

T1. Understanding of the Project Context

Our Tetra Tech team, comprised of globally and nationally renowned sector experts across all three pillars, and specialists in monitoring and evaluating land rights and tenure insecurity, combined with our large TA programmes currently in Colombia and associated relationships with many TEFOS stakeholders, provides us with the understanding, experience and expertise needed to deliver a robust MEL system and the rigorous evidence and insights BEIS needs to inform their programme management decisions and future forest and land use programmes.

Tetra Tech will provide MEL for the BEIS TEFOS programme, which aims to support the Government of Colombia's efforts to halt and reverse deforestation in selected deforestation and conflict-affected hotspots. This aligns with Colombia's Green Growth Policy as well as with the UK-Colombia Partnership for Sustainable Growth – supporting Colombia's objectives on land use, environmental crime, and sustainable livelihoods. Our consortium's expertise in measuring land and property rights, as well as our extensive experience implementing work similar to Pillar 1 with Colombia's public institutions and international development institutions, enables us to deliver a rigorous MEL system, and anticipate and respond to the intricacies of Colombia's context of informal land rights and insecure land tenure, deforestation and conflict.

- **Tetra Tech's team – comprised of globally and nationally renowned sector experts across three Pillar themes, including specialists in measuring land rights and tenure insecurity** – will design a robust monitoring framework sensitive to the nuances of Colombia's land informality, tenure security and related public institutional capacity.
- **Our established presence in Colombia** gives us invaluable insights into the complex drivers of deforestation in Colombia; and our long history of working with diverse stakeholders across the country ensures that our evidence review and evaluation will be informed by direct experience of working with national and local governments and local communities across Colombia.
- **Tetra Tech has a strong track record** in successfully implementing similar projects involving land rights, MEL and deforestation and environmental degradation in comparable contexts, including in seven TEFOS programme districts.

Our team has the in-depth understanding of TEFOS and its context and the right combination of sector and MEL expertise to deliver all the requirements for BEIS

Our Tetra Tech team has the experience from working in Colombia on land use, environmental crime, sustainable livelihoods and MEL over the last 40 years to understand how technical assistance (TA) provided by TEFOS will build the capabilities of regional /local government and communities to change the way land is managed, reduce deforestation and greenhouse gas emissions; as well as the complexity and time lags involved; and the extent to which political economy, inequalities and conflict could affect the programme's Theory of Change. This experience is further enhanced by the:

- **Logistical platforms, insights and lessons learned** from our Tetra Tech teams currently delivering **9 active programmes (see box) across 23 offices in Colombia in 6 TEFOS departments** working on land rights, regional governance, conflict and stabilisation, energy, and MEL.
- **In-house MEL team's experience, learning and expertise** through **Tetra Tech's UK Evaluation and Research Practice** of 45 evaluators and researchers together with our **Tetra Tech (MSI)** colleagues in the US, who are currently delivering the Colombia Monitoring, Evaluation, and Learning (MEL) Activity (2019-24) for USAID and the \$63m USAID Colombia Regional Governance Activity (2015-21) aiming to improve governance in nine departments affected by Colombia's armed conflict. Our team benefits from the **experience and insights of four core team members based in Bogota** – Pillar 2 Lead, REDACTED; Pillar 3 Lead, REDACTED; GESI and Conflict Advisor, REDACTED; and MEL Coordinator, REDACTED.
- **Our national resource partner, Centro Nacional de Consultoría (CNC), will lead and manage all our in-country primary research in Colombia.** CNC is a multidisciplinary Colombian company with extensive experience in conducting rigorous qualitative and quantitative research with communities in rural areas on a range of topics including institutional change, regional governance, illicit crop cultivation

*Our TEFOS MEL
REDACTED, is*

Tetra Tech's Land Sector Director and has oversight of our \$78m USAID Land for Prosperity Programme (2019-24) in Colombia currently supporting land restitution as part of the broader land titling policy support, strengthening local government capacity, and integrating them to licit socio-economic opportunities in targeted areas.

and effects on biodiversity and deforestation (see box), socio-economic and demographic characteristics across Colombia's municipalities.

- **Our national resource partner, Fedesarrollo, is a private non-profit organisation, based in Colombia, recognised as the best think tank in Central and South America, in the 2019 and 2020 "Global Go-To Think Tank Index Report".** Fedesarrollo will support our team to expand our reach across Colombia's public policy landscape for stakeholder engagement and dissemination purposes.
- **Our resource partner, Ecometrica, supported IDEAM through Forests 2020 to use the Colombia data cube to generate the data for their National Forest Monitoring System and also supported the development of the 2019 risk map.** They will use its global digital environmental monitoring platform and cutting-edge GIS expertise to map and spatially analyse the programme's impacts in its target municipalities at baseline, mid-term and at the end of the programme.

We will draw on Tetra Tech's (MSI) current work with CNC on the Performance Evaluation of USAID's "Biodiversity – Reduced Emissions from Deforestation and Forest Degradation (BIOREDD+)" in Colombia (2019-24), mixed methods research with target communities.

Using our experience of delivering technical assistance and capacity building in the forest and land use sector in Colombia to ensure effective cross-programme MEL

Pillar 1: Strengthening land registry systems – Tetra Tech has strengthened the capacity of the Government of Colombia's (GoC) government entities in rural development and formalisation of **land rights** to support stabilisation and inclusive development through the \$67m USAID (2013-19) "Land and Rural Development Programme" (LRDP) and is continuing to do so on the \$78m USAID (2019-24) "Land for Prosperity (LFP) Programme".

Through these programmes, we have worked with stakeholders central to TEFOS: political leaders (e.g., High Presidential Counsellors and Mayors; land sector agencies (e.g., National Land Agency and the Augustin Codazzi Geographic Institute); national and regional planning and sectoral departments (e.g., National Planning Department, National Natural Parks Unit); and others.

Tetra Tech's work on LFP expanded on LRDP's successes in areas of greater environmental sensitivity, including: hotspots near and around national parks; GoC priority zones for addressing illicit activity and conflict (Zonas Futuras); forest reserve zones such as Tumaco, southern Meta; and communities in the vicinity of the Chiribiquete National Park.

From 2013 until now, we have collaborated with 18 government counterparts to formalise and restore land rights, resolve conflicts, update cadastral records, and build municipal land governance as well as improve local service delivery related to rural development to facilitate PPPs that leverage land rights with licit economic opportunity. Our substantial track record working with these stakeholders provides us with an **acute understanding of the political sensitivities within Colombian public institutions**. This gives us well-informed insights into how TEFOS Delivery Partners (DPs) could meaningfully collect data on their effects on these stakeholders and local communities to enable robust analysis of the effectiveness and impact of their interventions.

Pillar 2: Strengthening the criminal justice system – Tetra Tech's experience above of working on illicit activities is significantly enhanced by the experience of our MEL Pillar 2 Lead, REDACTED (based in Bogota). REDACTED is a leading Colombian public policy and criminal justice expert who has more than 20 years' experience advising the Colombian Ministries of Justice, Defence and Finance on issues of criminal justice in relation to illegal economies, including narcotics, illegal mining, and illegal logging. REDACTED **knows UNODC well**, having provided technical advice to their Colombian office on technological innovations for the detection of coca crops as well as evaluating their counter drug policy programmes. As Advisor to the Procurador, REDACTED also **monitored and combatting illicit economies** in areas under influence of the FARC (including **evaluated the implementation of the peace process accords related to** illegal deforestation and drug crops) which is directly relevant to the TEFOS programme's aim of changing incentives and opportunities for land use.

As the Implementing Partner for the \$71.5m USAID (2017-22) "Community Development and Licit Opportunities Activity (CDLO) Project", Tetra Tech is consulting rural communities and vulnerable groups in Colombia to establish the conditions for their livelihoods including 6 TEFOS departments (Antioquia, Cauca, Caquetá, Guaviare, Meta, and Putumayo).

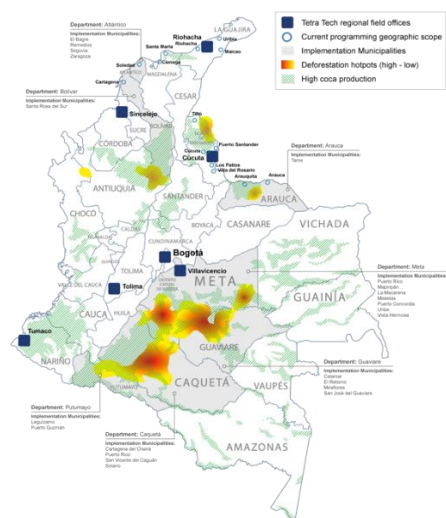
Pillar 3: Sustainable economic opportunities for communities – Tetra Tech has demonstrated ability experience in identifying and addressing the economic drivers of deforestation by promoting private sector engagement through sustainable forest management and improved business practices, increasing the

participation of indigenous and other forest-dependent communities. **Tetra Tech implemented the USAID-funded “Securing a Sustainable, Inclusive and Profitable Forest Sector in Peru” Project** – our team’s experience on this project provides them with valuable knowledge and insights into the type of scalable and sustainable economic opportunities appropriate for the TEFOS municipalities; and the complex political, social and economic issues relating the equitable distribution of benefits across vulnerable forest populations, such as indigenous groups, women and minority communities.

Using our team’s knowledge of the complex drivers of tropical deforestation in Colombia underpins our deep understanding of the TEFOS Theory of Change

In 2019, Colombia lost approximately 160,000 hectares of tropical forest to deforestation, mostly from the Amazon region, which accounted for 62% of the national total. These geographic disparities are even greater at the sub-regional level, where just three Amazonian departments (Caquetá, Meta, and Guaviare) account for 59% of Colombia’s total deforestation¹.

Figure 1: Map of Tetra Tech regional offices, TEFOS implementation municipalities and deforestation hotspots



Tropical deforestation in Colombia is driven by a complex network of direct and indirect factors – legal and illicit economies, state, private and criminal actors, state-intrusion, state-absence, insecure land tenure and decades of land-related conflict. Politically, the highly centralised state organisation has starved regional public institutions of the resources to enforce land tenure, despite their closer proximity to disputed land. However, the state has neither the physical nor legal means to recover illegally occupied lands in remote areas.

The growth of several industries has degraded Colombia’s forests, mainly, cattle ranching, petroleum, mining (minerals and coal), the cultivation of palm oil and illicit crops (especially coca), and illegal lumber harvesting. Addressing illegal cattle ranching is important as it is often used to strip land for other extractive industries and can push peasant farmers to expand the agrarian frontier.

Deforestation in Colombia worsened immediately following the 2016 peace agreement with the FARC (*Fuerzas Armadas Revolucionarias de Colombia*). By demobilising, FARC forfeited control over land use and tenure, which has resulted in a void. As a result, illegal land occupation abounds in these territories. Since 2016,

extractive industries have expanded, using recently built road infrastructure to reach lands previously inaccessible due to the conflict. Criminal groups and small farmers have encroached on vulnerable forest territory to grow coca, swelling cultivation to its all-time high in 2017². Exploitation of Colombia’s natural resources is predicted to worsen through both official economic development and unofficial activities.

Tetra Tech implemented the USAID LESTARI Project, designed to support the Indonesian Government in reducing greenhouse gas (GHG) emissions and conserving biodiversity in carbon rich and biologically significant forest and mangrove ecosystems. Tetra Tech worked to mitigate unsustainable land practices in Indonesia, such as land clearing for palm oil plantations, which resulted in deforestation and degradation. This was achieved through improved land use governance, enhanced protected areas management and protection of key species, sustainable private sector and industry practices, and expanded constituencies for conservation among various stakeholders. **Our MEL team designed context-specific indicators** to monitor activities related to the ecosystem health, improved forest management and conservation stewardship. We will build on this experience to develop a context-specific TEFOS MEL system capable of producing meaningful and insightful data.

Our appreciation of conflict and land tenure issues from delivering programmes and MEL projects in Colombia over 40 years will underpin our MEL approach

Combatting Colombia’s deforestation requires careful awareness of the ways in which inequitable economic opportunity, insecure land tenure, and competing methods of land management both caused and resulted from armed conflict. The distribution of Colombia’s land, rich with natural resources and biodiversity, is hugely unequal, with 81% of land held by just 1% of the largest landholders³. Insecure land rights and limited state presence in rural and remote areas have created power vacuums in which

¹ Colombia JECA Reassessment Report

² Hoffmann, Carolin, et al. “A Local Perspective on Drivers and Measures to Slow Deforestation in the Andean-Amazonian Foothills of Colombia.” Humboldt-Universität Zu Berlin, 2018.

³ Oxfam, A Snapshot of Inequality: What the Latest Agricultural Census Reveals about Land Distribution in Colombia

armed groups and illicit activities have proliferated. Violence displaced millions of Colombians, generating the second largest internally-displaced population after Syria, exaggerating urbanisation, and confusing claims of land ownership in rural areas.

Colombia's fragile peace has not relieved these issues. Large landowners, subsistence farmers and land speculators⁴ have exploited the limited capacity of state institutions (land registry, and cadastral offices) in post-conflict and conflict-affected regions to formalise illegal land purchases and appropriate 'unclaimed' land. Often this occurs in remote regions with the aim of cutting down Colombia's forests and using the land for extractive industries or illegal activities (such as drug trafficking or unregulated mining). As a result of armed conflict, Colombia's rural areas suffer weak land governance and informal and insecure land tenure, enabling illicit activity, environmentally damaging practices, and deforestation.

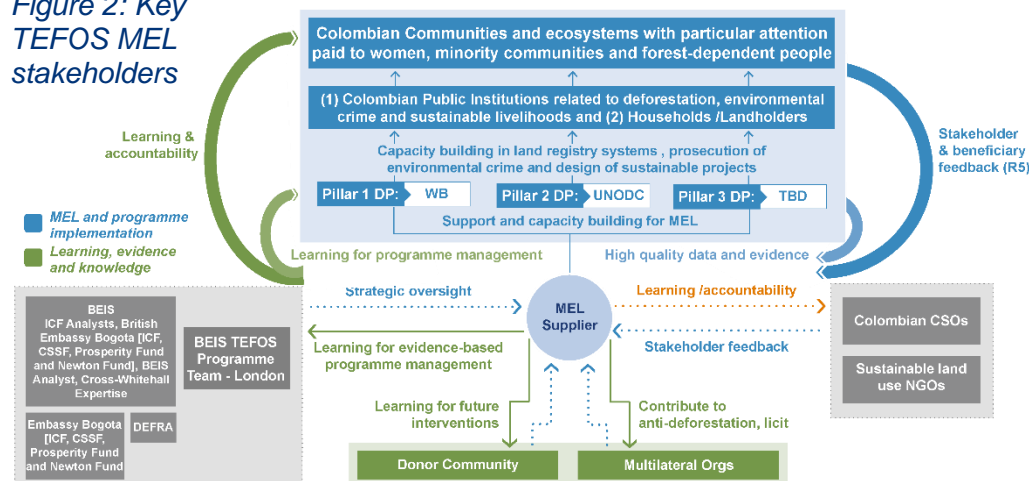
Tetra Tech built the capacity of local Colombian government entities to lead land formalisation in 25 municipalities characterised by high levels of poverty and conflict – including TEFOS target areas of Meta, Cauca, and Aracua. In delivering the **USAID "Consolidation and Enhanced Livelihood Initiative Programme" (2011-17)**, we worked with various stakeholders – including the Ministry of the Environment, Colombia's Administrative Unit for Territorial Consolidation, local producer associations – to reduce illicit economic activities in areas with a traditionally limited state presence and provide economic alternatives and better land management. Ultimately this helped capacitate government entities to implement land formalisation activities e.g. public information campaigns, cadastral surveys, and cartography; and provide legal aid, alternative dispute resolution, and restitution support.

