



Department for  
Energy Security  
& Net Zero

## **Clean Energy Innovation Facility Platform – Monitoring, Evaluation and Learning Partner**

### **Invitation to Tender**

### **Volume 2 – Specification of Requirements**

**Tender Reference  
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## Glossary

Acronyms will be referred to throughout this document, including but not limited to:

A2D	Accelerate to Demonstrate Facility
ADB	Asian Development Bank
BEIS	Department for Business, Energy, and Industrial Strategy – the previous name of the commissioning Department
CEIF	Clean Energy Innovation Facility
DAC	Development Assistance Committee
Defra	Department for Environment, Food and Rural Affairs
DESNZ	Department for Energy Security and Net Zero, otherwise referred to as “the Authority”
DSIT	Department for Science, Innovation and Technology
ESMAP	Energy Sector Management Assistance Program
EQUALS	Evaluation Quality Assurance and Learning Stakeholders
FCDO	Foreign, Commonwealth & Development Office
GDPR	General Data Protection Regulation
GESI	Gender Equality and Social Inclusion
HMG	His Majesties Government
ICF	International Climate Finance
IFC	International Finance Corporation
ITT	Invitation to Tender
IUK	Innovate UK
KPI	Key Performance Indicators
MDBs	Multilateral Development Banks
MEL	Monitoring, Evaluation and Learning
MOU	Memorandum of Understanding
ODA	Official Development Assistance
OECD	The Organisation for Economic Co-operation and Development
PMO	Programme Management Office
SDGs	Sustainable Development Goals
UNFCCC	United Nations Framework Convention on Climate
UNIDO	United Nations Industrial Development Organisation
VfM	Value for Money
WB	World Bank

## 1. Programme context and background

### 1.1. The international context

International Climate Finance (ICF) is part of the UK's Official Development Assistance (ODA) and is delivered by the Department for Energy Security & Net Zero (DESNZ), Department for Science, Innovation and Technology (DSIT), Foreign, Commonwealth & Development Office (FCDO) and Department for Environment, Food & Rural Affairs (Defra). DESNZ's component of the ICF focuses on large-scale climate mitigation programmes in countries where climate mitigation potential is greatest – typically middle-income countries (MICs) with high or rapidly growing emissions and/or forest countries that play a critical role as major carbon sinks. This draws on DESNZ's ownership of and expertise in domestic decarbonisation, clean growth, innovation and green finance and remit as the lead Department on climate change mitigation and the UNFCCC negotiations.

Technology innovation is an essential part of meeting the goals of the Paris Agreement and the Glasgow Climate Pact. In September 2019, the UK launched the Ayrton Fund, which committed to spending up to £1bn of Official Development Assistance (ODA) on the research, development and demonstration (RD&D) of innovative clean energy technologies and business models for developing countries over the five-year period between April 2021 and March 2026. Prior to this the UK joined the international Mission Innovation initiative at its launch at COP21, where all members pledged to double their public sector spend on energy RD&D by 2020/2021. The UK made a £400m commitment to Mission Innovation with the aim to accelerate clean energy investment and innovation in order to provide reliable and affordable energy for all. Accelerated development and uptake of lower cost clean energy technologies in key sectors, including heavy industry, has the potential to deliver economic and development goals, while keeping global emissions within safe limits.

Global UK intervention is required through the umbrella Clean Energy Innovation Facility (CEIF) platform because:

- 1. There is an urgent need to accelerate clean energy technology commercialisation globally.** The International Energy Agency (IEA) (2021) states that for a global 2050 net zero scenario, almost half the emissions reductions come from technologies that are not yet commercial (currently at the demonstration or prototype phase). In heavy industry and long-distance transport, this figure is even higher.
- 2. Progress is particularly required in the Ayrton Fund supported themes.** There are innovation gaps which are restricting the pace of the clean energy transition, as technologies are not as effective or as widespread as they could be in the market to displace high carbon incumbents as quickly as they could (Breakthrough Agenda Report 2022).
- 3. Realising UK's domestic and international goals will be supported by the umbrella CEIF platform.** The UK's international goals include supporting developing countries to meet the Sustainable Development Goals (SDGs), reduce their dependence on fossil fuels through clean energy transitions, and mitigate climate change. To support those goals the UK has committed to providing £1bn for clean energy innovation under the Ayrton Fund commitment, up to March 2026, for which CEIF will help to realise. The UK is also driving

international progress on mitigating climate change through leading the Breakthrough Agenda and Mission Innovation, CEIF is supporting this progress.

4. **Developing clean technologies in developing countries, with benefits for global markets, can be helped by the umbrella CEIF platform.** By helping to build a localised production and demonstration of clean technologies in developing countries, the global market for clean technologies would be supported. Other countries, including the UK, will benefit from the reduced technology costs that global scale-up will drive, and in the medium-term could benefit from global trade in low-cost clean technologies.

## 1.2. The Clean Energy Innovation Facility (CEIF) platform

The umbrella Clean Energy Innovation Facility (CEIF) platform is one of the key platforms contributing to delivering the UK Government's £1bn Ayrton Fund ICF commitment for clean energy innovation in developing countries. The CEIF platform is delivered through three programmes and delivered through thematic-focused funds managed by different delivery partners as follows (For more information, Figure 1 provides a diagrammatic representation of the programmes, funds and timelines):

1. **Clean Energy Innovation Facility (CEIF) 1.0, £50m [2019-2024]** – CEIF 1.0 is delivered by four delivery partners and split into four thematic funds:  
1. Industrial Decarbonisation Innovation Fund (World Bank, through the Energy Sector Management Assistance Program (ESMAP)), 2. Sustainable Cooling Innovation Fund (International Finance Corporation (IFC), through the TechEmerge Program), 3. Artificial Intelligence & Digitalisation Innovation Fund (Asian Development Bank (ADB), through the Clean Energy Financing Partnership Facility (CEFPF)) and 4. Energy Storage Innovation Fund (Innovate UK, through the Energy Catalyst Programme).
2. **Clean Energy Innovation Facility (CEIF) 2.0, up to £55m [2023-2029]** – extends the CEIF 1.0 programme support to the Industrial Decarbonisation Innovation Fund, the Sustainable Cooling Innovation Fund and Smart Energy Innovation Fund (Formerly the AI and Digitalisation Fund) with the existing delivery partners. CEIF 2.0 includes an in-house managed £14m flexible funding pool, which is earmarked to respond to higher demand in any of the existing funds and programmes within the umbrella CEIF platform, supporting strategically important and in-scope projects outside of the existing funds, to establish new funds, to support analytical products and dissemination activities.
3. **Accelerate-to-Demonstrate (A2D) Facility, up to £65.5m [2023-2029]** – A2D is delivered by the United Nations Industrial Development Organization (UNIDO) and split into three thematically-focused pillars: Clean Hydrogen, Critical Minerals and Cross-Cutting (across the Ayrton Fund Challenges that the UK Department for Energy Security & Net Zero leads or co-leads)<sup>1</sup>.

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<sup>1</sup> <https://www.gov.uk/guidance/ayrton-fund>

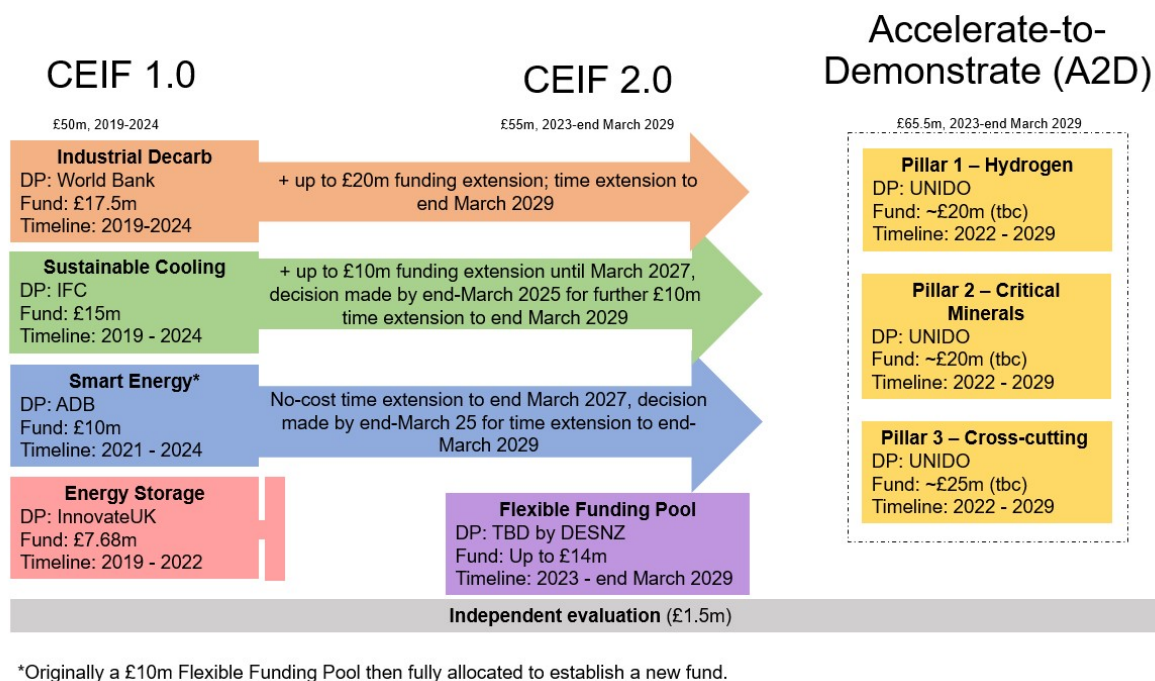


Figure 1 - CEIF Platform Diagram

All CEIF platform grant programmes aim to accelerate the commercialisation of innovative solutions in developing countries. All three programmes provide funding to advance the Technology Readiness Levels (TRLs) of innovative clean energy technologies (between TRLs 3-7) to bridge the ‘valley of death’ for innovation, the stage at which innovations often struggle to secure sufficient funding. In parallel the CEIF platform aims to increase in-country capacity and capability so that recipient countries can sustain research, development, and demonstration in the longer term and increase the potential for scale-up of innovative clean technologies by encouraging the sharing of lessons between countries. Supporting the development of innovative clean energy technologies will help ODA-eligible countries to meet the Sustainable Development Goals (SDGs), reduce their dependence on fossil fuels through clean energy transitions, raise climate ambitions and help to avoid the most severe climate impacts.

The CEIF platform is open to all ODA-eligible countries. There has been a greater proportion of projects from emerging economies, where the climate mitigation potential is greatest, in-line with DESNZ’s ICF strategy and this is expected to continue. A demand-led approach has been adopted and projects are selected based on their ability to have the greatest transformational change impacts.

To-date CEIF 1.0 has funded 87 projects across 26 countries. The largest recipient of CEIF funding has been India which has received 18% of disbursed funds, India has received funding from both the Sustainable Cooling Innovation Fund and the Industrial Decarbonisation Innovation Fund. The second biggest recipient is Vietnam which has received 14% of funding, however this funding was solely from the Industrial Decarbonisation Innovation Fund.

