

Terms of Reference

Performance evaluation of global component of ‘Innovative Ventures & Technologies for Development’ (INVENT) programme

Contents

<u>Context</u>	Error! Bookmark not defined.
<u>Purpose</u>	7
<u>Scope and Objectives</u>	8
<u>Recipient</u>	11
<u>Risk Mnagement</u>	12
<u>EvaluationCriteria</u>	12
<u>Methodology</u>	14
<u>Data</u>	15
<u>Skills and Expertise</u>	Error! Bookmark not defined.
<u>Outputs</u>	Error! Bookmark not defined.
<u>Payment</u>	Error! Bookmark not defined.
<u>Governance Arrangements</u>	20
<u>Reporting Requirements</u>	Error! Bookmark not defined.
<u>Duty of Care</u>	Error! Bookmark not defined.

1. CONTEXT

DFID's work with India on affordable innovation

The Department for International Development (DFID) is the UK government department that leads the UK's work to end extreme poverty. DFID is responsible for delivery of UK's aid to poor countries for elimination of poverty. DFID has offices in 40 developing countries and extends aid to approximately 90 counties.

India has demonstrated particular success and expertise in developing **affordable innovations** that target the development needs of poorer communities. DFID recognises the potential to both (i) scale these up in India's poorest states as part of its bilateral engagement; and (ii) to spread proven and appropriate innovations to other parts of South Asia and in Africa as part of new 'global partnership' work with India. The latter is a relatively new way of working for DFID, and the focus for this evaluation is to assess how DFID's early efforts to test the feasibility of promising Indian innovation in other countries is performing, and what has been learned in the process.

INVENT - description

The majority of DFID's work with Indian institutions on innovation is carried out under the framework of a single programme: *Innovative Ventures and Technologies for Development* (INVENT). This was approved by DFID's Minister of State in 2013, and is coordinated by DFID India.

INVENT expects to support technological and business innovations to benefit up to 1 million people from lower income populations as producers, consumers, employees and suppliers in India's poorest states and in other developing countries.

Key **results** expected over six years (2014-2020):

Impact: Improved economic opportunities and quality of life for the poor in the low income states of India and in partnering developing countries.

Outcome: To support technological and business innovations that benefit up to one million poor people as producers, consumers, employees and suppliers in India's poorest states and in other developing countries

Additional results:

- At least £25m investment leveraged for social enterprises
- Over 7,500 new jobs created in small and medium enterprises
- Over £30m increased taxes for government
- Business growth in beneficiary firms of over £15m

Output 1:

- Pilot and test at least 5 new solutions (approaches or technologies), to tackle global problems in key sectors
- UP to 50 viable business ideas/enterprises identified and supported for incubation

Output 2:

- At least 30 innovative business ideas/enterprises supported for scale up into LIS through patient risk capital investments
- At least 12 social investee enterprises receiving business development services (BDS) and technical assistance.

Output 3:

- Network of potential investors and investees from India and other LICs developed and strengthened;
- Replication, adaptation and adoption of up to 5 inclusive innovations in up to 3 developing countries, focused predominantly in the health and agri-food sectors;
- At least 3 inclusive innovation impact assessments undertaken.

To deliver these results, INVENT has developed **two distinct components**, which use different instruments, operate over different geographies, and relate to different parts of the innovation lifecycle set out in *Figure 1*:

- a. **Domestic:** to stimulate and scale up innovation for the benefit of the low income states of India; and
- b. **Global:** to spread affordable Indian innovation in partner countries of Africa and South Asia¹.

The service provider for this evaluation will focus exclusively on part (b) above: the global component of INVENT. For brevity this is sometimes referred to as 'INVENT Global.'

INVENT - intervention logic

There is strong evidence for the power of innovation as a tool to transform the developing economies and societies¹. India actors have tested a range of solutions successfully at scale that address challenges like providing effective and affordable healthcare and ensuring food security. These solutions are characterised as **inclusive innovations** - technological and process solutions that have a positive social and economic impact on lower income populations. This impact can be delivered through better provision of products or services, creation of jobs or increased access to markets. India's innovation and expertise has promising potential to be applied in other contexts, and there is strong demand for this from countries seeking to leapfrog ahead on their own development pathways.

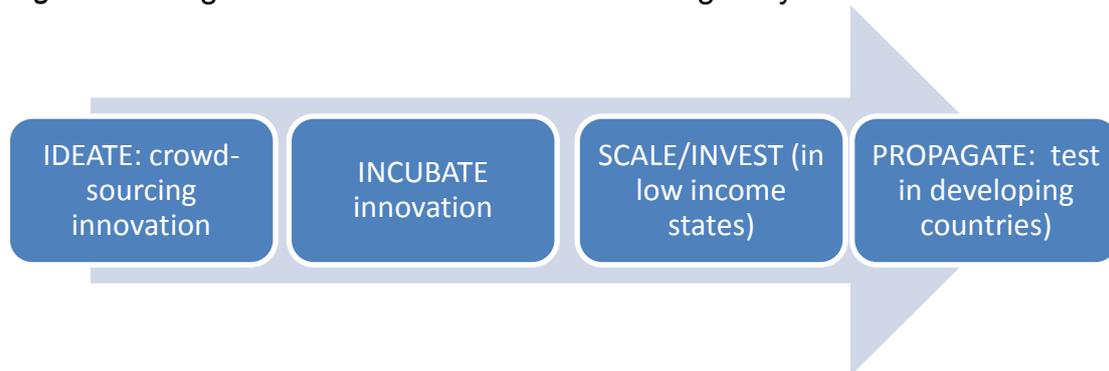
¹ Taking a demand-based approach, the geographic scope of INVENT Global extends across developing countries in Africa and South Asia. A complete list of eligible countries is included at Annex 1.

