an annual and mid-year report.
- **Internal DFID Group** including advisers from different countries and cadres.
- **Intellectual Leadership Team (ILT)** is made up of 13 well respected academics from the education and health systems fields. Their role is to provide an academic steer to the programme, as well as writing relevant working papers to support the RISE endeavour. The ILT meet twice a year to provide critical steers to the Research Directorate.

Research Directorate
- **PET Workstream** – The PET workstream will work alongside the CRTs to conduct and support country level political economy analysis. There are two strands to the PET workstream. The first, 'PET-A', will look at the high level political governance of the education system (from Ministries to districts) while the second, 'PET-I', will look how policies are implemented at a local level (from districts to individual teachers and families).
- **Country Research Teams** were competitively procured by the RISE programme team, and each CRT is a partnership between a Southern Institution and a US or UK-based university. Each CRT has a different focus, with the idea that they will each explore different parts of Lant's 5x4 conceptual framework. Further details on each CRT's work is included on the RISE website.
- **RISE Diagnostic** – Each of the CRTs was required to complete a diagnostic exercise which was based on the SABER framework. RISE is developing this further to create a stand-alone diagnostic which will provide a 10-page policy

relevant report for policy makers on the issues in their system. The RISE diagnostic will initially be tested in four non-RISE countries.

- **Theme Team** – The 'Theme Team' are five researchers, each of whom has been allocated a different core RISE theme (teaching, private schools, roles and responsibilities, equity and innovation). The Theme Team will synthesis research on these themes across the CRTs, and will also commission small pieces of 'gap-filling' research where necessary.
- **Associate RISE research** – RISE will now invite researchers to become 'associate RISE members' if they are conducting relevant education systems research. This work will enable RISE to broaden its potential impact across the world, in a cost effective way.
- **MOOC** – Over the next few years, RISE will develop an online course for policy makers, to directly spread RISE thinking and research findings.

Programme Directorate
- **Communications** – RISE has an active communications team who are frequently updating the RISE website (link) and social media (twitter handle). The communications team are also heavily involved in the annual RISE Conference which takes place across two days in June each year – alternatively held in London and Washington DC.
- **Programme Management** – The Programme Directorate is responsible for bringing all the work streams together, and ensuring that the programme as a whole is progressing towards desired outcomes.

Annex D: RISE engagement with equity, poverty and marginalisation issues

RISE engages with equity, poverty and marginalisation issues. A few examples are provided below:

Equity as a Core Theme
Equity has been included as one of the five core themes of the RISE programme, alongside teaching, private schools, roles and responsibilities, and innovation. One member of the RISE Theme Team will focus exclusively on equity, synthesising evidence across CRT and ILT working papers, and commissioning new work to fill evidence gaps. The RISE definition of 'equity' is still being defined.

Equity and Marginalisation in Country Research Teams
All of the CRTs are required to report on their work on equity and marginalisation, with a particular focus on girls. Most of the CRTs have incorporated research which explicitly explores the impact of national education reforms on women and girls, for example the women's diary study in Punjab. The Ethiopia CRT is focussing their research programme on understanding how education reforms are reaching the most marginalised, including girls, children with disabilities, rural children, and children who speak minority languages. The Nigeria CRT is looking at girls' education, using historical data to understand why girls remain disadvantaged.

Equity in Working Papers and in RISE Communications
RISE ILT members have published papers which explore issues of equity (examples include a paper on the lowest acceptable goal for education systems and a conceptual framing of equitable learning). RISE have also explored these issues with a wider group of stakeholders through workshops in the margins of conferences.

RISE are also required to report against equity issues in the logframe. For example:

- The impact statement for the RISE programme states that RISE will improve learning outcomes for *all* children. While the equity element of this is not made explicitly, this was the original intention of the programme.
- The logframe monitors how many RISE datasets have been collected which disaggregate data by key equity themes (Output 1.1), and how many working papers include equity as a central focus (Output 1.2).

Annex E: Background evidence underpinning the RISE programme (from 2014)

This Annex details the background evidence underpinning the RISE programme, as set out in the original RISE Tender TOR documentation.

