

CALLDOWN CONTRACT

Framework Agreement with: Oxford Policy Management

Framework Agreement for: Global Evaluation Framework Agreement

Framework Agreement Purchase Order Number: PO 7448

Call-down Contract For: Evaluation of Phase Three of the Hunger Safety Net Programme

Contract Purchase Order Number: PO 8603

I refer to the following:

1. The above mentioned Framework Agreement dated 12 September 2016;
2. Your proposal of 31 July 2019

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 02 December 2019 ("the Start Date") and the Services shall be completed by 31 March 2024 ("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 £1,977,605.00 ("the Financial Limit") and is inclusive of any government tax, if applicable as detailed in Annex B.

4. Milestone Payments

- 4.1 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 when the relevant milestone is achieved in its final form by the Supplier. Payments pursuant to clause 4.1 are subject to the satisfaction of DFID's 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.

5. Officials

DFID

5.1 The Contract Officer is:

Redacted, Procurement Specialist, DFID Procurement and Commercial Department.

5.2 The Project Officer is:

Redacted, Programme Manager, DFID-Kenya.

Supplier

5.3 The Contract Officer is:

Redacted

5.4 The Project Officer is:

Redacted

6. Key Personnel

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

Name	Role
Redacted	Team Leader
Redacted	Project Manager and Quantitative Analyst
Redacted	Deputy Project Manager
Redacted	Workstream Lead 1
Redacted	Workstream Lead 2
Redacted	Workstream Lead 3
Redacted	Workstream Lead 4
Redacted	Process Evaluation Analyst
Redacted	Impact Evaluation Sampling Expert
Redacted	Pool of experts including Qualitative Research, Social Protection and Graduation, Complex Evaluation
Redacted	Pool of experts including Qualitative Research, Social Protection and Graduation, Complex Evaluation
Redacted	Pool of experts including Qualitative Research, Social Protection and Graduation, Complex Evaluation
Redacted	Pool of experts including Qualitative Research, Social Protection and Graduation, Complex Evaluation

7. Reports

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

8. 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.

9. Modern Slavery

- 9.1 The HMG Modern Slavery Statement sets out how UK Government departments must take action to ensure modern slavery risks are identified and managed in government supply chains. The DFID Supply Partner Code of Conduct sets out the expectation for all supply partners to have full awareness of the International Labour Organisation(ILO) principles. The Successful Supplier will be subject to compliance checks which will involve reviewing good practice examples that reflect these principles. Our Code sets out requirements for UN Global Compact sign up and further encourages Ethical Trading Initiative (ETI) membership for our Supply Partners and their delivery chain partners (at compliance level 1). The Successful Supplier will also be encouraged to participate in the HMG modern slavery self-assessment process which in turn will support assurance of their compliance standard.



10. Call-down Contract Signature

- 10.1 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:

Annex A

TERMS OF REFERENCE FOR THE EVALUATION OF PHASE THREE OF THE HUNGER SAFETY NET PROGRAMME (HSNP) 3

1. Background and context

- 1.1 In 2014, Kenya was classified as a lower-middle income country, with economic growth averaging 5.5% between 2004 and 2015. In the same period, average poverty dropped from 43% to 36%. However, there remains high income inequality between counties and between urban and rural areas. The majority of the poor live in the north and east of the country, where between 74% - 90% live below the poverty line, and have high levels of food insecurity. In 2016/17, 3.4 million people were food insecure and in need of humanitarian assistance in northern and eastern parts of the country.
- 1.2 The Hunger Safety Net Programme (HSNP) has worked in Turkana, Marsabit, Mandera and Wajir counties since 2007, delivering targeted cash transfers to the poorest and most vulnerable populations. By 2018, the second programme phase (2014-2018) delivered 5,400 KES (approximately £40) every two months to nearly 100,000 households (approx. 600,000 people). During times of shock – mainly from drought – HSNP can reach up to a further 250,000 households (approx. 1,500,000 people). The Government of Kenya (GoK) finances 64% of the HSNP regular cash transfers.
- 1.3 The third phase will shift the delivery mechanism for HSNP from a DFID-led programme with a consortium to a full Government of Kenya (GoK) ownership and financing implemented through a World Bank Trust Fund. It will build the necessary capacity within GoK to lead and manage the programme and invest in disaster risk financing and graduation approaches to guarantee the sustainability of the programme after a UK exit. Whilst there is no agreed definition of graduation, it is a series of programme interventions targeted to the extremely poor households which have capacity to exit extreme poverty. Graduation programmes will have multi-dimensional outcomes, for example, improved income, education, health, food and nutrition security, savings, social capital and empowerment. Graduation is not a replacement for social protection, but a means to link social protection with interventions on social and economic advancement.
- 1.4 HSNP 3, valued at £94m for five years (2019-2023) is expected to achieve the following outcomes and outputs:



