



CONTRACT FOR SUPPLIER SERVICES

Section 1 - FORM OF CONTRACT

CONTRACT FOR : Thematic Evaluation of DFID and ECHO Sahel Humanitarian Programme
PURCHASE ORDER NUMBER : PO 7226

THIS CONTRACT is made

BETWEEN : The Secretary of State for International Development at the Department for International Development, Abercrombie House, Eaglesham Road, East Kilbride, Glasgow, G75 8EA ("DFID");

AND : ICF Consulting Services Ltd ("Supplier") whose registered office is situated at 6th Floor, Watling House, 33 Cannon Street, London, EC4M 5SB

(together "the Parties").

WHEREAS:

- A.** DFID requires the Supplier to provide the services as defined in Section 3 ("the Services") to DFID ("the Recipient"); and
- B.** the Supplier has agreed to provide the Services on the terms and conditions set out in this Contract.

IT IS HEREBY AGREED as follows:

1. Documents

This Contract shall be comprised of the following documents:

Section 1 Form of Contract Section 2 General Conditions Section 3 Terms of Reference Section 4 Special Conditions Section 5 Schedule of Prices

This Contract constitutes the entire agreement between the Parties in respect of the Suppliers obligations and supersedes all previous communications between the Parties, other than as expressly provided for in Section 3 and/or Section 4.

2. Contract Signature

If the Original Form of Contract is not returned to the Contract Officer (as identified in Section 4) duly completed (including the applicable Purchase Order Number at the top of Section 1), and 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 Contract void.

No payment will be made to the Supplier under this Contract until a copy of the Form of Contract, signed on behalf of the Supplier, is returned to the Contract Officer.

3. Commencement and Duration of the Services

The Supplier shall start the Services on 01/12/2015 (the "Start Date") and shall complete them by 31/12/2018 (the "End Date") unless this Contract is terminated earlier in accordance with its terms and conditions.

4. Financial Limit

Payments under this Contract shall not, in any circumstances, exceed £864,595 exclusive of any government tax, if applicable (the "Financial Limit").

5. Time of the Essence

Time shall be of the essence as regards the performance by the Supplier of its obligations under this Contract.

For and on behalf of Name: Paul Gaffney The Secretary of State for International Development Position: Senior Procurement & Commercial Manager

Signature:

Date:

For and on behalf of Name:
ICF Consulting Services Limited Position:

Signature:

Date:

A.

Title:

Thematic evaluation of DFID and ECHO humanitarian funding in the Sahel 2015-2017

SUMMARY

1 DFID is providing up to £139m over three years for the 'Providing Humanitarian Assistance to Sahel Emergencies' (PHASE) programme. The majority of this funding (£107.5m) will be implemented through a Contribution Agreement with the EU Humanitarian Aid and Civil Protection department (ECHO) and the balance is for surge staffing, evaluation and contingency/risk financing for new emergencies.

2 PHASE adopts a multi-year approach to the humanitarian response in the Sahel. The three year programme allows DFID to plan projects and develop linkages in line with the seasonal calendar. It also contributes to the evidence base of resilience work and value for money and test some of the assumptions that cost savings will be made in the longer term by reducing humanitarian demand.

3 Extensive experience in the evaluation of humanitarian programmes in fragile and conflict-affected states is required to evaluate thematic components of the PHASE (Providing Humanitarian Assistance for Sahel Emergencies) programme. The programme implementation will run from January 2015 - December 2017, and the evaluation will cover this full period. As this programme will be delivered by ECHO component parts of it will be a joint evaluation and of interest to both DFID and ECHO.

B. BACKGROUND

4. The Sahel region of West Africa experienced yet another severe food crisis during 2012 – the 3rd time in a decade - due to chronic poverty, high food prices and poor climatic conditions. At the peak of the crisis in July/August 2012, the UN estimated the number of people at risk of food shortages across 9 countries in the Sahel was 18 million, with over 1 million children suffering from Severe Acute Malnutrition. Over 20 million people are expected to be at risk of food insecurity in 2015.

5. The current situation is complex and overlaid by the recovery of the 2012 food security and nutrition crisis. Complicated by chronic malnutrition and its associated health complications; the lean and rainy season which have resulted in localised flooding bringing with it disease outbreak and crop damage; insecurity and population movements which are likely to increase as the rainy season draws to a close.

6. Conflict remains a significant contributing factor to vulnerability with significant population movement as result of conflict in Mali, CAR, Sudan and northern Nigeria which negatively affects the region by disrupting regional market dynamics, impacting on household livelihoods, health and production.

7. Drought occurs approximately every three years in the Sahel and inflicts large economic losses, while requiring substantial volumes of food and nutrition assistance. For vulnerable households, it can take two to three years to return to its pre-crisis level of food security, requiring humanitarian response over a prolonged period or to find new approaches to boost their recovery.