Education policy and programme decision makers need more robust evidence around how and why education systems perform the way they do, what are the critical constraints, what policies or interventions have potential to unblock these constraints and what are the impacts of large scale systemic reforms on learning for all. This will require a significant multi-disciplinary research team to tackle these complex questions that will cut across education economics, governance, public administration, and management. DFID is therefore commissioning a large-scale, multi-year research programme to build the evidence for these issues. This will be a new way to approach education research that aims develop a new and influential field of study to support more effective education systems.

The High Level Panel report on the post-2015 agenda highlighted the need to assess the quality of education and not just access. It is likely that learning will be at the heart of future education policy and programmes, but current rates of progress in many countries mean it would take an unacceptably long time to reach an adequate level[4].

From an equity angle, emerging evidence suggests that different school systems are (in)equitable in different ways. For example, differences in achievement between wealth quintiles in India increase over time. Initial evidence suggests the elite-focused curriculum in India leaves poorer children far behind with increasingly lower chances of catching up over time. In comparison, differences between wealth quintiles and ethnic groups in Vietnam remain relatively constant, or even improve over time, with a possible explanation being Vietnam's greater emphasis on mastery of the basics of reading and writing by all students[5]. The 2012 Global Monitoring Report argues "to tackle the barriers that prevent disadvantaged children from entering on time and progressing through school, system-wide reforms are needed"[6]. System reform is therefore important to both the equity and quality of education and will be central to achieving better learning for girls in particular.

We know little about what works to reform developing country education systems to improve learning for all, especially girls.

Strong evidence from different contexts suggests that more resources alone do not drive better learning. Bruns argues that, "researchers have documented the weak correlation between spending and results in education that emerges from cross-

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[4] Beatty, A. & Pritchett, L. (*2012) From Schooling Goals to Learning Goals*
http://www.cgdev.org/files/1426531_file_Beatty_Pritchett_Time_to_MLG_FINAL.pdf

[5] Rolleston, C. (2013) Who Benefits from Value-Added? School Effectiveness in Vietnam University of Oxford, UK.

[6] UNESCO (2012) Global Monitoring Report *Youth and Skills: Putting Education to Work.*

country and within country analysis"[7]. This holds for both developed and developing countries. In a recent review published in Science[8], not one single 'traditional' input based intervention (e.g. textbooks) was found to deliver either statistically significant impacts on student learning or value for money.

While inputs are clearly important, in particular where no schools, textbooks or teachers exist, there is growing evidence that how resources are used plays a major role in determining the effectiveness of an education system. Woessman examines international maths scores for over a quarter of a million children in both developed and emerging economies. He concludes that international differences in student performance are strongly related to institutional factors, for example centralised assessment or school autonomy, as opposed to differences in the levels of resources put into the system[9]. Other research shows that social, political and household factors are also important in explaining variations in the learning outcomes for children, such as parental expectations[10]. The recent Economist Intelligence Unit report into the performance of education systems concluded that "simply pouring more resources into a system is not enough: far more important are the processes which use these resources"[11].

However, the evidence on what works to reform education systems in low-income countries to improve learning is weak. Recent work by McKinsey suggests that education systems can improve[12]. The report divides school systems into poor, fair, good and excellent performers and charts progress along this continuum. This is the first report to take a robust conceptual and analytical approach to system reform and offers promising insights into how to understand whole system reforms. However, it only includes two developing country systems and the evidence base on which it can draw for developing country systems is very sparse. Similarly, studies by the Organisation for Economic Cooperation and Development (OECD) use international assessment data to understand the effects of system reforms, largely in richer countries. Learning from these reform efforts and existing evidence from OECD and partner countries will be used to inform the design of education systems research proposed in this programme. But neither the OECD nor the McKinsey studies provide sufficient evidence to guide investments in education reforms in developing countries.

A recent rigorous review that synthesised the best available studies looking at educational inputs in developing countries concluded that "remarkably little is known about the impacts of education policies on student outcomes in developing countries…[because] much of the literature has focused on basic school and teacher

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[7] Bruns, B. Filmer, B. Patrinos, H. (2011) *Making Schools Work: New Evidence on Accountability Reforms,* World Bank, U.S.

[8] Kremer, M. Brannenl, C. & Glennerster, R. (2013) The Challenge of Education and Learning in the Developing World" *Science vol 340, number* 6130 pp. 297-300.