Outcome 1: Delivery of quality, timely and scalable cash transfers to households

- Improved quality of delivery through harmonised targeting with other safety nets
- Maintained timeliness of payments and improve communication with beneficiary households
- Improved predictability of scalable component and resilience outcomes for drought emergency transfers
- Established a robust grievance and complaints mechanism

Outcome 2: Build GoK capacity for a sustainable programme transition

- Strengthened Government ability to lead, coordinate and manage drought response, including cash transfer programmes through
- Building technical capacity with Government staff (National Drought Management Authority (NDMA)) to manage and administer HSNP
- Improved financial capacity of Government to finance cash transfer programmes, e.g. using disaster risk financing

Outcome 3: Support establishing a coherent social protection sector

- Strengthened integration of HSNP into the National Safety Net Programme (NSNP)
- Supported improved coordination and efficiency across the NSNPs
- Included scalable and shock-responsive mechanism for all safety net programmes

Outcome 4: Test a systems approach to graduation, whereby national and county government processes and programmes are scaled-up, and generate knowledge and evidence

- Designed a systemic approach to graduation at scale
- Piloted the graduation system
- Generated evidence on graduation approaches through independent monitoring and evaluation
- Engaged with county governments to improve coordination of cash and graduation programmes at county level

1.5 The intervention aims to reduce hunger and vulnerabilities of households in northern Kenya through delivering unconditional cash transfers. The logic is that poor households do not have enough income to purchase basic goods, which are available in the markets, or pay for school fees. In addition, the region is hit by cyclical droughts, which deplete livestock herds. Culturally, these are the main assets of communities in the arid and semi-arid counties in Kenya, and therefore recurring natural shocks, such as drought, trap households and whole communities in a cycle of poverty. HSNP provides a safety net for these vulnerable households by delivering regular cash transfers, as well as delivering cash transfers to further households during times of shocks. Through these transfers, consumption is stabilized, and household assets can be accrued and retained, even during times of drought. In addition, school fees can also be paid throughout the year. This helps poor households to steady their income, prevents them from slipping further into poverty and ensures that future generations escape poverty through better education and nutrition. For more details on the Theory of Change, please refer to the Appendix.



- 1.6 HSNP Phase 2 included an extensive Monitoring and Evaluation component¹. Oxford Policy Management (OPM) monitored the operational quality and programme delivery through spot checks and produced monitoring reports every other month. These were used to monitor if recipients had received their cash on time, as well as monitor the full disbursement of cash and the functioning of beneficiary rights committees, i.e. the structure to voice and address a complaint or grievance. Further, OPM conducted a comprehensive Impact Evaluation using qualitative and quantitative methods, as well as a local economy wide impact evaluation. The evaluation looked at the impacts of the programme on consumption, food security, education outcomes, gender relations, spill-overs into the local economy, and relationships within the community. The evaluation found that beneficiaries predominantly use cash transfers to purchase food, pay off debt, pay for school fees and other basic needs. The programme had a positive impact on children's schooling, as well as intra-household relationships, and energized the local economy. While it increased households' food security, it did not lead to improved nutritional outcomes.

Links to other programmes

- 1.7 The payment of cash transfers and management of HNSP Phase 3 will be delivered through a DFID - World Bank Trust Fund. This trust fund is part of the World Bank's Kenya Social and Economic Inclusion Programme (KSEIP), an IDA-loan programme to support Kenya's Social Protection Sector. KSEIP will contribute to the delivery and expansion of HSNP into additional counties and will finance pilot graduation programmes in five counties: Kisumu; Makueni; Marsabit; Muranga and Taita-Taveta, among other activities. The World Bank will conduct monitoring and evaluation of the overall World Bank-financed investment but DFID will incorporate the KSEIP pilot graduation programme component as part of the overall graduation impact evaluation (Workstream 2). DFID will retain budget from HSNP Phase 3 to contract an independent Monitoring, Evaluation and Knowledge (MEK) component, which will focus on DFID-relevant interests and its investment and the KSEIP pilot graduation programme, though in close alignment with the World Bank's activities and teams.
- 1.8 There are two programmes which are relevant to the MEK component. These are; DFID Kenya's nutrition-focussed Maternal and Child Nutrition programme (standalone from HSNP but operating in the same geographical area), and the Nutrition Improvements through Cash and Health Education (NICHE) programme, which is part of KSEIP and co-financed by DFID². Both are being implemented by UNICEF.

1.9 Paris Declaration Principles

This intervention is coherent with the partner government and wider international community response to hunger and vulnerability in the arid and semi-arid counties in Kenya.