Approximate number of CEIF projects funded to-date by region:

- Africa has received ~44% of disbursed funds to-date.
- Asia-Pacific has received ~37% of disbursed funds to-date.
- Latin America has received ~15% of disbursed funds to-date.
- Central Asia has received ~5% of disbursed funds to-date.

An indicative project pipeline for CEIF 2.0 shows that geographical splits are likely to be similar for future funding.

### 1.3. Main programme activities

CEIF programmes provide grants to small-to-medium sized enterprises, larger corporations, governments, stated-owned enterprises, innovators, universities and research institutions via the delivery partners. The types of specific activities supported include:

- **Pilot projects:** pre-feasibility studies, feasibility studies (technical/ social/ economic/ environmental) and pilot-testing.
- **Knowledge production:** research, analysis, reports, market reviews, studies and in-country dissemination.
- **Capacity building:** in-country or virtual workshops with experts, local industry representatives, innovators and adopters.
- **Data collection:** performance data or survey data.

### 1.4. CEIF objectives

The overall aim of the umbrella CEIF platform is to accelerate the commercialisation of innovative clean energy technologies in ODA-eligible countries. The objectives of CEIF are:

1. To accelerate the commercialisation of clean energy technologies by advancing their Technology Readiness Levels (TRLs) in the “valley of death” range (TRLs 3-7) in developing (ODA-eligible) countries.
2. To facilitate knowledge-sharing, capacity building activities for innovators and adopters, and strong working relationships within and between supported stakeholders to create the necessary environments for supported innovative clean energy technologies to move towards commercialisation in developing countries.

Targeted support for RD&D should create pathways for the accelerated commercialisation and subsequently increased take-up of clean energy technologies. Support will help to accelerate learning across a range of solutions, build local capabilities and systems, stimulate wider investment and enable accelerated commercialisation for clean technologies.

The outcomes that the CEIF 2.0 aims to achieve are:

- **TRL progression:** Supported innovators have significantly progressed the TRL level of their technologies and are well positioned to subsequently ensure commercialisation after CEIF 2.0 funding is disbursed.
- **Market penetration:** Innovative solutions with emissions reduction potential have increased market penetration in the recipient country market.
- **Cost reductions:** Innovative solutions with emissions reduction potential have reduced in cost in the recipient country and are more easily and widely accessible.

- **Enhanced networks:** Sustained commercial relationships have been developed between innovators, adopters, end-users and other relevant stakeholders.
- **Greater transparency and collaboration:** Knowledge sharing and openness in innovation (including through supportive Intellectual Property and patents) has led to further innovation of solutions by non-CEIF-funded innovators, supporting the supply-side of technology markets.
- **Increased investment:** Wider public and private finance for innovative clean technology solutions has increased.

Please refer to Annex D for the Theory of Change diagram(s). It should be noted that over the next few months (before the Supplier is in contract), DESNZ will be updating the Theory of Change for CEIF 2.0 and A2D in-line with updated priorities. These changes are considered as a reframing rather than a re-write and will not notably alter the outcomes expected of the CEIF platform.

### 1.5. Monitoring, evaluation and learning on CEIF 2019-2023

There have not been any externally commissioned evaluations or evaluation scoping on the CEIF platform to date. Monitoring, Evaluation and Learning (MEL) has so far been delivered through the delivery partners MEL functions, DESNZ MEL and analytical teams and the CEIF programme team. This has included monitoring through the programme logframe, annual reviews, quarterly update calls and annual lessons learned workshops.

### 1.6. Further information and useful links

The Gov.uk Development Tracker website contains the CEIF 1.0, CEIF 2.0 and A2D business cases, logframe and annual reviews and can be found at:

<https://devtracker.fcdo.gov.uk/projects/GB-GOV-13-ICF-0037-CEIF/summary>

[IFC Sustainable Cooling Techemerge website: https://www.techemerge.org/our-focus/sustainable-cooling/](https://www.techemerge.org/our-focus/sustainable-cooling/)

[World Bank ESMAP homepage: https://www.esmap.org/](https://www.esmap.org/)

[ADB CEFPPF homepage: https://www.adb.org/what-we-do/funds/clean-energy-financing-partnership-facility](https://www.adb.org/what-we-do/funds/clean-energy-financing-partnership-facility)

[Innovate UK Energy Catalyst homepage: https://energycatalyst.ukri.org/](https://energycatalyst.ukri.org/)

## 2. CEIF evaluation and learning Statement of Requirements

### 2.1. Purpose and objectives

The primary purpose of the contract for the CEIF evaluation and learning partner is to maximise the efficiency, effectiveness, impact and sustainability of the umbrella CEIF platform and future programmes in the DESNZ ICF climate innovation portfolio.

The secondary purpose is to strengthen the DESNZ, and global, evidence base and address a key research gap on clean energy innovation for climate change mitigation in ODA eligible countries.

The objectives of the evaluation and learning are as follows:

**a) Strengthen the monitoring approach** deployed by the umbrella CEIF platform, including identifying the strengths and areas-for-improvement at a granular level for the programme(s) logframes and presenting recommendations for monitoring climate innovation in an ICF context.

**b) Perform independent evaluation** of the umbrella CEIF platform to:

- Assess the programme(s) contribution to its intended outcomes and impact, testing and validating the assumptions and validity of the programme theory(s) of change.
- Evaluate the design, management strategy and governance approach employed by the programme(s), generating lessons learned and recommendations to inform the improvement of the umbrella CEIF platform and other current and future ICF and climate innovation programmes.
- Compare and contrast the relative benefits and challenges of the delivery model(s) used by the umbrella CEIF platform programme(s) to deliver programme objectives, considering alternative approaches.
- Evaluate to what extent and how the programme(s) have generated wider SDG co-benefits, including, but not limited to, green job creation and gender equality benefits (such as Gender Equality and Social Inclusion (GESI) empowerment).

**c) Facilitate learning and effective knowledge dissemination**, to ensure that the information generated from the monitoring, independent evaluation(s) and from any other evidence generating activities is effectively used to strengthen the umbrella CEIF platform programmes, including its subsidiary funds and future ICF programming. This will include:

- Synthesising and disseminating lessons and best practice within the umbrella CEIF platform, its programmes and its funds.
- Sharing lessons and findings with a broader external and wider HMG audience to support wider progress in clean energy innovation and current and future ICF programming.

**d) Assess the Value for Money (VfM)** and the extent that the umbrella CEIF platform programme represents cost-effectiveness and good value-for-money in terms of DESNZ spend, using HMGs 4E approach. This should be tailored towards the specifics of an innovation programme.

**e) Inform and shape future decision making in the ICF climate innovation portfolio.** The findings generated by the research, evaluation and learning will be used to inform the future direction of the umbrella CEIF platform and help facilitate decision making on the direction of the DESNZ ICF climate innovation portfolio.

## **2.2. Outputs and scope**

To deliver the objectives above, the evaluation and learning partner will deliver five core outputs for the umbrella CEIF platform and provide support with active dissemination and learning activities.

The five core outputs will comprise of:

- 1. Scoping report:** Full evaluation and learning workplan and rapid evidence review.

2. **Research report:** Landscape review and analysis of wider climate innovation programmes.
3. **Output 1:** An interim process and impact evaluation and VfM assessment of the first phase of the CEIF programme (CEIF 1.0, 2019-2024), to be undertaken in CY2024.
4. **Re-scoping report:** Updated scoping report and workplan.
5. **Output 2:** A final process and impact evaluation and VfM assessment of the umbrella CEIF platform and its three programmes (CEIF 1.0, CEIF 2.0 and the A2D Facility), to be undertaken in CY2029.

Throughout the evaluation process and between the delivery of each output, the evaluation and learning partner will actively disseminate evaluation findings and recommendations from the core outputs, including monitoring the effectiveness of the dissemination activities, ensuring that the learning is relevant and implementable across the different components of the umbrella CEIF platform. In addition to this, the evaluation and learning partner will facilitate and participate in annual lessons learned workshops and actively share learning with the wider climate finance community to build the global evidence base.

Further details on scope, activities and deliverables are provided in section 6.

### 2.2.1. Scoping phase

After the contract has been awarded a detailed scoping phase will be required. The scoping phase will be divided into two parts to inform the design and development of the evaluation.

#### Part 1- Scoping report

During the scoping phase the Supplier will produce a scoping report including a rapid evidence review of core documents and the development of a full evaluation and learning workplan, including consultation with the five delivery partners (World Bank, IFC, ADB, Innovate UK and UNIDO) and other stakeholders. Further details on the expected scope of this work are provided in section 6.1.

#### Part 2- Research report: Landscape review and analysis of wider climate innovation programmes

To inform the evaluation the scoping phase will include an in-depth landscape analysis and a review of good practice in MEL and the design of monitoring frameworks and KPIs for clean energy innovation. This part will be a standalone deliverable, to provide lessons learned and recommendations to input into the design and management of the CEIF platform and wider UK ICF innovation programming. This research will also provide an essential input in the design of an effective theory-based evaluation approach, by situating the intervention in its wider landscape and drawing out contextual assumptions.

Part 2 will:

- a) Map the climate finance funding landscape for clean energy innovation under the Ayrton Fund thematic challenge areas, identifying key climate finance interventions that have relevant similarities (theme, funding size, financial support mechanism, technical assistance) to the umbrella CEIF platform, with a focus on ODA to developing countries.

b) Synthesise evidence on best practice deployed for MEL in the identified 'key interventions', with a focus on monitoring frameworks and innovation specific indicators.

For the full breakdown of the expected activities and deliverables for the scoping phase please refer to section 6.1.

## **2.2.2. Output 1- Interim evaluation of the umbrella CEIF platform**

A **process** and **impact** evaluation and **VfM** assessment of the CEIF 1.0 programme to be undertaken in CY2024.

The funds in scope for this evaluation are those conducted under the CEIF1.0 programme (2019-2024) and its four subsidiary funds:

1. Sustainable Cooling Innovation Fund – *Delivered by the International Finance Corporation*
2. Industrial Decarbonisation Innovation Fund – *Delivered by the World Bank*
3. Energy Storage Innovation Fund – *Delivered by Innovate UK (Operational 2019-2021)*
4. Artificial Intelligence (AI) & Digitalisation Innovation Fund – *Delivered by the Asian Development Bank*

The interim evaluation reports will be comprised of four parts:

### **Part 1- Process evaluation**

a) Provide lessons and recommendations to inform the future strategy, governance and where possible, design of the umbrella CEIF platform.

b) It will assess the design and the coherence of the CEIF 1.0 programme, its fund structure, management approach and the monitoring and learning approach that has been implemented to date. For more details on the activities to date and documents and data available for review, refer to section 6.

c) Provide recommendations for innovation specific logframe indicators and KPIs (that could be used in UK ICF Results reporting process) and methodologies for how the indicators and KPIs could be monitored and measured.

### **Part 2- Evidence synthesis on transformational change**

a) Building on the landscape review delivered in the scoping report, synthesise evidence on what and how the identified 'key interventions' have supported impact and fostered transformational change.

b) Provide recommendations on how the umbrella CEIF platform can replicate or adapt and adopt the key conditions for impact and transformational change in its programmes from the wider clean energy innovation landscape.