[9] Woessmann L. (2003) Schooling Resources, Educational Institutions and Student Performance: the International Evidence. *Oxford Bulletin of Economics and Statistics. 65(2): 117-7.*

[10] Dercon.S, Singh.A, (2011) *From Nutrition to Aspirations and Self-Efficacy: Gender Bias over Time among Children in Four Countries*, University of Oxford, UK.

[11] Economist Intelligent Unit (2012) *The Learning Curve*, http://thelearningcurve.pearson.com/

[12] Mourshed.M, Chijioke.C, & Barber.M, (2010) How the world's most improved school systems keep getting better

characteristics"[13]. A recent book called the Rebirth of Education by Lant Pritchett argues that no country has "an evidence-based plan for achieving significant progress in education"[14]. This is largely because there is limited evidence on which to draw from and in some cases there is reticence to spend the political capital needed to push though system wide reforms.

Education research, in general, is of limited use to informing system reforms. Much of it is fragmented, qualitative in nature and focuses on inputs. There is a body of political economy approaches to education reform dating from the 1980s and 1990s[15]. These studies help to underscore the importance of politics, processes and institutions in education, but have less of an emphasis on 'what works' to improve education systems[16]. A recent review of the political economy of education reform found only one high quality study, though there was a reasonable body of medium quality evidence[17].

More recently, there has been a wave of randomised control trials (RCTs) of education interventions over the past 15 years[18]. These have introduced a new emphasis on rigour in education research. They point to interventions that can improve access to education and provide some initial evidence regarding learning, though evidence around cost effectiveness and what works at scale is lacking. More recent RCTs have focused on system type interventions that aim to change the incentives of people, from parents to teachers to administrators, involved in making sure every child learns. This includes emerging evidence on the potential for interventions focussed around teacher accountability, school based management and pedagogical innovation to deliver greater gains in learning than input based interventions.

The majority of this first wave of RCTs consists of small scale interventions delivered through non-governmental organisations (NGOs). There is therefore a legitimate concern about the generalisability of these findings to education systems, which operate at a very different scale and with a very different set of incentives and political economy. A recent replication of an RCT of contract teachers in NGO schools in Kenya found identical positive effects in the NGO schools and zero effect in the government schools. The roll out of the intervention was interrupted in the state system due to a teacher's strike and court case which resulted in the formalisation of the contract teachers[19].

This illustrates the importance of a deep understanding of the education system and context to be able to understand how some of these promising interventions could play out at scale and within the political economy of that country. There is a need to generate more quality contextualised evidence around education systems in developing countries as it is likely that what works depends on the context. Mixed

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[13] Glewwe, P. Hanushek, E. (2012) School Resources and Educational Outcomes in Developing Countries: A Review of the Literature from 1990 to 2010, *NBER Working Papers 17554*, 2011 P.45

[14] Pritchett, L. (2013) *The Rebirth of Education,* P89, Centre for Global Development, Washington DC.

[15] See Grindle, M. Thomas*, J. (1991) Public Choices and Policy Change: The Political Economy of Reform in Developing Countries* Johns Hopkins University Press, US. **or** Lewin, K. & Stuart, J. (1996) *Educational Innovation in Developing Countries; Case Studies of Change Makers*, 2nd edition, MacMillan.

[16] Kingdon, G. et al, (2013) *A Rigorous Review of the Political Economy of Education Systems, Department for International Development*

[17] Ibid

[18] Kremer, M. Brannenl, C. & Glennerster, R. (2013) The Challenge of Education and Learning in the Developing Wold" *Science vol 340, number* 6130 pp. 297-300.

[19] Kremer, M. Brannenl, C. & Glennerster, R. (2013) The Challenge of Education and Learning in the Developing Wold" *Science vol 340, number* 6130 pp. 297-300.

methods approaches will be required, as well as access to education policy makers and institutions, to be able to look at the political economy of education reform and the testing of interventions to understand what works at a systemic level to improve learning for all.