¹ Outputs from the HSNP 2 monitoring and evaluation component can be found at <http://www.hsnp.or.ke/index.php/our-work/measurement-evaluation>

² For more information on KSEIP please refer to <http://projects.worldbank.org/P164654/?lang=en&tab=overview>



- a. *Ownership:* The programme is aligned with Government of Kenya's Social Protection Policy and HSNP is considered a national flagship programme. The GoK is committed to take HSNP over by 2024 and fully manage and finance the programme. The programme is implemented through the Government's National Drought Management Authority (NDMA).
- b. *Alignment:* The programme is integrated within existing government structures at national, county and community level, working with county administrations in partnership.
- c. *Harmonisation:* HSNP has built financial infrastructure, which has been used by other donors and NGOs to deliver their emergency response during droughts. In addition, HSNP is delivered through a DFID-World Bank Trust Fund and thus closely aligned with the World Bank's support to the Social Protection Sector in Kenya.
- d. *Managing for Results:* The MEK component will support the generation of data and learning on handing over programmes to partner governments, improving government systems and data management across the Social Protection Sector in Kenya. As far as possible, the Supplier will link data captured with the World Bank's monitoring and evaluation system and data from the NDMA's early warning system and the newly designed Social Registry.
- e. *Mutual accountability:* The MEK team will report directly to DFID, and will share their findings with NDMA, the Programme Management Unit for HSNP as well as present regularly at the meetings of the Steering Committee of the joint DFID- World Bank Trust Fund.

2. Purpose

- 2.1 DFID Kenya will contract a supplier to carry out the Monitoring, Evaluation and Knowledge component (MEK) of HSNP Phase 3 which ends on 31 March 2024.
- 2.2 The MEK will have two workstreams; 1) a process evaluation and 2) an impact evaluation.
- 2.3 The MEK component will monitor and evaluate outcomes 1, 2, and 4 and track progress of the programme. The process evaluation will focus specifically on gaining information on progress made in building capacity with GoK to successfully manage and finance the programme, as well as monitor the trajectory during the transition period.
- 2.4 The impact evaluation will focus on outcome 4, i.e. on the impact of graduation programming under HSNP Phase 3 and KSEIP Economic Inclusion Project compared to the social safety net programmes under HSNP and NSNP. Here, the supplier will monitor graduation interventions, which are co-financed by DFID and implemented by third parties (World Bank, NGOs, GoK, others), and evaluate their impact at mid and end-term.

- 2.5 To improve the evidence base KSEIP graduation programmes are being piloted in 5 counties: Kisumu; Makueni; Marsabit; Muranga and Taita-Taveta. This consists of 500 pilot households per county in the first 2 years and will scale up to 6,000 households per county in year 3. Monitoring will be measured against a counterfactual of households in the counties which are not included in the graduation programme. Workstream 2 will retain close working relations and coordination with the National Drought Management Authority, who implement HSNP, and the Department for Social Development (DSD), who will implement the Economic Inclusion Project.
- 2.6 Further, this component will include approx. six deep-dives (to be determined as gaps in knowledge and evidence are identified) and knowledge outputs for all of HSNP Phase 3 and Economic Inclusion. Under the M&E component for HSNP Phase 2, deep-dives were produced on fiscal space, targeting, impact of lump-sum payments, local economy wide impact, youth and exclusion. The topics emerged throughout the implementation and where identified based on a need to know more about these to inform programme implementation going forward. For HSNP Phase 3 it is therefore useful to have the option of commissioning deep-dives into special topics to inform the programme. The topics for these will emerge throughout the implementation of the programme.

Objectives	Monitoring	Process Evaluation	Impact Evaluation	Deep-dives
Outcome 1: Delivery of quality, timely and scalable cash transfers to households	X	X	-	X
Outcome 2: Build GoK capacity for a sustainable programme transition	X	X	-	X
Outcome 4: Test a systems approach to graduation and generate knowledge and evidence	X	-	X	X

- 2.7 The findings of the evaluation will be used to assess progress towards programme outcomes and will generate learning on opportunities and challenges of handing over donor-funded and managed programmes to partner governments. HSNP3 is not an adaptive programme but learning from the MEK component will be used to inform programme implementation. The impact evaluation will provide evidence on whether a graduation programme versus a social safety net programme has better outcomes for the poor, thus informing future programmes. Further, learning on graduation impacts and implementation will contribute to the global debate and thinking on graduation programming. The MEK component will build on the knowledge and learning generated through the evaluations and monitoring under HSNP Phase 2.
- 2.8 The primary audience for the evaluation is DFID Kenya and its programme partners. This includes NDMA/ State Department for Arid and Semi-Arid Lands, the Department for Social Development/ Ministry for Labour and Social Protection, who have leadership

roles on graduation, County Government, the World Bank and other key stakeholders. Findings will be communicated to HSNP teams in the counties and will be shared regularly with the HSNP Programme Management Unit and the joint Steering Committee.

