CALLDOWN CONTRACT

Framework Agreement with: Oxford Policy Management Limited

Framework Agreement for: Global Evaluation Framework Agreement

Framework Agreement Purchase Order Number: 7448

Call-down Contract For: Strengthening Research and Knowledge Systems Evaluation

Contract Purchase Order Number: PO 7906

I refer to the following:

1. The above mentioned Framework Agreement dated **12 September 2016**

2. Your proposal of **27 March 2017**

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 **31 August 2017** ("the Start Date") and the Services shall be completed by **31 May 2018** ("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 £ **298,322** ("the Financial Limit") and is exclusive of any government tax, if applicable as detailed in Annex B**. OR**

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

28. Milestone Payment Basis

28.1 Where the applicable payment mechanism is "Milestone Payment", invoice(s) shall be submitted for the amount(s) indicated in Annex B and payments will be made on satisfactory performance of the services, at the payment points defined as per schedule of payments. At each payment point set criteria will be defined as part of the payments. Payment will be made if the criteria are met to the satisfaction of DFID.
When the relevant milestone is achieved in its final form by the Supplier or following completion of the Services, as the case may be, indicating both the amount or amounts due at the time and cumulatively. Payments pursuant to clause 28.1 are subject to the satisfaction of the Project Officer in relation to the performance by the Supplier of its obligations under the Call-down Contract and to verification by the Project Officer that all prior payments made to the Supplier under this Call-down Contract were properly due.

4. DFID Officials

4.1 The Project Officer is:

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:

6. Reports

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

7. Duty of Care

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

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

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

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

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 Oxford Policy Management	Name: Position: Signature: Date:

Section 4, Annex A

Call-down Contract

Terms of Reference

Strengthening Research and Knowledge Systems
Evaluation –Terms of Reference

February 2017

1. Introduction

In addition to the direct funding of research to solve priority developmental themes, DFID's Research and Evidence Division supports the strengthening of capacity in the supply of and demand for research and evidence in developing countries.
DFID & Sida ('we') wish to invite suitably qualified organisations to implement the independent evaluation for such a programme, described below. The evaluation will be commissioned through DFID's Global Evaluation Framework Agreement (GEFA).

2. Context

The Strengthening Research and Knowledge Systems (SRKS) programme (code 203962-101), is a five-year, £10.2m programme jointly funded by DFID and the Swedish International Development Cooperation Agency (Sida) and implemented by INASP between 2013 and 2018. The programme aims to increase sustainable (a) access to and (b) production of research literature in particular low income countries.

The expected impact, as outlined in the logframe, is that research knowledge contributes to economic and social development. The SRKS programme supports individual, institutional, inter-personal and environmental capacity strengthening for a wide range of stakeholders within national and international research systems in Africa, Asia and Latin America. INASP's support is broadly broken down into:

- Support for the production of research (including the access to international research)
- The sharing/communication of research through publication, conferences and other means. (This includes support to individual researchers, universities and research institutes, national research and education networks (NRENs), library consortia, international publishers of academic research, national and international science media.)

Further information on the programme is provided in the background section at the end of the document. The programme logframe, the main accountability tool which documents current expectations, can be found as an excel document in the ITT pack. For this evaluation, the principal features to note are:

Impact	Research knowledge contributes to economic and social development
Outcomes	Increased sustainable (1) access to and (2) production of research literature in INASP-supported countries
Outputs	Increased organisational and individual capacity to support access to research literature in INASP supported countries Increased organisational and individual capacity to produce and make visible quality southern research literature in INASP supported countries Lessons learnt and communicated to support programme objectives

For reference, the original theory of change from the programme proposal is included in Annex 1.

The DFID business case and more recent annual reviews of the programme can be found on devtracker. Please note that the business case is five years old and the programme has evolved considerably since it was agreed. After this business case was written the programme changed its name to Strengthening Research and Knowledge Systems[1]. Further information may also be accessed on the INASP website.