### **Part 3- Impact evaluation**

a) Assess the outcomes and impact of CEIF 1.0, determining the benefits it has created for recipients and testing the validity and underlying assumptions of its Theory of Change (please refer to Annex D for the Theory of Change).

b) The evaluation will provide further lessons and recommendations to inform the future efficiency, effectiveness and impact of CEIF 2.0 and A2D, including suggestions for updating their Theory of Change based on evidence from CEIF 1.0.

c) Determine what wider SDG co-benefits, including green job creation and gender equality (including Gender Equality and Social Inclusion (GESI) empowerment) have been enabled by the programme and how.

#### **Part 4- Value for money assessment**

a) Assess to what extent the programme represents cost-effectiveness and good value-for-money in terms of DESNZ spend, using HMGs 4E approach - Economy, Efficiency, Effectiveness, Equity

b) Provide recommendations on the appropriateness and suitability of the programme's value-for-money monitoring.

For a full list of the required deliverables, please refer to section 6.2.

#### **2.2.3. Re-scoping phase**

It is anticipated that a re-scoping phase will be needed before the start of the final evaluation so that the findings of the interim evaluation will inform and strengthen the design of the final evaluation. For further information on the re-scoping phase refer to section 6.3.

#### **2.2.4. Output 2- Final process and impact evaluation of the umbrella CEIF platform**

A final **process** and **impact** evaluation of the umbrella CEIF platform, its three subsidiary programmes (CEIF 1.0, 2.0 and the A2D Facility) and sub-funds, to be undertaken in CY2029.

The programmes and funds in scope for this evaluation are: CEIF 1.0 (x4 funds, 2019-2024), CEIF 2.0 (x3 fund extensions, 2023-2029), and the Accelerate-to-Demonstrate (A2D) Facility:

1. CEIF Sustainable Cooling Innovation Fund – *Delivered by the International Finance Corporation (IFC), through the IFC's TechEmerge Program* (CEIF 1.0: 2019-2024). For CEIF 2.0, the delivery route is yet to be confirmed. 2023-2027)
2. CEIF Industrial Decarbonisation Innovation Fund – *Delivered by the World Bank, through the World Bank's Energy Sector Management Assistance Program (ESMAP)* (CEIF 1.0: 2019-2024, CEIF 2.0: 2023-2029)
3. CEIF Energy Storage Innovation Fund – *Delivered by Innovate UK (UK Research & Innovation (UKRI)), through Innovate UK's Energy Catalyst Programme* (CEIF 1.0: 2019-2021)
4. CEIF Smart Energy Innovation Fund (Formerly the AI and Digitalisation Fund) – *Delivered by the Asian Development Bank (ADB), through the ADB's Clean Energy Financing Partnership Facility (CEFPF)* (CEIF 1.0: 2019-2024, CEIF 2.0: 2023-2027)
5. Accelerate-to-Demonstrate (A2D) Facility - *Delivered by the United Nations Industrial Development Organization (UNIDO)* (A2D Facility: 2023-2029)

The final evaluation reports will be comprised of three parts:

#### **Part 1- Process evaluation**

a) Provide lessons and recommendations to inform the future strategy, design and governance of DESNZ ICF programmes and in particular the ICF innovation portfolio.

b) Assess the design and the coherence of the umbrella CEIF platform, its programme and fund structure, management approach and the monitoring and learning approach that has been implemented.

### **Part 2- Impact evaluation**

a) Assess the outcomes and impacts of the umbrella CEIF platform and its component programmes, analysing the delivery and results across the programme lifespans and testing the validity of the Theory of Change (please refer to Annex D for the Theory of Change).

b) Follow-up post hoc assessment of substantive results for CEIF 1.0 to determine the validity of reported expected results and assess actual programme outcomes and impacts.

c) Determine what wider SDG co-benefits, including green job creation and gender equality (including Gender Equality and Social Inclusion (GESI) empowerment) have been enabled by the programmes and how.

### **Part 3- Value for money assessment**

a) Assess to what extent the umbrella CEIF platform was cost-effective and good value-for-money in terms of DESNZ spend, using HMG's 4Es approach- Economy, Efficiency, Effectiveness, Equity. This should be tailored towards the specifics of an innovation programme.

For a full list of the required deliverables, please refer to section 6.4.

#### **2.2.5. Learning and dissemination**

Learning and dissemination is an important part of this contract and the Supplier will be responsible for disseminating learning and encouraging the implementation of recommendations and improvements from the evaluation and research outputs. The primary audience for receipt of the learning objectives will be DESNZ and umbrella CEIF platform stakeholders including the delivery partners. The secondary audience includes, wider ICF programmes, including across government and the wider climate finance community.

Learning and dissemination outputs will include:

a) The annual sharing and facilitating of lessons learned within the umbrella CEIF platform, enabling real-time feedback of learning back into the programme to enable improvements.

b) Dissemination of evaluation and research findings to primary audiences, presenting detailed findings and recommendations to enhance the programmes processes and impact.

c) Dissemination of evaluation and research findings to secondary audiences through presentations at events, including conferences, encouraging debate on the findings, recommendations and helping to inform the future climate innovation programming of HMG and the wider climate finance community.

The full list of learning and dissemination deliverables are provided in section 7.

#### **2.3. High-level timeline of umbrella CEIF platform programmes and core outputs**

Figure 2 below provides a high-level timeline of the CEIF platform programme and the expected due dates of the core evaluation and learning outputs. For more in-depth information on timelines and deliverables, please refer to section 8.

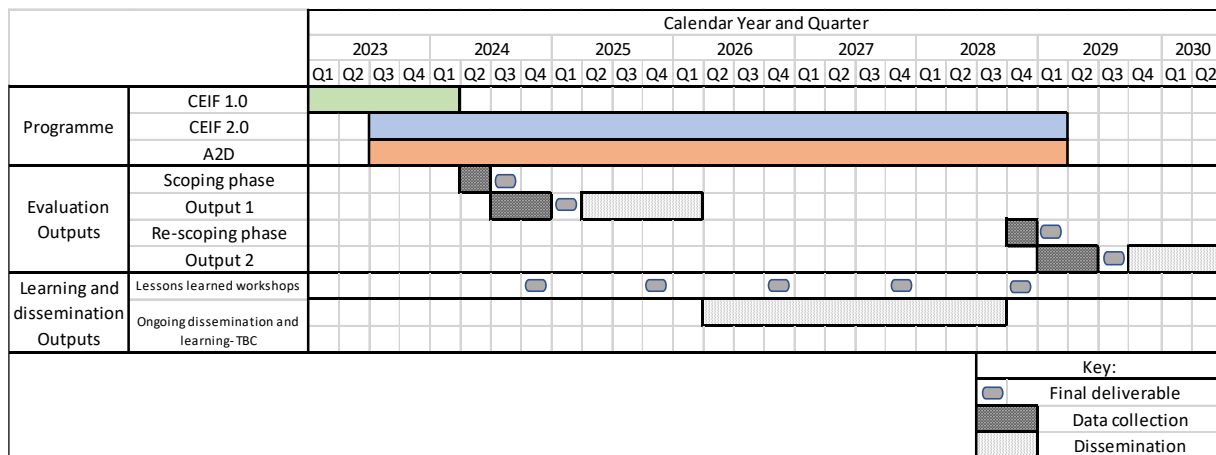


Figure 2- High-level timeline of CEIF programmes and core evaluation and learning outputs

### 3. Evaluation framework

The umbrella CEIF platform is comprised of three programmes (CEIF 1.0, CEIF 2.0 and the A2D Facility), five funds delivered by five delivery partners (World Bank, IFC, Innovate UK, ADB and UNIDO) and one fund delivered in-house (the Flexible Funding Pool), it covers eight different thematic areas (industrial decarbonisation, sustainable cooling, energy storage, smart energy, clean hydrogen, critical minerals, energy efficiency and clean transport). CEIF 1.0 has delivered projects in 27 countries to date and this number could expand under CEIF 2.0 and the A2D Facility. Considering the complexity of the umbrella CEIF platform's activities and to ensure that equal coverage is provided to each programme and fund, the following tiered evaluation framework is proposed for assessment of the evaluation questions.

**Tier 1:** Evaluation questions are assessed at the overarching umbrella CEIF platform level.

**Tier 2:** Evaluation questions are assessed at the programme level (CEIF 1.0, CEIF 2.0 and the A2D Facility)

**Tier 3:** Evaluation questions are assessed at the fund-level (applies to CEIF 1.0 and CEIF 2.0 but not to the A2D Facility. For A2D, Tier 3 evaluation questions will be assessed at the programme level).

**Tier 4:** Evaluation questions are assessed through country and/or project deep dives.

It is proposed that the Supplier uses the OECD DAC Evaluation Criteria (see Figure 3) in the assessment of the evaluation questions, the relevant criteria have been mapped to the evaluation questions in the following section.



Figure 3 - OECD DAC Evaluation criteria  
(<https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>)

#### 4. Evaluation questions

There are eight proposed high-level evaluation questions with sub-questions across each evaluation provided for guidance in Table 1. The aim of these questions is to comprehensively evaluate the umbrella CEIF platform and meet the objectives of Part 1- Process evaluation, Part 2- Impact evaluation and Part 3- Value for Money Assessment for Outputs 1 and 2.

These are suggested questions and the Supplier may propose alternative or refined approaches to the evaluation questions in their proposal, in order to meet the objectives of the evaluation as laid out in section 1.

Table 1- Evaluation questions for interim, final and VfM evaluation of the umbrella CEIF platform.