3. Scope and Objectives

- 3.1 These terms of reference only relate to the MEK component and will deliver monitoring and evaluation of progress and process on outcomes 1 and 2; and monitoring and evaluation of impact on outcome 4, as well as a number of deep-dive studies into the impact and implementation of graduation programmes through government systems. The terms of reference do not include the actual delivery of HSNP cash transfers or implementation of other programme components under HSNP Phase 3.
- 3.2 The scope of the monitoring and evaluation is limited to 1) assess the quality of programme delivery during the transition to GoK; 2) assess the progress of capacity building within GoK to manage, lead, coordinate and finance HSNP; 3) evaluate the impact and value for money of graduation programmes delivered through GoK; 4) gain an understanding of the process for delivering graduation through GoK, and identify possible areas for improvement. Each of these outputs require a period of scoping and development before the specifics of implementation are finalised.
- 3.3 Bids are expected to set out how they will manage and mitigate key risks and challenges to the MEK component. The supplier will be required to monitor and update the risk register on a regular basis and provide DFID with updates. Guidance will be shared with the supplier on DFID's risk management. Risks and challenges this evaluation include: Severe delays occurring, due to implementation and handover processes being delayed and therefore not yet ready to be monitored and evaluated; security risks for consultants travelling to HSNP counties, depending on the county (Please refer to the FCO travel advice on the latest updates.); risk around evaluation methods not producing the insights and knowledge anticipated; difficulties tracking down HSNP beneficiaries due to mobile nature of pastoralist communities; timing constraints of field work due to seasonal climate (rainy seasons and dry seasons); language barriers as well as difficulties dealing with largely illiterate population.

4. Evaluation criteria and methodology

- 4.1 The evaluation will assess interventions against the OECD-DAC criteria of relevance, effectiveness, efficiency, sustainability, and where applicable impact. This will be done through two workstreams as set out in the table below.



Workstreams	Criteria	Question	Scope
Workstream 1 – Process evaluation of HSNP3 social safety nets.	Sustainability; Effectiveness; Efficiency	<i>What progress has been achieved in handing over the programme from DFID to GoK?</i>	Measure which areas/ components of the programme have been handed over, which gaps remain
	Sustainability Effectiveness	<i>To what extent has sufficient capacity been built in GoK to manage, lead, coordinate and finance the programme?</i>	Measure and analyse what capacity has been built within GoK. How sustainable the capacity is, and which gaps remain?
	Relevance Effectiveness Efficiency	<i>Has the quality of programme delivery changed? If so, how?</i>	Track the quality of delivery, in particular comparing timeliness of payments with HSNP Phase 2; and identify how and why quality has changed.
Workstream 2 – Impact evaluation of the graduation pilot.	Impact	<i>What is the impact of graduation programmes delivered through GoK on poverty reduction compared to social safety nets?</i>	Measure the impact of graduation programmes in Kenya under HSNP Phase 3/ KSEIP Economic Inclusion Project. Align metrics with international assessments, so the evidence can speak to the global debate.
	Relevance Effectiveness Efficiency	<i>How is the implementation of graduation programmes</i>	Analyse the delivery process of graduation through

	Sustainability	<i>working through GoK?</i>	GoK/ county governments and identify areas for improvement.
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4.2 During the inception period the supplier will work with DFID and other stakeholders to refine the evaluation questions. During this period the supplier should also provide an assessment of the validity of the assumptions underpinning the programmes theory of change (see appendix).

Cross-cutting issues

4.3 HSNP3 targets the poorest households. A key aim of the evaluation is to understand whether HNSP is meeting the needs of beneficiaries. The impact evaluation will consider whether the graduation approach is effective in reducing poverty and for which groups of people. The evaluation should aim to disaggregate its findings as much as possible including by gender, age, disability, geography (e.g. rural/urban), livelihood zones. HSNP3 also has a strong cross cutting focus on capacity building and a key part of the evaluation will be to assess the extent to which capacity has been built in GoK.

4.4 The successful MEK supplier will be responsible for developing an appropriate methodology in order to understand:

- Workstream 1) how much progress has been made, and has the quality of programme delivery changed, if so why? Is the new delivery mechanism working in terms of meeting needs of beneficiaries?
- Workstream 2) *what* are the impacts on poverty reduction, for *whom*, and how is the implementation working through government? Draw conclusions on whether or not graduation interventions will have better poverty outcomes, and this presents better VFM, than a social safety net.

4.5 Technical responses should propose an appropriate evaluation design and methodology to answer the above questions and be no more than 20 pages long, excluding annexes. As well as a proposed analytical framework that shows how each of the evaluation questions will be addressed including key data sources and methods. The methodology and analytical framework will be refined by the supplier during the inception period in consultation with DFID and other stakeholders.

4.6 The following is a possible methodology, but we are open to different approaches:

- A mix of robust quantitative and qualitative techniques would be used.
- A theory-based approach should be used to understand *what* works, *why* and for *whom*.