INASP undertakes a substantial volume of monitoring and evaluative activity, upon which the evaluation is expected to draw. Lists of data and assessments are in Annex 2. Of particular note to the evaluators are data sets and analysis covering levels of e-resource access; library consortia capacity assessments; analysis of key metrics for journal quality[2], and indicators of Journals Online (JOL) management capacity; and analysis of the AuthorAID community and comparison of AuthorAID approaches. The sustainability study provides analysis around the topic part way through the programme. Complementing these pieces of analysis, the annual funder review reports provide important information reflecting adaption and learning through the life of the programme.

The evaluation report of the programme preceding Strengthening Research and Knowledge Systems, PERI 2, is available at:

http://www.inasp.info/en/publications/details/6/.

DFID and SIDA fund other programmes to improve the communication and use of research in development. These include scidev.net and the International Union Against TB and Lung Disease work on Operational Research (DFID only). Until recently DFID also funded DRUSSA and GOKH, amongst other programmes.

3. Evaluation Purpose and Objectives

The primary purpose of this evaluation is in-depth learning about the relevance, effectiveness, efficiency and prospective impacts of the SRKS programme since 2013. Therefore, the means by which observed changes were achieved and the barriers to further change will be important features. It is expected that meeting this primary purpose will require overview assessment of INASP's performance in delivering the programme. So the evaluation outputs are expected to provide, as a secondary purpose, a degree of accountability for the investment in SRKS by DfID and Sida. Evaluation findings are intended to feed into Sida and DFID understanding and planning in this area as well as future INASP programme design.

4. Scope

This evaluation is to focus solely on the programme Strengthening Research and Knowledge Systems from its start date (April 2013) up until the evaluation. It is expected to encompass both intended outputs and outcomes and also to investigate unintended consequences, both positive and negative. It is being commissioned under GEFA Lot 2 since we are interested in contribution to development outcomes and impacts within its context.

The evaluation is expected to cover the SRKS programme as a whole, across all supported countries. However, we recognise that detailed assessments will need to be more selective and the need to concentrate evaluation resources (in order to secure depth of understanding and, also, to ensure the evaluation represents value for money). We suggest below an approach based on country case studies.

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[1] In the business case it is referred to as 'Programme for the enhancement of Research Information 3' (PERI3), which follows on from two previous programmes, PERI and PERI 2. This evaluation focusses solely on the programme Strengthening Research and Knowledge Systems.

[2] The JOL quality indicator data provided a baseline where the work continued on from the previous programme. For other areas of work where new indicators and data collection tools where introduced, indicator calculations were conducted in the first year of the programme as the tools were developed, these 'baseline' data appears in the reported logframe as 'year 1' data.

5. Evaluation questions and framework

On the basis of the core evaluation questions below and other information in these ToR (including the annexes with details of SRKS) proposals should present a suitable evaluation framework which would unify the components of the evaluation and help to guide final decisions on the content and conduct of this evaluation.
During the inception phase this framework will be completed, to encompass:

- Evaluation criteria
- Evaluation questions, sub-questions and indicators / judgement criteria, as appropriate
- Data collection and analysis methodologies including the approach to assessing VfM

We expect the evaluation criteria to draw on the DAC evaluation criteria, though we have adapted these below to join value for money with efficiency and sustainability with effectiveness. We also think that adaptability & learning justify inclusion as a distinct category. We are open to proposals to revise further these criteria and/or the exact meaning/wording of the following core questions. However, proposals should presume that all these questions need to be addressed and, therefore, put forward a design and methods to achieve this.

<u>Relevance</u>

- Were the activities conducted in the programme appropriate to the needs of relevant partners/stakeholders within the national research systems?
- For each type of partner institution, how appropriate was the model of intervention by the programme?
- In light of the programme objectives, did the programme work with the most appropriate partner institutions, and did it work with the most suitable approach?

<u>Efficiency / Value for Money (VfM)</u>

- Having regard to DFID's VfM Framework, has the programme expended funds on good quality inputs at economical rates? Have partners' rates been benchmarked and/or challenged, where appropriate?
- Are these inputs being translated efficiently into the programme's outputs?
- Has the programme recognised a need to drive value for money, propagated this across partners and demonstrated ongoing commitment to VfM?
- How has the performance of the programme varied across countries and what are the main drivers of (any) observed variation?