8. Continued instability and humanitarian need are likely to remain in the Sahel region in the short to medium term as none of these crises seem likely to end in the near future. It is expected that a multi-year approach to humanitarian work, working alongside resilience funding will enable partners to better prepare, develop more innovative projects, and hopefully make gradual gains in reducing the overall caseload of food insecure people reliant on humanitarian aid.

9. A number of major reports have identified two key challenges facing humanitarian action in fragile and conflict-affected states.

- While existing humanitarian interventions are designed to meet lifesaving needs, there is increasing interest in whether and how aid interventions might also help to build the resilience of individuals, households and communities to future stresses and shocks .
- How to ensure that if and when conditions deteriorate significantly, humanitarian efforts can be scaled up sufficiently in time to avoid major human and livelihood losses ² .

10. Common to both these challenges is the issue of timing. Historically, humanitarian aid instruments were designed on the assumption that need was likely to be transitory and temporary. The timeframe for humanitarian project cycles has been 6-12 months, with budgetary processes for the international humanitarian system organised around this approach, with annualised consolidated appeals and UN strategic response plans, for example. Yet, most humanitarian aid is spent in countries that have been experiencing severe humanitarian need for more than five years largely in a context of conflict and fragility. In other words, they are protracted crises.

11. The main cause is a structural food deficit that is exacerbated by droughts. Focussing solely on the drought will not address the structural food deficit. While long-term solutions are needed, it has often been difficult to attract long-term finance because political and security conditions limit the use of conventional development instruments. This has resulted in limited efforts

¹ See Ashdown (2011) ² see Chatham House; Horn of Africa ICAI

to date to address the underlying chronic vulnerabilities of people and communities in FCAS contexts through building disaster resilience. Hence, the 'gap' between relief and development finance.

12. The second issue of timing relates the timing of a response to spikes in need when environmental, political or other conditions deteriorate. A large volume of literature attests to the human costs of late response in such circumstances. A repeated finding in this literature is that it can be very difficult to get timely decisions to scale up funding in the face of uncertainty as to whether a large crisis will really emerge, and then to translate release of funds into operations on the ground³.

C. DESCRIPTION OF THE INTERVENTION

13. **ECHO and DFID working relationship:** ECHO will manage DFID's humanitarian funding from 2015 for PHASE programme (Providing Humanitarian Assistance to Sahel Emergencies) with a total amount of €154.5 million for an initial period of three years. PHASE is designed to promote an integrated multi-sectoral response to needs. Across all sectors, response plans have been designed to respond to three joint humanitarian priorities: food insecurity and malnutrition, conflict-related needs such as displacement and protection, the humanitarian impact of epidemics and of natural hazards. PHASE will be integrated to ECHO Humanitarian Implementation Plan (HIP)⁴ for West Africa, which is structured into three different and interconnected pillars:

- Response to recurrent crises in the region of food insecurity and malnutrition;
- Provision of basic services and protection to conflict affected people;
- Preparedness and response to emergencies such as epidemics, floods and other types of natural disasters.

As such the PHASE Business Case⁵ and the HIP are complementary and interlinked.

14. Although ECHO will continue to finance implementing partners through annual contracts, DFID funding for this is committed for three years and there is agreement to adopt a longer term approach in the region. The UN SRP has also adopted a 3 year approach in the region demonstrating recognition across the region that there is a need to do more than respond to need.
15. ECHO will monitor the DFID funds at field level and through this will monitor the performance of implementing partners. ECHO will conduct at least one monitoring visit for each partner programme each year. In most cases, the monitoring will be carried out by ECHO staff in the field, though they may be joined by ECHO staff coming from Brussels, or by a DFID Humanitarian Adviser.

16. In addition to this monitoring visit, ECHO may at any time monitor the partner’s implementation. The purpose of the monitoring is to observe the progress made towards the targets and objectives. The implementing partner is expected to make available all information necessary to allow the monitoring of the programme and provide rights of access. Following a visit, feedback is sent to the partners.
17. Implementing partners report through the e-Single Form twice per funding year through an interim report and a final report. Where possible, data and information collected by ECHO through monitoring and reporting will be made available to the evaluation team.
18. ECHO staff in the field will also monitor and assess the context and the humanitarian situation in their countries on a daily basis.
19. **The PHASE Programme:** Underpinning the approach to PHASE are three key hypotheses and it is these that the evaluation is designed to test. These are that:
- ☐ By providing longer-term and predictable financing implementing partners will be able to plan and respond more effectively to chronic and acute humanitarian need;
 - ☐ By developing preparedness and early warning systems, communities are more able to cope with shocks
 - ☐ By securing pre-approved funding linked to specific triggers, the UK will be able to respond more quickly and effectively if and when conditions deteriorate.
20. The core objective of the PHASE programme is to reduce the morbidity and mortality that arise from both acute and chronic humanitarian causes, through three complementary approaches⁶:
- ☐ Integrated Package for people affected by the Nutrition and Food Security Crisis
 - ☐ Support for people affected by conflicts and insecurity
 - ☐ Emergency preparedness and response to support the resilience
21. The following implementing partners have been selected by ECHO to deliver this programme:

⁶ Note that this evaluation is not focussed on the ‘support for people affected by conflicts and insecurity

Title:		Thematic evaluation of DFID and ECHO humanitarian funding in the Sahel 2015-2017			
Country	Partner	Nutrition Treatment	Nutrition Prevention	Conflict	Preparedness
Regional	UNICEF		10		10
	UNHAS			10	
	OCHA				10
	UNICEF				10
Niger	Concern	10	10		10
	WFP		10	10	10

D.

Title:		Thematic evaluation of DFID and ECHO humanitarian funding in the Sahel 2015-2017			
Country	Partner	Nutrition Treatment	Nutrition Prevention	Conflict	Preparedness
Regional	UNICEF		10		10
	UNHAS			10	
	OCHA				10
	UNICEF				10
Niger	Concern	10	10		10
	WFP		10	10	10
	Save the Children	10			10
	ALIMA	10	10		
	Oxfam		10		10
Burkina Faso	Christian Aid		10		
	ACF	10			10
	Save the Children		10		
	Terre des Hommes		10		
	WFP			10	
Mali	ALIMA (Sud)	10	10		
	IRC (Sud)	10			
	Save the Children (Nord)			10	
	WFP (Nord)			10	
	ICRC (Nord)			10	
	DRC			10	10
	DRC Protection			10	
	LVIA			10	
Mauritania	ACF	10	10		10
	Oxfam		10		10
	WFP		10		

PURPOSE AND SCOPE OF THE EVALUATION

- 22.**Purpose:** The purpose of the evaluation is to generate learning and evidence for DFID, ECHO and the wider humanitarian community on specific thematic components of the programme. The evaluation is specifically of DFIDs humanitarian programme in the Sahel but given the joint nature of implementation with ECHO will be of interest to ECHO.
- 23.Learning from the current response should enable the most successful components of this programme to be integrated into future programming. To this end it is important that this evaluation is independent and provides DFID and ECHO with an impartial perspective on whether its response to the crisis has been adequate, that targets defined in the Business Case are or have been met and that resources are being used in the most efficient and best-coordinated way.
- 24.The Supplier will be expected to coordinate and liaise with other evaluators and knowledge managers working on the region. Particularly with the team conducting ECHO’s evaluation of their 2010-2014 interventions and with DFIDs BRACED knowledge management and evaluation work.
- 25.The evaluation will allow for course corrections within programmes, through contributions to annual reviews and for programme managers and advisers (formative report); and will build understanding on the most effective and efficient approaches for humanitarian response in the region (interim and final reports).

26. The evaluation will also support DFID's review work for PHASE and is expected to inform both routine reporting (i.e. programme Annual Reviews and Project Completion Report) and will help the development of DFID's strategic policy approach to the region and development of future programmes.
27. The evaluation will be sequenced to produce a series of programme relevant outputs throughout the life of the relevant programmes for DFID and ECHO, as well as evidence products for the wider humanitarian practitioner and policy-maker community. These are detailed further in the deliverables in section E.
28. **Scope:** This evaluation will use the core themes of the programme design to focus on the following OECD-DAC evaluation criteria: effectiveness, efficiency, coherence, impact, relevance and sustainability:
- ☐ **Effectiveness:** the extent to which the planned results were achieved, or are expected to be achieved
 - ☐ **Efficiency:** the measure of how economically resources/inputs (funds, expertise, time) are converted to results
 - ☐ **Coherence:** the extent to which there is consistency between an initiative at the wider policy context (e.g. developmental, trade, military, humanitarian, human rights).
 - ☐ **Impact:** the positive and negative, primary and secondary effects produced by an initiative, directly or indirectly, intended or unintended
 - ☐ **Relevance:** the extent to which the aid activity is suited to the priorities and policies of the target group
 - ☐ **Sustainability:** Concerned with measuring whether the benefits of an activity are likely to continue after this funding has been withdrawn.
29. The evaluation will use these criteria to look at three thematic areas of the programme, with the following overarching questions:
- a) Does the **integrated nutrition approach**⁷ contribute towards addressing underlying vulnerability of vulnerable households?
 - b) Has **preparedness funding** made any direct contribution to mitigating the impact of future crises?
 - c) Has the **contingency fund** been effective in delivering timely and effective response? (*DFID specific risk financing*)
30. The evaluation does not have a focus on either ECHO or its implementing partners' performance as this is covered through monitoring work; nor is there expected to be an evaluation of the response to conflict affected

⁷ The integrated nutrition approach ensures that vulnerable individuals are targeted with multiple interventions to address both nutrition specific and nutrition sensitive needs

populations. The three thematic areas above have been chosen as they represent a novel approach for humanitarian funding and lack an evidence basis in the Sahel. The 'multi-year' approach also falls into this category but significant research is already taking place with DFID funding on the multi-year humanitarian approach.