Education systems research is a field of study that examines the organisation, financing, and delivery of education services and the impact of these services on learning, skills development and broader well-being. A systems focus looks at the whole education system across multiple levels, including early childhood, primary, secondary and tertiary. The major focus of research on an education system should be on the management, governance and functioning of that system. Research on systems is likely to focus less on the characteristics of inputs into the education system (e.g. length of teacher training, textbooks) and more on the institutional and political economy factors that help drive the performance of the system. This would include elements such as accountability, incentives, transparency, monitoring, and assessment as well as the politics of reform, and would link what happens at a policy and institutional level with what happens in the classroom and learning. A systems focus would also include examining how equitable the system is in the way it operates, with a particular regard to differences in access and performance between boys and girls, as well as marginalised groups.

There has been limited but good quality research around some system areas, most notably accountability. A 2011 review of high quality research from World Bank accountability investments found "promising evidence that changing performance incentives of actors within an education system, for example through school based management or the use of information, can have impacts on the quality of education"[20]. However, the authors note that this field is nascent, comprising of only two rigorous impact evaluations globally across these varied interventions, with little replication and a dearth of evidence from Sub-Saharan Africa.

It is likely that new conceptual models and methods will have to be developed to be able to answer education system questions. This could include innovative ways to collect data that allow policy makers to see the impacts of their policies on a rolling basis, across time over different social groups and over a large area, as has been considered in the health field[21]. It is also likely that this research will benefit from cross-disciplinary collaboration, bringing in the experience of systems research from health, engineering and management sciences amongst other fields. For example, there are models of how to understand systemic change from the private sector, including the DFID supported "Making Markets Work for the Poor" approach which understands sustainable change at scale by taking into account spill over effects including crowding-in, adoption and replication[22]. A systems approach will also draw heavily on governance work around state capability and the political economy of reform[23].

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[20] Bold, T. Kimenyi, M. Mwabu. G. Ng'ang'a, A. Sandefur, J. (2013) Scaling Up What Works: Experimental Evidence on External Validity in Kenyan Education, *Centre for Global Development, Washington DC, Working Paper 321.*

[21] See for example – Victora.C.G, Black.R.E, Boerma.J.T, Bryce.J, (2010) Measuring Impact in the Millennium Development Goal Era and Beyond: A new Approach to Large Scale Effectiveness Evaluation, The Lancet Online July 9, 2010.

[22] ITAD (2013) *A Review of M4P Evaluation Methods and Approaches,* http://www.itad.com/reports/review-ofm4p-evaluation-methods-and-approaches/

[23] See for example – Pritchett, L. Woolcock, M. Andrews, M.(2012) Looking Like a State: Techniques of Persistent Failure in State Capability for Implementation, Harvard Centre for International Development

In the education field specifically, there are emerging conceptual models of how to understand education systems although none is widely accepted. [xxii] UNESCO has developed A General Education System Quality Analysis/Diagnosis Framework (GEQAF) and UNICEF has developed a tool for analysing bottlenecks to equity in education systems. The World Bank has promoted the analysis of education systems through its Systems Analysis for Better Education Results (SABER) based on the following systems model:

Figure 5: SABER Framework (Source: SABER Presentation to UNICEF)
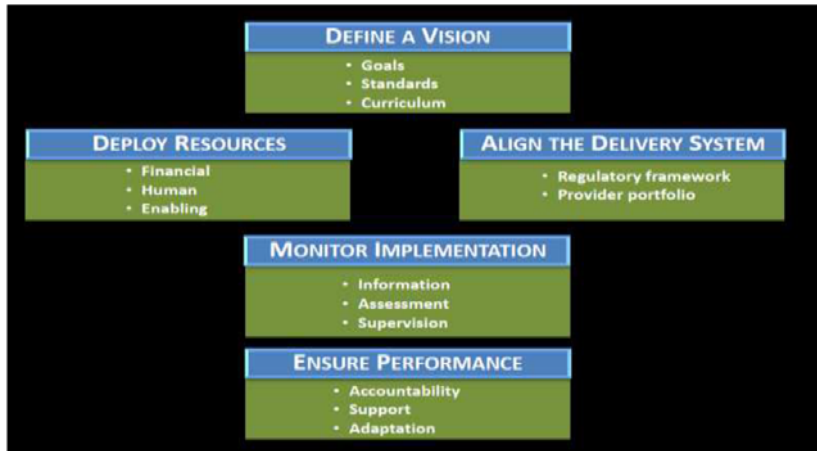
SABER has made progress in identifying various policies under each domain in over 100 countries and will be a useful starting point for this research programme to consider the variety of policies in the field. Below we propose a new model of education systems, tested and refined through engagement with research and policy communities. This was done through a series of interviews with key people and through two workshops with academics, policy makers and donors in London and Washington DC. This model is represented below:

Figure 6: Education Systems Model

Working Paper, http://www.hks.harvard.edu/centers/cid/publications/faculty-working-papers/cid-working-paper-no.-239
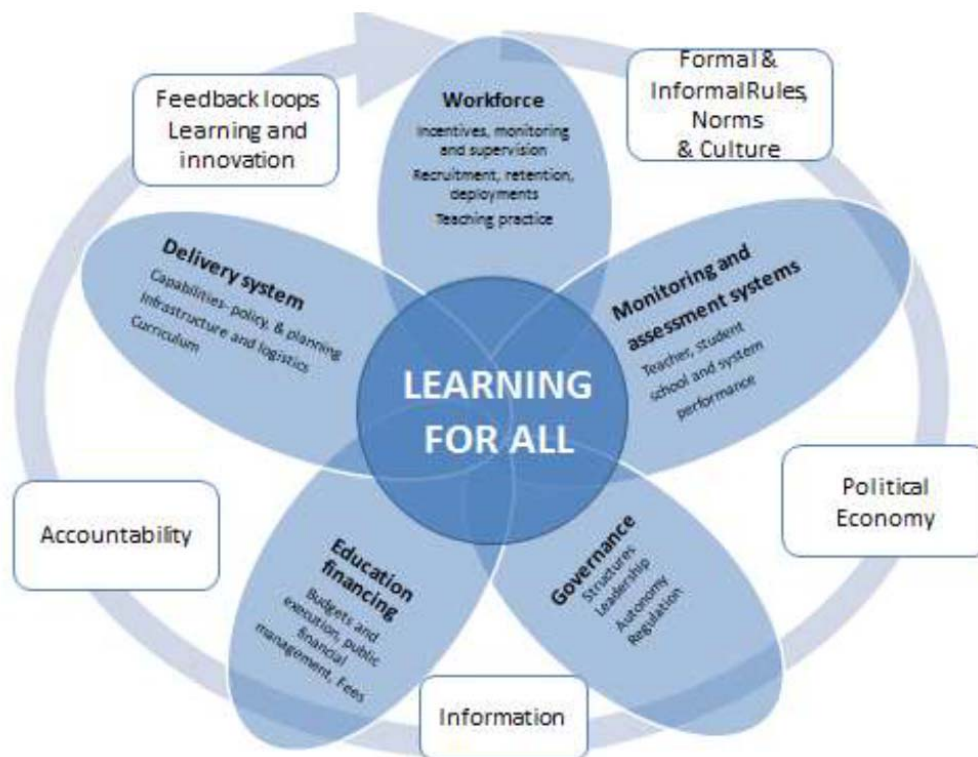
Figure 6 puts learning and equity at the heart of the systems model. Learning for all means that *all* children have access to quality education. This is a particular concern in many developing countries where girls' learning lags significantly behind boys, and discrimination against marginalised groups is common. Learning for all includes not only the cognitive dimensions of education (e.g. maths, reading) but also the noncognitive dimensions such as self-efficacy and confidence that are also important to determining future life chances.

As well as outlining the functional aspects of any education system (e.g. workforce, financing,) the model emphasises the interconnections between parts of the system that are driven by:

- Formal and informal rules, norms and culture;
- Political economy;
- Information flows;
- Accountability;
- Feedback loops and innovation.

We would expect this, or other conceptual models, to be developed as part of the research programme and to start building consensus in the research and policy communities. This is an important step to enable the systematic and scientific study of education systems.