<u>Effectiveness & sustainability</u>
To what extent have the following *organisational* capacities been developed and to what extent is this capacity sustainable:

- Library consortia secure and manage access to research information in both the executive and member institutions
- Library consortia operate as independent and viable institutions
- Programme partners manage effectively local Journal Online platforms
- Partner institutions train staff in researcher writing

On the level of *individuals*, to what extents have:

Individuals within the library consortia improved their skills? To what behaviour change, if any, did that lead?

Journal editors publishing on the Journal Online platforms improved the quality of their journals?

individuals improved their knowledge and skills towards research publication and other forms of communication – directly through training of trainers and through embedding within partner institutions?

INASP, in the later stages of the programme, taken steps to mainstream gender across the programme. What have these actions resulted in? How have the gender specific interventions contributed to overall programme goals? To what extent have other dimensions of equity been addressed within programme activities?

Impacts

Whilst thorough assessment of impacts is not expected, we would like to know of evidence of any wider effects of SRKS (both intended and unintended) on the individuals and partner institutions with which it has worked over the programme's life cycle, as well as on the wider research system. This includes any observed provisional and/or potential contribution towards the impact objective 'Research knowledge contributes to economic and social development' (this being an ultimate aim shared by a number of policies and programmes funded by HMn Government).

Adaptability & Learning

How well did the programme learn and effectively adapt its tactics and approaches in light of changes in the stakeholder, country and broader environmental contexts?

How did trends in the international research and publishing environment (e.g. changes in business models by international research publishers) affect the programme's partner institutions? To what extent was the programme able to adapt to address trends?

There are a number of further questions which could be considered for inclusion. We list a few below and welcome further suggestions. These may be presented in proposals and/or the inception phase, though note we would not wish to make so many additions as to dilute focus on the core questions.

- Did the programme strengthen linkages between partners and other relevant stakeholders that brought added benefits to the programme partners or made the whole function better?
- What was achieved by the programme's communication initiatives?
- To what extent did the programme influence the behaviour of international publishers in dealings with national library consortia or country research institutions?

6. Recipient and Target Audiences

The formal recipient for the evaluation will be DFID and Sida.
The wider target audiences for this evaluation include:

- relevant programme managers in DFID and Sida,
- SRKS staff and partners, and
- organisations and institutions conducting activities to build research capacity.

It is intended that delivery of an interim report will be scheduled for August 2017, to fit with the 2017-2018 Sida funding and reporting cycle, with a final report expected by February 2018.

7. Overall Approach

DFID, Sida and INASP all share a view that a broad analysis across the whole portfolio of SRKS activity – using existing data, monitoring and other reports plus limited primary data collection - should be complemented by in-depth study in a small sample of countries, . However, we are open to alternatives.

If the case study model is adopted, we would envisage selection of at least four countries, ranging in the maturity of their research systems and in terms of streams of work and levels of support (investment) from SRKS. DFID is keen to include at least two African countries. INASP has suggested that an appropriate set of countries would be: Ghana, Sri Lanka, Nepal and Sierra Leone. However, we provide this only in order to give an indication of the number and range of countries which might be included. Proposals should provide a rationale for the types and number of case study

countries, together with a preliminary list. We are keen to see the inclusion of Southern evaluators wherever possible and to a degree this may influence country selection. The countries would be confirmed with the evaluation management group in the inception phase.

Please see Annex 3 for a list of countries supported by the SRKS programme. Details include the streams of work conducted in each country and financial investment in the first three years.

We are open to the idea of comparison country case studies, these being countries in which INASP has undertaken little or no activity (e.g. Cambodia). We shall, though, need to see a strong rationale for investing a significant proportion of the evaluation budget in these cases.

8. Methods

Please propose a suitable methodology for the evaluation. We anticipate a design that integrates multiple methods and systematically triangulates evidence. So a selection/combination of document analysis, review and synthesis of monitoring data, interviews, group discussions, meetings, surveys and/or other methods may be proposed, in order to most effectively and efficiently meet the objectives of the study within the time available. Analytical methods, including for comparison, assessing VfM, gauging impacts and for synthesis, should be selected and described. Challenges and likely limitations, especially with respect of VfM and impacts, should be highlighted.
We emphasise we are open to proposals for alternative / additional / innovate methods and analytical tools which will help meet the evaluation purpose. The proposed methods will be fine-tuned and confirmed in the inception report.
Please note that:

Voices of partners should be well represented.