There are a range of challenges and barriers that constrain (i) new innovative ideas from becoming operational; and (ii) proven innovations from being spread at pace and scale for impact within and beyond India. Innovation activity is unevenly spread, with only 16% of such models operating in India's Low Income States, where over 65% of India's poor people liveⁱⁱ. An even smaller number of India's inclusive innovations have been tested and taken up in other developing countries, despite massive potential for transformational impact.

Inclusive innovation presents a huge market opportunity as well as a potent development toolⁱⁱⁱ. The scale of the challenge cannot be solved by government and/or NGO investments alone. Engagement is needed from a range of public and private actors, including stimulus from development agencies.

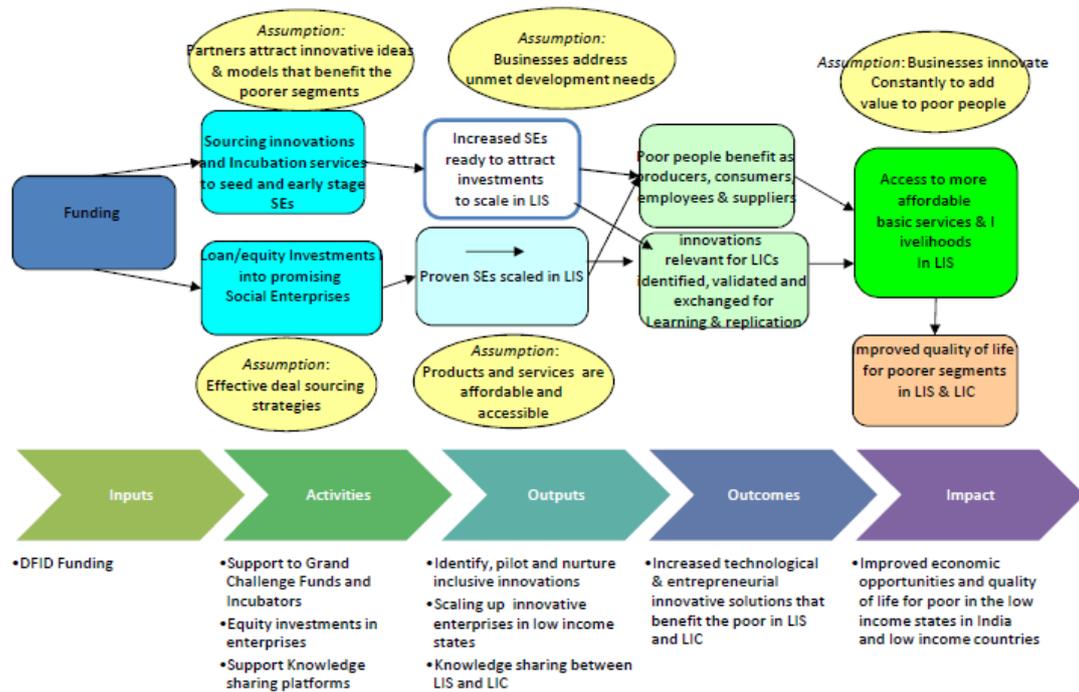
This provides strong **justification** for DFID's intervention through INVENT to help identify, nurture, scale and spread inclusive and affordable innovations from India that support development and help to reduce poverty. This involves providing funds, expert advice and support to innovators at various stages as innovations mature (*Figure 1*). Of those supported, some innovations are bound to fail, requiring a high risk appetite. But those that achieve technical and commercial success can be scaled up without grant support for enhanced and sustained impact. The prospects for **impact** and for valuable **learning** in an area where evidence is thin (e.g. what works where, for whom and why?) justifies the costs and risks involved in the INVENT programme.

Figure 1. Stages of affordable innovation envisaged by INVENT



The **results chain** for INVENT's overall **theory of change** (*Figure 2*) sets out how DFID's input of funding and activity to channel expertise and support to innovators expects to stimulate and strengthen the social enterprise and innovation ecosystem at various stages of innovation set out in *Figure 1*. While the global component of INVENT nests within this overall theory of change, a sub-narrative (theory of change/intervention logic) for the global component can be further elaborated, which is explained in more detail below.

Figure 2: Results Chain for the INVENT Theory of Change



LIS = Low Income States of India
LIC = Low Income Country

INVENT Global focuses centrally on the 'Propagate' stage of innovation set out in Figure 1. Evidence from DFID India's interaction with its global Country Office network, key informants and visiting delegations from developing countries indicates that there is strong **demand** in developing countries for innovation partnerships with India that meet the needs of men and women and address pressing development challenges. There is a certain amount of political will in India to respond to these demands (e.g. the India-Africa Forum Summit process), but while some exchange of innovation is taking place, concrete action remains weak.

Action is constrained by a series of **market failures** related to:

- low awareness in partner countries of the full range of innovations available and the evidence on how, why and where these have worked²²;
- imperfect understanding in India of partner countries' priorities, objectives and operating environments;
- poor access to India's technologies and expertise;
- inadequate provision of expertise, mentoring and support to broker and incubate partnerships.

INVENT responds to these market failures by:

²² Based on feedback from partner countries, INVENT responds to their demand for 'proven' innovations showing more substantive evidence of successful development impact and commercial viability rather than more risky emerging ideas with less supporting evidence.

1. refining existing supply-side instruments for boosting innovation in India to make these channel Indian innovation to other countries (Millennium Alliance, Grand Challenge); and
2. creating new instruments that respond better to developing country demand and focus more on building quality partnerships between enterprises in India and those in partner countries (Connect to Grow).

In this logic, DFID's **input** of advice and funding for **activities** to stimulate and build innovation-sharing arrangements, instruments and platforms will help innovators in India and partner countries to:

- improve their mutual understanding of each other's context, including the needs and priorities of men and women in partner countries as producers, consumers employees and suppliers; and the comparative advantage of innovators to address these; and
- connect productively with like-minded partners that are grappling with similar development challenges, and build meaningful partnerships.