Annex F: RISE 5x4 grid

Four design elements of each relationship of accountability (Principal (P) to Agent (A))	Principal-agent relationships			
	Politics: Citizens to "the state"/politicians (many P to one A)	Compact: "The state" to organizations (one P to one A or one P to many A with non-state providers)	Management: Organizations to front-line providers (one P to many A)	Voice/ Client power: Service recipients (parents/children) direct to FLP/Organizations (many P to one A)
Delegation: Specification of what P wants from A				
Finance: Resources that P provides to A (either in advance or contingent)				
Support: P helps A to perform				
Information: P collects information on performance of A				
Motivation: How is A's well-being contingent on performance? Change to motivation? i) Intrinsic; ii) Extrinsic; iii) Exit (force out)				
Performance of agent (endogenous)				

Annex G: Assumptions underpinning Theory of Change (including both internal and external – e.g. gender, value for money, country level demand)

This theory of change rests on some assumptions:

Output level

- RISE undertakes high quality research that is cross-disciplinary, in-depth, and at-scale.
- CRT and PET outputs are on time and on budget. Data collection takes place as planned and working papers are produced accordingly. Assumes that no significant risks impact the work, which include political and security risks.
- RISE ILT-CRT meetings and interactions support the research endeavour and catalyse a common vision and ambition, unlocking opportunities for collaboration and innovation across the RISE team.
- RISE research outputs are published in leading peer-review journals and working paper series, and are widely used and cited. Datasets generated under RISE are widely accessible under the open access policy, data is disaggregated by gender and other equity indicators. CRT projects give due consideration to equity, whether defined by gender, disability, language, socio-economic background, while seeking to understand what works to improve learning for all children.
- CRT and PET work stream research generates sufficient new evidence for synthesis and policy insights that is cross-disciplinary, in-depth and at-scale. Conclusions are sufficiently clear-cut to lend themselves to policy insights, and are underpinned by RISE tools and approaches, including the RISE conceptual framework.
- RISE is successful at making products widely available and accessible by different audiences, with the appropriate range of outputs (policy briefs, blogs and Insight Notes) for different target groups supported by the right

communication and engagement channels: website, social media, partner websites and networks.
- The RISE team is able to develop a meaningful diagnostic for assessing system incoherence – we know that a number of organizations have tried to do that. The RISE diagnostic is taken up more widely and is used as the basis for identifying priorities for change to address system incoherence.
- RISE is successful at external communications, including around the Annual Conference, support key stakeholder engagement. RISE evidence and findings are featured in press articles.
- The broader RISE endeavour is supported by strong management processes.

Outcome level

- At the global level, RISE products and events are successful at engaging policy makers. RISE builds and maintains strong relationships with relevant global actors: influential champions of change and global actors, the academic community and national governments. RISE builds a strong recognizable brand as the to-go source for the latest and most relevant on education systems.
- RISE evidence informs influential global reports that inform decisions and practice at the top of the pyramid of education actors.
- At the country level, the CRTs, the partnerships and gap filling research strands are able to develop strong partnerships and collaborate with relevant stakeholders so that the research has local resonance and remains relevant, the evidence and findings are accepted and used to inform policy and practice.
- The RISE diagnostic is taken up more widely and is used as the basis for identifying priorities for change to address system incoherence.
- At the research level, RISE is successful at propagating a systems approach to education reform and initiatives that emphasize a focus on quality learning outcomes for all.

High order outcome level

- RISE is and remains a strong voice in a multi-actor environment with numerous influences behind policy and practice change.
- We are able to trace and attribute direct and indirect influence of RISE evidence and messaging.
- RISE and the systems approach more generally lead to positive findings for improving learning outcomes.
- RISE is successful at driving a change in mindsets and behaviours of key decision makers, from focusing on linear inputs to understanding education systems.

Impact level

- Policy changes are implemented so that they lead to meaningful improvements in learning outcomes. this is outside the scope of direct influence of RISE and that this is likely to incur beyond 2023.

Annex H: Schedule of Processing, Personal Data and Data Subjects

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

Description	Details
Identity of the Controller and Processor for each Category of Data Subject	The Parties acknowledge that Clause [33.2 / 30.2] and [33.4 / 30.4] [(Section 2 of the contract / Section 2 of the Below EU Threshold contract)] shall not apply for the purposes of the Data Protection Legislation as the Parties are independent Controllers in accordance with [Clause 33.3 / 30.3] in respect of Personal Data necessary for the administration and/or fulfilment of this contract.