Using our team's comprehensive understanding of the types of stakeholders we need to engage to fully deliver the TEFOS MEL Requirements for BEIS

We have categorised the TEFOS MEL stakeholders for two overlapping roles: (1) stakeholders that we need to engage because they *enable* us to design and deliver the TEFOS MEL Requirements; (2) stakeholders that are key audiences and *users* of the evidence and learning we produce. Although many of these stakeholders fall into both categories, it is important to distinguish their roles in this way because our engagement, management and communication strategies will vary depending on their role i.e. MEL *enablers* vs *users*. Figure 2 below identifies those stakeholders we need to engage with who will:

- 1. Enable us to implement the MEL system (blue, Fig.2)** we put in place either through their oversight and management i.e. BEIS programme management team, BEIS ICF Analysts, BE Bogota and other *internal* HMG stakeholders; or through their role in providing us data /feedback i.e. DPs, GoC public institutions, land holders /users, local businesses, communities, NGOs, CSOs, multilateral organisations, donors and other *external* HMG stakeholders.
- 2. Use the evidence we produce for learning and accountability purposes (green, Fig.2).** The ToR categories internal and external HMG stakeholder audiences in terms of the extent of their *influence* on future HMG programming and their *interest* in our findings (positive vs negative). The ToR suggests that we need to engage with *priority internal* HMG stakeholders early on to understand their evidence and learning needs, while *priority external* HMG stakeholders should be considered as audiences for dissemination and sharing learning.

Figure 2: Key TEFOS MEL stakeholders



We understand from our **past and current programmes in Colombia** that we will need to engage with a **complex array of stakeholders** – on our MEL work, the MEL systems we put in place for DPs, the primary research we conduct, the knowledge products we produce and the way we disseminate them – to fully meet the TEFOS MEL Requirements.

⁴ Krause, Torsten. vol. 27, Journal of Political Ecology, 2020, p. 45, Reducing Deforestation in Colombia While Building Peace and Pursuing Business as Usual Extractivism?

Blank Page

T2. Clear and Realistic Delivery Plan

BEIS requires a clear, context-specific, and realistic approach and methodology for developing and implementing a MEL system that enables Delivery Partners to generate comprehensive and reliable monitoring data. We will provide this through a collaborative and utility-driven approach. Our team's sector expertise and current experience of delivering comparable implementation programmes and MEL activities in Colombia will provide insightful analysis that enables BEIS to make evidence-based programming decisions over the life of TEFOS.

We will use our team's and partners' MEL expertise and current insights into the agriculture, forestry, and land use in the municipalities targeted by TEFOS to:

- **Develop a cost-effective and robust MEL system that enables BEIS to routinely assess the programme's performance against the Logframe, ICF KPIs and VfM metrics, make evidence-based programme management decisions and continuously improve implementation.**
- **Conduct a rigorous rapid evidence assessment to inform the design of Pillar 3 (sustainable livelihoods) and provide strong evaluative annual reporting and learning that ensures the programme as a whole is on track to deliver its desired outcomes.**
- **Conduct a rigorous ex-post impact evaluation using a mixed methods, theory-based Contribution Analysis approach with case studies providing robust evidence of the programme's impact, and valuable learning about what worked for future international forest and land use programmes.**

Our methodological approaches to delivering a clear MEL Delivery Plan for TEFOS

The following sections present our methodological approaches for delivering each of the five Requirements – each section responds to the tender evaluation criteria by providing: the methodological approach and research design; key limitations; an explanation of how the methodology and process will respond to the research questions and deliver the project's aims; the capacity of our methodologies to fill knowledge gaps; and how we will meet ethical and quality standards which is also covered by a stand-alone section at the end together with an overview of our detailed Delivery Plan.

Overall guiding principles for MEL on TEFOS

We will use the following guiding principles to effectively deliver a **clear, robust, and realistic MEL plan** for TEFOS:

1. **Context-specific** – we will draw on our team's understanding of the complex context in which TEFOS is operating to ensure that our methodologies are tailored to its strategic and operational contexts at community, national and international levels, and across the different domains of the ToC.
2. **Useful evidence** – our team will use its deep contextual knowledge and insights into TEFOS and the programme's environment to ensure that each MEL Requirement is driven by a clear understanding of the learning and accountability priorities of our MEL stakeholder audiences.
3. **Collaborative** – we are ready to adapt to possible changes in scope, timeframes, and budget by working closely with the TEFOS programme team, DPs, ICF staff in Bogota, BEIS ICF analysts and cross-Whitehall expertise to ensure that we fully deliver all MEL requirements set by BEIS.
4. **Cost-effective** – our approach will be cost-effective by ensuring that right MEL team members are undertaking the right work at the right time to deliver the level of rigour required across all aspects of the ToR.

Tetra Tech has substantial track record and presence in Colombia going back 40 years with 22 offices (6 are in TEFOS Programme Departments) currently supporting 9 active programmes covering MEL, biodiversity, deforestation, community development and illegal crops substitution, land rights, regional governance, conflict and stabilisation. With our local data collection partner, CNC and four Colombian core team members, we have the technical and logistical capacity to deliver a high quality, cost-effective and contextualised MEL support to TEFOS.

Requirement 1 – Design and establish a MEL system during Inception Phase

Purpose

The purpose of this requirement is to **collaboratively design the MEL system for the TEFOS programme**. This will enable DPs and us, as the MEL supplier, to produce robust baseline reports, annual reports and an ex-post impact evaluation that informs BEIS' programme management decisions and future programming. The Inception Phase will last for five months. We have assumed that our contract will start on 1 May 2021 and that we will complete the Inception Phase on 30 September 2021. We will produce an Inception Report that provides a detailed Delivery Plan for the next two years (May 2021 (assumed contract start date) to June 2023) and sets out our approach to delivering the subsequent MEL Requirements 2 – 5.

Approach

Our work in the Inception Phase will be led by our **Team Leader, REDACTED** with support from **REDACTED, our MEL Coordinator** who is based in Bogota (together with our Pillar 2 and 3 Leads). REDACTED is able to engage (in person) with the TEFOS stakeholders in the British Embassy in Colombia if needed. Table 1 below provides an overview of the key Inception Phase tasks and deliverables.

Stakeholder engagement throughout the Inception Phase

Our approach includes the following key stakeholder engagement activities:

- **TEFOS MEL kick-off meeting** – in Week 1 we will hold a virtual kick-off meeting with the BEIS TEFOS Project Manager, TEFOS programme team and other parties as required by BEIS. The main purpose of this meeting will be to: introduce the MEL team; familiarise ourselves with the status of the TEFOS programme, its operational context, and MEL requirements; and ensure a shared understanding of our MEL approach and next steps.
- **Regular engagement with BEIS** – following the kick-off meeting, we propose to hold weekly meetings with the BEIS TEFOS Project Manager. These meetings can be flexible and used to include other stakeholders such as the BEIS ICF Analysts, ICF staff in BE Bogota and other cross-Whitehall expertise as required.
- **Evidence and learning needs workshop** – in May, we will hold a remote evidence and learning needs workshop with the TEFOS HMG internal stakeholders. This will identify and prioritise stakeholders' evidence and learning requirements and the type of products that will be most useful for monitoring and programme management decision-making; and informing wider policy within Colombia and among other international audiences – at this we will liaise closely with one of our national NGO partners, the *Foundation for Higher Education and Development (Fedesarrollo)*, to understand the opportunities for shaping policy and programming decisions within Colombia.
- **TEFOS Theory of Change (ToC) workshop** – help in June with TEFOS HMG internal stakeholders and the DPs (if available) to discuss: the ToC, underlying assumptions, interdependencies and cross-cutting contextual factors; the Logframe; ICF KPIs; and VfM indicator – to inform agreement on what we will be monitoring and evaluating, and what data is needed to establish a robust baseline; annually monitor the DP's progress; and evaluate the impact of TEFOS at the end of the programme.
- **Presentation of our approach** – in August, we will organise a virtual presentation of our approach before submission of the first draft of our Inception Report to get feedback on our proposed approach from all interested stakeholders – including cross-Whitehall. If feasible, this could include some in-person meetings in Bogota and /or London between our team and stakeholders. The feedback from this presentation would be used to finalise the draft Inception Report.

Our REDACTED, will use

his MEL expertise in facilitating and interrogating Theories of Change relating to climate change, forestry, and landscape management to lead the review of the TEFOS ToC.

REDACTED will be supported by REDACTED(ODI), our Principal Land Advisor, who is the Co-Director of the Global Land and Property Rights Index (Prindex), and has analysed the links between land and property rights, gender, deforestation and conflict, including in Colombia.

TEFOS MEL Management Information System

During the Inception Phase, we propose adapting and setting up **Tetra Tech's IT enabled Management Information System (MIS), called 'Lighthouse'**, for more efficient and effective oversight and integrated reporting across our MEL work. The MIS will enable DPs to submit data submitted online against a core set of core programme and pillar-specific indicators. This data flows into a central database which is then used to produce online, visual dashboards of the Logframe indicators and other KPIs. Lighthouse data

supplemented by additional research provides a cumulative data base supporting the Annual Reports and the end of programme impact evaluation. This MIS **reduces the time and effort needed to collate and integrate data** across the three TEFOS pillars over the full life of the programme and offers fully transparency – BEIS will be able to instantly and securely view the data through dashboards using internet browsers like Chrome, Firefox or Edge without needing to install additional software. The reports generated through the MIS will also provide insights that enable us to prioritise our resources and research to address gaps or weaknesses in the data.

Embedding consideration of contextual factors across all our MEL work

Two key contextual factors will be embedded throughout all our MEL tasks and deliverables:

1. **Using a political economy and conflict-sensitive lens to interpret findings** – while rural land-use in post-conflict Colombia is being transformed, complex institutional, legal, social, political, and economic factors are generating new conflicts over land use and control that are impacting on deforestation. Our Conflict and GESI Lead, REDACTED, will work across the three pillars to ensure that our analyses and findings are interpreted appropriately through a political economy and conflict lens.
2. **Prioritising gender equality, social inclusion (GESI), and equity** – Our Conflict and GESI Lead, Lina M. Céspedes-Báez, will be consistently involved across all five requirements in developing our guidance, approaches, tools, data analysis and reporting. Lina will lead the development of the Ethical Research and Safeguarding Framework and the preliminary gender equality assessment during the Inception Phase.

Data quality assessment (DQA) approach

Across all the MEL Requirements (2 – 5), we will make the **optimum use of all available monitoring and evaluation data** generated by the DPs. The MEL system and guidance we put in place will enable DPs to realistically collect relevant and useful data, at the right time using appropriate research methods and data sources. Our DQA process will directly inform the DP's baseline data collection (in R2) by formalising the monitoring approach and ensuring the data is the right quality and collected using the right methodologies.

Our DQA approach will be reinforced in the Operational Monitoring Manual and involve conducting desk-based assessments of:

- **Data quality** – we will systematically apply five data quality standards to assess the quality of the data: (1) *Validity* – do the data clearly and adequately represent the intended result? (2) *Reliability* – are the data adequately collated or transcribed? (3) *Precision* – are the data sufficiently precise to present a fair picture of performance and enable management decision-making? (4) *Integrity* – do the data reflect stable and consistent data collection processes and analysis methods over time? (5) *Timeliness* – are data the timely enough to influence management decision-making
- **Data systems** – we will conduct desk-based assessments of DPs' relevant M&E Frameworks and plans to go beyond data quality and understand what data systems are already in place and the extent to which these are sufficient to fulfill the MEL data requirements.




Figure 1: DQA approach



Limitations and mitigation strategies – Conducting remote DQAs

DQAs: The main limitation associated with conducting remote DQAs is that we will not be able to do supplementary spot checks of MEL documentation in the field and in-person key informant interviews of DPs' MEL staff, all of which enhances the rigour of the process. A mitigating factor is that all DQAs are predominantly focused on desk-based assessments of MEL documentation regardless of the in-person field visits. The KIIs with DP staff will be conducted remotely – we found during our current DQAs as the third party monitoring supplier (2019-22) for the FCDO's Africa Regional Department that Implementing Partners found the remote process to be less of a burden, especially during the disruption of Covid-19.

Table 1: Overview of key deliverables for Requirement 1 (R1)

 Inception Phase Deliverables	 Purpose	 Stakeholders
R1 Inception Report	Updated every two years or when major changes to the programme occur.	
Project Delivery Plan	Sets out roles, responsibilities, and specific requirements for each MEL activity.	<ul style="list-style-type: none"> • TEFOS Programme Team (PT) in London • BE Bogota (including PF, NF, CSSF, FCDO)
Detailed Delivery Plan (see Annex A)	Detailed work plan (timelines) for first 2 years. Higher-level, indicative timeline for remainder	
Proposed budget	Detailed budgets for first two years and indicative budgets for future years.	
Risk Management Plan and Risk Register (see T4)	Sets out how we will monitor, assess, mitigate, manage, and routinely report MEL risks. Our Risk Register is an integral part of the Risk Management Plan.	
GDPR table (see T4)	To be refined and agreed with BEIS and monitored during the lifetime of the contract.	
Ethical Research & Safeguarding Framework (see T4)	Defines our approach, processes, protocols, and responsibilities for conducting ethical research and safeguarding associated with our work (directly or indirectly).	
Exit Management Plan (see T4)	Sets out how we will facilitate the effective transfer of knowledge to BEIS.	
Theory of Change review	Provides the conceptual framework for the Logframe, research questions and theory-based evaluation for the end of programme impact evaluation (R5).	<ul style="list-style-type: none"> • TEFOS PT • BE Bogota • BEIS ICF Analysts • Cross-Whitehall expertise • Delivery partners
Logframe review	To ensure Logframe indicators are sufficiently: <i>relevant</i> ; <i>specific</i> in what they measure and <i>defined</i> with regards to means of verification and disaggregation. Provides foundation for the development of the Operational Monitoring Manual (R2).	
Review and refine key evaluation and research questions	Provide a coherent framework for the research, analysis and reporting for R2 (baselines), R3 (annual evaluations), R4 (evidence review), R5 (impact evaluation).	
Data Quality Assessment (DQA) approach	Approach and methodology for DQA which is critical to our use of DPs' secondary data in delivering R2, R3, R5.	
End of Programme Impact Evaluation Plan (see T1 /R5)	Ensures baseline approach and plans provide sufficient benchmarks for the impact evaluation (R5) and as such are aligned with the evaluation design.	<ul style="list-style-type: none"> • TEFOS PT • BE Bogota • BEIS ICF Analysts • Cross-Whitehall expertise • Delivery partners
Methodology & sampling criteria for case studies (see T1)	To ensure that relevant data is collected throughout the programme by DPs and via our primary data collection plans as part of R2, R3 and R5.	
Baseline plans – Pillars 1-3 (see T2 /R2)	Sets out our approach, plan, and baseline activities for R2, which should align with the end of programme impact evaluation approach and design (R5).	
Gender equality assessment	Approach to addressing gender issues in the MEL project design and delivery.	<ul style="list-style-type: none"> • TEFOS PT • BE Bogota
Methodology for annual assessments (see T2 /R3)	Methodology for the annual assessments of performance against the Logframe and ToC including DP data collection requirements and measurement approaches & tools	
Protocol for Evidence Review of Pillar 3 (see T2 /R4)	Develop and agree approach to the Evidence Review (R4) to start in July-21.	<ul style="list-style-type: none"> • TEFOS PT • BE Bogota
Stakeholder Engagement, Management, Communications Plan (see T4 & T5)	To guide our stakeholder engagement throughout the life of the contract and to explicitly plan our approach to adding social value for the stakeholders and communities directly and indirectly affected by our work.	

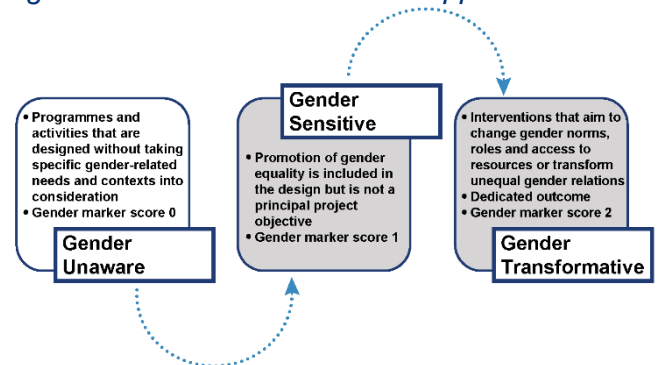
Preliminary gender equality assessment

During the Inception Phase, we will conduct a preliminary gender equality assessment and outline our proposed approach to **mainstreaming gender** throughout the design and delivery of our work – we will do this in two ways:

1. **Directly through our methodologies and the way we work as a MEL team** – we will systematically integrate gender equality into our evaluation and research design, analyses, and reporting. This will include: understanding gender equality in the context of the TEFOS ToC; developing research sub-questions to specifically focus on gendered dimensions; purposively sampling people with different gender characteristics; collecting primary data on gender equality indicators; conducting analyses of secondary data to explore complex gender dimensions; and putting equity (including gender equality) at the centre of our VfM assessment.