Evaluation Question	Suggested sub-questions	OECD DAC Evaluation Criteria	Output 1			Output 2			Level of Evaluation (Tier)
			Process	Impact	VfM	Process	Impact	VfM	
<b>1.</b> To what extent and how has the programme(s) directly contributed to the outcomes and impacts identified in its Theory of Change?	<b>1a.</b> To what extent have innovators funded through the programme(s) advanced the TRLs of supported technologies?	Effectiveness, Impact		x			x		Tier 3 and 4
	<b>1b.</b> To what extent, and how, have CEIF programmes(s) contributed to any advancement in TRLs of supported technologies?	Effectiveness, Impact		x			x		Tier 3 and 4
	<b>1c.</b> Have the objectives of the programme(s) been achieved or on course to being achieved as expected?	Effectiveness, Relevance		x			x		Tier 2
	<b>1d.</b> What have been the barriers and enablers to achieving these outcomes at the project and fund level?	Effectiveness, Relevance		x			x		Tier 4
<b>2.</b> To what extent, and in what ways, have the outcomes generated by the programme(s) led to transformational change in its geographical and technological areas?	<b>2a.</b> What were the specific drivers of transformational change in each theme, how do they compare and what was most influential?	Effectiveness, Impact, Sustainability		x			x		Tier 2 and 4
<b>3.</b> To what extent does CEIF 1.0 operate as a single coherent programme?	<b>3a.</b> How well-aligned are the four component CEIF 1.0 Funds (Sustainable Cooling Innovation Fund (IFC), Industrial Decarbonisation Innovation Fund (WB), Energy Storage Innovation Fund (IUK), AI and Digitalisation Innovation Fund (ADB)) with the programme's Theory of Change, aims and objectives?	Relevance, Coherence	x						Tier 2 and 3
	<b>3b.</b> Was splitting the funding through multiple delivery partners under CEIF 1.0 the most effective way of managing and delivering the programme to achieve transformational change and TRL	Relevance, Coherence	x						Tier 2

	acceleration in the targeted thematic areas?								
4. To what extent has the umbrella CEIF platform operated as a single coherent portfolio?	4a. How well aligned were the three programmes under the platform in meeting the overall aims and objectives of the platform and the Ayrtton Fund commitment?	Relevance, Coherence				x			Tier 1
	4b. How well-aligned were the component CEIF 1.0 Funds and flexible funding pool (Sustainable Cooling Innovation Fund (IFC), Industrial Decarbonisation Innovation Fund (WB), Energy Storage Innovation Fund (IUK), AI & Digitalisation Innovation Fund (ADB) and Flexible Funding Pool 1.0), the component CEIF 2.0 Funds and flexible funding pool (Sustainable Cooling Innovation Fund (IFC) extension, Industrial Decarbonisation Innovation Fund (WB) extension, AI & Digitalisation Innovation Fund (ADB) extension and Flexible Funding Pool 2.0), and the A2D Facility with the programmes' theories of change, aims and objectives?	Relevance, Coherence				x			Tier 1 and 2
5. To what extent has the CEIF 1.0 monitoring and learning approach been suitable for assessing and improving the performance and management of the programme?	<p>5a. To what extent is the CEIF 1.0 monitoring framework suitable for assessing the performance of the programme and its component funds against its objectives?</p> <p>i. Were the logframe indicators fit-for-purpose? (2019-2024)</p> <p>ii. What are some practical and specific recommendations for overcoming data challenges for measuring Impact Indicators 1 &amp; 2, private finance leveraged and job creation?</p>	Efficiency	x						Tier 2

	iii. How have delivery partners measured TRL advancement and private finance leveraged, what are the similarities and differences in their approach and how comparable are they?								
	5b. How well are lessons learned disseminated between the CEIF 1.0 Funds within the programme (both by DESNZ and by delivery partners) and changes implemented as a result, and how effective have the changes been?	Efficiency	x						Tier 2
	5c. How have the outputs and products from supported activities been disseminated to wider external stakeholders, and how effective are they?	Efficiency, Effectiveness	x						Tier 2 and 3
6. Was the umbrella CEIF platform management approach agreed with the delivery partners appropriate and successful?	6a. To what extent has the programme design and DESNZ governance and management approach been the most effective way of achieving the programme objectives?	Coherence	x			x			Tier 1
	6b. How effective were the performance management processes for each programme and each fund under the umbrella CEIF platform?	Efficiency	x			x			Tier 1, 2 and 3
	6c. Were the programme reporting and governance structures within and across DESNZ and the delivery partners fit-for-purpose for the CEIF platform programme and each subsidiary programmes?	Efficiency	x			x			Tier 1, 2 and 3

<p><b>7.</b> To what extent are the programmes and funds under the umbrella CEIF platform representing cost-effectiveness and good value-for-money in terms of DESNZ spend?</p>	<p><b>a.</b> Economy – does each programme and fund manage resources economically, buying inputs of the appropriate quality at the right price?</p> <p><b>b.</b> Efficiency – does each programme and fund produce the intended quality and quantity of deliverables (outputs), within the available resources?</p> <p><b>c.</b> Effectiveness and Cost effectiveness – does each programme and fund achieve its intended outcomes and impact and this is deemed sufficient relative to the inputs invested?</p> <p><b>d.</b> Equity – does each programme and fund (i) clearly define the intended target group for each intervention, and (ii) reach the identified target groups? (Including but not limited to poor and marginalised groups and women)</p>	N/A			x			x	Tier 2 and 3
<p><b>8.</b> To what extent and how has the programme(s) generated SDG co-benefits through its programme activities?</p>	<p><b>8a.</b> What co-benefits have been generated by the programme(s) and what SDGs do they sit under?</p>	Impact, sustainability		x			x		Tier 2 and 4
	<p><b>8b.</b> How well was GESI mainstreamed into the processes of the umbrella CEIF platform and each of its programmes, funds, and the results frameworks of delivery partners?</p>	Efficiency	x			x			Tier 1,2 and 3
	<p><b>8c.</b> What have the programme(s) achieved in creating GESI and Just Transition co-benefits?</p>	Impact, sustainability		x			x		Tier 3 and 4

## **5. Methodology and data collection**

Supplier proposals will offer a fully developed evaluation approach, methodology and an approach for data collection, analysis and synthesis to meet the objectives of the evaluation as outlined in this Specification of Requirements. The methodology may include the elements proposed below but valid alternative approaches may be presented in the Suppliers proposal.

### **5.1. Evaluation approach**

The Supplier will deliver evaluations that consist of process, impact and value for money evaluation and incorporate the OECD DAC Evaluation criteria. To deliver the evaluation, multiple data collection and analysis approaches will be used, incorporating both qualitative and quantitative analysis methods. These methods will be clearly brought together through a clear overarching evaluation framework (or frameworks) which should provide a clear line of sight between the evidence, the conclusions and any recommendations. This will ensure that any causal inference is supported by evidence and provide a framework for the synthesis of findings.

Considering the complexity and context (thematic and geographical) of the umbrella CEIF platform and climate programmes as whole, DESNZ anticipates that a theory-based evaluation approach will be most appropriate for assessing the outcomes and impact of the CEIF platform and its subsidiary programmes. A theory-based evaluation (for instance contribution analysis or process tracing) allows for a mixture of quantitative and qualitative methods, to build a contribution story and assess the causal links between the observed evidence and the intended outcomes and impacts. The analysis should use a triangulation of different data sources to validate causal inferences and reduce bias in claims of contribution towards the outcomes and impact. The current Theory of Change(s) for CEIF 1.0, CEIF 2.0 and A2D are provided in Annex D. It should be noted that over the next few months (before the Supplier is in contract), DESNZ will be updating the Theory of Change for CEIF 2.0 and A2D in-line with updated priorities. These changes are considered as a reframing rather than a re-write and will also be reflected in the logframe design for these programmes going forward.

The Supplier should draw on a wide range of technical experience in evaluating climate innovation, development programmes and technical assistance and should consider and understand the challenges of evaluation in this context. The complexity and size of the umbrella CEIF platform, its subsidiary programmes and funds, mean that it is essential that a clear evaluation framework is used, that balances generating analysis and recommendations at both granular and generalisable levels. Granular recommendations are considered as specific, actionable recommendations at a fund or even project level, that may be context specific, but will lead to well targeted and impactful change if implemented. Generalisable recommendations are broader, high-level recommendations that apply across the programmes, funds and contexts, enabling standardised enhancement across the programme.

The Supplier should expand on the suggested evaluation approach, providing detail on their overall methodology, approaches to data collection, data analysis and data synthesis and laying out a clear framework for assessment of the evaluation questions to meet the objectives outline in section 1. Alternative approaches may be suggested when strong justification is provided on the rationale for the approach.

Bidders must submit just one final evaluation approach and methodology. The bidder should outline why the suggested approach is the best in the context of this evaluation and why, including the benefits and risk associated with the approach. Bidders should set out their recommended evaluation approach weighing up the pros and cons of alternative approaches. All bids must be within the indicated budget, timeline, and output criteria, regardless of methodology.

## **5.2. Stakeholders**

The following non-exhaustive list of stakeholders should be considered when conducting key informant interviews:

Delivery partners:

- The World Bank's ESMAP Industrial Decarbonisation team.
  - Additionally key World Bank lending operations, task team leaders and country offices where relevant.
- The International Finance Corporation's Sustainable Cooling TechEmerge team.
- Innovate UK's Energy Catalyst team.
- The Asian Development Bank's CEFPF team.
- United Nations Industrial Development Organization, Accelerate 2 Demonstrate facility team.

Project beneficiaries:

- Innovators and adopters.
- Pilot project teams.
- Recipients of technical assistance and knowledge products, including national and local ministries, other multi-lateral organisations and teams.

Other stakeholders:

- UK Embassies and where relevant, public policy makers, industry associations, universities, and other relevant stakeholders in countries supported by the CEIF platform.

The full list of key informants should be developed during the scoping phase and may require a snowball sampling approach where key contacts at each stakeholder organisation are asked to recommend key informants. It is anticipated that some stakeholders may be hard to reach and engage with. The Supplier's approach should ensure that key stakeholders participate in the evaluation and manage the delivery risk in terms of potential data gaps in the event of poor responses. DESNZ will assist in getting access to stakeholders where necessary, particularly where stakeholders are UK Government employees, e.g. UK Embassy staff and are essential to data collection.

## **5.3. Data collection methods**

The following non-exhaustive list of data collection methods may be required:

- Desk-based review of programme documents, reporting and existing literature.

- (Online) stakeholder interviews with delivery partners, stakeholders, beneficiaries.
- (Online) surveys with delivery partners, stakeholders, beneficiaries.
- Workshops with the programme team (DESNZ and the delivery partners).
- Country visits if appropriate and within budget to validate results through site visits, in-person interviews with hard-to-reach stakeholders and to collect additional primary and/or secondary data where an in-person visit greater facilitates this. When selecting countries for in-person visits, countries should be selected based on the presence of projects from multiple CEIF platform funds to enable the most efficient data gathering for feeding into a number of case studies. DESNZ will work with the Supplier and UK Embassies to assist with the logistics of stakeholder and data access in country visits if necessary.

The Supplier will triangulate and synthesise multiple strands of evidence, make sense of contradictory evidence, assess the strength of evidence against the evaluation questions and consider causality. The evaluation of the umbrella CEIF platform is complex due to the nature of the programme design, thematic areas of focus, different data collection activities and timeframes and geographical scope. The Supplier will bring all the evidence together to allow the assessment of the evaluation objectives and to consider the contribution to the CEIF platform Theory of Change. This requires clarity of thought and a clear structure to the evaluation.

The Supplier will manage all the risks associated with their proposed data collection and evidence synthesis approach. Risks could include: unavailability of key documents, poor quality information provided by interviews and surveys, poor survey response rates, staff turnover in organisations holding key institutional knowledge. In addition to this, the Supplier should outline how they will manage any biases associated with their proposed data collection approach. For instance, how to manage the biases associated with snowball sampling of key informant interviews and low response rates. In particular, groups such as project beneficiaries may be hard to reach, which if underrepresented in the sample, may impact on findings.

#### **5.4. Data sources**

Outlined in table 2 is a non-exhaustive list of currently available (and expected future) sources of data that the Supplier will be able to draw on in the evaluation. The DESNZ assessment of the data quality of monitoring data provided by the CEIF platform delivery partners is that it is of a high standard due to the well-established and robust M&E functions of the selected delivery partners. However, prospective bidders should also be aware that a lack of methodological alignment between the delivery partners for some logframe indicator data collection and reporting is a limitation of the current monitoring approach.

Table 2- Currently available and expected future data sources.