31. Cross cutting issues of gender, age and persons with disability should also be considered.

E. DELIVERABLES

32. This evaluation is expected to run from December 2015 to December 2018.

33. The following outputs are expected during the course of the evaluation:

- Inception Report (by end March 2016)
- Formative Evaluation Report (by July 2016)
- Interim Evaluation Report (by July 2017)
- Final Evaluation Report (by December 2018)

34. **Inception Report:** This will include: a detailed evaluation framework outlining all the questions that the bidder proposes in response to the three overarching questions outlined in paragraph 29; a full description of the methodology for data collection and analysis and justification for the approach adopted; a detailed workplan and timetable; a communications or dissemination strategy for evaluation results and feedback to implementing partners.

35. **Formative Evaluation Report:** This report will be divided into sections for each overarching question (integrated nutrition approach, preparedness and contingency funding) and will include findings from year 1 implementing partner final reports, field visits and interviews.

36. This report will include; an overview of the status of implementation and of the evaluation; initial assumptions concerning the evaluation questions and an assessment of data availability; recommendations in terms of any changes to the workplan or partner implementation prior to the final year of implementation.

37. **Interim Evaluation Report:** This report is timed to feed into the development of DFIDs follow up programming in the Sahel and as such will provide; a progress update on the status of the evaluation, any emerging evidence to inform DFIDs future programme building on the experience of implementing PHASE; evidence-based case studies and analysis to facilitate change to delivery as appropriate based on preliminary findings in response to the overarching questions, including a proposed theory of change⁸ for future programming for DFID and ECHO.

⁸ This will build on or replace the current theory of change which is within the Business Case.

38. **Final Evaluation Report:** This will build on previous reports and will synthesise the data collected, provide answers to the overarching questions and will include; an overview of the scope, design and process of the evaluation completed; any limitations or challenges; a summary of the clear evidence identified and analysis conducted; clear and justified conclusions; recommendations for future programmes. This report should inform both DFID & ECHO and global policy debates.
39. **Other final stage outputs will include;** translation of the summary and findings into French; a presentation for easy dissemination of findings; a regional workshop or similar for partners. The Supplier will also ensure that products are accessible for easy use by humanitarian policy-makers and practitioners. Bidders are asked to suggest other value added outputs that they intend to deliver.
40. Additionally, the supplier will need to consider that there are moments during the DFID programme cycle where Advisors are required to review programme performance against pre-agreed logical frameworks for the Annual Review process. This thematic evaluation, particularly in the inception and formative stages, should look to feed into these reviews.
41. DFID and ECHO will have unlimited access to the material produced by the successful supplier. Key outputs and deliverables will be published on the DFID website and key products may be disseminated more widely, and should be of a high standard, meeting expected evaluation standards, including rigour and intellectual consistency.

G. MANAGEMENT AND GOVERNANCE ARRANGEMENTS

42. The work will be managed by DFID Africa Regional Department and overseen by an Evaluation Management Group (EMG) which ECHO will be a part of. The supplier will report to the DFID Africa Regional Department Humanitarian Adviser acting as the Evaluation Manager who will also be the focal point for day to day contact with the successful supplier. To the extent possible the Evaluation Manager will seek to involve the counterpart in ECHO in the management of evaluation through the EMG.
43. DFID will also establish an Evaluation Reference Group, whose role will be to help ensure quality of the evaluation, provide comments on and guide the evaluation, and ensure the use of the findings and recommendations within ECHO and DFID. This will include colleagues across both DFID and ECHO and possibly wider evaluation experts.
44. The Supplier is expected to independently manage the evaluation, but will consult ECHO Sahel and West Africa division and the DFID Africa Regional Department humanitarian adviser prior to conducting any fieldwork. DFID Africa Regional Department will facilitate introductions to partners for the Supplier.

H. RISKS

45. Complexity of the programme: The programme covers a wide range of different interventions in different contexts. A sampling approach will have to be found which allows for conclusions to be drawn, but the evaluation will not be able to cover all sectors;
46. Risks of instability and conflict: The programme is operating (largely) in south central Somalia an area which is still in conflict. The security situation will need to be continually reviewed and travel and duty of care guidance considered.