2. **Indirectly through our MEL support to the DPs** – our review of DPs' gender equality and social inclusion (GESI) and intervention strategies will inform the GESI guidance that we build in through the MEL systems and guidance that we develop for DPs to use. We will use the OECD-DAC Gender Marker to review interventions and assign them a score from 0 to 2, as demonstrated in the figure above. This will ensure that **gender equality is embedded** throughout the DPs' monitoring and reporting frameworks.

Figure 2: Gender transformative approach



Requirement 2 – Support DPs and formalise monitoring framework

Purpose

Our work on Requirement 2 will start straight after the Inception Phase in October 2021 and support DPs to **formalise the monitoring framework** developed during the Inception Phase by:

1. **Developing an Operational Monitoring Manual (OMM)** six months after signing our contract i.e., by the end of October 2021. The manual will define the measurement methodologies for each of the TEFOS Logframe Indicators and ICF KPIs; and inform DPs' monitoring data collection strategies, ensure standardisation of the data reported by all DPs and enable consistent quality assurance of the data. The Logframe and OMM will be regularly reviewed (at least annually) to respond to any adaptations to the TEFOS programme or its ToC. This will be led by REDACTED, our **Evaluation Lead**, supported by our sector advisors and ICF KPI experts.
2. **Develop our methodology for assessing the Value for Money (VfM)** of the programme. This should provide a cost-effective approach that relies on DP data and enables us to submit to BEIS an annual VfM assessment as part of the Annual Report (see R3).
3. **Producing short Baseline Reports** that are predominantly a synthesis of the secondary baseline data collected by DPs for: Pillars 1 and 2 by February 2022 – led by our **Pillar Leads REDACTED**; and Pillar 3 led by our **Pillar 3 Lead REDACTED**, six months after the Pillar 3 DP has been contracted (approximately by Q3, 2022). These reports will provide a robust baseline against which the progress, effectiveness and impacts of each of the DPs can be assessed through the Annual Reports (R3) and the end of programme impact evaluation (R5).

(1) Approach to developing the TEFOS Operational Monitoring Manual

We will work closely with DPs, the BEIS programme team and BEIS ICF Analysts to develop the OMM. It will build on our forestry and land use and MEL expertise and knowledge of best practice methodologies including on:

Our REDACTED, will QA all deliverables drawing on her extensive experience of

evaluating land tenure and governance programmes including as a contributor to the UN-Habitat (2019) "Guidelines for Impact Evaluation of Land Tenure and Governance Interventions"

- **Indicator measurement notes** – operationalising the TEFOS Logframe indicators and ICF KPIs covering the measurement of each indicator including its: description; technical definition; rationale for measurement; unit of measurement; reporting requirements; measurement and reporting frequency; data sources; baseline requirements; evidence requirements; data disaggregation; data issues, risks and challenges.
- **ICF KPI measurement methodologies** – including the four ICF KPIs (6, 8, 15, 17) set out in the ToR including any other relevant KPIs required by BEIS such as improvements in biodiversity and water security. Our **ICF Advisors – REDACTED** – will build on the existing *FCDO's Cities and Infrastructure Growth Programme* published by Climate Change Compass (2020) and work closely with BEIS ICF Analysts to review these methodologies and adapt them to the specific characteristics of the TEFOS programme and its operational context; in particular for KPI 15 to define the type and scale of transformational change that TEFOS is likely to contribute to.
- **Quality Assurance (QA) Framework** – clearly setting out requirements for the quality of data collected reported by DPs and associated data systems and data management requirements (see DQA approach above). As required in the ToR, if data quality is sufficient then we will simply reflect this in our assessment to BEIS. Where DPs' data quality is not sufficient, we will highlight this to BEIS and provide recommendations for improvements.

*As the Results Management and Learning Supplier, Tetra Tech developed a comprehensive **Results Measurement Handbook (RMH)** for the three Implementing Partners (IPs) delivering the*

Infrastructure Growth Programme providing clear methodological guidance on the measurement and reporting requirements for the 12 common Logframe indicators (and ICF KPIs) that they are required to report against in their country programme Logframes.

Tetra Tech's ICF Attribution Tool for the FCDO's Cities and Infrastructure for Growth (CIG) Programme – as the FCDO's CIG Results Management and Learning (RML) Supplier (2019–2023), we developed an ICF Attribution Tool in consultation with the FCDO ICF team and CIG programme team. The tool builds on the OECD Development Assistance Committee 'Rio Markers' and enables implementing partners to quickly calculate the percentage amount of project budget that can then be attributed to the ICF based on the objectives and attributes of the project. This enables the FCDO to systematically and consistently track and report on mainstreamed activities tackling climate change.

(2) Approach to assessing the value for money of the TEFOS programme

We will develop a **cost-effective and robust approach** to assessing value for money (VfM) that we will use for the 'light touch' VfM assessments as an integral part of the Annual Reports (R3), which involves:

- Aligning with the **FCDO (2020) "Smart Guide to Value for Money"** and the 5Es – *economy, efficiency, effectiveness, equity, and cost-effectiveness*. We will develop small set of **VfM metrics** – two per stage of the ToC – to simply track VfM consistently at each annual reporting cycle.
- **Taking an integrated approach to VfM** with our outcome harvesting and stories of change evaluation approach (and Contribution Analysis for the ex-post impact evaluation) – using the findings about the programme's effectiveness and 'contribution' to its outcomes, and our assessments of the underlying assumptions and risks, as an integral part of the VfM assessment from an effectiveness perspective.
- **Using cost-effective analysis (CEA)** to answer VfM questions, such as: *How cost-effective were the programme's interventions across the three pillars? What sustainable economic activities are likely to provide VfM in conflict-affected areas?* These VfM questions will be agreed with BEIS.
- **Using available quantitative and qualitative VfM benchmarks** – including delivery costs (inputs and outputs) available through the DPs (World Bank, UN ODC), UK PACT Colombia Harmonisation MRV and evaluations of CSSF and Prosperity Fund programmes /activities – to compare TEFOS unit costs at input, output, outcome, and impact levels against similar /alternative interventions and against the 'do nothing' scenario.
- **Predominantly using DPs' secondary data** – we will provide DPs with the guidance, VfM metrics, and tools that they need, including adjustments to DPs' data collection strategies and monitoring plans to generate VfM data.

*Our Senior VfM Advisor, **REDACTED**, will oversee all VfM assessments drawing on her extensive experience as a Government economist and former Chief Economist at DEFRA, and in her role as Tetra Tech's Principal Evaluator assessing the VfM of the Colombia Prosperity Fund Programme.*

Limitations and mitigation strategies – Cost-effectiveness analysis: A key limitation in using CEA is **finding sufficiently comparable unit costs as VfM benchmarks**. During the Inception Phase, we will assess the feasibility of identifying suitable unit cost benchmarks from other similar programmes operating in Colombia and from international benchmarks. Another limitation is being able to **access the cost data that we need from DPs** at a sufficiently granular level to be able to assess cost-effectiveness. We will work closely with BEIS and DPs during inception to understand the sensitivities in accessing cost data and ensure that our approach and methodology is able to adapt appropriately to these types of constraints.

(3) Baseline planning from the start

The ToR is clear that as the MEL supplier we are not required to collect any primary data to support our work for this Requirement. So, to ensure the baseline data produced by the DPs are sufficient, we need to **start the planning process during the Inception Phase** by identifying: (1) *what* data we need to monitor and evaluate (through reviews of the ToC, Logframe etc.); (2) the *type* of primary and secondary M&E data are needed for baseline, annual reporting and impact evaluation purposes; (3) *what data* are available (e.g. Government of Colombia /IDEAM data measuring deforestation and land use); (4) *who* is responsible for obtaining different; (5) and *how*. To do this effectively, it is critical we work closely with the DPs to review their indicators and data to ensure it is sufficient for baseline purposes through the following key steps:

Baseline planning (where feasible before baseline data collection i.e. for Pillars 2 and 3)

- Ensure DPs fully understand their baseline data collection requirements and research methodologies, review DPs' baseline data collection and research plans and provide feedback.

Quality assurance of DPs' baseline data (in the Inception Phase activities if feasible e.g., for Pillar 1)

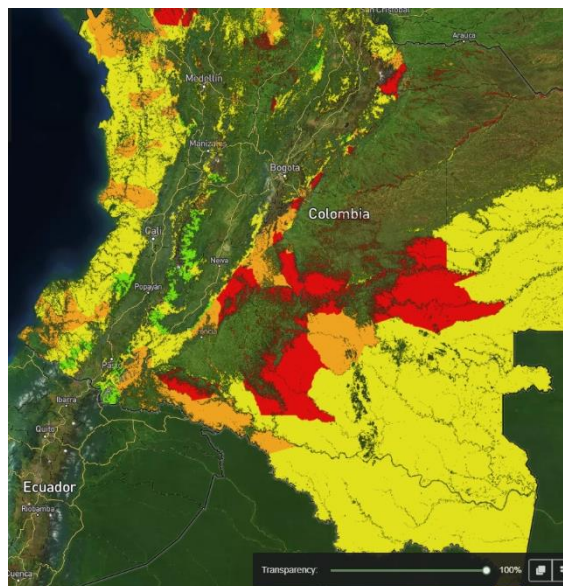
- Conduct a DQA of the DPs' data using the approach set out during the Inception Phase.
- Identify: (1) gaps in the DPs' baseline data; and /or (2) insufficient quality data, and feedback to DPs and the BEIS programme team.
- Work with the DPs to develop approaches and tools that enable them to collect missing baseline data and /or improve the quality of existing baseline data.

Conduct analysis and synthesis of DPs' data to produce baseline reports

- Use the relevant Logframe indicators, ICF KPIs and research questions as the analytical framework for systematically synthesising the DP's baseline quantitative and qualitative data.
- Consolidate our synthesis to reassess the strength of evidence behind the baseline findings as part of the baseline reporting phase.

Visualising the baseline through geospatial analysis and mapping: Our **resource partner Ecometrica**, will use spatial data provided by DPs, and available global secondary data (including official data from IDEAM in Colombia) to **produce digital maps (see Fig. 3) that visualise the baseline data** for the ICF KPIs in the TEFOS programme municipalities – specifically, forest cover /forest at risk of deforestation (KPI 8) and land cover /use (KPI 17). These data will be updated for the **third Annual Report in 2024 (R3)** at the mid-term point of the programme and then again for the **final Annual Report in 2027** – these will visualise monitoring data showing historic forest loss, the *number of hectares of where deforestation has been avoided* (KPI 8), associated *net change in G4G emissions* (KPI 6) and the number of hectares that has received sustainable land management (KPI 17).

Figure 3: Ecometrica's digital maps



Ecometrica will draw on its experience and connections from its **“Forests 2020” Project** (2017-21) - a £15m investment by the UKSA to **build capacity and improve national forest digital monitoring and mapping systems** in Brazil, Mexico, Colombia, Belize, Ghana, Kenya, and Indonesia. **In Colombia, Ecometrica is partnering with IDEAM** - a government agency responsible for producing forest maps.

Requirement 3 – Regularly Evaluate the Programme and Report to BEIS

Purpose

As MEL contractor, we are required to: **(1) regularly review the Theory of Change (ToC); and (2) produce six annual reports** (Sept-22 to Sept-27) that assess and evaluate the programme's VfM and performance against its Logframe results and ICF KPIs. We will also test the output to outcome causal pathways and underlying assumptions set out in the ToC to produce useful learning on what is working, what is not, why, and with what type of equity effects on different subgroups within different target communities, including women and ethnic minority groups. The evidence and learning we provide will be used by BEIS (at their discretion) to make changes to the programme that improve its performance.

Approach

Our approach to delivering this requirement will: **build on the relationships** with DPs that we established during the Inception Phase; be **politically savvy** in handling potential sensitivities in the relationship with the DPs; and be **constructive** in producing evidence-based findings, learning and options for improvements to the programme for BEIS to consider. Annual performance assessments could put a strain on our relationships with the DPs. So, the extensive experience across our core team of working with the World Bank and UNODC in Colombia covering all three TEFOS pillars will be critical to ensuring that a strong working relationships are maintained.

Delivery process

(1) Regularly reviewing the TEFOS Theory of Change

We will review the TEFOS ToC annually to test the strength of its causal pathways lying assumptions. Our Pillar Leads will drive this activity, with guidance Evaluation Lead, Team Leader, and our sector experts. This will be mainly desk-based, with 12 follow-up remote KIs for clarifications with the DPs and integrated in the Annual Report:

- **Step 1: Assess changes and plausibility of the ToC** – identify any intentional changes to the ToC by the DPs or BEIS. Consider whether the ToC remains sound and plausible i.e. will contribute to anticipated results.
- **Step 3: Assess accuracy of the ToC** – assess the extent to which the actual programme implementation is consistent (or not) with the documented intermediate steps and changes set out in the ToC. We will investigate deviations, if any, and the reasons behind them.
- **Step 4: Recommend revisions** – develop recommendations: (1) on revisions which might be required to the ToC to reflect current implementation; (2) to address weaknesses in the evidence base; (3) to strengthen assumptions; (4) on options for changes to the programme as part of the Annual Report.

(2) Producing an Annual Report for the TEFOS programme

1. Data quality assurance

The annual reports will largely draw on data, evidence and management information collected and provided by the DPs. We will conduct a data quality assessment (DQA) using the protocol developed during the Inception Phase (see R1). We plan to collect and assess the quality of the data in June each year to provide us with enough time to clarify data issues, identify gaps in the evidence base, conduct our assessment and analysis and submit the report to BEIS in September each year. The DQA will involve consultation with DPs and BEIS ICF Analysts as well as our analysts and VfM experts.

2. Reporting against Logframe indicators and ICF KPIs

We will assess and report on the DPs' progress in achieving their milestone targets for their Logframe indicators and ICF KPIs by: verifying milestones set out in the Logframe; assessing progress in achieving Logframe results and ICF KPIs to date while identifying any emerging issues related to quality and timing, and risks; scoring progress towards outcomes ('Above Track', 'On Track', or 'At Risk'); and providing options for recommended changes to increase the probability of achieving the outcomes.

Tetra Tech conducted the evaluation of the FCDO's Prosperity Fund Centre for Disaster Protection and Global Anti-Corruption Programmes which involved liaising with the World Bank and UNODC for annual data and document sharing, performance assessments, VfM analysis and lessons learning workshops.

Our proposed TEFOS Project Director, REDACTED and under conducted a series of ToC workshops with BEIS, FCDO, 18 UK delivery partners, and all in-country teams across four continents as the evaluator for BEIS £800m Newton Fun (2015-21). The portfolio level ToC defined multiple pathways to impact across all aspects of the Fund, which continues to guide its evolution – a blog on 'making it useful'.

3. Evaluating progress towards outcomes

We will evaluate the extent to which the outputs delivered by DPs' have translated into outcomes, how, why and for whom. In identifying what worked well and less well, we will consider the programme's **equity effects** and assess the distribution of the programme's results and benefits among different subgroups, including women and ethnic minority groups. To enable us to do this, the TEFOS Logframe indicators will be **disaggregated** by gender and other key socio-economic characteristics including age, disability (using the Washington Group of questions where possible), ethnicity, occupation, Poverty Probability Index (PPI) score.

Outcome harvesting and stories of change methodology

To enable us to evaluate these complex causal we propose using a combined outcome harvesting and stories of change approach. The results of this exercise will be framed as **case studies** that speak

to, and evidence specific parts of the ToC on an annual basis. Our evaluation and analysis of the DP's progress towards achieving their outcomes will be framed by our review of the ToC described above. We will use all available data collected by the DPs through the M&E systems as defined and agreed during the Inception Phase. To identify and analyse the causal links between the programme's outputs and outcomes, we will also require DPs to collect some additional data to evidence their progress on an annual basis. We will provide the methodology and tools to enable the DPs to collect the data needed to make this assessment possible.

Through **Outcome harvesting** we will use actionable research questions to collect ("harvests") evidence from DPs on what has changed ("outcomes") and then, works backwards, to determine whether and how the DPs' interventions have contributed to these changes. This approach is particularly appropriate to TEFOS given its complex environment and focus on capacitating behaviour change over multiple years to achieve its outcomes. This enables an exploratively process working closely with DPs to identify the 'contribution' of their activities to an observed change among several other contributory factors – aligning well with our Contribution Analysis approach to the ex-post impact evaluation (see R5) – and achieving rigour through an inclusive and iterative validation process.