Currently available sources of data				
Data source/ document	Owner	Frequency of collection/ production	Availability (RAG rating)	Notes
Core programme documents, including CEIF 1.0, 2.0 and A2D business cases, administration arrangements, Theory of Change(s)	DESNZ	One off		Immediately available.
CEIF 1.0 programme annual review (2019-2023)	DESNZ	Annual		Annual review of programme performance against outputs. Previous year's annual reviews are available on devtracker: <a href="https://devtracker.fcdo.gov.uk/projects/G-B-GOV-13-ICF-0037-CEIF/documents">https://devtracker.fcdo.gov.uk/projects/G-B-GOV-13-ICF-0037-CEIF/documents</a>
CEIF 1.0 results note and KPI 15 methodology	DESNZ	Annual		Results note for reporting portfolio KPIs and bespoke KPI 15 methodology for measuring transformational change.
CEIF 1.0 programme logframe (2019-2023)	DESNZ	Annual		This is the programme level logframe collating data from each CEIF fund. This is commissioned from each fund annually between November and February. Previous years logframes are available on devtracker: <a href="https://devtracker.fcdo.gov.uk/projects/G-B-GOV-13-ICF-0037-CEIF/documents">https://devtracker.fcdo.gov.uk/projects/G-B-GOV-13-ICF-0037-CEIF/documents</a>
Industrial Decarbonisation Fund results framework (ESMAP results framework)	World Bank	Annual		The ESMAP results framework is easily available online, as is data through the ESMAP Dashboard <a href="https://www.esmap.org/activities">https://www.esmap.org/activities</a>  Fund specific results for Industrial Decarbonisation will have to be requested directly, or can be collated using P# from the dashboard, cross-referenced with P# of CEIF supported projects.

Sustainable Cooling Fund results framework (TechEmerge results framework)	IFC	Annual		The fund specific results framework will have to be requested specifically from IFC. DESNZ can provide quarterly update packs provided by the IFC with more detailed results immediately.
AI and Digitalisation (Smart Energy) Fund results framework (CEFPF results framework)	ADB	Annual		No data has yet been provided by the AI and Digitalisation fund as there are not yet any active projects. Access to the fund specific results framework will need to be requested from the ADB.
Energy Storage Fund results framework (Energy Catalyst results framework)	InnovateUK	Annual		This fund is now closed, access to the fund specific results framework could be requested from InnovateUK, but we are unclear as to the availability.
External Evaluation of the ESMAP 2017-20 Business Plan period	World Bank	2020 then every four years		Available online.
External Evaluation of the CEFPF	ADB	2022		Available online.
Value for Money data, e.g. disbursement information	WB, IFC, ADB	Every 6 months		Data on disbursements is collected from quarterly meetings with the Delivery Partner for two quarters of each year.
<b>Expected future sources of data</b>				
CEIF 2.0 and A2D annual reviews	DESNZ	Annual		2024 first reporting year
CEIF 2.0 and A2D Logframes	DESNZ	Annual		2024 first reporting year
CEIF 2.0 and A2D results notes and KPI methodologies	DESNZ	Annual		2024 first reporting year
Value for Money data, disbursement information etc.	WB, IFC, ADB, UNIDO	Every 6 months/ annually	TBC	DESNZ is currently working to establish better VfM reporting processes with the delivery partners and would expect that in the future this data will be more comprehensive and readily available.
Fund level results frameworks (ID, SC, SMART Energy)	WB, IFC, ADB	Annual	Same as above/ TBC	Same as above for current data
UNIDO results framework for A2D	UNIDO	Annual	TBC	As A2D is delivered through a new facility solely funded by DESNZ, it is anticipated that data access will be simple and the results framework will be

				completely aligned with the DESNZ logframe
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## 6. Activities and deliverables

The following sections provide indicative activities for the supplier that will be shaped and supplemented in supplier proposals. The Authority welcomes alternative activities that can demonstrably meet the project objectives.

The deliverables stated below are **required deliverables**. Suppliers are welcome to suggest additional deliverables that would contribute to the project objectives.

### 6.1. Scoping phase

The Supplier will deliver a scoping report (comprising of 2 parts) within 16 weeks of the contract signature, refining proposals made during the bidding stage and setting out final details of how and when the Supplier expects to meet the objectives of the evaluation through the interim and final reports. The scoping report will present a detailed workplan for delivering the evaluations and will develop the evaluators understanding of the wider landscape of climate innovation financing and ensure that a rigorous and well researched evaluation approach is developed.

In parallel to delivery of the scoping report the supplier will agree collaboration arrangements with the CEIF platform delivery partners and identify and set out how they will collaborate with other key stakeholders to support the effective delivery of the evaluation.

The following activities should be undertaken and will be supplemented and detailed in the Supplier's proposal according to their proposed approach and methodology:

#### a) Establish key stakeholders and ways of working

It is likely that this will entail:

- **Coordinating with the umbrella CEIF platform delivery partners** to agree protocols for collaboration on evaluation activities with DESNZ and each delivery partner. This will include where necessary, formal data sharing arrangements, feed-in points for the delivery partners, reporting schedule, roles and responsibilities (including expectations for timely data sharing) and timelines. The Supplier will lead on establishing a data sharing agreement and principles of working together with the delivery partners. Where delivery partners are not currently signed up to an Administration Arrangement, appropriate agreements will be put in place to ensure access to resources for the Supplier.
- **The Supplier will propose a full list of stakeholders to be engaged in the evaluation**, an engagement strategy and as necessary a method for shortlisting key stakeholders for prioritised engagement. The Supplier will need to be mindful that prior delivery partners are no longer in contract with DESNZ and although we anticipate they will be supportive of the work, we must be mindful of expectations on their time. In the case of a poor response from stakeholders and/or a lack of access to previous delivery partners, a plan to mitigate against the risk of potential data gaps should be proposed.
- **Data access**- DESNZ is making the assumption that the supplier will have the access to all the data that they need within a reasonable timeline, based on the data that the

Department already has access too, such as comprehensive monitoring data and the working arrangements that are in place with delivery partners. The Supplier should outline in their bid any mitigations and tolerances to the risk that, for any reason the accessibility of data changes or the timeliness of delivery is not sufficient. In the instance of non-compliance or slow response by any delivery partners to reasonable requests for data or access to documents, DESNZ will assist in resolving the issue.

## **b) Part 1- Scoping report**

This could include, but is not limited to:

- **Review of the core documents**, including, but not limited to, the CEIF 1.0 business case and the delivery partner Administration Arrangements for the CEIF 1.0 programme period. These can be made available to the Supplier immediately by DESNZ.
- **Review of all monitoring, evaluation and learning documents**, including, but not limited to, the CEIF 1.0 Theory of Change, the CEIF 1.0 logframe, annual reviews (2019-2024), delivery partner results frameworks and any past evaluations that may be of relevance to CEIF 1.0, such as for ESMAP and CEFPPF. Most of these resources can be made available to the Supplier immediately by DESNZ, delivery partner results frameworks and additional data, may need to be requested separately by the Supplier during the scoping phase.
- **A rapid evidence review**, of available data from the logframe, delivery partners results frameworks, value for money data (e.g. disbursement information), including the level of disaggregated data, and wider documents of relevance produced by the delivery partners (e.g. annual reports). This review will guide the evaluators in how to prioritise the collection of supplementary data for analysis.
- **Prepare a detailed workplan**, for delivering the evaluation, outlining the delivery approach, timelines and milestones for the planned activities for Outputs 1 and 2. The plan should include:
  - i) The refined evaluation questions that have been tested for viability and scope within the agreed budget, the proposed deep dive case study areas, methods and outputs, timelines, risk registers, quality assurance plan, the proposed means and frequency of interaction with DESNZ and other stakeholders, and a gender, equality, and social inclusion (GESI) assessment, outlining how gender and inclusion issues will be addressed in the evaluation.
  - ii) A final list of stakeholders who will be engaged as part of the evaluation process with detail of the analytical approach used to structure engagement (e.g., semi-structured interviews, focus groups).
  - iii) A management plan setting out how the Supplier will ensure that the evaluation and learning outputs are delivered to an acceptable quality and outline the ways of working with DESNZ, the delivery partners, previous

delivery partners and other identified key stakeholders including timelines for DESNZ reviews of outputs.

- iv) Completion of appropriate protocols (e.g. ethics forms, data sharing agreements) to ensure that all participants give informed consent to participate in research activities. DESNZ will assist the evaluators in the agreement of these protocols as necessary. Bidders should propose plans on how standards will be maintained and checked throughout.
- v) A budget breakdown and financial forecast in line with the proposal for CEIF platform evaluation, for all planned activities, broken down by activity per quarter for the period 2024-2029.
- vi) An evaluation dissemination and learning plan providing detailed plans for the active and targeted dissemination of evaluation and research outputs, including the identification of dissemination events and stakeholders.

### c) Part 2- Landscape review and analysis of wider climate innovation programmes

This could include, but is not limited to:

- Map the climate finance funding landscape for clean energy innovation under the Ayrton Fund thematic challenge areas, identifying 3-5 key climate finance interventions that have relevant similarities (theme, funding size, financial support mechanism, TA) to the CEIF platform programme, with a focus on ODA to developing countries.
- Synthesise evidence on best practice deployed for MEL in the identified key interventions, with a focus on monitoring frameworks and innovation specific indicators.

The supplier will determine the most appropriate means of delivering these findings, but possible activities could include:

- **High-level review (through literature review and market research and engagement)** to scan the ODA funding and implementation landscape for suitable climate innovation programmes to analyse and draw lessons from.
- **Deep dive analysis** of 3-5 climate finance interventions with relevant similarities to the CEIF platform programme.
  - **If possible, the 3-5 'key interventions' will meet the following criteria:**
    - Support pre-commercialised innovation between TRLs 3-7.
    - Each identified intervention should support at least one of the thematic focuses of the CEIF platform.
    - Provide overseas development assistance (ODA).
- **Review of programme results frameworks (logframes) and other donor countries, multilaterals and other large organisations KPI frameworks.** Indicators and KPIs should be mapped against the CEIF programmes and Ayrton Fund theories of change to

identify suitable indicators and KPIs that could enhance DESNZ monitoring and reporting.

**d) Deliverables of scoping phase**

- i) Part 1- A scoping report consisting of the outputs of the activities detailed in Part 1, including evidence and document review and workplan. The report will also include an executive summary and technical annexes.
- ii) Part 2- Landscape review and analysis of wider climate innovation programmes to include:
  - Executive Summary
  - Landscape analysis
  - Technical Annexes including:
    - o Literature review,
    - o Database of innovation specific indicators and potential innovation KPIs.
    - o 1-2 proposed innovation specific KPIs with high-level proposed methodologies for data collection, including key definitions and quality assurance processes.

**6.2. Output 1 - Interim evaluation of the umbrella CEIF platform**

The interim evaluation of the umbrella CEIF platform will consist of four parts:

**a) Part 1- A process evaluation**

Evaluation findings should be both granular and generalisable and should be applicable to CEIF 2.0, A2D and the CEIF platform as a whole.