We are committed to quality and rigour in line with international good practice in evaluation.

Structured quantitative surveys will proceed only with evidence that a high response rate is achievable.

9. Outputs

Inception and Implementation outputs

- An agreed inception report with finalised details of the study.
- An evaluation communication plan.

Intermediate deliverables

- An interim report capturing findings from literature, programme documents, monitoring and reports and initial interviews (including review of relevant international trends)
- A facilitated discussion with SRKS staff on interim findings.
- An initial feedback or data gathering discussion event in each focus country, to bring in voices of others within the research system and in-country funders. Details will be agreed in the inception phase.

Final outputs:

- Final report with full findings, including an executive summary and methodological annex(es).
- A presentation of the main findings to DFID and Sida
- Facilitated discussion with SRKS staff on full findings

10. Timetable and resources

The evaluation is expected to start on 7 August 2017 and to finish in February 2018. Bidders are invited to note and comment upon the following draft timetable, suggesting additions, clarifications and amendments if they wish. Please note that an interim report will be required by the end of August, in order to inform funding decisions within Sida. Therefore, an early concentration of effort is required and bids should indicate the elements of their proposals they will be able to complete in time for inclusion within this interim report.

Inception Phase

- Submit draft Inception report – Week beginning 14 August 2017
- Inception phase report review, comment and sign off – Week beginning 4 September 2017

Implementation Phase

- Interim report produced end October 2017
- Further data collection, analysis, three months – November 2017 to January 2018
- In country feedback/discussion events (tbc to fit design)
- Finalise analysis and draft report – January & February 2018
- Presentation to DFID & Sida and Discussion with INASP – February 2018
- Draft evaluation report submitted – end February 2018
- Feedback and finalise report – mid April 2018

DFID may agree, should there been unforeseen delays or for other reason(s), to extend the duration of the contract for a period of up to 12 months, to ensure a high quality evaluation is completed and published. There will be a breakpoint following the inception phase and DFID reserves the right to terminate the contract in the event of unsatisfactory performance and delivery of outputs at the end of this phase. Suitable levels of inputs will very much depend on team composition, the nature, scale & location of proposed evaluation activities and the likely quality and utility of outputs. To help avoid a substantial misreading of the likely scale of this evaluation, please note our expectation that the total days to be input by the evaluation team will exceed 250. Since an interim report by the end of August is a firm requirement, the team leader and others must be available to input substantial days in the early months of the study. So in confirming availability of team members for the duration of the contract, please also confirm availability / capacity of team members to end August, 2017.

11. Required skills and experience

Required: The evaluation team is expected to possess excellent evaluation skills including experience of evaluating complexity or developmental evaluation approaches, knowledge of the research capacity development sector, experience of work in or with individuals and organisations in the focus countries and a demonstrated ability to engage respectfully with senior stakeholders in developing countries. Bidder may choose to include within their team academic specialist(s) in this niche area.
Desirable: Ideally, members of the evaluation team will have extensive experience of working in the focus countries or more broadly in the research capacity development sector.

12. Responsibilities: evaluation management arrangements

DFID will procure the evaluation through its Global Evaluation Framework Agreement (GEFA). Only DFID & Sida staff will be entitled to assess proposals. The contract will be administered by the Evidence into Action (EiA) Team based in DFID's Whitehall office.

A Management Group (MG) will be established to oversee the evaluation. It will be comprised of at least the following: the DFID Senior Responsible Owner (SRO) for the programme (chair); DFID Research and Evidence Division Evaluation Adviser; a representative from Sida; an M&E representative from INASP.

The decision to bring INASP into the management group reflects both the wish of all parties to collaborate closely on this evaluation and the fact that INASP has specialist, dedicated evaluation and

learning staff who do not form part of the programme delivery team. We think this joint oversight – led by donors who will comprise a clear majority of the MG - will be more efficient and productive.