It is expected that this will lead to **outputs** of more/better/faster knowledge-sharing and practical piloting of Indian solutions in partner countries than would otherwise happen. These pilots and ventures will in turn produce **outcomes** of stronger (individual and systemic) innovation partnership between India and other South Asia and African countries, delivering enterprise growth and improved access to value-adding solutions.

The influence of the global component of INVENT extends to feasibility work and piloting, and does not have the necessary resource for subsequent scale-up in partner countries. However, Connect to Grow activity will pledge to position and connect the most successful pilots with scale-up finance from other sources; and other activities will seek to link successful innovators with additional support. This will help to contribute to longer term **impacts** of improved living standards and development outcomes in partner countries resulting from the take-up and use of successfully tested and adapted innovations.

In terms of geographic scope, the approach of the programme has been to test the market rather than prescribe countries too closely. For practical and strategic reasons, countries where DFID has a presence offer some advantages as partners, but institutions in a much broader range of countries are eligible for partnerships (**Annex 1**). INVENT global has cast a wide net and relies on emerging demand and the competitive process taken by the instruments that INVENT supports to determine geographic footprint. Although new partnerships are still steadily emerging, a snapshot of activities currently funded is included at **Annex 2**.

Linkages and complementarities

Design and implementation of the global component of INVENT has actively learned from DFID's other global partnership operations such as the Agriculture Technology Transfer programme with China and the Africa-Brazil Agricultural Innovation Marketplace. INVENT Global activities actively partner

with other agencies such as USAID on Grand Challenge and Millennium Alliance; with Intellectap on the Sankalp Forum; and with the World Bank on Millennium Alliance. These agencies will have useful perspectives on INVENT and on other activities on global innovation. The World Bank's Development Marketplace is a useful reference model for south-south exchange

INVENT Global complements the rest of the INVENT (domestic) portfolio and other recent DFID programmes that incubate and scale innovation (e.g. the Business Investment Facility, SPRING, and Joint Ventures Partnership) although these do not focus on inter-country transfer. Similarly, complementary activity on innovation is shown by ADB and IFC on Inclusive Business Models; KFW's Asia Fund; and GIZ's initiatives on inclusive investments.

Although a joint or partnership-based evaluation is not envisaged, the service provider is expected to liaise closely with other actors, particularly those working on south-south models of transferring and testing innovations.

2. PURPOSE

The evaluation is restricted to the global component of INVENT. The information needed through the evaluation is lessons learned about how DFID can use scarce resources to stimulate and support the spread of affordable innovation from 'Emerging Powers' like India to developing partner countries in Africa and South Asia. This information will help DFID to judge the merits and added value of engaging in 'south-south' processes as 'non-southern' supporter and catalyst, in order to inform DFID's Global Partnership/Emerging Power engagement.

The timing of the evaluation is important, following the conclusion of an internal review of DFID's Emerging Powers programme at the end of 2015. The onus is on DFID India to demonstrate the results of its work and our approach to generating lessons and evidence in the light of this review.

The purpose is therefore primarily for lesson-learning rather than proving and attributing impact, and is formative in outlook. Evaluation is expected to include any unintended effects and consequences (both positive and negative), observed in the global component of INVENT, and how these were managed by implementers.

Learning will be used to inform programming and strategy for DFID India's global partnerships team. The service provider will work with DFID India to set out and deliver an 'Influence and Use' plan that uses the findings to engage with an agreed set of stakeholders, including DFID's broader global network involved in stimulating private sector partnerships and support for innovation, DFID's Emerging Powers network; partners engaged in the INVENT programme; and other stakeholders benefitting from programme interventions. The findings may also be useful to support the learning of other development agencies working on innovation partnerships.

The service providers will also be expected to generate and communicate knowledge for rapid process use learning by delivery partners during the course of implementation of INVENT Global to inform their approach to delivery; and to advise DFID of any necessary evolution of the theory of change.

3. SCOPE AND OBJECTIVES

The **scope** of the evaluation will focus exclusively on the global component of INVENT which has an approved budget of £, responds to partner country priorities related to health and agri-food systems, and seeks to:

Phase 1

- i. **improve access** for low income populations in Africa and south Asia to affordable, practical and appropriate innovations³ from India that enable them to address pressing development challenges; and

Phase 2

- ii. **generate lessons and evidence** on how to build effective mechanisms for transferring/testing innovations; how to facilitate productive partnerships that deliver development impact and enterprise growth in partner countries; and how the UK can work effectively with India as a global development actor in this space.

Objectives of the Evaluation

The planned evaluation will therefore assess the programme's contribution to and progress achieved on (i) above; and contributes to lesson gathering on (ii) above. It will run for

Phase 1

The service provider will assess, compare and learn from the **three main solutions/instruments** being tested by INVENT Global to address the problem of how to spread India's affordable innovation effectively and appropriately for development impact in low income populations in partner countries, namely:

1. Millennium Alliance (MA): Structured as a challenge fund, MA is a multi-donor platform, managed by the Federation of Indian Chambers of Commerce and Industry (FICCI). It takes a competitive approach to identifying, scaling and spreading affordable innovation in a range of sectors that offer good prospects for improving the lives of low income communities. To date, DFID has confirmed support to pilot twelve

³ Innovation in our context may include products, technologies, service delivery, business models or policy approaches.

Indian innovations in developing countries outside India through Millennium Alliance. These focus on the health and agriculture sectors.