The supplier will deliver evaluation findings on:

- The coherence and effectiveness of the design of CEIF 1.0 and its four component funds and the appropriateness of this mechanism for delivery as a single programme under a common overarching Theory of Change.
- The suitability and effectiveness of the monitoring and learning approach of CEIF 1.0. Including recommendations for innovation specific logframe indicators and KPIs (that could be used in UK ICF Results reporting process) and methodologies for how the indicators and KPIs could be monitored and measured.
- The appropriateness and effectiveness of the programme management approach, performance management and governance structures.

Possible activities for delivering these findings could include:

- **Desk-based analysis of programme documentation**, including, the CEIF 1.0 business case, Theory of Change, delivery partner administration arrangements, side letters and other programme management documentation. Desk based research will develop a

comprehensive picture of the programme context, design, set-up and delivery and risks, mitigations, strategy and governance approach.

- **Desk-based analysis of the monitoring approach**, including further quantitative analysis and investigation of data from the programme logframe, results note, delivery partner results framework and where appropriate additional datasets identified in the scoping phase.
- **Interviews to test, validate and challenge the desk-based analysis**, to be conducted with key delivery partner staff, including programme management and MEL, project beneficiaries and DESNZ programme team, analysts and PMO.

#### **b) Part 2- Evidence synthesis on transformational change**

- Building on the landscape review delivered in the scoping phase, synthesise evidence on what and how the 3-5 identified key climate finance interventions in clean energy innovation have supported impact and fostered transformational change.
- Provide recommendations on how the CEIF platform programme can replicate or adapt and adopt the key conditions for impact and transformational change from the wider clean energy innovation landscape.

Possible activities for delivering these findings could include:

- **Desk-based analysis of 3-5 key climate finance interventions** in clean energy innovation that are mature enough to have produced impactful results and/or transformational change.
  - **If possible the 3-5 'key interventions' will meet the following criteria:**
    - Support pre-commercialised innovation between TRLs 3-7.
    - Each identified intervention should support at least one of the thematic focuses of the CEIF platform.
    - Provide overseas development assistance (ODA)
- **Draw out an evidence synthesis of impact and transformational change**, from evaluations, programme documentation and results frameworks.

#### **c) Part 3- An impact evaluation**

Part 3 will assess the outcomes and impact of CEIF 1.0, determining the benefits it has created for beneficiaries and testing the validity of its Theory of Change. The relative merit and impact of the different methods employed by each fund should be assessed for example providing some assessment of the benefits and challenges of technical reports and feasibility studies versus pilot projects as a delivery mechanism. The evaluators will seek to establish how the programme is progressing against its expected results and if possible, determine some early actual results at the outcome and impact level. DESNZ are open to suggestions from the supplier on the best approach to this evaluation, although it is expected that it will use theory-based methods and the supplier will be expected to deliver evaluation findings on:

- An assessment of the effectiveness and impact of CEIF 1.0 in the delivery of the programme against its objectives and the outcomes and impact as outlined in the programme Theory of Change. This section could also include consideration of any unintended (positive or negative) consequences of the programme.
- Deep dives into quantifiable expected results and in-depth analysis including for transformational change at the fund level and in specific projects and/or 'mini programmes' of projects within a fund. Expected results should be validated where feasible and if possible, early actual results should be determined and compared with the expected results. The evaluation should include a review and assessment of in what ways and how supported technologies are progressing through the TRL's, with consideration given to the context that this is happening in.
- An assessment of the co-benefits created by the programme, including for GESI and SDG benefits. Ideally, this will include a quantitative assessment of SDG co-benefits produced.

Possible activities for delivering these findings could include:

- **Interviews and/or surveys with projects and supported innovators and adopters of supported technologies**, to develop a comprehensive picture and assessment of delivery against the programme outputs, outcomes and impacts.
- **Where appropriate, interviews and/or surveys with projects/organisations that were not successful in being selected for CEIF 1.0 funding**, to understand what they went on to do in the absence of CEIF 1.0 support.
- **Deep dives and in-depth analysis**, we are open to suggestions around the best approach to this, which may involve but not be limited to a greater quantity and range of qualitative interviews, surveys, site visits to a sample of the projects that have received investment and additional quantitative analysis of secondary datasets for particular areas of focus (e.g. a particular market that could be influenced by a 'mini-programme' of CEIF projects).

#### **d) Part 4- Value for money assessment**

Part 4 will consist of a value for money assessment of CEIF 1.0, using the FCDO's '4Es approach' of economy, efficiency, effectiveness and equity to assess whether CEIF presents good value for money for HMG. It is expected that the 4Es analysis will consist of desk-based research, review of programmatic and financial documentation and a mixture of quantitative and qualitative analysis, developing specific indicators for each of the 4Es categories that are in line with the CEIF platform business cases and Theory of Change.

#### **e) Deliverables for output 1**

- i) Interim evaluation report to include:
  - Executive Summary
  - Part 1- Process evaluation
  - Part 2- Evidence synthesis and recommendations on transformational change

- Part 3- Impact evaluation
- Part 4- VfM assessment
- Technical annexes, which could include: Further information on data collection, raw data, KPI methodologies, in-depth analysis that did not make the final report, methods, interview questions, key document lists, etc.

It is expected that the evaluation report is delivered to a high quality, including an effective use of graphics and data visualisation methods. Language should be concise and not overly technical (where possible) and the evaluation report should be digestible at maximum 80 pages in length, not including annexes.

### **6.3. Re-scoping phase**

Before undertaking the final evaluation, a short re-scoping phase will be required, the Supplier will update the scoping report, considering the results from the interim evaluation as well as any adaptation required (such as a change of priorities, delays in the programme delivery, etc.). The Supplier will build on the initial scoping report and gather and review more materials required for the final evaluation including the core documents for CEIF 2.0 and A2D and the latest MEL documentation for each programme. The evidence review from the initial scoping report will be brought up-to date.

The approach and timeline for rescoping will be detailed in the Supplier's proposal. We are open to suggestions around the best approach and timeline for this, but it is expected that a re-scoping report will be delivered and an approach agreed, prior to the start of the data collection for the final evaluation – Output 2.

#### **a) Deliverables of re-scoping phase**

- i) A re-scoping report building on and updating the inception scoping report and highlighting where any evidence from Output 1 has fed into the approach and any changes in scope for the final evaluation.

### **6.4. Output 2 - Final process and impact evaluation of the umbrella CEIF platform programme**

The final evaluation of the umbrella CEIF platform will share many similarities with the interim evaluation, although there will be an increased focus on impact evaluation and findings will be less specific and more applicable to a broader range of ICF programmes. It will consist of three parts:

#### **a) Part 1- Process evaluation**

Process evaluation findings should be generalisable and should provide tangible and implementable learnings and recommendations to help shape future ICF programming and in particular ICF climate innovation programming. The pros and cons of the umbrella platform approach should be weighed and considered against alternative approaches.

The supplier will deliver evaluation findings on:

- The coherence and effectiveness of the design of the umbrella CEIF platform, each programme and component funds and the appropriateness of this mechanism for delivery as a platform programme under a common overarching Theory of Change.
- The suitability and effectiveness of the monitoring and learning approach of the umbrella CEIF platform, including how learning was shared within the platform.
- The appropriateness and effectiveness of the programme management approach, performance management and governance structures.

Possible activities for delivering these findings could include:

- **Desk-based analysis and review of programme documentation**, including, the CEIF 1.0, 2.0 and A2D business cases, CEIF 1.0 and CEIF platform Theory of Change, delivery partner administration arrangements, side letters and other programme management documentation. Desk based research will develop a comprehensive picture of the programme context, design, set-up and delivery and risks, mitigations, strategy and governance approach.
- **Desk-based analysis of the monitoring approach**, including further quantitative analysis and investigation of data from each programme(s) logframe, results note, delivery partner results frameworks and where appropriate additional datasets identified in the scoping phase.
- **Interviews to test, validate and challenge the desk-based analysis**, to be conducted with key delivery partner staff, including programme management and MEL, project beneficiaries and DESNZ programme team, analysts and PMO.

#### **b) Part 2- An impact evaluation**

Part 2 will assess the outcomes and impact of the umbrella CEIF platform, including CEIF 1.0, 2.0 and A2D determining what results have been produced through innovations and pilot projects and how and to what extent the programmes have contributed to transformational change. If possible, the evaluators will seek to establish what the actual, quantifiable results and impacts of the CEIF programme have been, focusing on a sub-set of early projects which are mature enough to produce results. It is also possible that the evaluators could return to some of the projects selected in the interim evaluation for a follow-up. In addition to this, expected results will be verified by triangulating data sources. The evaluation will provide generalisable lessons and recommendations to inform the future impact of ICF and in particular innovation programming. It is expected that the Supplier will use theory-based methods and the approach (including any alternative approaches) will be further detailed in the Supplier proposal. The Supplier will be expected to deliver evaluation findings on:

- **An assessment of the effectiveness and impact of the umbrella CEIF platform** and each programme (CEIF 1.0, 2.0 and A2D) in delivery against its objectives and the outcomes and impact as outlined in the programme Theory of Change. This section should also include consideration of any unintended (positive or negative) consequences of the programme(s).
- **Deep dives into impacts, including actual and expected quantifiable results and in-depth analysis** including for transformational change at the programme and fund level and in specific projects and/or 'mini programmes' of projects within the funds. If possible, a quantitative analysis of the reliability and accuracy of expected results versus actual results

will be undertaken using statistical methods. The evaluation should include a review and assessment of in what ways and how supported technologies have progressed through TRL's, with consideration given to the context that this is happening in.

- **An assessment of the co-benefits created by the umbrella CEIF platform**, including for GESI and SDG benefits. The effect and strengths and weaknesses that project type has on producing GESI and SDG co-benefits should be compared. If possible, this will include a quantitative assessment of SDG co-benefits produced.

Possible activities for delivering these findings could include:

- **Interviews and/or surveys with projects and supported innovators and adopters of supported technologies**, to develop a comprehensive picture and assessment of delivery against the programme outputs and outcomes.
- **Where appropriate, interviews and/or surveys with projects/organisations that were not successful in being selected for CEIF 2.0/A2D funding**, to understand what they went on to do in the absence of CEIF 2.0/A2D support.
- **Deep dives and in-depth analysis**, we are open to suggestions around the best approach to this, which may involve but not be limited to a greater quantity and range of qualitative interviews, surveys, site visits to a sample of the projects that have received investment and additional quantitative analysis of secondary datasets for particular areas of focus (e.g. a particular market that could be influenced by a 'mini-programme' of CEIF projects)

#### **c) Part 3- Value for money assessment**

Part 3 will consist of a value for money assessment of the umbrella CEIF platform, including a comparison of VfM between programmes and funds. The approach should follow the HMG's Green Book '4Es approach' of economy, efficiency, effectiveness and equity. It is expected that the 4Es analysis will consist of desk-based research, review of programmatic and financial documentation and a mixture of quantitative and qualitative analysis.

#### **d) Deliverables for output 2**

- i) Final evaluation report to include:
  - Executive Summary
  - Part 1- Process evaluation
  - Part 2- Impact evaluation
  - Part 3- VfM assessment
  - Technical annexes, which could include: Further information on data collection, raw data, in-depth analysis that did not make the final report, methods, interview questions, key document lists, etc.