Independence (of the evaluation team with respect to INASP) will be safeguarded by i) formal receipt and ultimate sign off of outputs by DFID; ii) separate discussion of findings with DFID/Sida and INASP (as listed in Outputs); and ii) assigning the right to the evaluation team leader to request meeting(s) with the MG from which INASP representation may be excluded.

13. Reporting

The evaluation service provider will report on progress on a regular basis to the MG as a whole. We would anticipate monthly emails and scheduled monthly calls where necessary. The point of contact at DFID will be the programme's SRO, Kate O'Shea (k-oshea@dfif.gov.uk).
Day-to-day point of contact within INASP will be the Senior Manager, Evaluation, Learning and Communication.
SRKS staff will make introductions to stakeholders within the focus countries. Logistics needed to conduct the evaluation within the focus countries will be the responsibilities of the evaluation supplier.

14. Evaluation Risks

Bids should demonstrate an active approach to managing risks to the evaluation. They should set out what they think are the main risks to the evaluation and how they will be managed.
There is a risk that analysis within the focus country studies, covering the links between the work of SRKS and parts of the broader country research system, will be difficult. Introductions from SRKS staff to key people who are themselves linked within research systems will be made to increase chances of success.

15. Quality Assurance

Bids should set out how they will ensure quality throughout the evaluation.
In line with DFID's Evaluation Policy, DFID will arrange (and pay for) independent quality assurance reviews of the inception report and the final evaluation report. This generally takes 10 working days. These are QA reviews for DFID, from which the MG group may select comments to share with the evaluator, in combination with the MG's own comments. Though the MG may be expected to comment thoroughly on all deliverables, the commissioned team is expected to have a process to assure that all first drafts are of a good standard, which do not require the MG to identify fundamental weaknesses or omissions.
We would not expect to send the interim report for QA, but reserve the right to do so.

16. Ethics

The supplier will be expected to have an ethics policy and ethical clearance protocols, where appropriate, on the use of data to protect the confidentiality of individuals and project documents. Bidders should outline their view of the ethical considerations for this evaluation, how they plan to address these. Adherence to the existing DFID Principles Ethics Principles for Research And Evaluation is essential but not necessarily sufficient.

17. Duty of care

Terms of Reference Duty of Care Section for High Value (above EU Threshold £113K) Tenders Rated as Medium or High Risk.

Duty of Care (DoC)
The Supplier is responsible for the safety and well-being of their Personnel (as defined in Section 2 of the Framework Agreement) and Third Parties affected by their activities under this Call-down Contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.

DFID will share available information with the Supplier on security status and developments in-country where appropriate. DFID will provide the following: **[Programme to ensure the following will be available before including in the ToR]**

- All Supplier Personnel will be offered a security briefing by the British Embassy/DFID on arrival. All such Personnel must register with their respective Embassies to ensure that they are included in emergency procedures.
- A copy of the DFID visitor notes (and a further copy each time these are updated), which the Supplier may use to brief their Personnel on arrival.

The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this Call-down Contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

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 Annex 1 of this ToR**). 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.

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 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?

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

Further information on Duty of Care is provided in the Supplier Instructions (Volume 1 of the Mini-Competition Invitation to Tender Pack).

Background Information

SRKS Programme Description

Strengthening Research and Knowledge Systems (SRKS) is a five-year programme funded by DFID and Sida to increase the sustainable access to and production of research literature. The ultimate aim is to contribute to national development and poverty reduction by strengthening the use of research. Its initial value was £10.2 million, but exchange rates loses (Swedish Krona) have reduced the total value to £10.166 million.

SRKS aims to strengthen multiple parts of national research and knowledge systems, and focuses particularly on the key skills and structures that are needed to support access to international research, and the production and communication of new research knowledge in developing countries. In all areas, we work with partners to develop and plan support so that it results in capacity that can be sustained within the country beyond INASP's involvement.