Stories of change will complement and bring to life the DPs' quantitative data by providing in-depth insights into how behaviours are changing to achieve the expected results. We will apply the methodology pragmatically and adapt it to the context, available resources, and capacity constraints by following simplified steps will be our starting point:

- **Step 1: Select the story**, discuss with DPs the most important change, expected or unexpected, to explore for the reporting year.
- **Step 2: Collect additional evidence** through the DPs, for example, by providing a guide for additional open-ended surveys with participants in capacity-building and training activities.
- **Step 3: DPs analyse the change and write the story** – we will be available for a discussion both about the documented story and emerging unexpected changes for recording.

Case studies

Throughout the lifetime of the programme, we will request the DPs to produce at least, **one case study for each reporting year**. This will be subject to a periodic discussion between our team involving our **Evaluation Lead, REDACTED and our Team Leader, REDACTED** with support from our MEL Pillar Leads. The purpose of these case studies is to: (1) capture on a regular basis useful, self-reported reflections and insights of the DPs into the change processes through which their activities are contributing; (2) provide useful data and analysis of the causal links between output and outcomes; and (3) feed into the evidence base for the ex-post impact evaluation (see R5). We will ensure that case studies will not only include best cases, but will include a mix of: (1) in-depth and longitudinal cases to deep dive into a change

*Tetra Tech, as MEL supplier (2018-21), applies the same scoring of progress to outcomes for **CSSF West Africa programmes**. It serves as an early warning mechanism to programme managers and SROs on where improvements are required.*

*Our **TEFOS Evaluation Lead, REDACTED**, led the multi-year outcome harvesting on FCDO's Malawi Private Sector Development Programme (2015-18) to evidence systemic changes in the oil seed sector and intended and unintended stakeholders' behaviours that were critical to delivering results.*

*Tetra Tech produced stories of change to assess the FCDO's **ASEAN Low Carbon Energy Programme's** early contributions to developing green financial markets in Southeast Asia, providing a clear picture of how the expected changes are realised and what design adjustments are required to achieve the results.*

through time; (2) comparative cases to demonstrate how changes occur across groups or contexts; and (3) learning cases to capture critical lessons, in this case, as they relate to the achievement of outcomes.

Additional primary data collection

To fill evidence gaps in the DPs' data and for triangulation purposes, we will conduct 20 key informant interviews (KIIs) for each reporting year with a discrete sample of participants – for example, REDD *Early Movers* (UK, Norway and German development cooperation), National Parks Programme Leads from the Amazon Region (in Guaviare, Caqueta, Amazonas, Guania, Putumayo). These will be conducted both remotely and in-person by our Bogota-based MEL Coordinator, REDACTED. We will use a purposive approach to selecting interviewees based on the representation of relevant subgroups across different types of training and capacity building activities and on individual characteristics such as gender. The precise sample will be determined together with the DPs on an annual basis and will be informed by the reported achievements and the available budget.

Analysis, triangulation, and synthesis

Our analytical approach will vary depending on the type and volume of data. We will use Nvivo or Atlas.ti qualitative analysis software to conduct open coding and to enable thematic analysis of the qualitative data. Our analysis in our 2024 and 2027 Annual Reports will also be enhanced by **updates to the GIS spatial analysis and maps** developed at the baseline stage (see R2). As an integral part of our synthesis approach, we will triangulate the data collected through different methods and from different sources where possible to strengthen the rigour of our findings. Our synthesis will be structured by the TEFOS Logframe indicators and the causal pathways set out in the ToC.

4. Annual VfM assessment

We will conduct a 'light touch' annual VfM assessment of TEFOS using the methodology developed as part of the MEL Requirement 2 (see above). The VfM section in the annual report will be succinct and focus on the **cost-effectiveness** of the programme combining the findings on the effectiveness of the TEFOS interventions with DPs' cost data to produce a sufficiently robust VfM assessment.

Requirement 4 – Evidence Review of Pillar 3

Research purpose

The purpose of this evidence review is to **generate an evidence base** for BEIS to use to identify the most promising sustainable livelihood opportunities that Pillar 3 could pilot when it starts implementation in Year 3 (2022) to complement Pillars 1 and 2. We will not be involved in the design of Pillar 3 and will have no role in its implementation. To ensure the timely delivery of the evidence, we will develop a **Protocol** – setting out our approach – in June, so that we can start the evidence review in July as required in the MEL ToR and complete it four months later in October 2021. This work will be led by **our Pillar 3 lead, Dr. REDACTED** supported by REDACTED, **our MEL Coordinator**.

Research approach

Evidence Review Report: We will deliver a one-off Pillar 3 Evidence Review Report that summarises the evidence and lists the most promising alternative livelihoods in the target municipalities of TEFOS. The report will prioritise the evidence on existing programmes in Colombia and other LAM countries and the potential for modifications or extensions to promising programmes that have proven successful. The report will include evidence of VfM, added value and role and effect of different enabling conditions.

Key research sub-questions: We will review and if necessary, refine the research sub-questions (provided in the ToR) with BEIS during inception.

Rapid Evidence Assessment: We propose to use an adapted version of a rapid evidence assessment (REA)¹. This provides a structured and transparent approach to comprehensively reviewing the evidence base and enables us to respond to the broad array of the research sub-questions that could not be accommodated through a systematic review approach. It allows for a broader search strategy to include different types of research including evidence mentioned in the ToR covering: published peer reviewed literature; grey literature; policy documents; evaluation reports from similar programmes etc. We are also able to deliver the REA within the budget and time available, which is an important consideration when deciding how resource-intensive the evidence review should be.

¹ Hagen-Zanker et al. (2013) *How to do a rigorous, evidence-focused literature review in international development: A guidance note*, Working Paper, Overseas Development Institute, London, UK.

Research methodology

Our research methodology for conducting the REA will involve:

1. Holding an **Inception Meeting** with BEIS to discuss /agree the scope and focus of the evidence review, including the research questions.
2. Develop the **Protocol** for the evidence review setting out the aim and purpose of the research, intended users, and approach and methodology including the search /inclusion /appraisal strategy.
3. Conduct the **search for the evidence** following the search strategy set out in the Protocol. Our Pillar 3 lead, REDACTED will use his expert knowledge of sustainable livelihoods in Colombia to conduct a systematic search through: *consultation* with BEIS and the TEFOS Steering Group; *key informant interviews* with stakeholders e.g., the Ministry of Environment, Fondo Acción, Fondo Patrimonio Natural, WWF; *keywords* associated with each of the research questions; *expert advice* available within the MEL team; and *snowballing* from references in the evidence reviewed.
4. **Screen the search results** using **screening criteria** that will define the inclusion /exclusion criteria, which will be based on *keywords* associated with the research questions and any additional criteria required by BEIS. This ensures that only the most relevant evidence progresses to the next step and reduces bias through transparent and systematic documentation of what is included or excluded.
5. **Systematically extract the evidence** that relates to each of the research questions by critically appraising the evidence for: (1) its **relevance** to the research questions, Pillar 3 outcomes etc.; and (2) the **robustness** of the evidence i.e., the accuracy of the evidence and the degree to which bias has been minimised.
6. **Synthesise the results** using the findings to answer the research questions, highlighting the implications for Pillar 3 especially the most promising alternative sustainable livelihoods opportunities.
7. **Communicate the findings** through production of the final report (using an agreed reporting template developed for the ToR) and a presentation to BEIS and other stakeholders.

REDACTED will use his experience, networks and current position as a Research Associate with Fedesarrollo – a leading Colombian NGO and think tank that has

prepared economic and social development plans for the Government Colombia – to systematically search and assess all relevant evidence for this review. REDACTED will be supported by Our MEL Coordinator, REDACTED, who brings extensive experience in Colombia as an environmental economic advisor – including economic analysis for the Climate Change Adaptation Project in the Chingaza, Sumapaz and Guerrero Corridor of Highlands (Conservación Internacional).

The REA will predominantly involve a **desk-based assessment** of the available evidence. We do not propose conducting any primary data collection in-country. However, we will conduct **15 remote KIIs** with key stakeholders including DPs, the Embassy team, BEIS programme team, stakeholders from the donor community and relevant officials in the Government of Colombia. The KIIs will enable us to gain insights into different sustainable livelihoods approaches currently being delivered in Colombia, gaps in programme delivery, demand, and the feasibility of adapting or complementing other programmes.

Limitations and mitigation strategies – Search strategy and publication bias: There is a risk that a search strategy could be overly dependent on expert advice and lead to bias in the evidence that is found. We will ensure that our strategies (and criteria) for searching, screening and critically appraising the evidence are based on best practice and transparently set out in the Protocol.

Requirement 5 – Conduct an end-of-programme impact evaluation of the programme

Evaluation purpose

BEIS requires an end of programme impact evaluation after the implementation of the TEFOS programme has finished, which we have assumed will be in December 2026. We are required to evaluate the extent to which the programme has had observable effects on its intended outcomes and impacts, how, why and with what effects on vulnerable groups, such as women and indigenous groups. The **evaluation objective** (ToR) is to generate evidence that fills the evidence gaps identified by BEIS; and informs future ICF programmes, including in other tropical forest countries and other donor countries as they develop their forestry and land use (F&LU) policies. We will produce the Final Impact Evaluation Report within four months of the closure of the programme i.e., by the end of April 2027.

Evaluation planning during the Inception Phase

During the Inception Phase, we will collaboratively develop an end of programme impact **evaluation plan** with the BEIS programme team, BE Bogota and DPs – this will set out the: evaluation purpose and stakeholder audiences; evaluation design; methodology; and detailed delivery plan. It is critical that we are clear from the outset what secondary data will be available from DPs and when as set out in their M&E Plans. As far as possible, we will ensure that the data DPs collect at baseline and annually is consistent with our impact evaluation design to ensure it is sufficient for comparing and analysing the effectiveness and impacts of TEFOS over the full lifetime.

Evaluation approach

We propose a mixed methods evaluation approach – this allows us to systematically use and integrate more than one evaluation method to respond to different types of Key Evaluation Questions (KEQs); and combine different types of quantitative and qualitative data different data sources (primary and secondary) and at **multiple levels – community, regional, national**. Mixed methods strengthen the confidence, validity, and reliability of the evaluation findings through triangulation and synthesis processes and helps capture a wider range of perspectives and deepen our understanding of why change has or has not happened.

We will use a theory-based approach for the impact evaluation – the programme design, its ToC and the indirect (capacitating) type of several interventions (excepting registration (Pillar 1) and concessional finance (Pillar 3) activities) suggests there is a significant *attribution problem* – i.e., too many confounding factors (e.g., characteristics inherent to the agencies being capacitated that could affect the outcome) to be able to identify a suitable counterfactual. For this reason, an experimental or quasi-experimental design would not be appropriate and affordable to use.

The evaluation will be guided by the Key Evaluation Questions and Evaluation Framework which will set out the KEQs, sub-EQs, judgement criteria, research methods, data sources and analytical methods to ensure that the evaluation is systematically designed to fully answer the KEQs.

Contribution Analysis methodology

Our proposed methodology combines a Contribution Analysis (CA) approach and case studies – CA, originally developed by John Mayne², uses a theory-based approach to evaluate the ‘contribution’ of a programme to an observed set of results.

We will use CA to verify the cause and effect links (and supporting assumptions) between inputs, outputs, outcomes, and impacts presented in the TEFOS ToC – this involves explicitly considering other **contextual influencing factors** external to the TEFOS programme that may also have made a significant contribution to the programme’s results. By iteratively following Mayne’s six steps (see Fig. 4), we will systematically assemble a *plausible*, evidence-based ‘contribution story’ of the programme’s impact by rigorously considering other possible rival explanations for the observed results.

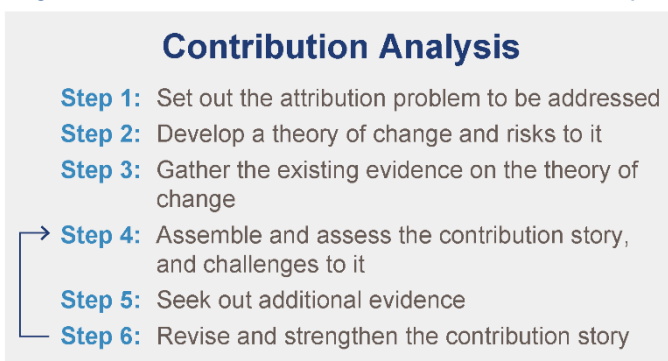
The main **benefit of a CA approach** is that it helps overcome the *attribution problem* of a complex programme like TEFOS by systematically and formally evaluating the difference the programme has made compared to other factors that may also have contributed to the same change, without a counterfactual.

Case studies provide the foundation for our Contribution Analysis approach

We will produce five case studies that elaborate on the case study evidence of change and progress towards the TEFOS outcomes that the DPs produced annually under Requirement 3. These case studies will be pillar specific with a focus on answering the KEQ: ‘To what extent and how has

Our TEFOS Evaluation Lead, REDACTED, *as the Methods and QA Lead on Tetra Tech’s Prosperity Fund Evaluation and Learning Programme (2017-21), oversaw the Contribution Analysis of the “Colombia Bilateral Programme: Unlocking Economic Opportunities in Colombia’s Post-Conflict and Conflict-Affected Regions” which found positive environmental impacts on climate change and environmental resilience across a range of AgriTech and livelihoods projects.*

Figure 4: Mayne’s six steps for contribution analysis



² Mayne, J. The Institutional Learning and Change (ILAC) Initiative, (2008). “Contribution analysis: An approach to exploring cause and effect.”

the programme contributed to the observed outcomes? They will provide rich, in-depth, and contextual evidence on which types of DPs' activities are working well, or not, with what effects at regional and community levels, for which subgroups, how, why and in what contexts.

We will undertake **comparative case studies** to respond to the second and third sub-questions (in the ToR) on *transformational change* and the combined impact of the three pillars on *deforestation*. We will select and compare municipalities that received support across all the three pillars with those that only received support from one or two pillars only. This allows us to test the combined and synergistic effects of the pillars on deforestation.

Limitations and mitigation strategies – Theory-based evaluation design: A theory-based approach may present challenges in demonstrating additionality compared to experimental or quasi-experimental methods. Contribution Analysis though provides a good alternative because it involves systematically and explicitly considering **other key factors** that might explain the observed changes in the programme's outcomes – through the CA process we will be able to produce plausible and credible findings that are as reliable as possible without using a counterfactual.

Research design

Our mixed methods research design will draw on a combination of quantitative and qualitative data and primary and secondary data including:

- **Desk-based reviews** of DP's documentation and evidence, and relevant national contextual evidence.
- **Secondary data analysis** of DPs' monitoring and data reported against their Logframe indicators, ICF KPIs and other data from their results frameworks including their baseline data; and of other national datasets – e.g., deforestation and land use data available through IDEAM.
- **Strategic stakeholder interviews (SSIs)** – we will conduct approximately 40 semi-structured interviews of a sample of strategic stakeholders from across the TEFOS programme, including the BEIS TEFOS programme team, BE Bogota (including staff working on the Prosperity Fund, CSSF, Newton Fund and relevant FCDO sector policy leads in Colombia), BEIS ICF Analysts, Government of Colombia institutions, NGOs, CSOs and multilateral organisations such as the World Bank (non-TEFOS) and IDB. The purpose of these interview is to gather evidence and insights into the strategic contribution that TEFOS has made in delivering its outcomes and contributing to transformational change by reducing deforestation.
- **Case study qualitative research** – the case study research will include 200 key informant interviews (KIIs) with DPs' staff, project teams, government counterparts and key informants at each step in the ToC among other relevant stakeholders including project participants and business beneficiaries (Pillar 3). We will also conduct 30 focus group discussions (FGDs) – with project participants and beneficiaries including land users /holders, state institutions' staff, regional /local government staff and training participants across three pillars, and businesses – to assess the effectiveness of a range of project activities delivered by the DPs and their contribution to the programme's outcomes and impacts.
- **Case study quantitative research** – we will conduct a total of 500 household surveys. These will collect quantitative data on changes in levels of awareness, perceptions (see box below), attitudes and behaviours among a sample of target communities participating in project activities, such as land users /holders, households and businesses in the programme's target municipalities. In accordance with the overall case study methodology, we will use the household surveys to compare the effects of different interventions across the three pillars on different subgroups within communities in the target municipalities.