- An impact evaluation will compare outcomes of households covered by the graduation programme versus households covered by social safety nets.
- Conduct a baseline survey of targeted areas.
- Analysis is conducted of existing data such as programme management data and management information system (MIS) data.
- Feedback is collated in a structured way from beneficiaries and stakeholders.
- A desk review is conducted of programme documents, reviews, capacity assessments etc.
- Triangulate findings in an objective way to present lessons learned and make recommendations for future programmes.

We expect the suppliers to build on this and add necessary detail to their proposed methodology.

4.7 Technical responses should set out the proposed method for selecting counterfactual groups for the impact evaluation. For example, the graduation approach will be piloted in 5 counties and should be compared with the households continuing to receive social protection support under HSNP3. The supplier will have some influence in the selection of intervention areas, but selection will primarily be driven by programmatic considerations (need, relevance to programme objectives). The methodology for selection of counterfactual and intervention areas can be refined by the supplier during the inception period in consultation with DFID and implementing partners.

5. Data

5.1 A large MIS data set already exists on HSNP beneficiaries. Household data has been collected regularly since the start of the programme in 2011 and will continue into HSNP 3. It includes data on household consumption, data on livelihoods and income, e.g. number of livestock. It can disaggregate key variables such as sex, age, geography etc. Data from the HSNP2 MIS dataset is available through an online dashboard³ The data set is assessed to be of very good quality. During HSNP2, technical assistance for the MIS dashboard was provided by DAI. The World Bank will continue to provide technical assistance on the MIS throughout HSNP3.

5.2 Furthermore, NDMA regularly collects a wide range of household data through its Early Warning System (EWS) for drought. Data include vegetation index, livestock health, number of animals, household consumption, household nutrition data, etc. While data has so far only been used for the EWS, there is scope to use the data set for monitoring and evaluating HSNP, too.

³ See <http://www.hsnp.or.ke/index.php/dashboards/at-a-glance>

- 5.3 This combination of data can be relevant for the MEK component to draw on and use as a baseline for levels of poverty (relevant for workstream 2) and triangulate with monitoring data to measure quality of programme delivery (workstream 1).
In parallel to data collection for monitoring and evaluation, the related KSEIP programme will start work on a Single Registry for Social Protection. Data will be collected under this programme, which will directly be relevant for HSNP as well.
- 5.4 The supplier will therefore be responsible for accessing and reviewing available data sets and data collection instruments, before designing and implementing their own data collection. The supplier should ensure that they make best use of available data, and only collect their own data where there are data gaps or specific data required for evaluation. They should also work together with data collecting institutions and where possible strengthen the capacity of organisations that the programme works with on data collection (e.g. NDMA Early Warning System) to collect high quality data on drought and household resilience.
- 5.5 The inception report should contain detailed proposals on data collection, which shall include a proposal how to collect beneficiary feedback. Additionally, one of the inception phase deliverables for the MEK output is the completion of a baseline survey across target areas. Where possible this baseline survey should also serve as the baseline for the evaluation.
- 5.6 The supplier is also expected to conduct structured interviews with stakeholders such as the World Bank, NDMA, and the Government of Kenya. As well as collating beneficiary feedback through appropriate methods.
- 5.7 Other existing data sources include programme monitoring data, programme documents, reviews and capacity assessments. These are public documents and available on Development Tracker (Annual Reviews) and the HSNP website <http://www.hsnp.or.ke/> (Reviews and Capacity Assessments).
- 5.8 Bids should set out how they will ensure any new datasets created by the supplier will conform to best practice standards and requirements. Including how they will ensure compliance with the General Data Protection Regulation (GDPR). They should also ensure data is disaggregated where possible, in line with DFID's Data Inclusive Data Charter Action Plan⁴. The evaluation should also be conducted in line with DFID's Ethics Principles for Research and Evaluation⁵. The supplier will be expected to have an ethics policy and ethical clearance protocols on the use of data to protect the confidentiality of individuals and programme documents.

⁴https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/727739/IDC_AP.pdf

5.9 Under HSNP Phase 2, the M&E supplier regularly monitored the impact of the programme, as well as conducted an impact evaluation at the end of the programme. The impact evaluation clearly outlined the type of benefits of the programme, and which groups benefitted and produced deep-dives into the impacts of HSNP on specific topics, including women, local markets⁶.

6. Outputs and workplan

6.1 The table below outlines the proposed outputs for the evaluation contract, and approximate timelines for their delivery. A full work plan will be developed by the supplier during inception and will be included in the inception report.

6.2 DFID will have unlimited access to the material produced by the supplier (as expressed in DFID's general conditions of contract).