2. Grand Challenges: in contrast to the broad sectoral structure of the Millennium Alliance, this programme (implemented by IKP Knowledge Park) sets calls for proposals based on more specific 'challenge' topics, in order to source innovative Indian solutions. The first Grand Challenge supported by DFID focuses on solutions to improve tuberculosis screening, detection and treatment outcomes in Africa and South Asia.
3. Connect to Grow: Implemented by IMC Worldwide, this is a demand-led facility to complement the two more supply/source-led instruments above. Connect to Grow aims to boost enterprise growth in Africa and South Asia by building commercially viable partnerships with Indian enterprises. The result is expected to be thriving ventures, which adapt proven Indian solutions to new contexts to deliver sustained development impact. Connect will first scope demand/need in the two focus sectors (health and agri-food) in developing countries, and then match these to promising Indian innovators which have the potential to partner effectively to address this demand/need.

The evaluation should acknowledge other activities supported under INVENT Global such as Intellectap's Sankalp Africa Forum (Nairobi, Kenya), but this should be seen as a complementary activity for the three key instruments listed above, rather than an additional model to test.

Examining the individual merits of the three main instruments above, the key **objectives** to be addressed are:

Phase 1

1. Assess the extent to which INVENT Global has:
 - delivered against objectives, outputs and outcomes; and
 - helped to strengthen overall partnerships between India and Africa/South Asia on innovation.
 - demonstrated that Indian Innovations can be piloted and scaled up sustainably in developing countries for development impacts.
2. Test the robustness of the Theory of Change by examining what has worked well and less well (and why) regarding approaches, models, methods and practices to design and implement pilots and build effective partnerships in specific contexts and identify lessons;
3. The consultants should also test and analyse if the Intervention logic (mentioned above) for Invent is still relevant?

Phase 2

1. Assess who benefitted from pilots and partnerships and how (including differences between men and women); and what were the key success factors.
2. Assess the role, contribution and added value of development agencies like DFID in catalysing and facilitating 'south-south' programmes and Partnerships (e.g. the extent to which pace, timeliness, focus, impact, relevance of innovation transfer could have been affected as a result of DFID's intervention).
3. Assess the remaining evidence gaps, challenges and emerging areas of demand in Africa and South Asia for innovation partnerships with India.
4. Communicate findings and encourage impactful use with DFID's internal and external stakeholders.

DFID encourages comment and suggestion on these objectives from the service provider, and expects a more specific set of **evaluation questions** to be defined by the service provider. These should:

Phase I

a) complement DFID India's four general questions for systematic lesson learning:

- what went well and why?
- what didn't go well or had unintended consequences?
- what would you do differently next time?
- what recommendations would you make to others?

b) address priority areas indicated by the objectives above, including but not limited to:

Phase I

- how can the overall flow of India's affordable innovation to partner countries for development impact be strengthened?
- What does good value for money look like when backing uncertain endeavours such as innovation partnership?

Phase 2

- how can programmes most effectively identify those innovations offering greatest relevance and promise for impact in target locations?
- how can programmes most effectively identify and nurture promising innovation partnerships that span different contexts?
- what is the role and added value of donor organisations in the innovation/entrepreneurial space, and in what are otherwise 'south-south' processes?

Constraints and Challenges

The consultants should lay out the constraints and challenges in evaluating this programme in terms of the existing ecosystems in both countries , political pressures, expertise of clients , insufficient budgets and buy in from partner governments.

Communication and dissemination to difference audiences

The primary **client** for the work is DFID India's Global Partnerships team who lead and coordinate INVENT Global activities. Other important clients are the coordinators of the three main instruments under INVENT Global who will seek to learn from findings both during and after delivery; and other DFID teams engaged in spreading innovation.

Demand for lessons and evidence generated under this still-new area of global partnership work is strong. In line with Objective 6 above, DFID will collaborate with the service provider to use the finds in 'influence and use' activities, to inform DFID and its partners about:

- the contribution of the programme to positive development outcomes; and
- how to build and support innovation partnerships that solve complex problems in dynamic environments.

Building evidence and lessons on the three cases above will inform:

- DFID's future programming, based on testing of the theory of change, and new knowledge and evidence on how to design and implement impactful innovation and technology transfer interventions;
- DFID's future strategy for engagement on innovation, on enterprise partnerships and on working with important and influential middle-income countries like India for global development impact; and
- DFID's engagement with of a wider community of internal and external stakeholders regarding best practices and promising business models for testing innovation in new contexts, and the role of agencies like DFID in catalysing and adding value to innovation partnerships.
- DFID's engagement with the Government of India on promoting a single platform for Innovations to Africa and Asia and Government's position on Innovations to other developing countries.

6. RECIPIENT

The primary recipient of this assignment will be DFID. The implementing partners of INVENT will also benefit from the ongoing M&E and will help them enhance the quality of their monitoring information and help them deliver future evaluations. It will also help with monitoring of downstream partners.

Evidence and lessons generated by the programme will be publicly available, in order to contribute to the global evidence base on how to spread India's affordable innovation effectively and appropriately for development impact in low income populations in partner countries.

In addition to DFID and the implementing partners, the principal users of the evidence will be other donors working in the innovation and south-south space.

7. RISK MANAGEMENT

DFID's approach and format for characterising risk will be clearly communicated to the service provider. The service provider will be expected to identify the key risks they perceive in meeting the objectives of this TOR and proposed mitigation methods.

These may include but are not limited to:

- a) Risks inherent in the uncertain nature of innovation:
 - methodological challenges with assessing the performance of complex innovation interventions;
 - challenges in accessing complete and comparable data;
 - challenges with extracting and effectively communicating lessons based both on success and failure of innovation partnerships;
- b) Risks associated with the lags inherent in the innovation process, and thus what can be examined within the scope and timeframe of the evaluation to inform implementation and programming as well as post-programme reflection.