We are proposing an average of 100 surveys per programme municipality covering five municipalities in total. This allows for margins of error of +/- 10% maximum at the 95% confidence level. If the sampled municipalities vary in size (of target population) from one another, we will still want to achieve the same sample for each. However, if some municipalities have more subgroups of interest which we would like to compare against each other (e.g. comparing indigenous groups vs. non-indigenous groups), then we may choose to inflate a particular municipality's sample to ensure the comparison is quantitatively meaningful.

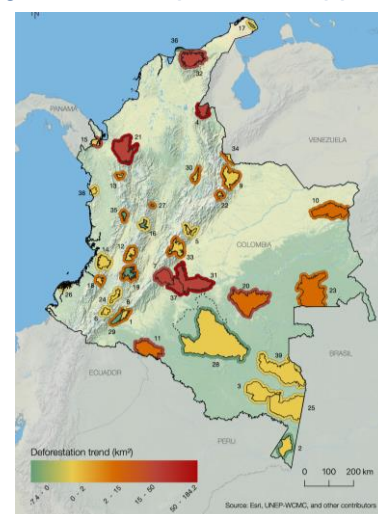
*We will work closely with **CNC's research team** who are also working on **Tetra Tech's final performance evaluation of USAID's 'Biodiversity – Reduced Emissions from Deforestation and Forest Degradation' (BIOREDD+) in Colombia** to ensure that our research design builds on tried and tested research methods.*

Using the *Prindex* survey methodology to measure how secure land users /holders feel: we will use the survey methodology developed by the *Prindex Initiative* to measure how secure land users /holders feel about their land and property — and what drives (in)security — by assessing their perceived tenure security. During the baseline phase (R2), we will work closely with the World Bank delivering the Pillar 1 multi-purpose cadastre to help them develop, pilot and implement their baseline surveys with the aim of adopting this methodology that would then be adapted and used for the impact evaluation. This is a useful research methodology that has been developed and tested over the last five years (including **four rounds of surveys in Colombia**). It addresses the lack of a single, comparable measure of the impact of interventions designed to strengthen tenure security across time and across different tenure systems, which is critical to halting deforestation and promoting more sustainable land use. It provides policymakers and programme designers with a better alternative to using proxies for tenure security, which are typically based on backward looking objective measures.

Using GIS to map and visualise the relationships between our survey data and spatial data

We will use **geo-spatial analysis tools to identify trends and changes** within the geographic areas of the programme municipalities included in our case studies. We will overlay spatial data relating to the ICF KPIs e.g., hectares of forestation and sustainable land management, against perception and behavioural data captured through our household surveys. These will be visualised through different types of maps e.g., heat maps, to show the spatial correlations between the overlaid data.

Figure 5: Example GIS mapping



Led by Tetra Tech’s in-house **GIS expert, REDACTED**, we will set up a **TEFOS MEL geospatial repository**, hosted in Microsoft Azure cloud, as part of Tetra Tech’s proprietary COSMOS platform – this provides a set of web-based tools for the MEL team to script and test survey questionnaires and deploy them on mobile devices. The survey data will be automatically geo-tagged using mobile devices’ GPS and synchronised to the TEFOS MEL geospatial repository, which will be fully integrated with widely used GIS analysis tools e.g., ESRI ArcGIS or QGIS and other business intelligence products like Microsoft Power BI.

Multi-stage clustered sampling with purposive selection of municipalities for the case studies

We will ensure there is a degree of *representativeness* across the municipalities by considering socio-economic characteristics of the target beneficiaries as well as the reported results. As a first stage, municipalities will be purposively sampled based on their characteristics and the type of project activities and outputs delivered across all three pillars – they will act as clusters. Then as a second stage, within each cluster, we will conduct *stratified random sampling* based on their characteristics in at least two stages: (1) of communities /villages; and (2) individual households /individual respondents. Our sampling strategy, sampling selection criteria and sample selection will be discussed and agreed with BEIS.

Research instrument design and piloting

The design of all our research protocols and instruments and analytical tools will be sensitive to the post-conflict and post-Covid economic recovery situation that programme communities are currently facing. Our quality assurance process will involve the BEIS TEFOS programme team and ICF Analysts, and our local research partner, CNC. Working with local professional translators, the research instruments will be translated into the appropriate language (mainly Spanish, but if necessary other Amerindian languages) through a rigorous two-stage process of *blind back checking* to ensure the accuracy of the original translation. CNC’s enumerators will be thoroughly trained in the instruments which will be piloted, reviewed, and refined before the fieldwork starts (as set out in the Delivery Plan) – during this process they will be reviewed to ensure they conform to local customs and terminology.

Analysis, triangulation, and synthesis

We will develop a **Data Analysis Plan**, which will systematically and transparently set out our approach to analysing, triangulating and synthesising different types of data from different sources. Our analytical techniques will vary depending on the type and volume of data ranging from using formal qualitative coding techniques and software (e.g. NVivo or Atlas.ti); to conducting statistical analysis of quantitative data using Stata or RStudio. We will transparently codify and map all evaluative data against the KEQs and iteratively analyse and triangulate different data to answer each of the KEQs. During this process we will review,

check, and discuss our interpretation of the data and identify contradictions, biases, and adverse synthesis effects to ensure that the consolidated findings are coherent and robust.

Knowledge products and dissemination

During the Inception Phase, we will work closely with the BEIS TEFOS programme team to outline the type of knowledge products that would best suit the target audiences as an integral part of the Stakeholder Engagement, Management and Communication Plan. Depending on the audience, we could produce a combination of user-friendly four-page policy briefs, one-page lessons learned brief, infographics, visually rich case studies or summary briefs depending on the audience and communication channel. At this stage, we indicatively propose the knowledge products focus on:

1. **Internal HMG stakeholders (e.g. BEIS TEFOS programme and ICF Analysts)** – providing internally facing findings relating to programme design and lessons learned for future programming decisions.
2. **Government of Colombia and civil society** – to support the replication and expansion of the most effective TEFOS components to other regions and to improve future similar programming. We could also engage Fedesarrollo to use its capacity to influence the public policy agenda in Colombia both at the national and subregional and local levels.
3. **International stakeholder audiences** – to share learning about what works in preventing deforestation and mitigating climate change through cost-effective combinations of land rights, environmental crime enforcement and alternative sustainable livelihoods interventions.

We will meet ethical and quality standards on delivering social research

Rigorously implementing a comprehensive MEL Ethical Research and Safeguarding Framework

Our Ethical Research and Safeguarding Framework will **fully adhere to HMG's ethical research principles** for research and evaluation. It will be tailored to the specific requirements of our TEFOS MEL contract, the stakeholders and research participants we will be engaging with and the programme's context in Colombia. Our tried and tested protocols are designed to preserve the dignity and protection of all research participants; and provide a **practical framework** for supporting our TEFOS researchers conducting research in the field or remotely to make **informed decisions** about the design and implementation of research as well as their own behaviour and involvement. Our local data collection partner in Colombia, CNC and all our national and international researchers will receive **comprehensive training** on our Ethical Research and Safeguarding Framework and supporting protocols and guidelines – they will also form the basis for the guidance we provide DPs as an integral part of the Operational Monitoring Manual.

We will anticipate and minimise potential harm

During the Inception Phase, we will undertake a comprehensive analysis of the possible positive and negative effects of our MEL work on the diverse individuals and communities participating in MEL activities. This analysis will allow us to adjust our MEL guidance and research accordingly to minimise any risk to participants. Particular attention will be given to vulnerable groups including survivors of violence, people marginalised on the grounds of gender, sexuality, disability, age, ethnicity, and religion. We will apply key ethical principles and best practice when conducting our research, including informed consent, confidentiality, and anonymity, and protecting research participants and researchers from harm.

TEFOS MEL Delivery Plan

All aspects of our proposed approach, methodology and activities are fully covered in the detailed Delivery Plan and Resource Plan in Annex A. Annex A provides a comprehensive **TEFOS MEL Delivery Plan** that clearly and logically sets out the sequencing of key tasks, milestones and timescales for each of the five MEL Requirements including details of the activities that we will deliver in the Inception Phase and over the next two years (May 2021 – April 2023); accompanied by indicative plans for the remaining years of the contract. We have also provided a detailed **TEFOS MEL Resource Plan**. This clearly sets out the time allocation (by number of days) for the core team against each of the key tasks provided in the Work Plan. To ensure that we are able to deliver all requirements in the ToR to a high standard, on time and within budget, we have transparently indicated which members of our team will be delivering each task and deliverable. This enables us to track and report on our progress on a day-to-day basis and ensure that our team has the capacity to deliver all our proposed activities for the full duration of the contract.

Annex A: TEFOS Delivery Plan

● Requirement ● Tasks ● Subtasks ● Milestones

Activity	Effort in days	Sub Days	Milestone Date	2021				2022				2023				2024				2025				2026				2027			
				M	J	J	A	S	O	N	D	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Req 1 - Design and establish a MEL	184																														
Project start-up	14.5		May-21	●																											
Kick off Meeting	5		May-21	●																											
Inception Report	158			■																											
Project Delivery Plan		16			■																										
Theory of change review		21				■																									
Logframe review		13				■																									
Review of EQs		6				■																									
Data quality assessment approach		7					■																								
End of impact evaluation plan		25	Aug-21			●																									
Baseline plans- pillars 1-3		10				■																									
Preliminary gender assessment		12					■																								
Develop methodology for annual assessments of programme performance		4					■																								
ToR for Pillar 3 Evidence Review		9					■																								
Stakeholder Engagement, Management, and Communications Plan		8					■																								
TEFOS MIS		20			■																										
Delivery of Inception Report	6.5		Sep-21				●																								
Regular contract meeting						■			■		■		■		■		■		■		■		■		■		■		■		
Req 2 - Support DP's and formalise monitoring framework	304																														
Baseline reports for Pillars 1 and 2	109		Oct-21	■																											
Meet with and support DPs periodically to check up on baselining activities		10		■																											
Collect baseline data from DPs when data collection is completed		10		■																											
Perform data quality checks on baseline data, assessing for completeness		8		■																											
If data gaps were identified, formulate methodologies and tools for DPs to collect missing data		8		●																											
Discuss/train DPs on methodologies and tools to collect missing data		5		■																											
Perform data quality checks on the additional baseline data		5		■																											
Analyse baseline data		15		■																											
Draft a short baseline report for Pillars 1 and 2		20		■																											
QA draft report		8		■																											
Revise draft report after receiving comments from DPs		5		■																											
QA draft report		8		■																											
Revise first submission of report after receiving comments from BEIS		4		■																											
QA draft report		3		■																											

Annex A: TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

Activity	Effort in days	Sub Days	Milestone Date	2021				2022				2023				2024				2025				2026				2027			
				M	J	J	A	S	O	N	D	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
Req 2 - Support DP's and formalise monitoring framework (continued)																															
Baseline report for Pillar 3	54		Nov-22																												
Meet with DPs periodically to check up on baselining activities		5																													
Collect baseline data from DPs when data collection is completed		5																													
Perform data quality checks on baseline data, assessing for completeness		4																													
If data gaps were identified, formulate methodologies and tools for DPs to collect missing data		3																													
Discuss/train DPs on methodologies and tools to collect missing data		3																													
Perform data quality checks on the additional baseline data		3																													
Analyse baseline data		8																													
Draft a short baseline report for Pillars 1 and 2		8																													
QA draft report		5																													
Revise draft report after receiving comments from DPs		3																													
QA draft report		2																													
Revise first submission of report after receiving comments from BEIS		3																													
QA draft report		2																													
Monitoring operational manual	86		Sep-21																												
Review M&E systems of each DP (including how indicator defined and measured, sources of data etc.)		8																													
Discuss with DPs any clarifications about individual system and components		5																													
Analyse divergences and ways to harmonise definitions, methodologies and reporting		4																													
Develop methodologies for ICF KPIs		8																													
Develop methodologies for ICF KPIs		3																													
Organise a training for DPs for the newly developed ICF KPIs		6																													
Discuss with DPs proposed harmonisation of M&E system elements		5																													
Draft the monitoring operational manual		6																													
QA draft monitoring operational manual		3																													
Revise manual after receiving comments from DPs		3																													
QA second draft monitoring operational manual		2																													
Revise and finalise manual after receiving comments from BEIS		3																													
Check and QA DPs' mainstreaming suggested harmonisation, newly developed ICF KPIs into M&E systems		5																													
Periodic review and revision (where needed) of manual and logframe after changes in programme and ToC		25																													

Annex A: TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

[illegible]

Annex A:TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

[illegible]

Annex A: TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

Activity	Effort in days	Sub Days	Milestone Date	2021							2022				2023			2024			2025			2026			2027		
				M	J	J	A	S	O	N	D	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
Req 4 - Evidence review of Pillar 3	184																												
Inception and scoping	13																												
Hold an Inception Meeting with BEIS to discuss the scope and focus of the evidence review, including the research questions		5																											
Establish conceptual framework		1																											
Write a brief (max of 3 pages) on the agreed scope, focus and conceptual framework of the evidence review		4																											
QA of the brief		3																											
Protocol development	11																												
Draft the ToR/Protocol for evidence review setting the aim and purpose of research, intended users, approach and methodology including the agreed research questions.		7																											
QA the ToR and protocol		1																											
Revise ToR and Protocol based on BEIS comments		2																											
Final QA		1																											
Evidence search, recording and classification	56		Aug-21																										
Conduct the search using various sources of evidence, Google scholar, journals, donor websites and others		25																											
Key informant interviews		10																											
Sort the search results consistently applying the screening criteria provided in the Protocol		7																											
Classify and record all sources		7																											
Systematically extract the evidence that relates to each of the research questions.		7																											
Quality assessment		9																											
Critical appraise the quality of the evidence for: (1) its relevance to the research questions; and (2) the robustness of the evidence.		8																											
Research synthesis	71																												
Synthesise the results using the findings to answer the research questions, highlighting the implications for Pillar 3, specifically the most promising		18																											
Develop an evidence map to illustrate patterns in evidence		7																											
Drafting of the report, including assessments for VfM and additionality		25																											
Workshop results with BEIS, donors and beneficiaries		8																											
Finalise draft report		4																											
QA report		2																											
Revise report based on BEIS comments		6																											
Final QA of the report		1	Oct-21																										
Communication and dissemination	2																												
Presentation to BEIS		2																											
MIS	23																												

Annex A: TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

[illegible]

Annex A: TEFOS Delivery Plan (continued)

● Requirement ● Tasks ● Subtasks ● Milestones

[illegible]

Annex A REDACTED

Blank Page

T3 REDACTED

Blank Page

T4: Contract management skills

BEIS requires an experienced project management team with tried and tested systems to deliver MEL effectively and efficiently while meeting the highest quality standards. Tetra Tech is an experienced HMG evaluator and managing agent with reliable governance, fiduciary, risk, and programme management capabilities, including in FCAS. We have rigorous policies on quality assurance, research ethics, conflict sensitivity and safeguarding which we have applied to over 600 MEL projects in over 70 countries for clients including 9 HMG departments (BEIS and FCDO).

BEIS can have confidence in Tetra Tech's ability to manage risk and deliver results throughout the lifetime of TEFOS, whilst continuously measuring and ensuring quality management and effective stakeholder engagement. Our approach to contract management encompasses:

- A commitment to **quality control, risk and compliance** that is integrated in our governance arrangements and required throughout our full supply chain in the UK and Colombia.
- **Flexible processes to generate effective collaboration and learning** whilst also matching the pace and rhythm of the TEFOS programme. Our stakeholder engagement strategy is rooted in our knowledge of the key stakeholder needs, opportunities for influence and uptake of MEL findings.
- **An adaptive approach to risk** that is based on responding to changes in the Colombian environment, changing priorities and adaptive nature of the project.

Connecting TEFOS Delivery Partners with BEIS and Government of Colombia through proactive engagement in the MEL process

We will build strong working relationships with all three Delivery Partners (DPs) and make sure we maintain these throughout the life of the programme. These relationships will be based on a highly collaborative approach, clear communication, and relationship management processes.

Our **Team Leader**, REDACTED will be the main technical lead and point of contact for DPs, supported by our MEL Pillar leads and our national MEL Coordinator, REDACTED, based in Bogota and our **Project Manager**, REDACTED, who will be the main day-to-day contact for coordination and management matters. As well as REDACTED, our Leads for Pillars 2 and 3, REDACTED and REDACTED, and our GESI / Conflict Advisor, REDACTED are also based in Bogota. **They will be available to meet with DPs and BEIS in person in Bogota if needed, which can help develop strong relationships quickly and address issues in a timely manner.**

Defining expectations, processes and procedures underpinning our working relationships with DPs

From the start we will work closely with DPs to establish clear engagement, management and communication processes and protocols. These will be comprehensively set out in our MEL Stakeholder Engagement, Management and Communication Plan produced during the inception Phase – our **national MEL Coordinator, REDACTED**, will lead the development of this plan.