Output	Description	Audience	Indicative timings
Inception workshop	Supplier to facilitate a workshop with DFID and implementing partners to outline approach to process detailed evaluation questions and evaluation methodology	DFID Implementing Partners	Contract start date
Inception report	An inception report containing a detailed methodology and approach to the process and impact evaluation respectively. This should also include data collection methods, tools and sources; analysis framework; detailed workplan, partnership arrangements and stakeholder engagement strategy	DFID Kenya, NDMA, DSD, World Bank, Programme Management Unit	3-months after contract is signed
Evaluation communications /dissemination	A full evaluations communication plan that responds to the needs of all	DFID Kenya, NDMA, DSD, World Bank,	3-months after contract is signed

⁵ <https://www.gov.uk/government/publications/dfid-ethics-principles-for-research-and-evaluation>

⁶ See <http://www.hsnp.or.ke/index.php/our-work/measurement-evaluation>



plan (included with inception report)	stakeholders involved	Programme Management Unit	
Programme monitoring reports on workstream 1 every quarter for one year after the inception phase	Monitoring reports on progress of transition and handover to GoK every quarter during the first year. This shall give detail and information in regards to the research questions for workstream 1 (see section 4). This will be reviewed after the first year, and potentially extended.	DFID Kenya, NDMA, World Bank, Programme Management Unit	To be submitted every quarter for one year after the inception phase.
Dissemination of communication outputs	Implementation of actions outlines in the communication strategy, including use of different media such as radios, newspapers, community workshops, etc.	Beneficiaries, local communities, county governments, national government	At regular intervals throughout the programme, at least every 6 months.
Mid-term evaluation report	<ul style="list-style-type: none"> - Process evaluation at mid-term of implementation of HSNP Phase 3 (Outcomes 1 and 2) - Impact evaluation including analysing the delivery process for graduation programmes (outcome 4) 	DFID Kenya, NDMA, DSD, World Bank, Programme Management Unit, wider Government of Kenya, other donors, communities, county governments, other stakeholders	At mid-term of programme implementation
6 Deep-dives	6 in-depth studies on topics related to graduation and HSNP Phase 3/ NSNP, to be determined.	DFID Kenya, NDMA, DSD, World Bank, Programme Management Unit, wider Government of	Throughout the programme

		Kenya, other donors, communities, county governments, other stakeholders	
Final process and impact evaluation reports	Full evaluation report presenting analysis and key findings, and targeted recommendations for of the programme outcomes 1,2, and 4	DFID Kenya, NDMA, DSD, World Bank, Programme Management Unit, wider Government of Kenya, other donors, communities, county governments, other stakeholders	2 months before end of programme.

6.3 The implementation plans for the programme will impact timing of the evaluation activities. The graduation pilots should start implementation in 9 months' time and run for 2 years. Then, depending on performance these will be scaled-up. The supplier will need to work with the implementation team to keep track of and understand the consequences of any changes to the implementation plans.

7. Responsibilities

7.1 The evaluation team will report directly to the DFID Kenya programme manager in the Poverty, Hunger, and Vulnerability team. The programme manager will also be the day-to-day contact point for the evaluation team and will be the contact for any logistical or administrative support required from DFID. The DFID Senior Responsible Owner (SRO) of the Hunger Safety Net Programme will oversee the delivery of the outputs of the contract, supported by the Evaluation Adviser in DFID Kenya. The SRO will be responsible for taking forward the recommendations and lessons from the evaluation in consultation with implementing partners and other stakeholders.

- 7.2 The evaluation will be managed in close consultation with implementing partners. An Advisory Group will be established to support DFID in the management of the evaluation. The purpose of the Advisory Group will be to guide the evaluation, ensure technical rigour and that the evaluation will prove useful; through providing advice and feedback at key stages of the evaluation e.g. commenting on reports etc. The group will help guide decisions, but these will ultimately be made by the SRO. It will be comprised of at least the following: the SRO for the programme (Chair), the DFID Kenya Programme Manager, the DFID Kenya Evaluation Adviser; NDMA; DSD; the World Bank; and the HSNP secretariat.
- 7.3 Implementing partners will be expected to provide significant input into the evaluation including informing the methodology design and commenting on outputs. Implementing partners will be expected to be available for interview by the evaluation supplier and to share information with the supplier for example their programme management data, programme documents, contact information for other stakeholders and beneficiaries etc.
- 7.4 It is expected that the supplier will maintain independence and objectivity throughout the MEK component. A key objective of this contract to provide DFID with an independent assessment of the new delivery mechanism for HSNP3, which will focus on DFID's investment.
- 7.5 The supplier is expected to collaborate with other related M&E systems; this includes the monitoring conducted by the World Bank on the KESIP programme as well as the establishment of a Single Registry for Social Protection by KESIP. For example, the supplier should use data from these M&E systems and should consider how to align any new data collected with these systems e.g. using consistent indicators or definitions.
- 7.6 All evaluation products (inception, mid-term/final reports etc) will be subject to quality assurance through DFID's Evaluation Quality Assurance Service (EQUALS). Contract outputs will be approved by the DFID Evaluation Adviser and SRO of HSNP Phase 3. Bid should set out how they will ensure quality throughout the evaluation.
- 7.7 The supplier will also be responsible for developing an evaluation communication/dissemination plan for this impact evaluation and ensuring that it is embedded in the broader communication strategy of HSNP by Programme Management Unit, which is implementing HSNP.
- 7.8 A full work plan for the monitoring and evaluation of the different outputs, with detailed roles, responsibilities and deliverables, will be developed during the inception phase. The supplier will be responsible for developing this as part of the inception report, which will be signed off by DFID's Evaluation Adviser and SRO for HSNP.