8. EVALUATION CRITERIA

The service provider will address OECD DAC criteria, and recommend appropriate weighting and emphasis of these to reflect INVENT Global's lesson-learning approach to find ways to spread affordable Indian innovation for low income populations in Africa and South Asia. E.g:

- **relevance** – is INVENT Global addressing the partnership needs and objectives of those countries seeking to collaborate with India on innovation? Are the innovations selected addressing pressing problems in those countries? Are the innovations selected responding to the priorities of men and women in low income populations of partner countries? Is the programme filling evidence gaps and generating relevant lessons?
- **effectiveness** – what evidence and lessons have been generated regarding alternative approaches, models, methods and practices to identify and test India's innovation in Africa and South Asia? What were the key factors for identifying successful and productive partnerships? Which approaches worked well and less well to identify appropriate/impactful innovations, and to achieve successful use and uptake of these? Were the activities and results consistent with original goals and expected impacts?

- **efficiency** - does the global component of INVENT make best use of scarce programme resources (both financial and human) to deliver programme outputs? What has been learned regarding how to identify and weed out less suitable innovations and less productive partnerships? How is the failure rate of innovation managed?
- **impact** – what were the effects to date produced by INVENT (positive and negative changes; direct and indirect; unexpected consequences)? To include assessment of whether outcomes impacted differently on women and men.
- **sustainability** – how will the benefits of INVENT Global extend beyond the lifetime of the programme and what were the main factors influencing this? To what extent has DFID’s contribution through and around INVENT created platforms and partnerships that will strengthen overall flow of affordable innovation from India to less developed countries? To what extent do piloted innovations offer prospects for lasting uptake at scale?

Since the focus is on learning lessons on what has worked and why, more weight is expected to be placed on assessing criteria like effectiveness compared with impact.

Within some or all of these criteria, the service provider will be expected to consider how INVENT Global has responded to cross cutting and strategic priorities recognised by DFID:

Phase 1

Gender: does the design of the programme take account of gender; what is the contribution of INVENT Global to women’s empowerment (e.g. income generation); and to what extent are the innovations supported gender-targeted or gender-sensitive?

Economic development: to what extent does INVENT Global contribute to DFID’s broader strategic focus on economic development, including support for jobs and incomes?

Phase 2

Youth: what is the contribution of INVENT Global to opportunities for youth, recognising that youth empowerment and employment is a key challenge in many partner countries?

Climate change: to what extent do the instruments supported by INVENT Global and the innovations they are piloting take a climate-smart approach, help target populations to manage climate risks, and avoid contributing to dangerous climate change?

The service provider will also be expected to assess whether:

- programme partners adhere to basic expected standards (e.g. environmental, human rights, health and safety) within the parameters of the local context.

9. METHODOLOGY

A preliminary evaluability assessment for INVENT was concluded in November 2015, which concluded that the global component of INVENT – like other innovation initiatives more generally - would be difficult to assess using a standard impact evaluation. The nature of the Invent programme is such that it is not conducive to an impact evaluation.

Recognising the innovative nature of the INVENT programme and the focus on learning rather than formal impact evaluation, this TOR does not prescribe **methods**, but prefers to set the challenge to bidders to suggest and justify approaches and methodologies that will deliver the overall aims of the TOR.

The service provider will advise on the evaluation method and approach that should be used to meet the aims of the evaluation. The service provider will be responsible for developing the methodology and advising DFID on the best approach to maximise both the validity of the global component of INVENT and its usefulness.

Given DFID's interest in assessing the three instruments of INVENT Global individually and compared with one another, the service provider is expected to produce a design and identify methods that support the necessary comparative analysis.

Whilst undertaking the evaluation, the evaluators will also be responsible for bringing to DFID's attention any opportunities for improving implementation or for contributing to the evolution of the theory of change.

In submitting proposals to undertake this work, bidding organisations should clearly set out the analytical framework for the evaluation, including methods and indicators used for collation of existing data in preparation for secondary analysis, and proposed approaches to primary data collection – both quantitative and qualitative. Methodology must be sensitive to local contexts including gender issues through its focus, approach and implementation.

The suggested methodology should accommodate the uncertain and unpredictable nature of outcomes; and explicitly learn from how programme processes have managed contextual factors (political, economic, social, cultural etc.).

The bid must provide justification for the methods selected based on the available literature and proven approaches. The bids must outline the methods of analysis likely to be used for both qualitative and quantitative primary and secondary data, providing the conceptual basis for the proposed approach and present evidence that this is well suited to the task. The analytical framework should also set out how the analysis of qualitative and

quantitative data will be combined. Review of proposed methods will form a key element in bid evaluation.

The service provider will be expected to respond to the evaluation objectives and guidance on methods above, and to advise on additional evaluation questions that would add value to the evaluation.

10. DATA

The service provider will have access to all information and data generated by the programme (by DFID and implementing partners), e.g. quantitative and qualitative data held by Programme Managers, information on beneficiaries, databases created on innovators and enterprises. This includes but is not limited to:

- databases of innovators such as the 'Marketplace' created by Connect to Grow;
- datasets on participants and beneficiaries held by Grand Challenge implementers;
- information on users of innovation being piloted by the Millennium Alliance

Access to the data and information required for the evaluation is not expected to be a risk. Much of the economic and social data required is in the public domain. Where specific data might be required, for example from partner countries, DFID will aim to support access for the service provider, as much as possible.

DFID has observed some challenges with some programme instruments in accessing consistent and complete data from some delivery partners. Not all datasets are likely to be disaggregated. The service provider will be encouraged to assess and make judgements regarding the quality and credibility of data provided and to seek to fill gaps where appropriate.