This plan will include a comprehensive **Memorandum of Understanding (MoU)** developed and mutually agreed with each DP and BEIS setting out: our respective key roles and responsibilities across each MEL Requirement (including the BEIS TEFOS programme team); working principles; relationship management (people and processes); data sharing and management protocols and processes; report feedback and validation process; and mediation, complaints and escalation procedures.

As the Evaluation Manager for Phase I of FCDO's Girls' Education Challenge (2012-18), Tetra Tech developed strong working relationships with the GEC Fund Manager and implementing partners throughout the 6-year programme – developing a comprehensive MoU at the outset provided clear parameters for our working relationship, which continue on GEC Phase II (2020-25).

Collaborating with Delivery Partners from the start to establish strong working relationships

Our detailed Delivery Plan (T2) will clearly set out our approach to establishing strong working relationships with DPs during the Inception Phase, including:

- **Early familiarisation ("kick off") meetings** with the DPs for familiarisation purposes and to establish early communication and information sharing arrangements.
- **Regular and flexible bi-weekly "catch-up" meetings** with DPs throughout inception as needed to ensure a 'no surprises' approach and enable quick updates and efficient information sharing.

- Collaboratively reviewing the ToC, Logframe and ICF KPIs with DPs to ensure we fully consider their inputs into these foundations for the MEL system and monitoring and reporting requirements.
- Involving DPs appropriately in the development of the MEL system, Operational Monitoring Manual (OMM) and methodologies (and QA processes) we put in place to ensure DPs' understanding, buy-in and ownership of the M&E requirements that they will be responsible for delivering – this is particularly important when planning the baseline data collection and VfM approaches because of the data implications for the end of programme impact evaluation and Annual Reports.

Maintaining smooth and collaborative working relationships over the full life of TEFOS

We will ensure that throughout the life of the programme, DPs have a clear understanding of the data they are required to collect, when, for what purpose, in what reporting format and to what quality standard. During implementation, we will maintain smooth and collaborative working relationships with DPs to get the data and information we need through:

- Regular and flexible “catch-up” meetings with our dedicated MEL Pillar Leads and MEL Coordinator as needed and as agreed with each of the DPs.
- Collaboratively working with DPs during the Inception (R1) and Baseline Phases (R2) to assess the quality of DPs' data and data management systems.
- Involving DPs in the validation of our analysis, findings, and reports (inception, baseline, annual and impact evaluation) to strengthen their rigour – including a participatory approach to developing recommendations for programme improvements with DPs before submitting these to BEIS.

Proactively securing our engagement with BEIS and other stakeholders

Closely interacting with the BEIS Project Manager and TEFOS programme team throughout the programme, remotely and in person, in the UK and in Bogota

We will closely interact with the BEIS TEFOS Project Manager throughout the life of the contract as our central point of contact. We will continually keep the BEIS TEFOS Project Manager and team updated on our progress and ensure that emerging issues are openly raised and discussed with BEIS and dealt with promptly.

Our Project Manager, REDACTED, will be the main day-to-day MEL team point of contact for the BEIS TEFOS Project Manager. REDACTED will be responsible for: contract management; coordinating and managing our team; all financial management, invoicing, and reporting; risk management and reporting including maintaining our risk register; internal quality control; and our progress and performance reporting (quarterly for the first year, then biannually) against our MEL Delivery Plan. REDACTED and BEIS, REDACTED, Evaluation Lead, REDACTED, will be available to meet to the BEIS TEFOS Project Manager, programme team and ICF Analysts in person as needed.

Our proposed TEFOS Project Manager, REDACTED, has extensive experience of managing complex and adaptable MEL programmes – he was the Project Manager for the FCDO's £24m Prosperity Fund Evaluation and Learning contract (2017-21) delivered by Tetra Tech covering 26 FCDO programmes in 26 countries (including Colombia) covering a wide range of sectors including sustainable livelihoods, anti-corruption, trade, cities and infrastructure.

Our Team Leader, REDACTED, will be the main point of contact on technical aspects of our work supported by our national MEL Coordinator, REDACTED. REDACTED, our Pillar Leads 2 and 3 and GESI /Conflict Advisor are all based in Bogota and available to meet in person with other internal HMG stakeholders within the British Embassy in Bogota (BE Bogota) as needed.

Our Delivery Plan sets out a clear approach to fully engaging the BEIS TEFOS programme team, ICF Analysts and stakeholders within BE Bogota throughout the Inception Phase and during the delivery of all the subsequent MEL Requirements (2-5). Following a kick-off meeting with BEIS in the first week, we propose to hold **weekly meetings** with the BEIS TEFOS Project Manager and team. These meetings can be flexible and used to include wider HMG stakeholders as required and will move to **quarterly meetings** during implementation as agreed with BEIS.

Adaptive management through active engagement across the TEFOS governance arrangements

We will ensure that we are able to adapt quickly to changes in the programme environment and the needs and priorities of BEIS. We will do this by actively engaging key stakeholders through senior representation from our Project Director, JREDACTED and Team Leader, REDACTED (and

other senior team members if necessary) to participate (as necessary) in the quarterly *TEFOS Working Group /Directive Committee, Programme Board and MEL Steering Committee*.

Securing effective MEL engagement of other stakeholders that are internal and external to HMG

The TEFOS MEL Stakeholder Engagement, Management and Communication Plan will **further develop the stakeholder map and preliminary list provided in the ToR**. We are not required to undertake a comprehensive stakeholder mapping exercise. However, we will expand on the preliminary list provided in the ToR to assess stakeholders' *influence* in shaping HMG programming and their *interest* in our findings – we will also take account of the different engagement strategies suggested for *internal vs external* priority stakeholders in our plan.

We will also identify and assess the engagement and management needs of stakeholders who will have a role in designing and implementing the TEFOS MEL system. This will ensure that at each stage of the MEL programme, we are able to effectively involve them in the MEL process and maintain their involvement when needed without creating a disproportionate burden on their time and resources. The roles of these stakeholders in delivering the MEL system will clearly overlap with their interests and priorities as target audiences for our analytical and knowledge products.

Engaging stakeholders early to secure interest in the MEL work, input into our approaches and validate and take up our findings

To initially attract interest in the MEL work and get stakeholders' critical input into the process, we will hold an evidence and learning needs workshop with internal HMG stakeholders including cross-Whitehall participants if interested. This workshop will provide an opportunity to gain feedback from priority stakeholders on their evidence, learning and dissemination needs. It will be held remotely, but with options for our team based in the UK and Bogota to attend in person with BEIS and BE Bogota if desirable.

At key stages in the development of our approaches and preparing our findings or reports we will engage with the HMG internal stakeholders early on before they are finalised as an integral part of our review, feedback, and validation process. For example, in August, we are proposing to present the TEFOS MEL system through a workshop involving BEIS, ICF and interested stakeholders – including cross-Whitehall. If feasible, this could also include some in-person meetings in Bogota and /or London between our team and stakeholders. The feedback from this presentation would be used to finalise the approach set out in the Inception Report.

Identification of key risks and challenges and our proposed mitigation measures

Risk identification, management and mitigation will be informed by our tried and tested corporate systems and strong local presence and intelligence on the ground

We have provided an indicative TEFOS MEL Risk Register in Table 1 that will be further developed as part of our Risk Management Plan during the Inception Phase. It will be fully aligned with BEIS risk management and reporting requirements and developed and managed by our Project Manager, REDACTED. The risks identified in the Risk Register will be regularly reviewed and updated on a monthly basis by REDACTED and the Project Director, REDACTED. They will leverage our strong national presence through our core team based in Bogota and our local research partner, CNC, as well as using our International SOS systems and PGI Risk Portal for real-time risk reporting.

The Risk Management Plan is a key part of our management and quality assurance system and is structured by: (1) Risk Identification; (2) Risk Estimation; and (3) Risk Evaluation and Management. We employ risk processes that identify potential programme risks and record responsibilities for mitigation /action /resolution in an updated plan that includes: a continually updated risk assessment and protocol that must be pre-approved by our TEFOS MEL Project Director, REDACTED; integrated risk management systems that provide risk assessments for every assignment in the field; and pre-developed and adaptable crisis management and business continuity plans overseen by Tetra Tech's Risk and Compliance Manager, REDACTED.

Where and when Covid-19 presents a risk, we will work closely with our in-house HSSE team and local research partner and team to conduct comprehensive risk assessments before commencing fieldwork. We will follow all Colombian public health protocols, recommendations by the WHO and Tetra Tech's own guidance, including providing facemasks and sanitiser for all researchers and participants and practising social distancing. However, if in-person data collection is not permitted or advisable, we plan to conduct all interviews and focus groups remotely drawing on our current experience and best practice.

Table 1: Indicative TEFOS MEL Risk Register

Risk	Probability (1-5)	Impact (1-5)	Risk Rating	Risk Management /Mitigation Action Note: Rated and residual risks are classified as: 1-4 rated as 'green - low'; 5-8 is rated 'yellow – medium'; 9-15 'amber- high'; and 16-25 as 'red - extreme'.	Probability after Mitigation	Impact after Mitigation	Residual Risk Rating
Operational Risks – Risk of our ability to oversee our work, capacity, and capability in our teams. Duty of Care.							
Lack of buy-in /ownership among DP's of MEL systems negatively affects quality of data and our analysis /evidence.	3	4	12	Tetra Tech will engage DPs from the start in developing the MEL system to get their inputs and buy-in into the requirements. We maintain open and trusted relationships by providing clear guidance, tools and protocols that establish a minimum data quality standards and through effective coordination, communication, and management throughout the contract.	2	3	6
Missed deadlines or poor quality MEL outputs due to multiple and simultaneous M&E activities & deliverables	3	3	9	Diligent planning and effective project /risk management in place. Effective monitoring of detailed delivery and resource plans and budget. Throughout, MEL team will maintain close contact with both BEIS and DP's flag issues in advance, make adaptations and find effective resolutions with approval from BEIS.	2	2	4
Lack of capacity to manage results, data, information, knowledge efficiently and effectively, compromises our MEL work.	3	3	9	Tetra Tech's IT enabled Management Information System (MIS), 'Lighthouse' enables us to efficiently collate, integrate and manage multiple streams of diverse data and information across the three pillars over the full life of the programme to support our analytical and knowledge products.	2	2	4
Fiduciary Risks - Risk that funds not used for their intended purpose; do not achieve VfM; are not properly accounted for; and /or fraud occurs.							
Fraud is committed by staff, a consultant or partner.	2	5	10	Strict financial management controls in place combined with training for all staff, consultants, and partners and clear zero tolerance policy, including in the supply chain. Contract procedures in place between Tetra Tech and our partners are tried and tested in similar situations.	1	4	4
Risk of corruption .	2	5	10	Tetra Tech has robust anti-corruption, whistleblowing, anti-bribery, and fiduciary risk protocols in place (fully aligned with HMG contractor requirements) that will be overseen and monitored by our Project Manager working closely with our partner, CNC and core team in Bogota.	1	4	4
Delivery Risks – Risks relating to our capacity and capability to deliver the technical complexities of our work.							
Time-lag in observing outcomes and impacts at all levels of TEFOS constrains capacity to measure effects.	3	4	12	Theory-based evaluation approach enables us to measure progress (and trajectory) along causal pathways towards outcomes and impacts. Contribution Analysis assesses effects of 'other' external factors to produce robust /plausible assessment of actual and likely 'contribution'	3	3	9

Risk	Probability (1-5)	Impact (1-5)	Risk Rating	Risk Management /Mitigation Action Note: Rated and residual risks are classified as: 1-4 rated as 'green - low'; 5-8 is rated 'yellow – medium'; 9-15 'amber- high'; and 16-25 as 'red - extreme'.	Probability after Mitigation	Impact after Mitigation	Residual Risk Rating
Theory-based approach based on qualitative evidence compromises assessment of attribution of TA activities to outcomes.	3	4	12	Contribution Analysis involves systematically and explicitly considering other key factors to explain the observed changes in the programme's outcomes that enables us to produce reasonably plausible and credible findings without relying on a counterfactual and quantitative impact data.	2	3	6
Inadvertently causing harm by not working in conflict-sensitive way and increasing social tensions through our research.	2	4	8	We apply highest ethical standards as set out in our MEL Ethical Research and Safeguarding Framework. All team and partners are fully trained in 'Do No Harm' approaches. All researchers and enumerators receive conflict and gender sensitivity training covering any specific sensitive issues (political, social, cultural, religious).	1	4	4
Safeguarding Risks – Risk of doing harm to people and the environment and unintended harm including violence, abuse, and sexual abuse.							
Safeguarding issue is discovered /reported about a team member, consultant, or partner.	3	4	12	All safeguarding policies, protocols, and procedures in place, fully align with HMG requirements and full compliance is a mandatory requirement for all staff and sub-contractors. All partners, enumerators and researchers receive specific training in safeguarding protocols and procedures before fieldwork starts. Our Safeguarding Officer (i.e., Project Director) will monitor safeguarding risks closely. If a concern is raised, an investigation will be pursued as per Tetra Tech's Safeguarding Policy.	2	4	8
Contextual Risks – External risks that influence or impact our work e.g. political, conflict, social, environmental, economic factors.							
Conflict, instability, crime, or violence pose significant risks to the security and safety of staff, consultants, partners, researchers, and enumerators.	4	4	16	Risk management systems tried and tested on previous Tetra Tech projects in Colombia in place and agreed with local research partner, CNC who are contractually required to ensure appropriate duty of care of their staff and downstream subcontractors. Our Project Manager with Tetra Tech HSSE team and CNC will conduct thorough risk assessment before any fieldwork. We will identify relevant risks drawing on advice from professional security risk providers to ensure all activities are safe and secure for all our team, participants, partners, and researchers.	4	3	12
Covid-19 disrupts planned primary research activities i.e., travel restrictions, increased health risk to researchers /participants.	1	4	4	Primary face-to-face data collection by the MEL supplier only planned for the ex-post impact evaluation in 2026-27. If Covid-19 is still a significant risk apply clear Covid-19 safe requirements (i.e., test certificates, use of masks, hand hygiene, social distancing) in data collection fieldwork protocols. We will revise project timelines and use remote or innovative methods of data collection if needed.	1	2	2

Our approach to communicating with BEIS and the Steering Committee in relation to our project reporting and monitoring

During the Inception Phase, we will work closely with the BEIS TEFOS Project Manager to develop a MEL Monitoring Framework. This will use the KPI table in Annex G as a starting point and build on the BEIS red, amber, green (RAG) scoring methodology. In the framework we will expand on (with BEIS) the RAG performance benchmarks for each of the 11 KPIs to ensure that the monitoring, evidence, reporting requirements are clear and transparent; and as such realistic and achievable. We will align /comply with all other requirements related to the performance KPIs included in the ToR.

Our Project Manager, REDACTED, will be responsible for day-to-day monitoring and reporting of our performance against the KPIs and the implementation of our Delivery Plan. REDACTED will work closely with our Team Leader, REDACTED and Project Director, JREDACTED to ensure that we deliver all our deliverables on time, within budget and to a high standard. As the Project Director, REDACTED is ultimately accountable to BEIS and the Steering Committee for our reported performance on this contract and with REDACTED forms our TEFOS MEL Management Team.

The MEL Monitoring Framework will set out the timing /frequency for reporting against the KPI depending on the focus of each indicator – mostly focused on milestone deliverables. We report against similar performance KPIs on most of our FCDO contracts. We will use BEIS preferred KPI report template, but typically we would report our evidence of our self-assessment against the RAG benchmarks for BEIS to consider when making its own assessment and final decision on the ratings.

Our Annual Reports to BEIS will summarise our performance against the KPIs to date and include any other KPI performance assessments that need to be completed. We will agree our formal reporting requirements with BEIS during the Inception Phase. However, regardless of our formal reporting, we are committed to being open, transparent, and high communicative with the TEFOS Project Manager and team through our weekly, monthly, and quarterly progress meetings over the life of the contract.

We fully acknowledge the need to be flexible and adaptable in delivering the TEFOS programme and the need for strong governance through a MEL Steering Group to oversee any changes. We will report to the Steering Group and provide presentations and briefings on our progress, analysis, findings, and recommendations as required. We also see the Steering Group as an important source of validation of our analysis, findings and reports and would propose using it as part of our quality assurance process.