It is expected that the evaluation report is delivered to a high quality, including an effective use of graphics and data visualisation methods. Language should be concise and not overly technical (where possible) and the evaluation report should be digestible at up-to 80 pages in length, not including annexes.

## **7. Learning and dissemination of findings**

### **7.1. Overview of learning and dissemination requirements**

The primary audience of findings from the evaluation and research outputs are umbrella CEIF platform stakeholders, primarily DESNZ, who will be responsible for the design of any future phases and for steering the direction of the programme and the delivery partners who are responsible for the day-to-date management and delivery of the programme activities. Learning and dissemination is an important part of this contract and the Supplier will be responsible for disseminating learning and encouraging implementation of the suggested ways to improve the umbrella CEIF platform and ICF programming more widely based on its evaluation activity throughout the whole length of the contract.

Dissemination of lessons learned across government and the wider climate finance community is also vital, providing evidence to inform future programme development. Dissemination activities should be undertaken in coordination with the different CEIF platform delivery partners, through collaborative learning events, working with the appropriate evaluation, learning and communications teams to maximize the reach and effect of the evaluation and research outputs. This will include an expectation that the Supplier will participate in learning events delivered by the CEIF platform delivery partners (at least four over the lifetime of the contract).

### **7.2. Deliverables for the Learning and dissemination of findings**

The Supplier should present an approach to learning and dissemination in their proposal, building on the suggestions in this specification and the Bidders own experience. The successful Supplier will then further refine and develop a full learning and dissemination plan during the scoping phase, at a minimum the supplier will be expected to deliver:

- i) The facilitation of an annual lessons learned sharing workshop with all CEIF platform delivery partners. It is not expected that the Supplier will collect primary data to feed into these events, they will instead play a facilitation role to draw out salient points and draw comparisons between the delivery partners own learning that they have collected over the year. Following the workshop the Supplier will produce a summary of the lessons and suggested recommendations for the delivery partners and DESNZ to implement. DESNZ will track the implementation of these recommendations on an annual basis through the established annual review process. The Supplier will be expected to deliver one workshop per year for the duration of the contract. As well as being a useful learning event, participation will keep the Supplier up to date with the programme and its funds and will act as a useful source of data for evaluation outputs. Lessons learned workshops could also provide an opportunity for the Supplier to follow-up on specific findings and recommendations from evaluation activities following an evaluation output.
- ii) The production of 'summary of findings' reports for at least two outputs (to be agreed with DESNZ during the scoping phase, may focus on specific parts of the evaluation reports, e.g. Impact and VfM evaluation sections). Summary of findings reports should be short and clearly articulated reports (4-5 pages) distilling the key highlights, findings and recommendations from each output in a digestible format. These will be in addition to executive summaries which will be provided for each evaluation report and will likely

differ from a traditional executive summary and may include more graphics and project case studies. These summary of findings, will be used for dissemination to secondary users and stakeholders with less technical and/or prior knowledge of the programme.

- iii) At least three presentations and/or workshops for primary users/stakeholders to present findings and recommendations from each output. Stakeholders could include: DESNZ, FCDO and Defra ICF teams, delivery partners and project implementers, UK embassies.
- iv) At least two presentations for secondary users/stakeholders to present key takeaways to external stakeholders from the wider climate finance community. This could include presenting the evaluation approach/findings in relevant conferences or events. Stakeholders could include: climate funds, MDBs, academics/ universities, research organisations and think tanks.
- v) Monitor the effectiveness of the dissemination activities and the use of resources such as through tracking attendance at dissemination events and citations where the evaluations and/or research outputs have been used in wider documentation. This information will be presented to the Evaluation Steering Group as part of the dashboard updates.

## **8. Timeline and deliverables**

A high-level summary of the Supplier's deliverables, and deadlines are set out in Table 3 below. These timelines are subject to the contract signature date which is out of the control of the Supplier. The equivalent delivery timeline in weeks from contract signature can be used in the event of delays in the Department's processes.

The Supplier will need to meet the deadlines as per the table below. Where this is not possible, bidders should detail this. Bidders should provide in their proposal an indicative delivery timeline, including tasks under each stage of delivery, to meet these timepoints. The final timeline will be agreed with the Supplier in the scoping phase, and via ongoing assessment of overall programme progress against the Supplier's workplan.

As DESNZ aims to share learning for future programmes, all final reports will be published after being edited for commercial or political sensitivities. This is in line with the Government Social Research Publication Protocol that all evaluation and research outputs should be published. In addition to this, DESNZ ICF publishes all Business Cases, annual reviews and logframe's in line with the International Aid Transparency Initiative (IATI). Presentations or working documents, for example, the minutes of workshops will not be published but could be released as part of our statutory obligations under the Freedom of Information Act (2000). It is expected that the Supplier should agree with DESNZ an outline of a deliverable's content prior to it being developed in full. The Supplier will share draft versions of the deliverables identified well before agreed deadlines, to ensure that they are of an acceptable quality and can be finalised in a timely manner. It is expected that the final deliverables are high quality, including the effective use of graphics and are designed to be both engaging and accessible.

Table 3- Deliverables and timeline (subject to contract signature date)

<b>Activity</b>	<b>Outputs</b>	<b>Deadline</b>
Contract awarded		April 2024
Kick off meeting	Meeting minutes	April 2024
<b>Scoping phase- Indicative timeline and outputs</b>		
Part 1- Scoping report Part 2- Landscape review and analysis of wider climate innovation programmes:	Initial scoping report and Landscape review and analysis, including executive summary and technical annexes– as detailed in section 6.1	August 2024
<b>Output 1 – Indicative timeline and outputs</b>		
Evaluation report – Part 1 – Process evaluation, Part 2- Evidence synthesis on transformational change, Part 3- Impact evaluation, Part 4- VfM assessment	Evaluation report, comprising of Part 1- Process Evaluation report and Part 2 -Evidence synthesis on transformational change, Part 3- Impact evaluation and Part 4- Value for Money assessment as detailed in section 6.2, including an executive summary and technical annex.	January 2025
Dissemination of results and learning from the evaluation report.	Publication and active dissemination of the evaluation reports and summaries. Supplier to also monitor the effectiveness of the dissemination activities.  This will include: At least three presentations and/or workshops for primary users/stakeholders and at least two presentations for secondary users/stakeholders. Summary of findings report. See section 7 for more details.	January – December 2025
<b>Re-scoping phase- Indicative timeline and outputs</b>		
Kick off meeting	Meeting minutes	October 2028
Re- Scoping report	Re-scoping report as detailed in section 6.3.	January 2029
<b>Output 2 – Indicative timeline and outputs</b>		
Evaluation report – Part 1 – Process evaluation, Part 2 – Impact evaluation, Part 3- VfM assessment	Evaluation report, comprising of Part 1- Process evaluation report, Part 2- Impact evaluation and Part 3- Value for Money assessment as detailed in section 6.4, including an executive summary and technical annex. as detailed in section 6.4, including an executive summary and technical annex.	August 2029

Dissemination of results and learning from the evaluation report.	Publication and active dissemination of the evaluation report and summary. Supplier to also monitor the effectiveness of the dissemination activities.  This will include: At least three presentations and/or workshops for primary users/stakeholders and at least two presentations for secondary users/stakeholders. Summary of findings report. See section 7 for more details.	August 2029-June 2030
<b>Additional Learning and Dissemination</b>		
Annual lessons learned workshop	Facilitate the annual lessons learned workshop with delivery partners and provide a write-up of lessons learned and recommendations. Disseminate findings to delivery partners.	Annual basis, starting in October 2024
	Open to suggestions from bidder for additional deliverables in this activity throughout the whole length of the contract.	

## 9. Governance

### 9.1. Governance Requirements

The Supplier will manage the evaluation workstream, while adhering to the following governance requirements during all active work phases (an active work phase is defined as any period in which the Supplier is actively working on an evaluation or research output):

- **Regular working-level delivery meetings** with the DESNZ programme team to update on progress and deliverables, including presentation of a reporting dashboard, containing key information on the progress of the workplan. These will take place weekly during the scoping phase and bi-weekly during active work phases (subject to revision).
- **Quarterly Evaluation Steering Group meetings** (please see below). During inactive phases where the Supplier is not engaged in work on evaluation or research outputs, working level meetings will be moved to a bi-annual frequency and Evaluation Steering Group meetings will be moved to an annual frequency.

It is expected that the Supplier will adhere to the evaluation deadlines (see Table 3), which will be finalised with DESNZ in the scoping phase. Further, it is expected that, at the outset of each evaluation or activity, the Supplier will review the delivery plan to ensure that it remains accurate and fit for purpose, and refine this as required, according to programme developments.

As the commissioner DESNZ will hold the complete right to:

- The sign-off of all deliverables (for sign off of the scoping report, interim and final reports senior approval from the DESNZ Analysis team will be required in addition to sign off from the DESNZ Senior Responsible Owner).

## **9.2. The Evaluation Steering Group**

An Evaluation Steering Group will be set up to provide supervision and advisory functions for the evaluation. The Steering Group will provide input on all deliverables and regarding the application and appropriateness of evaluation methodology within the context of the programme. The DESNZ Project Manager will undertake the day-to-day management of the evaluation and hold the delivery contract with the Supplier and the DESNZ programme team for the CEIF platform will have sign-off responsibilities.

The Evaluation Steering Group (ESG) will be chaired by DESNZ and will be made-up of representatives from each current CEIF platform delivery partner (WB, IFC, ADB, UNIDO), previous delivery partners (Innovate UK) will be invited to join, but their participation is not expected. The Supplier will be expected to report to the ESG on a quarterly basis during active phases, with a senior member of the evaluation team meeting in representation. During inactive phases the ESG will meet annually for a check-in meeting and an update on dissemination activities and any programme changes.

The ESG will be able to input and guide the evaluation research and learning outputs, including:

- Guide the direction of the evaluation and research outputs and ensure that findings are useful and implementable.
- Commenting on, checking and challenging the scoping reports, interim and final evaluations and any additional research, ensuring that they meet the requirements of the ToR. DESNZ will have final say in the event of a disagreement.
- Participation in workshops discussing programme improvements, recommendations, lessons learned and dissemination.

## **9.3. Working arrangements**

The Supplier will be expected to identify one named point of contact through whom all enquiries can be filtered. DESNZ will assign a Project Manager for the independent evaluation, who will be the central point of contact and the CEIF platform delivery partners (WB, IFC, ADB, UNIDO, Innovate UK) will assign a main point of contact in their respective organisations.

The DESNZ programme team for CEIF has overall responsibility for, and ownership of the programme and will manage the contract and relationships with the Supplier. It will include programme experts and analysts with different technical expertise, depending on the task at hand and it will have sign-off responsibilities on:

- Final agreed timeline for evaluation activities, outputs and other delivery elements
- Learning and evaluation strategy and plan
- Draft and final evaluation reports
- Publication process for CEIF evaluation reports

We suggest the DESNZ team will have the opportunity to review, if requested:

- Surveys, questionnaires, interview topic guides and sampling strategies
- Stakeholder lists and engagement plans

It is expected that DESNZ and the Supplier will have a collaborative working relationship and through the frequent delivery meetings clear priorities and an open dialogue will be developed. The DESNZ team will commit to providing turnaround of comments within two weeks of receiving a document. Additional time may be required for Evaluation Quality Assurance and Learning Stakeholders (EQUALS) review (see section 9.4). Details on this will be agreed during the scoping phase. DESNZ also commit to holding up to three rounds of comments on drafts received by the Supplier for each deliverable where those drafts are provided to a reasonably expected good standard. Documents that are sub-standard or substantially incomplete may require additional reviews and resulting revisions at the expense of the Supplier.