There are three key elements of the SRKS programme:

1. Strengthening the capacity of INASP partner countries to secure and manage access to the online research literature (journals, books and databases) that their researchers and students need

- Discounted or free access to scientific books and journals is provided to 67 countries across Africa, Asia and Latin America. Programme work takes place with partners in 22 of those countries.
- We work with national library consortia or equivalent bodies to develop the skills, confidence, structures and processes to negotiate directly with publishers for books and journals. We help build quality training programmes to enable librarians in their member institutions to develop their skills to manage access to information and support researchers, and we provide training, advice and mentoring to enable consortia to strengthen their organizational structures.
- We expect that at least three consortia or equivalent bodies will be sufficiently confident and capable to negotiate directly with publishers, and that five others will have significantly strengthened their capacity to undertake this in the future.

2. Increasing the quality and visibility of locally produced research

- INASP's AuthorAID programme supports early-career researchers in writing and communication skills. Through website resources, online courses and a mentoring programme, AuthorAID reaches a global audience and currently has more than 12,500 registered users from 174 countries. Within SRKS, we are also supporting universities and professional associations in five partner countries to introduce and run their own research-writing skills courses.
- Journals Online platforms provide a global online presence for 345 journals published in seven countries in Asia and Latin America. The SRKS team also offer workshops to help journal editors increase the quality of their publishing processes and of the articles they publish. All five of the Journals Online platforms will be transferred to local management within the programme period.

3. Sharing lessons learnt from the programme with internal and external stakeholders

The SRKS team are piloting some new initiatives to tackle important elements of the research system:

- Strengthening university IT network management needed to support access to research literature (completing in Y4).
- Updating library school curricula so that librarians graduate with digital library management skills (completed in Y3).
- Strengthening the national scientific publishing community in Tanzania (completed in Y3).
- Identifying the elements needed to strengthen the foundations for accessing and producing research in new countries, including challenging environments (commenced in Sierra Leone in Y1 and exploratory work in Somalia in Y3).

The learning from these pilots and from our key strategies and approaches used in programme work will be shared in print, online and in Communities of Practice that encourage mutual problem-solving among our partner countries, key supporters and peer organizations.

Annexes

Annex 1: Duty of Care

DFID Overall Project/Intervention / Summary Risk Assessment matrix

Project/intervention title: **Evaluation of Strengthening Research and Knowledge Systems**

Location: **To be determined within procurement and inception phases. Four countries listed are, therefore, illustrative**

Date of assessment: **02 February 2017**

Assessing official: **Simon Houghton**

Theme	DFID Risk score	DFID Risk score	DFID Risk score		DFID Risk score
			Nepal		
	Ghana	**Sri Lanka**	**Kathmandu and Pokhara**	**All other parts of Nepal**	**Sierra Leone**
OVERALL RATING	2	2	2	2	3
FCO travel advice	2	2	1	1	3
Host nation travel advice	Not available	Not available	n/a	n/a	N/A
Transportation	3	2	3	3	4
Security	3	3	2	2-3	3
Civil unrest	3	3	2	3	3
Violence/crime	3	2	2	2	3
Terrorism	2	3	2	2	2
War	1	1	2	2	1
Hurricane	1	3	1	1	1
Earthquake	1	1	1	1	1
Flood	2	3	4	4	2
Medical Services	2	3	2	2	3
Nature of Project/ Intervention	**1**	**1**	**1**	**1**	**1**