Our Quality Assurance Plan and three-tier process will provide BEIS with the confidence it needs that we will deliver high quality MEL deliverables

Internal and external quality assurance processes are built into our delivery and resource plan from the start, adheres to PRINCE 2 principles and is aligned to ISO9001 standards. Our quality criteria consist of *defendable design; independence; impartiality; useful recommendations; gender equality /social inclusion /conflict sensitivity*; as well as technical criteria of *clarity, reliability and validity* and ensuring there is a clear link between findings, conclusions, and recommendations. We use a **three-tier quality assurance process** for our milestone deliverables:

- **Tier 1: Individual Review** – A Lead Writer is identified for each product and any supporting writers are allocated clearly in the process. The Lead Writer is responsible for reviewing the final version.
- **Tier 2: Technical Review** – Technical Lead (e.g., our Principal Land Advisor, REDACTED or REDACTED, our Technical Director) to critically review the product and provide feedback.
- **Tier 3: Project Director Review** – the Project Director (REDACTED) is responsible for final review and sign-off of the deliverable and will ensure the product is of sufficient technical quality, adheres to the project TOR, and adheres to “Plain English” guidelines and/or to BEIS’ specific requirements. Deliverables will be submitted to BEIS by the Project Manager (REDACTED).

We will apply robust, tried, and tested approaches to prevent fraud and corruption, and ensure we rigorously ensure duty of care, ethical research and safeguarding

Our zero-tolerance fraud, anti-bribery and anti-corruption policies are embedded into our processes – Our partners must agree to adhere to Tetra Tech’s published corporate policies on code of conduct, conflict of interest, anti-bribery, and anti-corruption; and **complete our mandatory Transparency International anti-bribery and corruption training.** Tetra Tech’s Whistleblowing Policy and dedicated confidential reporting line enables any member of staff to confidentially raise concerns formally about any breaches of these policies. We will ensure our resource partners either have a comparable reporting line

available or they will be provided access to Tetra Tech's facilities. Should an allegation of bribery, fraud or corruption emerge, we will, under the direction of the Programme Director, REDACTED: (1) notify Tetra Tech's Head of Risk and Compliance, REDACTED; (2) launch an internal investigation (with independent support if deemed necessary); and (3) notify BEIS accordingly.

Tetra Tech provides 24-hour duty of care (health, safety, and security) support to all staff in the field

– Health, safety, and security risks to all staff working in Colombia will be assessed on an ongoing basis. Adaptations to the research will be made accordingly (e.g. imposing additional safety measures or ceasing research activities if needed). Standard Operating Procedures (SOPs) will include TEFOS-specific risk assessment and management protocols will be developed and agreed prior to research commencing. Research partners will conduct daily/weekly/monthly risk assessments prior to fieldwork starting, depending on the specific nature of the risks as set out in the approved risk management and fieldwork protocols. We will leverage the knowledge of our locally based staff for real time risk updates.

Our research ethics and safeguarding policies and protocols adhere to the Government Social Research (GSR) principles and BEIS' Code of Practice for Research – Our Safeguarding Policy and mandatory training comply fully with the four safeguarding principles listed in the ToR and FCDO Supplier Code of Conduct. Our Project Director, REDACTED, **is ultimately accountable for adherence to all safeguarding protocols on the TEFOS MEL contract and is our dedicated Safeguarding Officer** (required for all Tetra Tech projects). Together with our conflict and GESI Lead, REDACTED, they will ensure that all our team, partners and researchers are fully aware of the requirements set out in our TEFOS MEL Ethical Research and Safeguarding Framework and Tetra Tech's Safeguarding Policy and Protocols; and strictly adhere to them throughout the life of the programme.

Knowledge transfer, business continuity and disaster recovery processes

We will develop and submit to BEIS an Exit Management Plan, Business Continuity Plan and Disaster Recovery and Response Plan within four months of signing the contract.

TEFOS MEL knowledge transfer – The Exit Management Plan (to be agreed with BEIS) will provide: a list of all employees and contractors employed on the project; a schedule of all information produced under the contract for transfer including data, software (if applicable), transcripts of correspondence, documents; an Exit Governance and Management Plan; a Data Management (and security) Plan; a communication plan (see below); a Work Plan for the transfer process. In the final three months of the TEFOS MEL project, we will completely transfer all knowledge, information and data obtained over the full life of the contract to BEIS in an orderly and prompt manner. This includes transferring all quantitative and qualitative data (i.e. transcripts) in an accessible and publishable format while ensuring data confidentiality at all times. At project completion, and before decommissioning the TEFOS MEL geospatial repository, all captured survey data and secondary data layers used for geospatial analysis will be properly exported and packed using standard geographic data exchange formats and submitted to BEIS to facilitate distribution and integration in other GIS systems as required.

TEFOS MEL Business Continuity Plan (BCP) – Tetra Tech's corporate BCP outlines the safe and secure continuation of critical business activities and outputs in the event of a disruptive occurrence or disaster – this will be updated to reflect any specific requirements of the TEFOS MEL contract. If required, the BCP would be initiated by Tetra Tech's Leadership Team, to allow the seamless continuation of business. Tetra Tech's Head of Risk, REDACTED has conducted a Business Impact Analysis (BIA) to analyse business functions and the effect that disruption might have on them, with a focus on ensuring the safety of Tetra Tech employees and contractors. Should a disruption occur, Tetra Tech managers and staff working on the TEFOS MEL contract will remain flexible, react to the prevailing conditions, and be prepared to tailor the BCP in light of the actual impacts of the event.

TEFOS MEL Disaster Recovery and Response Plan (DRRP) – Tetra Tech's corporate DRRP is concerned with the duty of care of all its staff, families, clients, suppliers, and other stakeholders. It ensures that our project teams and HSSE team have the capabilities to respond efficiently and competently to any crisis so that we can protect life, mitigate further loss, and recover to normal business operations when reasonable to do so. Tetra Tech has an established Risk Management Team, able to deliver our DRRP to support any of our travelers across the globe. Our DRRP is supported by our Insurance Assistance Service (ISN ASSIST), and International SOS. We have clear standard operating procedures in place outlining how to manage and recover from disasters.

Blank Page

T5: Social Value – “wellbeing” – improve community integration

We will deliver social value to Colombian communities through three direct and indirect channels of MEL support. Combined, these channels will support BEIS and DPs to make evidence-based programme and future policy management decisions that optimise the positive impact and legacy of TEFOS for target communities. Our method statement and project plan are based on co-design and collaborative principles; and our forty-year track record of understanding how local demographics inform the needs and opportunities for engagement in TEFOS target areas.

We welcome the inclusion of the Policy Outcome “wellbeing” – improve community integration to TEFOS and the encouragement to engage relevant communities meaningfully in our co-design process. Community integration is not about informing communities of already designed plans, but genuinely consulting about different needs to uncover barriers and priorities of different groups.

The success of TEFOS is dependent on effective community involvement. TEFOS aims to halt and reverse deforestation to achieve zero natural forest loss by 2030 through sustainable land management, tackling environmental crime and creating sustainable livelihoods. These three pillars sit at a cross-section of important political, socio-economic, agricultural, legal, and environmental changes that will impact diverse groups of people. Our proposed approach and method of delivering social value will ensure that these communities are involved from the start and their voices heard in both design and delivery.

For TEFOS MEL, we define communities as the ultimate and intermediary beneficiary groups who will benefit and realise value from the programme. The ultimate beneficiaries include the landholders, land users and businesses in the target municipalities. Intermediary beneficiaries are those who will benefit from capacity building and training including the GoC and public institutions that administer land, environmental legislation, and forest management. Our wider stakeholder mapping is provided in Section T1.

*“We used to tell communities what we had planned and called that community participation. Now I know that **real community engagement has to start the process, not finish it**” - a Colombian former procurement official, consulted for our evaluation of a Prosperity Fund programme.*

Our method statement identifies several proactive and inclusive ways to deliver social value:

- **Three direct and indirect channels** to improving community engagement and integration.
- **A participatory process** driven by collaborative and context-specific guiding principles.
- **Tried and tested methods for community engagement** that are grounded in our deep contextual understanding of delivering land and governance programmes in Colombia.
- **A realistic project plan** that embeds social value in our deliverables from day one.

Method Statement: we will deliver social value through three key channels

In the context of TEFOS and our role as the MEL supplier, our direct engagement with communities is limited as we are somewhat removed from the DPs’ day-to-day implementation. However, we will deliver social value through three direct and indirect channels (see Figure 1 below):

1. **Ensuring TEFOS MEL systems and DP’s monitoring strategies** include social value considerations, specifically in relation to stakeholder and community engagement.
2. **Engaging stakeholders and communities** directly through our primary data collection.
3. **Generating accessible evidence, learning and knowledge products** to increase the impact of TEFOS and inform future programmes in Colombia.

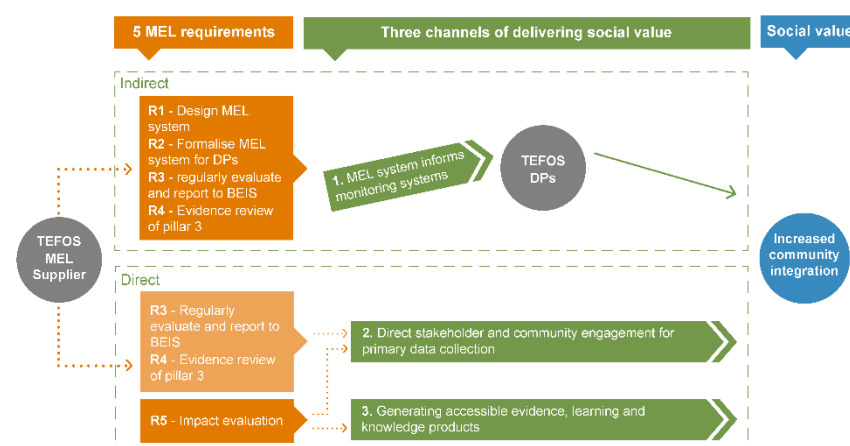


Figure 1: Our direct and indirect channels of increased social value

Our greatest, most direct impact on social value will be made through the impact evaluation at the end of the programme (R5). During the impact evaluation, we will directly engage with TEFOS target communities and strategic stakeholders to assess the programme’s impact. We will generate accessible knowledge

products that can be disseminated shared with them. All the knowledge products will be made available in both Spanish and English. To a lesser extent, we will also engage directly with communities through key informant interviews, for example, with the GoC, CSOs and NGOs for the Annual Reports (R3) and the Evidence Review (R4). The evidence we provide will help BEIS make programme management decisions about TEFOS and inform wider policymaking on future programmes in Colombia that should ultimately benefit local communities and build a positive legacy for future generations.

Most of our social value will be delivered indirectly through our MEL support to DPs and a community inclusive approach that spans the lifetime of all our TEFOS MEL work (R1-R4). Our main role is to set up a MEL system that supports DPs to generate good quality M&E data – for us to analyse and report on – while engaging with their communities as part of their day-to-day work. Our MEL data and analytical products will help inform programme management decisions that improve the performance of TEFOS and optimise its impacts on communities. These channels and the different ways we engage with communities across R1-R5 are summarised in Figure 1 and Table 1.

Table 1: Direct and indirect ways we engage with communities through each MEL Requirement

Req	Social Value		Direct and indirect ways in which we engage with, and add social value to communities through our work on each MEL Requirement
	Indirect	Direct	
R1			<ul style="list-style-type: none"> Setting up a MEL system that supports and guides DPs from the start on how to collect good quality M&E data from intermediary and ultimate beneficiaries /communities to enable robust analysis and evaluation of the relevance, effectiveness, and impact of their interventions.
R2			<ul style="list-style-type: none"> Supporting DPs to collect good quality baseline data on communities that provides a clear understanding of the characteristics, demographics, needs and priorities from the outset to inform programming and evaluation of their progress (R3) and impact (R5). Developing a cost-effective approach and metrics for measuring VfM for DPs to use and report against that enable them, BEIS and other donors to maximise impact in return for the investments being made in the programme.
R3			<ul style="list-style-type: none"> Our Annual Reports will provide robust evaluative evidence of the progress that DPs are making towards their outcomes (as set out in the ToC) and the anticipated behaviour and capacity changes among intermediate beneficiaries and ultimately landholders, land users and businesses within the target communities. Our evidence will inform programming decisions by BEIS to improve the effectiveness of DP's interventions and the benefits they should deliver for the target communities, in particular disadvantaged subgroups such as women and ethnic minority groups.
R4			<ul style="list-style-type: none"> Our rapid evidence assessment of the available evidence (supported by key informant interviews) will be used to identify the most promising sustainable livelihood opportunities for BEIS to consider in the design of Pillar 3 that should ultimately benefit landholders and businesses in target communities.
R5			<ul style="list-style-type: none"> Collecting our own primary data directly from intermediary beneficiaries and beneficiary communities and subgroups to evaluate the programme's effectiveness and impacts. Ensuring that our methodologies, research design and tools are fit for purpose, context-specific and culturally sensitive. Generating knowledge products that summarise our findings and lessons learned that can be fed back to beneficiaries / communities to increase understanding of the changes that they are experiencing.

We use co-design, collaborative and context-specific principles in engaging with communities

Our approach to community engagement is driven by the same collaborative and context-specific guiding principles that are embedded in our overall MEL methodology. We recognise that community integration requires an ongoing commitment to collaboration, consultation and co-design with communities, DPs, and stakeholders, and is not a tick-box exercise. We will actively and consistently apply a **participatory process** from day one across our five MEL requirements to: (1) engage with communities directly when planning our primary research; and (2) provide guide to DPs on how to

measure changes within target community and beneficiary groups and how best to engage them for this purpose. Our methodologies and research designs are grounded in our extensive experience and lessons learned from conducting research with communities in Colombia (see example below).

Prosperity Fund Evaluation of the Santa Marta Smart City pilot: Five lessons for engaging beneficiaries during Covid-19

1. Work with trusted individuals e.g., leaders to optimise interest and community participation.
2. Engage beneficiaries at all stages of the consultation to build wider ownership of and support.
3. Communicate clearly about project aim, scope, and process to manage expectations.
4. Consult with beneficiaries to design accessible remote methods and tools.
5. Supplement remote methods with face-to-face engagement and visual data where possible.

Our methods for engagement are grounded in 40 years' track record of understanding how Colombian demographics inform the needs and opportunities for co-design

Tetra Tech has supported Colombian communities in land management, property rights, forestry and sustainable livelihoods, and the transition from conflict to peace since 1981. We have worked with the GoC at all levels with political leaders, land sector agencies, national and regional planning departments, and beneficiaries to deliver, monitor and evaluate inclusive programmes that provide tangible benefits for communities (see box).

In designing the TEFOS MEL system, we will consider the demographics of the target groups to ensure the MEL requirements and methodologies reach an appropriately representative sample of the communities /municipalities.

This includes subgroup characteristics; geographic distribution of historically marginalised groups, including women and minority groups; digital literacy and internet access in rural areas for online engagement; and the socioeconomic impact of Covid-19 particularly on vulnerable populations. Within our defined 'community' group, TEFOS beneficiaries still have diverse interests that need different engagement strategies.

As of January 2019, Tetra Tech had delivered benefits for communities through our extensive USAID land programmes (LRDP, Land for Prosperity):

- 2 million hectares free of illicit crops.
 - 250,000 hectares planted with cocoa, coffee, and rubber.
 - 330,000 jobs created since 2005.
 - 480,000 citizens able to access credit.
 - \$130m of licit crops sold and exported from coca-producing areas previously controlled by armed groups.
 - 5.5m land-related files digitised.
 - 29,649 parcels of land identified for potential inclusion in the Land Fund, that will award land to the rural poor.
-

Tetra Tech consistently navigates different community needs through our large-scale USAID land programming in Colombia – on our Land for Prosperity (LFP) Activity, we have used both social media and public spaces to reach groups who are historically marginalised from sustainable and inclusive rural development. This includes women, youth, conflict victims, Afro-Colombians, and indigenous communities. On our USAID Community Development and Licit Opportunities (CDLO) Activity, we established an Espacios Territoriales de Evaluación (ETEs) process that brings both community-based organisations and institutions together to promote inclusive activity development and dialogue.