- 7.9 The supplier will be responsible for organising all logistical arrangements relating to this evaluation, including, but not limited to travel and in-country appointments. They will also be expected to collate all necessary documents from implementing partners and DFID.

Team composition

- 7.10 Bids should detail how their proposed team for this evaluation have the skills and expertise required to conduct this evaluation. The supplier is expected to use local consultants, dependent on skills and availability. Building capacity on evaluation with local organisations involved in the community is also strongly encouraged, where this can be conducted alongside the evaluation activities (e.g. through improving partner organisation's ability to collect and analyse data on drought and resilience).
- 7.11 Budget – the budget for this requirement is up to a maximum of £2m – this budget includes all applicable taxes and must demonstrate value for money.
- 7.12 Duration - The MEK contract will start on 2 December 2019 and end on 31 March 2024.
- 7.13 There may be a request to extend the MEK by one year at a maximum amount of £500,000 including all applicable taxes.

Payment Mechanism

- 7.14 The key break points for the contract will be: on completion of the Inception Phase; and thereafter annually (during annual reviews) until the end of the contract. Continuation following a break point will be subject to the satisfactory performance of the Supplier during the preceding period and the continuing needs of the programme.
- 7.15 DFID reserves the right to terminate the agreement at no cost to DFID, if terms cannot be agreed for the Implementation Phase.
- 7.16 DFID will agree on a performance management framework which is intended to align incentives, increase likelihood of achieving the outcomes and ensure mutual accountability. The performance management framework will include programmatic Key Performance Indicators (KPIs) and technical Key Performance Indicators (KPIs). The programmatic KPIs will be linked to the DFID Strategic Relationship Management Scorecard. These are likely to include quality and delivery; management, financial; personnel; and innovation indicators. The technical KPIs will be linked to progress against achieving log frame results. The supplier should propose a suite of KPIs for the inception period as part of your bid. The KPIs for the implementation period will be agreed by the end of inception, and the supplier should submit the draft performance management framework to DFID for review before end of the inception. In line with principles of flexible and adaptable programming these can be reviewed between DFID and the supplier as and when necessary throughout the life of the contract"



- 7.17 DFID is seeking to agree an output-based payment plan for this contract, where payment will be explicitly linked to supplier performance and effective delivery of programme outputs as indicated above. Service Providers should propose how they best envisage this model to work for both phases. The payment plan for the implementation phase will be finalised during the inception period.

8 General Data Protection Regulation

General Data Protection Regulations (GDPR) - Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in Appendix 1 and the standard clause 33 in section 2 of the contract.

9 Duty of Care

- 9.1 The Service Provider is responsible for the safety and well-being of their Personnel (as defined in Section 2 of the contract) and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
- 9.2 DFID will share available information with the Service Provider on security status and developments in-country where appropriate.
- 9.3 A copy of the DFID visitor notes (and a further copy each time these are updated), which the Service Provider may use to brief their Personnel on arrival.
- 9.4 The Service Provider is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Service Provider must ensure they (and their Personnel) are up to date with the latest position.
- 9.5 This Procurement will require the Service Provider 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 Service Provider 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.
- 9.6 The Service Provider is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract (such as working in dangerous, fragile and hostile environments etc.). The Service Provider must ensure their Personnel receive safety in the field training prior to deployment if judged necessary.
- 9.7 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. They must confirm in their Tender that:
- 9.8 They fully accept responsibility for Security and Duty of Care.



- 9.9 They understand the potential risks and have the knowledge and experience to develop an effective risk plan.
- 9.10 They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.
- 9.11 Acceptance of responsibility must be supported with evidence of capability and DFID reserves the right to clarify any aspect of this evidence. In providing evidence Tenderers should consider the following questions:
- 9.11.1 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)?
- 9.11.2 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?
- 9.11.3 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?
- 9.11.4 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)?
- 9.11.5 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?
- 9.11.6 Have you appropriate systems in place to manage an emergency / incident if one arises?