Key interviewee groups expected to be targeted by the service providers include:

- Heads, programme managers and relationship managers engaged in the three instruments supported by INVENT Global;
- Monitoring and evaluation providers and learning partners engaged under these programmes (e.g. Ashley Associates is a learning partner for Connect to Grow; World Bank is learning partner for Millennium Alliance);
- Leaders of individual pilot projects supported by the three instruments;
- Other development agency supporters/catalysts engaged in the three instruments (notably USAID);
- A representative sample of beneficiaries engaged in and affected by the pilots.

There is some scope for comparison between the three different instruments supported by INVENT Global and the pilots they are in turn supporting.

The service provider will have access to information and data held by DFID that is relevant to the evaluation (e.g. relevant DFID policy papers and notes, connections to similar DFID programmes etc).

In addition, if necessary, DFID and implementing partners will attempt to make available to the service providers relevant information and data of partnering organisations engaged in programme activity (if this is acceptable to those organisations).

Data used and data gathered should be disaggregated by sex and income group.

11. SKILLS AND EXPERTISE

Bids are expected from an institution or consortium of organisations with proven expertise and experience in evaluation of similar, complex programmes spread across geographies, particularly involving private sector actors; and in evaluation/evidence-building related to innovation partnerships, particularly involving social enterprises and innovations targeted at low income clients.

In its proposal, the service provider will need to demonstrate understanding and experience including but not limited to the following:

- innovation and value-chain programmes and their impact in low income countries;
- appropriate quantitative and qualitative evaluation techniques for assessing innovation initiatives;
- programme lesson learning and knowledge sharing (outreach);
- how to take account of gender issues.
- Understanding of challenges faced by small entrepreneurs and readiness to partner with other institutions for piloting and the limitations of the recipient organisations.
- the contexts/ ecosystems and their limitations under which our innovation partnerships are working.
- The market for India's affordable innovations in developing countries especially in Africa and South Asia

The team should include a qualified professional evaluator and should be gender balanced. The service provider should also consider how appropriate inclusion of national or local consultants could tap into local knowledge and help to build national or local evaluation capacity.

12. OUTPUTS

At least, two assessment exercises are envisaged to explore the dynamism expected inherent in programme activities, with the latter being informed by the learning from the first. Nevertheless, the number of assessment exercises to be conducted under the evaluation is indicated rather than prescribed. The service provider is expected to use the inception phase to refine evaluation

design, including whether any baseline assessment is possible or desirable for innovations emerging in new areas.

As per DFID's general conditions of contract DFID will have unlimited access to the material produced by the supplier.

Output 1: Inception Period (1 month)

The Inception Report should include the following:

Phase 1 An inception period of 1 month is envisaged at the end of which we expect an inception report which includes a brief note on methodology to be employed for Phase 1

- On the basis of initial assessment and available data, to translate the service providers' bidding proposal into an **evaluation method and plan** for the entire programme period that responds to this ToR. This should critically engage with the evaluation questions, explain how the first and second assessments will be undertaken, and how they will address the evaluation criteria and meet evaluation objectives set out in this TOR. The method and plan should also set out how day-to-day process use learning will be fed back to delivery teams for active learning.
- Through a **literature review**, take stock of the current knowledge and evidence on approaches and interventions for spreading innovation for development impact.
- A **work plan** on the extent and timing of stakeholder participation in the evaluation (other than DFID), including whether and how ultimate programme beneficiaries could be included in the evaluation, for example through a participatory evaluation approach. To include a **stakeholder mapping exercise** with project implementers and DFID.
- An **influence and use plan**⁴ for the evaluation, setting out how the service provider will engage with DFID to communicate findings and encourage impactful use with DFID's internal and external stakeholders. This Plan could be developed through a workshop with DFID India (plus others as agreed) to identify the target user audience (both internal to DFID and external stakeholders including but not limited to policy, technical, business and civil society audiences); approaches and methods; decision points and opportunities for learning; messages; means of communication and communications platforms; and a time-bound list of products.
- A summary of any **preliminary recommendations** for DFID India's consideration regarding suggested changes or value-adding adjustments to programme components and the overall INVENT programme.
- Detailed **financial forecasts** for year one and an expected profile for subsequent years.

Output 2: First Assessment Report (Phase I)

⁴ This Plan includes elements that would be included in a Communications and Dissemination Plan, but goes significantly beyond this to focus on practical use for impact.

The report will assess:

- progress on the **performance** of INVENT Global against the evaluation criteria and objectives, to indicate to DFID India whether the programme is on track to deliver all outputs and contribute to programme outcomes and impact as expected;
- mid-term **lessons** that could help to guide/shape DFID's broader strategy on emerging powers and innovation. What so far appears to work well, for whom, under what circumstances and why?
- **recommendations** in light of mid-term lessons, to help DFID India and its delivery partners adapt and improve the management and delivery of the programme during the remaining implementation period in order to maximise positive outcomes and impact.

Output 3: Mid-term lesson learning and outreach (Phase 1)

Informed by the Influence and Use Plan (Inception Phase) and in collaboration with DFID India, the service provider will deliver impactful engagement on mid-term findings with agreed stakeholders. This will amongst other things inform implementation of INVENT, help to fill evidence gaps, and inform DFID's strategy and programming on how to successfully facilitate transfer and testing of innovation between partner countries for enhanced partnership and development impact.

Output 4: Final Evaluation Report (Phase 2)

At the end of the final year of implementation, the service provider will deliver a final evaluation report that sets out:

- overall assessment of the contribution of INVENT Global, including **performance** against the evaluation criteria, achievement of intended results and outcomes, prospects for lasting impact, and more nuanced perspectives on people and processes affected by the programme. Perspectives on additionality will help to assess the extent to which INVENT's global portfolio catalysed and enabled the creation of value which would not have otherwise occurred;
- **lessons** learned regarding what approaches worked well to identify, transfer, adapt and use innovation in specific contexts; who benefitted and how; what were the key success factors, what were the unexpected outcomes; what factors constrained effectiveness. Perspectives that validate or challenge programme approach and theory of change would help to guide DFID's future programming;
- final **recommendations** in light of the final evaluation findings, regarding good practice models of impactful programme design for spreading technology and innovation between different contexts; effective approaches and methods for designing and implementing pilots and building effective joint enterprise partnerships on innovation. Perspectives on appropriate roles for development agencies and other stakeholders in brokering and facilitating such programmes and partnerships would help to guide/shape DFID's strategy on emerging powers and innovation.