1 Very Low risk	2 Low risk	3 Med risk	4 High risk	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

Department for International Development

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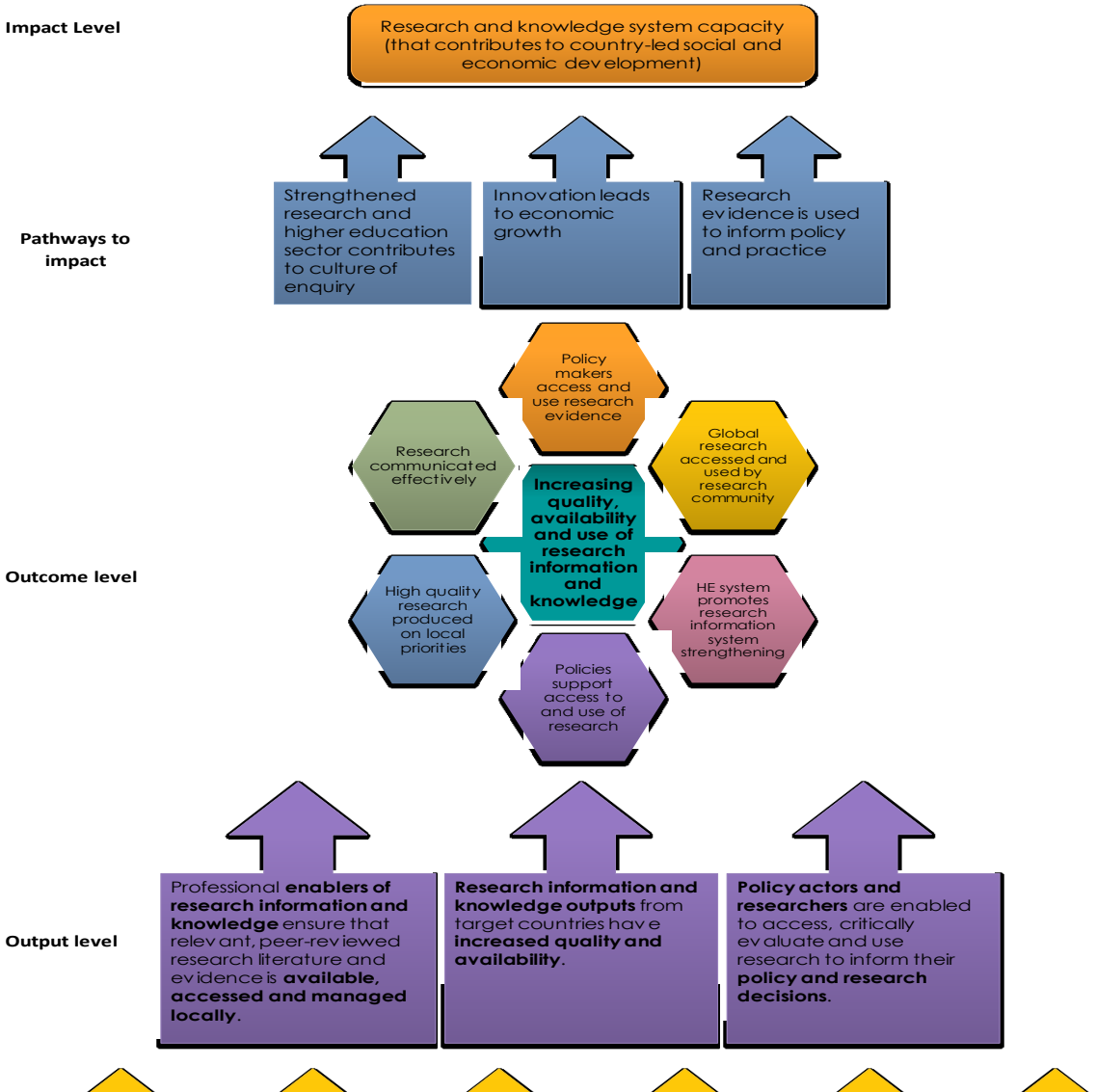
Annex 2: Theory of Change

Please find below the Theory of Change diagram, from the programme proposal document.



April 2014

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Annex 3: Data: existing information and evidence base

A large volume of monitoring data and internal assessment reports (listed below) may be provided upon request during the inception phase. It may be noted that target groups for this work include: researchers, research institutions, trainers within research institutions; journal platform organisations/managers; journal editors; international publishers, library consortia executive, and library consortia members.

Internal monitoring and assessment data

INASP monitors a large amount of programme information, in addition to the data needed for the logframe indicators. This data is used to track progress and informs management decision-making. The following is a snapshot of data collected:

- AuthorAID mentoring system: Quarterly review of number of mentees and mentors, initiated and completed tasks, etc.
- AuthorAID website statistics: Quarterly statistics of website visitors, downloads of online resources.
- AuthorAID discussion group: Registered users, number of posts, types of posts, key topics and issues discussed on the online discussion forum.
- AuthorAID training courses: Monitoring data on number of courses, number of participants disaggregated by sex, background, knowledge improvement of those in online and face-to-face training, participant feedback, further training needs, etc.
- AuthorAID-supported researchers: Biannual survey about publications and communications, success stories, writing confidence and other outcome measures. Biannual longitudinal data on publications and citations of first cohort of supported and non-supported researchers (publish or perish programme).
- Communications/publications: Number, type and reach of communications and publications; analysis of effectiveness of social media and email campaigns.
- Contributions to the sector: Number and type of engagement for sharing lessons and experience.
- E-resources: Organizations and e-resources that are accessed through the registration system.