DFID Overall Country Risk Assessment matrix - Location: Kenya

Date of assessment: **04 June 2019**

Theme	Risk Score	Risk Score	Risk Score
	Kenya (excluding areas listed separately)	Advise against all but essential travel to within 15km of the coast from the Tana River down to the Sabaki River North of Malindi. It covers Lamu County and those areas of Tana River County north of the Tana river itself. Lamu and Manda Islands are excluded.	Advise against all but essential travel to Mandera, Daadab and Garissa plus anywhere else within 60km of the Somali border (including areas North of Pate Island on the coast) ⁷ and Eastleigh in Nairobi
OVERALL RATING	4	4	4
FCO travel advice	4	5	5
Host nation travel advice	Not available	Not available	Curfew in Place
Transportation	4	4	4
Security	4	4	4
Civil unrest	5	5	5
Violence/crime	5	5	5
Terrorism	4	4	4
Espionage	Not available	Not available	Not available
War	1	1	3
Hurricane	1	1	1
Earthquake	1	1	1
Flood	2	2	2
Medical Services	3	3	4

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

NOTE: DSU only assess the overall rating and scores for Violent Crime, Terrorism and Civil Unrest

For these areas specific travel advice should be sought. See latest FCO travel advice for Kenya

April 2014

Appendix A: of Contract Section 3 (Terms of Reference) Schedule of Processing, Personal Data and Data Subjects

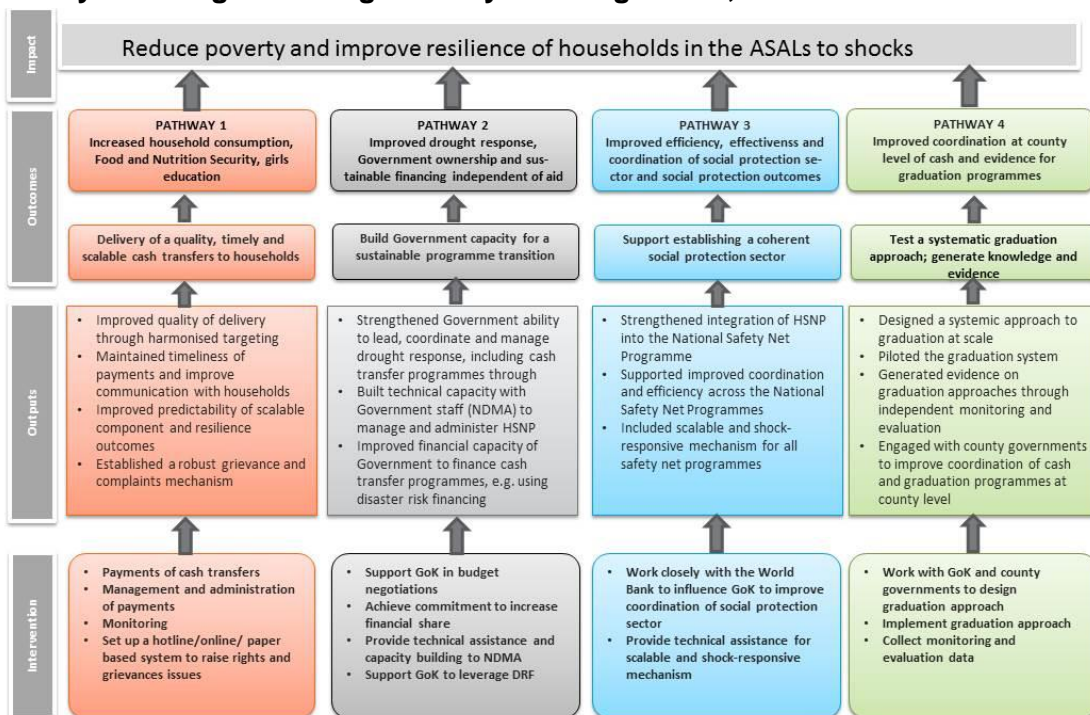
This schedule must be completed by the Parties in collaboration with each other before the processing of Personal Data under the Contract.

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

Description	Details
Identity of the Controller and Processor for each Category of Data Subject	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract</p> <ol style="list-style-type: none">1) The Parties acknowledge that Clause 33.2 and 33.4 (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the Parties are independent Controllers in accordance with Clause 33.3 in respect of Personal Data necessary for the administration and / or fulfilment of this contract.2) For the avoidance of doubt the Supplier shall provide anonymised data sets for the purposes of reporting on this project and so DFID shall not be a Processor in respect of anonymised data as it does not constitute Personal Data.

Appendix

Theory of Change for Hunger Safety Net Programme, Phase 3⁸



⁸ HSNP 3 ToC has evolved from the previous phase with the addition of: the expansion into 4 new counties; transition to GoK ownership, leadership and financing; nutrition sensitive top-up cash grants and the graduation pilots.

Annex B

Proformas

Redacted