Output 5: Final Lesson Learning and Outreach (Phase 2)

The service provider will - in collaboration with DFID India and DFID's communications teams - engage impactfully in various ways, with an agreed target audience of DFID's internal and external stakeholders. Details will be set out in the Influence and Use Plan. Stakeholders, methods and approaches set out in this Plan will be revisited and reviewed as necessary when the Final Evaluation Report is submitted, to ensure continued relevance.

Although outreach 'outputs' will depend upon the development of the Influence and Use Plan, DFID's broad expectation is that these will add value by channelling findings to experts, decision-makers and opinion-formers with a stake in spreading innovation for development impact. Using appropriate media, products and/or events, the service providers will be expected to work with internal and external stakeholders on how they can use key findings and lessons regarding programme approaches, methods, models and practices to design and implement innovation pilots and partnerships in specific contexts, and how development agencies can catalyse and add value to this process.

The service provider will align their lesson-learning, influence and outreach activity with lesson-learning/communications activities of INVENT delivery teams, to ensure complementarity rather than duplication. The service provider will at all times work within DFID strategy and rules related to Communications, seeking necessary approvals on messaging and approaches through DFID India.

13. PAYMENT

DFID expects to link payments under this contract to performance and outputs i.e. 'Payment by Results'. DFID would expect payments to achieving agreed deliverables and resultant Key Performance Indicators (KPIs) - e.g. on budget, on time, positive client feedback on services provided - that are objectively assessed on an annual basis.

As an essential aspect of the inception phase, the supplier is expected to develop in collaboration with DFID KPIs which can be monitored to demonstrate value for money and performance of the contract.

Payments will not be made against deliverables until DFID's is fully satisfied with supplier's performance and deliverables.

14. GOVERNANCE ARRANGEMENTS

To be finalised in Phase 1

Overall governance arrangements will be managed through a Steering Committee including the service provider; DFID India's Innovation Manager, the Senior Responsible Owner for INVENT; and DFID India's joint Evaluation Adviser. The Steering Committee is advisory, with DFID providing final sign-off on the outputs above.

Representatives from INVENT Global's three main delivery agencies (IMC Worldwide, IKP Knowledge Park, FICCI) may be invited to participate in meetings or attend discussion sessions but - in line with DFID Evaluation Department guidance on the governance of evaluation - will not be formal members of the Steering Committee.

Detailed arrangements for the Steering Committee will be developed and agreed during the inception phase, but the main roles that the committee will provide are expected to include:

- guide and set direction for the assignment and support the service provider to execute the evaluation;
- advise the service provider on their overall approach;
- provide a challenge function and hold the service provider accountable to the TOR;
- ensure the service provider makes effective use of existing material especially from delivery partners, and help facilitate this as needed;
- ensure the service provider aligns with other relevant initiatives (particularly those supported by DFID and its partners) and facilitate this as needed;
- provide quality assurance on key outputs.

The service provider will be responsible for executing and delivering all activities and outputs related to the evaluation. The service provider will report to DFID India's Innovations Manager, and will be expected to clear any external messaging and communications pieces with DFID and its communications team.

Delivery partners will support the service provider with access to information databases and project partners, and advice on the overall approach. A key role is envisaged for Ashley Associates who provide learning support for Connect To Grow, given the relevance of their expertise for the evaluation.

DFID India's Innovation Manager will be the day-to-day contact for the Service Provider, and will provide overall sign-off on the service provider's design and methods and on all other outputs set out above (advised by the Steering Committee, DFID's internal task team and evaluation advisers). The Innovation Manager will chair the Steering Committee and also support the service provider with access to information, databases and contacts including in DFID's country offices as appropriate; and connect the service provider with travel advice as appropriate as set out under *logistics* above.

DFID India's joint Evaluation Adviser and DFID Evaluation Department will in particular provide expert advice on the evaluation (e.g. regarding design, methodology) and ensure that the autonomy and independence of the evaluation is protected.

15. REPORTING REQUIREMENTS

The supplier will be expected to submit a short narrative report on key activities undertaken, challenges and lessons learned quarterly and/or at the

end of each implementation phase. Financial reporting is also required every quarter and/or at key stages in the evaluation's lifecycle. Such requirements will be agreed prior to the contracting of the evaluation.

16. DUTY OF CARE

The service provider is responsible for making their own travel arrangements for fulfilling the requirements of the assignment. This is likely to include travel to programme activities in Africa and South Asia in order to deliver the contract (subject to travel clearance being granted). Only economy travel will be supported, and the service provider should make all reasonable effort to ensure value for money in all travel arrangements.

Duty of Care is a legal obligation and under DFID's policy on Duty of Care, the lead supplier is responsible for the Duty of Care of all supplier personnel (including employees, subcontractors and agents) including making the appropriate security arrangements to protect their safety and wellbeing. Suppliers must comply with the general responsibilities and duties under relevant health and safety law including appropriate risk assessments, adequate information, instruction, training and supervision, and appropriate emergency procedures. These responsibilities must be applied in the context of the specific requirements of the contract. Proposals should demonstrate how suppliers are capable of taking responsibility for duty of care within the contract. The Supplier is responsible for the safety and well-being of their Personnel and Third Parties affected by their activities under this Terms of Reference. 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.

The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this Terms of Reference 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.