- INASP online learning platform: Number of downloads of resources, geographic information on people downloading. Usage/stats of online resources, groups, webpage visits etc. based on Google Analytics, statistics from our websites and social media.
- INASP communities of practice: Statistics on number of posts, active discussions.

- Journals Online scale: Number of journals on the JOLs, number of articles.
- Journals Online website statistics: Usage/stats of online resources, groups, webpage visits etc.
- Journals Online quality: Different marks of quality of the journals.
- Journals Online management - organizational capacity within the managing organisation:
- Journals Online training: training activities conducted, participant numbers and gender, participant feedback.

- Library consortia: Strategic development plans, implementation of selected support activities, achievement of follow-on outputs/activities after training, technical and organizational capacity of consortia, consortia executive members.
- Partner contributions: £ equivalent in contribution from partners.

- Pilot project – Library and Information Science (LIS): Success of approaches to LIS curricula development/skills development.
- Pilot project - Network Management: Approaches to improvement in network management through National Research and Education Networks/campus network engineers, feedback from NREN engineers, campus engineers and librarians, as well as international organizations working in this field.
- Pilot project - Enhanced Awareness of Access to Research Literature: Data collected on potential new fragile states.
- Pilot project - Publishing Sector in Tanzania: Needs assessment, regular feedback from VSO volunteer on approaches to development of the publishing sector based on quarterly reports.

- Publishers for Development and publishers: Activities and approaches of publishers.

- Research Access and Higher Education training courses: Number of training activities conducted, participant numbers and gender breakdown, improvements in knowledge of core concepts pre- and post-training, participant and facilitator feedback, changes in behaviour and experience, for example in negotiating e-resources with publishers.

Programme assessment

The SRKS work includes a number of assessments of both our current and prior work, to learn about the effects of our strategies and approaches. The following assessments and reviews, some of which are internal, have been carried out:

- Training courses pre- and post-assessments of participants and changes made in workplace following training workshop based on the Kirkpatrick[3] model.
- Analysis of feedback from participants and facilitators of training workshop.
- Consortia capacity, using the consortia capacity checklist; and information gathered from staff in visits and correspondence with partners.
- National Research and Education Network pilot review.
- Library Information Science pilot review.
- Enhancing Awareness (Sierra Leone) pilot, reflections process.
- PfD post-workshop review.
- Review of support to developing library consortia in first three years of SRKS programme and changes in direction in final phase of SRKS.
- Narrative exploration of how training approaches have evolved at INASP and where we are now.
- External: TZAP Project Evaluation.
- Internal: AuthorAID Survey 2015 (targeted at all AuthorAID-supported researchers).
- Internal: Mini-evaluation AuthorAID / Blacksmith intensive course 2015.
- Internal: Evaluation of INASP's Network of Trainers Initiative
- External: Journals OnLine communications support

[3] Kirkpatrick, D. (1959) 'The Kirkpatrick Model of Training and Evaluation', The Journal of the American Society of Training Directors: www.kirkpatrickpartners.
com/OurPhilosophy/TheKirkpatrickModel

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- External: Assessment of the evolution in face to face training at INASP
- External: Assessment of Library Consortia Growth
- Comparative analysis of AuthorAID approaches in terms of costs and effectiveness.
- External: Sustainability study of AuthorAID embedding work and handover of negotiations with publishers to library consortia.
- External: Pakistan Digital Library study. http://www.inasp.info/en/publications/details/260/

- INASP half-way point assessment of the progress and sustainability of SRKS http://www.inasp.info/uploads/filer_public/c7/01/c70130b7-8ee2-43ca-92bc-9d423a61df37/lri_sustainability.pdf