DESNZ will have the right to publish its comments as an annex to the evaluation reports – including differences of opinion, with clear references to it in the introduction and summary.

#### **9.4. Supplier independence**

The Supplier is expected to manage the independence of the delivery of the contract, providing an objective and transparent assessment of the evaluation questions and ensuring that conclusions and recommendations are accurate and not influenced by any bias. Any potential conflicts of interest should be declared before the start of the contract, please see relevant sections of Volume 1 for further information on conflict of interest.

#### **9.5. Additional quality assurance and scrutiny**

The Project Manager and ESG may choose to gather additional ad-hoc feedback from other internal experts and, where appropriate, external experts. In reviewing draft and final evaluation reports, the ESG may choose to draw on:

- The expert advice of the UK's external Evaluation Quality Assurance and Learning Service (EQUALS), which includes external experts such as academics, to help ensure that products conform to Development Assistance Committee (DAC)-agreed international evaluation principles, quality standards and best practice (including independence).
- Expert advice from wider DESNZ colleagues, to ensure the relevance of the questions for the evaluation aims, the appropriateness of the detailed methodological approach defined in the scoping phase, the rigor of the analysis and validity of conclusions.

#### **9.6. Coordination with CEIF platform delivery partners (World Bank, IFC, ADB, Innovate UK and UNIDO)**

The successful Supplier will access relevant CEIF documentation through coordination and an agreement with the delivery partners. The current arrangement with DESNZ and the delivery partners ensures in broad terms that the delivery partner will engage with any future Supplier. The specifics of the input required from the delivery partners will be linked to the final approach and methodology of the Supplier and should be agreed between the parties during the scoping phase.

The delivery partners have provided 1 round of comments to a draft of this specification and are in agreement with the objectives and overview provided. We expect representation from the

delivery partners will be on the ESG and they will be given opportunity to provide comments, not clearance, on both the draft and final reports at each phase of the evaluation as well as other key documents as required.

During the Scoping phase, the delivery partners will provide monitoring data to the evaluation partner and will be able to provide contact details for at least 5 primary stakeholders per fund for the CEIF 1.0/2.0 programmes and at least 5 primary stakeholders for each pillar of the A2D programme. These stakeholders will be the primary starting point for data collection such as key informant interviews and will have a detailed understanding of the fund/ programme and its context.

## **10. Delivery team requirements: team structure, skills, and experience**

To deliver the Contract successfully, the Supplier will need to demonstrate that they have the right team structure, skills, and expertise to deliver the methodology proposed. Guidance on each of these categories is given below.

### **10.1. Team structure**

The supplier should offer a team structure that provides:

- A clear operating structure which explains the roles, responsibilities, and reporting lines for each member of the independent evaluation team.
- Suitable contingency measures should the project team change, giving DESNZ confidence that this risk would be managed without negatively affecting to programme delivery.
- An appropriate balance of junior and senior time on the project, ensuring enough strategic oversight but also that resources are used efficiently to successfully deliver all the objectives.
- A gender-balanced team which collectively possess the experience outlined under the skills section below to achieve the objectives of this evaluation and learning project.
- Named resources to deliver tasks, and where individuals are not identified nor CVs provided a clear justification is provided, as well as a role description against which new joiners to the team will be assessed.
- If applicable, how a different organisations would work across organisational boundaries to ensure a seamless experience for DESNZ as the client and other key stakeholders in the evaluation.

### **10.2. Skills and expertise**

The Supplier will assemble an evaluation team that has the appropriate knowledge and experience across three broad areas: ODA evaluation expertise, climate innovation expertise, knowledge of GESI and SDGs. It would also be desirable to demonstrate experience working with and evaluating multi-lateral development banks.

The following key areas of expertise are required:

- **Theory-based evaluation.** We suggest a theory-based evaluation is used. The supplier's team will be able to demonstrate appropriate skills and experience to deliver their proposed evaluation methodology.
- **ODA evaluation expertise.** Team members should have experience of evaluating ODA programmes, and ideally have experience of evaluating UK International Climate Finance (ICF). The team should be able to cover the following skills: scoping and framing of evaluation; delivery of bespoke/innovative methodologies; adding value through learning and dissemination activities; relationship management with international stakeholders; clear and concise reporting on complex programmes.
- **Climate innovation.** To effectively assess the impact of the CEIF platform, the evaluation team will need in-depth knowledge and understanding of the design and commercialisation of innovative climate technologies and the journey through Technology Readiness levels (TRLs) and an understanding of the wider policy and financing landscape for climate innovation in developing country contexts. Technical expertise in the thematic areas targeted by the CEIF platform is desirable but not essential (Sustainable cooling, energy storage, SMART energy, industrial decarbonisation, hydrogen and critical minerals).
- **Gender equality and social inclusion and the Sustainable Development Goals.** The team will need to have expertise on gender and social inclusion in a climate and development context, including the evaluation of GESI and an understanding of the contribution that climate mitigation programmes make too SDGs, including how to analyse the contribution quantitatively.
- **Practical experience** including:
  - Experience of working internationally with a wide range of public and private stakeholders, including small and medium-sized enterprises (SMEs).
  - Experience of working with UK government departments and the ability to work collaboratively and flexibly with them to deliver agreed outputs.

## 11. Programme management requirements

### 11.1. Evaluation contract financial management

To manage the evaluation contract, the following actions are requested:

- Draft and report against annual budgets, at agreed levels of detail, and conduct ongoing financial forecasting and reporting.
- Set up and apply robust fraud and error risk management systems that alert DESNZ to any fiduciary risk or potential misuse of ODA or public fund more generally.
- Provide quarterly financial, management and risk reporting across all programme activities for quarters where evaluation activity is taking place according to the agreed workplan.

### **11.2. Quality assurance**

The supplier is required to produce and implement a quality assurance plan, and quality assurance measures should be factored into workplan timelines. Details of the quality assurance plan and measures will be provided in the scoping report and workplan.

It is expected that the Supplier should share an outline of a deliverable's content or engagement tool prior to it being developed in full.

Please refer to the Governance section for more information on DESNZ quality assurance approach.

### **11.3. Transparency**

DESNZ has transformed its approach to transparency, reshaping its own working practices and pressuring others across the world to do the same. DESNZ required Suppliers (including the future Supplier for this contract) receiving and managing funds to release open data on how this money is spent, in a common, standard re-usable format and to require this level of information from immediate sub-contractors, sub-agencies and partners.

It is a contractual requirement for the Supplier to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, record keeping, publishing of accurate data, and providing evidence of this to DESNZ.

### **11.4. Gender, inclusion, and equality**

One key consideration in the design and delivery of this programme, as with all UK ODA programming, is the extent to which it complies with the Gender Equality Act (GEA) 2014. The GEA applies to all ODA programmes and makes consideration of gender equality a legal requirement. This means the umbrella CEIF platform, and in particular this evaluation, needs to meaningfully consider the impact of an intervention on gender equality and demonstrate that it has done so before intervention goes ahead. The process of compliance needs to be integrated within bidding proposals, programme design and supported activities/ projects.

DESNZ requires compliance with GEA as a minimum. The Supplier must ensure that the principles of the [UK's Public Sector Equality Duty](#), including but not limited to marginalized groups, are applied to all decisions regarding personnel throughout the delivery of this programme. See Annex E for more information on GESI.

### **11.5. Risk appetite, fraud, and corruption**

DESNZ has a zero tolerance to fraud and corruption (including personal conflicts of interest). DESNZ also has very stringent requirements regarding safeguarding of anyone who might be affected by the programme(s) or the evaluation(s). For more information, please refer to the ICF Code of Conduct provided in Annex F.

### **11.6. Whistleblowing**

If during the evaluation you find any risk of wrongdoing by the umbrella CEIF platform programmes or an associate of the programme, or any safeguarding complaints or incidents,

these need to be reported to DESNZ ICF PMO immediately. In the first instance please report to the DESNZ programme lead who will pass it on to the safeguarding lead.

If it is inappropriate to raise concerns of misconduct or you do not feel comfortable reporting it to the DESNZ programme lead, you should report it to the DESNZ ODA Reporting Concerns inbox at [odasafeguardingconcerns@energysecurity.gov.uk](mailto:odasafeguardingconcerns@energysecurity.gov.uk)

Whistleblowing is taken very seriously; DESNZ treat every issue with the utmost importance and every issue will be investigated as a matter of urgency and will be kept confidential. Please email [odasafeguardingconcerns@energysecurity.gov.uk](mailto:odasafeguardingconcerns@energysecurity.gov.uk) for any whistleblowing concerns.

DESNZ will follow up safeguarding reports and concerns according to policy and procedure, all while respecting any legal and statutory obligations, including ensuring the relevant authorities have been informed within 24 hours. We will take the appropriate action based on the outcome of the investigation. We will work with the programme and delivery partners to ensure that the appropriate disciplinary actions are applied to those found in breach of policy.

#### **11.7. Ethics and safeguarding**

DESNZ expects the Supplier to adhere to the following Government Social Research (GSR) principles when conducting any research or related activities:

- Sound application and conduct of social research methods and appropriate dissemination and utilization of findings.
- Participation based on valid consent.
- Enabling participation (making sure that barriers to the participation of marginalized groups are addressed in the design of the search).
- Avoidance of personal harm.
- Non-disclosure of identity and personal information.

Compliance with these principles is a mandatory requirement and any omissions or non-compliance will be considered a performance issue and in serious cases may be considered a breach of contract.

If any digital tools are developed that will influence the delivery of activities or be used for data collection, suppliers are required to demonstrate how they have adhered to or will adhere to the Principles for Digital Development (see FCDO Digital Strategy 2018 to 2020: doing development in a digital world), and how they will apply ethical considerations in design and deployment. This includes expectations for the supplier's approach to managing data integrity and responsible data practices including privacy, confidentiality, and consent.

#### **11.8. Exit, transfer of knowledge to DESNZ, business continuity and disaster recovery process**

The Supplier is required to set out how they will facilitate the effective transfer of knowledge to DESNZ during the closure of the evaluation and learning contract. This includes the use and provision of all data used for the services (subject to commercial confidentiality considerations) and the transfer of any evaluation documents (such as presentations, reports, and templates) for continued use by DESNZ in any manner it chooses. Transcripts of all correspondences should

also be returned to DESNZ. This should also include provision for business continuity and or disaster recovery in the event of a known or unforeseeable event, for example COVID-19.

Any data produced by the Supplier will be either securely destroyed or transferred back to DESNZ at the end of the contract and stored by DESNZ. This is to be agreed following the commencement of services.