This Procurement will require the Supplier to operate in a seismically active zone and is considered at high risk of earthquakes. Minor tremors are not uncommon. Earthquakes are impossible to predict and can result in major devastation and loss of life. There are several websites focusing on earthquakes, including <http://geology.about.com/library/bl/maps/blworldindex.htm>. The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).

This Procurement will require the Supplier to operate in conflict-affected areas and parts of it are highly insecure. The security situation is volatile and subject

to change at short notice. The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).

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.).

Bidders 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 3 of this ToR). Suppliers should be aware that an assessment of Duty of Care will be undertaken at the full tender stage and must confirm in their response that they have the capability to work in INVENT's partner countries as required. 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.
- Duty of Care for any field visits including all aspects of travel and accommodation will be fully assessed.

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?

PO 7819 Annex A: Terms of Reference

For further details please see DFID's policy on Duty of Care: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/137565/DFID-duty-of-care-suppliers-note.pdf and latest DFID Duty of Care risk assessment matrix in Annex 3.

DFID will support by sharing available information with the service provider on security status and developments in-country as appropriate. Travel advice from the UK government is also available on our website (<https://www.gov.uk/foreign-travel-advice>).

The service provider will be responsible for managing all arrangements regarding setting up appointments associated with the assignment. DFID's global partnerships team in DFID India will provide reasonable support to the service provider with regard to supplying contact information and introductions to key stakeholders where necessary.

Annex 1: countries eligible for partnership under the INVENT global programme

Strategic countries (DFID offices):	priority Country	Other Eligible Low Income Countries (LICS)	Other Eligible Lower Middle Income Countries (LMICs)
Afghanistan*		Gambia	South Sudan
Nepal*		Guinea	Sudan
Bangladesh*		Niger	Ghana
Rwanda*		Benin	Nigeria
Sierra Leone		Guinea-Bissau	Pakistan
Kenya*		Burkina Faso	Yemen, Rep.
Somalia		Haiti	Zambia
Tanzania*		Burundi	
Malawi		Somalia	
Uganda*		Cambodia	
Congo, Dem. Rep		Tajikistan	
Zimbabwe*		Central African Republic	
Mozambique		Liberia	
Ethiopia*		Chad	
Myanmar*		Madagascar	
		Togo	
		Comoros	
		Mali	
		Eritrea	

* countries where INVENT is currently active.

Annex 2: Summary of pilot programmes currently supported under INVENT Global as of July 2016

1. Millennium Alliance (Coordinator, FICCI)

2016 Awards:

- Community Drinking Water system (Rwanda)
- Telemedicine for rural women and children (Western Kenya)
- Production of biodegradable sanitary pads by women's groups (Kenya and Uganda)
- Solar drier for fruit and vegetables (Nepal)
- Low energy cassava drier (Kenya)
- Portable solar-powered cotton picker (West African countries)

2015 Awards

- Getting 'more crop per drop' through the [Sustainable Sugarcane Initiative](#) and the System of Rice Intensification (*Kenya*).
- A web-based [farm management tool](#) for monitoring and traceability of farm produce (*Kenya*).
- New [farmer help-centres](#) providing extension and access to market services, run by local youth (*Nepal*).
- A [climate-smart technology](#) to free up waterlogged land for agriculture and recharge groundwater (*Bangladesh*).
- A [mobile healthcare app](#) for mothers providing vital info (pre-natal to adolescent child) to cut mother and child deaths (*Uganda, Afghanistan*).
- A portable [eye screening device](#) offering a unique range of functions at a third of the cost (*Ethiopia*).

Grand Challenge on Tuberculosis (Coordinator: IKP Knowledge Park)

- Improved systems of treatment adherence in Myanmar (99DOTS/ Everwell)
- Platform for improving treatment of TB in Uganda (ZMQ)
- Technology platform for enabling treatment of TB in Afghanistan (Operations ASHA)

Connect to Grow (Coordinator: IMC)

More than 200 enterprises registered on the Connect to Grow site. Facilitation and partnership management is actively connecting these with Indian partners and advancing discussions to identify the most promising subset from which enterprise partnerships (initial projections envisage up to ten) will be formally initiated from 2016 onwards.

ⁱ Report to People NIC 2011

ⁱⁱ Social enterprise landscape report India Intellectap April 2012

ⁱⁱⁱ Toward Sustainable and Inclusive Growth Mark A. Dutz, WB 2007

Annex 3: Duty of Care Risk Assessment (November 2016)

Country	Overall Security	Violent Crime	Civil Disorder	Terrorism
Afghanistan	5	4	4	5
Bangladesh	3	3	3	4
Burma	2	2	2	1
Cambodia	2	2	2	2
DR Congo	4	5	5	2
China	2	2	1	1
Egypt	4	3	2	4
Ethiopia	3	2	2	3
Ghana	3	3	3	1
India	2	1	1	3
Indonesia	3	3	3	3
Iraq	5	5	4	5
Jordan	4	2	2	4
Kenya	4	5	5	4
Lebanon	4	3	3	4
Lesotho	2	2	2	1
Liberia	4	4	4	1
Libya	4	3	3	4
Malawi	3	3	2	2
Morocco	3	2	3	3
Mozambique	3	3	2	2
Nepal	2	2	2	1
Nigeria	4	4	4	4
Pakistan	5	4	3	5
Palestine	4	3	3	4
Rwanda	2	2	2	2
Sierra Leone	3	3	3	2
South Sudan	4	5	5	3
Somalia	5	2	2	5
South Africa	4	5	5	3
Sudan	4	3	3	4
Syria	4	3	3	4
Tanzania	4	4	4	3
Tunisia	3	3	3	3
Uganda	3	3	3	3
Yemen	5	3	3	5
Zambia	3	3	3	1
Zimbabwe	3	3	3	1

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