We are already embedded in communities through our 9 live programme and 22 offices, including in Bogotá, Sincelejo, and Cúcuta. These offices provide us with good access to communities in the TEFOS departments including nearby Bolívar, Atlántico, Arauca. Our staff will advise on the practicalities of engaging with different groups such as internet access, telephone signal, transport, and security needs.

We have integrated social value into our MEL methodology and will ensure community engagement in the co-design of the MEL through tried and tested, contextually sound methods

We will include community input in the design and delivery of MEL activities and products to ensure their views and voice are integrated in plans, recommendations, and decision-making processes. This ensures our deliverables and the wider TEFOS programme meet its intended objectives and contribute to a positive legacy for Colombian communities.

(1) Ensuring TEFOS MEL systems and DPs' monitoring strategies include co-design and community participation (R1-R4)

During the Inception Phase, we will: (1) identify and establish communication channels with key stakeholders and community representatives through our resource partner; (2) build trust and credibility

with different TEFOS stakeholders; and (3) undertake stakeholder consultation for the co-design of the MEL system. **Specifically, for R1 – MEL system design**, we will do this through:

- **Stakeholder analysis to ensure we identify and include a diverse range of community subgroups in the design of the TEFOS MEL system and activities.** Although the ToR does not require a comprehensive stakeholder mapping, we will build on this and sense-check our initial assumptions about the target communities by drawing on our national resource partners, **CDC and Fedesarrollo** and the extensive networks. This will ensure an inclusive and representative approach to the co-design of the MEL system from the start.
- **Remote familiarisation interviews with community leaders and stakeholders will help us build trust, gain credibility, and establish relationships from day one.** The interviews will be conducted early in inception including by our four core team members living in Bogota. This will provide a clear picture of community demographics, needs, relevant initiatives, and opportunities for engagement that will be incorporated in the MEL design. Specifically, the findings will confirm their preferred ways of working and engagement; and will ultimately inform our MEL guidance and support to DPs relating to data collection at the community level.
- **A Stakeholder Engagement, Management and Communication Plan will formalise our commitment to and process for community integration and consultation.** We will capture the findings of the familiarisation interviews in this concise plan that guides our ways of working to ensure our approach is useful, collaborative, context-specific and cost-effective (see Sections T2 and T4). This will include guidance on community and beneficiary engagement, informed by the familiarisation interviews. The plan will be shared and discussed with BEIS.
- **Three consultative workshops will ensure an ongoing co-design for the MEL process.** These workshops will cover evidence and learning needs to identify knowledge gaps; reviewing the Theory of Change; and presenting the proposed approach for the Inception Report and MEL Delivery Plan. Stakeholder feedback will help us refine our approach in line with their needs.

We have engaged communities early to co-design activities in conflict-affected municipalities

Under **USAID's \$71m Community Development and Licit Opportunity (CDLO) activity (2017-22) in Colombia**, we are promoting policy dialogue, ongoing community participation and effective beneficiary engagement to help rebuild the social fabric in 51 conflict-affected rural communities, including:

- Establishing a co-designed comprehensive *Gender and Vulnerable Populations Strategy* that represents the views of the community, private sector and GoC entities to inform action plans.
- Engaging 1,710 participants from 342 producer associations, 171 Juntas de Acción Comunal, 228 public institutions, 12 women's organisations, 29 youth organisations and 114 private sector partners in 57 'Espacios Territoriales de Evaluación' (ETEs).
- Facilitating dialogue between public and private sector actors to build trust and social development that positively impacted on 600 families in three Colombian Departments.

On **USAID's Land for Prosperity Activity**, we consulted with marginalised groups, including women, youth and conflict victims early in the process to co-design inclusive interventions that specifically promoted anti-discrimination, co-existence and inclusion. Based on the feedback, we led land rights awareness-raising activities among vulnerable populations through social media and public forums.

Building on the Inception Phase, we will continue to engage local stakeholders in the design of our MEL methodologies and deliverables in the Implementation Phase. We will deliver social value indirectly through our guidance to DPs and the inclusive MEL plans each Pillar Lead puts in place. **Related to R2, R3 and R4:**

- **We will advise DPs on how to engage with programme beneficiaries through the co-designed Operational Monitoring Manual (OMM).** This manual provides DPs with measurement plans for the Logframe Indicators, ICF KPIs and VfM indicators that they will need to collect data for and report against, as well as our data quality assessment process. The OMM will detail data disaggregation requirements by individual characteristics (e.g., gender, age, disability, ethnicity etc.) and community demographic variables as appropriate. It will also set out data collection strategies for each indicator including

*We developed guidance and training to help programme evaluation teams on the Prosperity Fund **assess the best opportunities and methods for beneficiary engagement.** We covered issues including identifying beneficiaries, safeguarding, remote consultation, and representative consultation.*

associated risks and mitigation strategies, and consideration of ethical research and safeguarding issues to ensure a Do No Harm approach.

- **We will provide ongoing support to DPs to strengthen approaches and tools and ensure that gender equality and social inclusion is embedded throughout their monitoring and reporting.** This will be conducted through baseline planning, quality assurance of DP's baseline data and synthesis of their data to produce three Baseline Reports. The TEFOS Baseline Reports will ensure DPs have a clear understanding of community demographics, needs, priorities, opportunities, and challenges from the outset that they can act on throughout programme implementation.

(2) **Engaging communities directly through our primary data collection and integrating feedback into our research, analysis, and reporting (R3-R5)**

The data we directly collect from communities and subsequent analysis and reporting, will inform decisions made by BEIS and other policymakers on future programmes in Colombia that benefit local communities and build a wider positive legacy from TEFOS as follows:

- **We will directly collect primary data from stakeholders and intermediate beneficiaries (e.g., GoC, CSOs and NGOs) for the Annual Reports (R3) and Evidence Review (R4).** We will capture a range of views to triangulate with other secondary data and evidence to inform our analysis.
- **We will engage communities (both intermediate and ultimate beneficiaries) through our own primary research for the end of programme impact evaluation (R5).** We will collect data from GoC public institutions, NGOs, CSOs through stakeholder interviews; and conduct key informant interviews, focus groups and household surveys with project participants, beneficiaries, and businesses to inform our research and analysis.
- **Throughout our primary research impact evaluation (R5), we will critically review and reflect on any feedback from stakeholders and communities on the data collection process** to improve our methodology and research design as needed. This will be transparently documented in our post-fieldwork methodological report.

Adapting to remote community consultation during Covid-19 in Santa Marta, Colombia:

As the **Prosperity Fund Evaluation and Learning Lead**, we conducted a feasibility study and social assessment for the **Santa Marta Smart City project** to identify excluded and low-income residents' needs and expectations. We adapted the consultation for remote delivery using digital methods and telephone interviews. Participation from the local community and women was good. In total, 204 residents participated in the study, and 693 people took part in the wider consultation and validation processes. Participants said they felt heard and represented. In fact, the remote delivery may have made it easier to participate as people could join from their homes and did not have to pay for transport or arrange childcare.

(3) **Generating accessible evidence, learning and knowledge products to increase the impact of TEFOS and inform future programmes in Colombia through the end of programme impact evaluation (R5)**

Our greatest impact on social value will be made through the evidence and learning from our end of impact evaluation (R5).

- **We will generate three accessible knowledge products in English and Spanish that can be disseminated throughout TEFOS communities.** As standard, our three knowledge products will be written in plain English. These will be produced in short, digestible formats such as a briefing paper to support the communication of lessons learned. We will also publish all learning briefs in Spanish and work through our community networks to ensure practical dissemination and take-up in the wider community.
- **We are flexible and open to community engagements and initiatives beyond the ToR.** We will identify potential initiatives and opportunities early in inception in our familiarisation interviews. We will work through our existing USAID land programmes in similar regions, and local networks of regional offices, local and sectoral experts to identify planned forums or opportunities for further engagement on an ongoing basis. Our **Pillar 3 Lead, REDACTED is well connected to the leading Colombian Think Tank, Fedesarrollo**, and well positioned to advise on wider dissemination and policy influencing channels as required.

We have considered mitigation measures to address any obstacles to our community engagement plans, based on our programme and MEL experience in Colombia

Table 2: Challenges to community engagement and our proposed mitigation measures

Challenge	Proposed mitigation measures
Ongoing Covid-19 pandemic threatens community participation and safe primary research by DPs or us for our impact evaluation in 2026-27.	Follow WHO and national /local public health guidance at all times. Advise DPs to conduct best practice Covid-19 secure primary data collection through frequent, comprehensive assessments of risk to community participants as well as the research team and getting their inputs into the assessment; requiring test certificates for research team; and strict use of masks, hand hygiene and social distancing. If face-to-face data collection is not possible move to remote /virtual data collection where possible. Primary face-to-face data collection by the MEL supplier only planned for the ex-post impact evaluation in 2026-27. If Covid-19 is still a significant risk apply clear Covid-19 safe requirements (as above).
Limited internet availability and use of online platforms for remote communities	We will supplement internet-based communication with telephone calls where necessary and can be flexible to community needs. For example, we have held telephone interviews in the evening with women with care responsibilities who did not have internet access and we needed to accommodate their schedules.
Consultation process does not reach a representative mix of communities that is appropriate to the research purpose.	For our quantitative household surveys (R5) , we will use multi-stage clustered sampling with purposive selection of municipalities for the case studies to ensure a sufficient degree of <i>representativeness</i> across the target municipalities /communities /households by considering the socio-economic characteristics of the target beneficiaries as well as the reported results. For our qualitative research (R5) , we will use purposively stratified sampling to select research participants for our key informant interviews and focus groups who sufficiently represent project participants, intermediary and ultimate beneficiary groups, and subgroups within these groups according to the most relevant individual socioeconomic characteristics e.g., by gender, age, ethnicity etc.
Engagement burden on communities from other programmes limits their engagement in TEFOS research activities.	We will ensure that the burden on research participants will be minimised at all times and as per our Ethical Research and Safeguarding Framework that the benefit of conducting the research will outweigh all associated costs and risks. We will ensure that any engagement with stakeholders and communities is planned well in advance and streamlined to be as efficient as possible for all involved. Our national research partner, CNC with logistical support from across Tetra Tech's 22 project offices and our programme teams in Colombia.
Limited uptake of knowledge products	We will draw on our national resource partner, Fedesarrollo (a leading Colombian think tank), our experienced and networked core team (especially those based in Bogota), our senior sector experts currently working on USAID land and forestry programmes in Colombia to ensure that our MEL work is designed to be utility-driven ; our knowledge products are accessible to target audiences; and we disseminate them effectively through the most appropriate channels .
Language barrier between communities and researchers	Research instruments will be translated into the appropriate language depending on the context and research participants. Local professional translators will complete a rigorous two-stage process of blind back checking all research instruments to ensure the accuracy of the original translation. Our local resource partner CNC will collect primary data using Spanish and English-speaking enumerators. Our wider team has eight Spanish speakers (including six in the core team) who can easily communicate with local communities.
Safeguarding of communities, including women and vulnerable groups during primary research.	We will produce and strictly apply our Ethical Research and Safeguarding Framework . All safeguarding policies, protocols, and procedures in place, fully align with HMG requirements and full compliance is a mandatory requirement for all staff and sub-contractors. All partners, enumerators and researchers receive specific training in safeguarding protocols and procedures before fieldwork starts. Our Safeguarding Officer will monitor safeguarding risks closely. If a concern is raised, an investigation will be pursued as per Tetra Tech's Safeguarding Policy.

Our timed project plan embeds social value in our monitoring and reporting

Our key deliverables related to delivering Social Value are summarised in Table 3 below. These are supplemented by our **detailed Delivery Plan provided in Annex A to Section T2**.

Table 3: Timed Project Plan

Req	Deliverable	Timeline	Commentary
R1	Stakeholder Engagement, Management and Communication Plan	Sep-21	Guides and plans our approaches to engaging and managing different types of stakeholders, including communities across all MEL activities.
R2	Operational Monitoring Manual	Oct-21	Defines measurement methodologies (and data disaggregation) for Logframe /VfM Indicators and ICF KPIs guiding DPs' data collection strategies including beneficiary /community feedback requirements.
	Pillars 1 and 2 Baseline Report Pillar 3 Baseline Report	Q3 2021 Q3 2022	Baseline of target communities' characteristics, situations, needs for benchmarking evaluations of progress (R3) and impact (R5).
R3	Annual Reports (x6)	Sep-22 to Sep-27	Provide useful evidence on what is working, what is not, why, and with what equity effects on target communities, women, and ethnic minority groups.
R4	Evidence Review for Pillar 3	Q1-Q3 2021	Informs design of Pillar 3 – identifies promising sustainable livelihoods for communities.
R5	Primary research	Q3 2026	Mixed methods research with communities.
	Final Impact Evaluation Report	Apr-27	Community impact findings and learning.
	Knowledge Products (x3)	2027	Feedback to communities on TEFOS impact.

Measurable social value metrics for community equity, representation, and feedback

We acknowledge that the Social Value Model suggests 'the number of people-hours spent supporting local community integration, such as volunteering and other community-led initiatives' for measuring community integration. However, we do not consider this a useful or appropriate metric for measuring either our direct or indirect effects on social value. Our proposed metrics are instead aligned to our direct and indirect role and impacts on social value through the following **three social value (SV) KPIs**:

- **SV KPI 2 (R3): *Percentage of Logframe outcome indicators (with data disaggregation requirements) that DPs report quality disaggregated data on for the Annual Reports*** – measures the extent to which DPs are adhering to our MEL guidance and providing us with the disaggregated data we need to evaluate the programme's effects on different subgroups in communities and to find out what is working, for whom and how equitably to inform programme decisions by BEIS on improvements that could deliver greater benefits (social value) for communities.
- **SV KPI 1 (R5): *Household survey achieves margin of error of +/- 10% maximum at the 95% confidence level as agreed with BEIS*** – benchmarks the level of accuracy our household survey data needs to achieve to sufficiently represent the feedback provided by community participants for the impact evaluation.
- **SV KPI 3 (R5): *Percentage of knowledge products that are accessible to communities*** – measures extent to which we are able to provide the feedback loop to communities to ensure that the research process is not totally extractive and communities have access to the available evidence for their accountability and learning purposes and benefits.

Transparency and reporting – We will develop the SV KPIs in consultation with BEIS and to their approval. The SV KPIs will be measured, evidenced, and reported in a similar way to our BEIS performance KPIs using the same red, amber, green ratings (see Section T4). This will ensure full transparency and that we are held to account for delivering social value as measured through the approved SV KPIs. Reporting will be streamlined with our milestone deliverables: SV KPI 1 – R3 Annual Reports; SV KPI 2 – R5 Impact Evaluation Report; and SV KPI 3 – R5 Knowledge Products.

Feedback on areas for improvement – Our Project Director, REDACTED will hold annual lessons learned meetings with his counterparts within each of the Delivery Partner organisations. The feedback from these meetings will help us improve our guidance to DPs on data disaggregation (SV KPI 1) for measuring the effects on different subgroups within the target communities. Similarly, we will gather feedback from BEIS on the level of accuracy achieved through our household surveys (SV KPI 2) and if needed take remedial actions to improve the level of accuracy. We will get feedback from our target stakeholder audiences on the accessibility and usefulness of the knowledge products that are disseminated (SV KPI 3) and likewise make improvements as required to ensure that we are maximising the social value from our MEL role on TEFOS.

Annex 1 Data Protection

The Tetra Tech International Development Limited will be compliant with the Data Protection Legislation as defined in the terms and conditions applying to this Invitation to Tender. A guide to the UK General Data Protection Regulation published by the Information Commissioner's Office, can be found [here](#).

During the bidding process, Tetra Tech International Development Limited (**Tetra Tech**) are classified as a Data Controller. The details of Tetra Tech's Data Protection and Compliance Manager is as follows: Name: REDACTED / Email: DPCM@tetratech.com.

The above classification of Tetra Tech as a Data Controller will be reviewed and discussed with BEIS prior to contract signature; and in the meantime, we are willing to discuss and provide any further information if required by BEIS.

Where the Contractor is a Data Processor, the following section MUST be included.

The only processing that the Contractor is authorised to do is listed in Annex 1 by BEIS, "the Authority" and may not be determined by the Contractor.

Annex 1: Processing, Personal Data and Data Subjects

(1) The contact details of the Authority's Data Protection Officer are:

BEIS Data Protection Officer
Department for Business, Energy and Industrial Strategy
1 Victoria Street
London
SW1H 0ET

Email: dataprotection@beis.gov.uk

(2) The contact details of the Contractor's Data Protection Officer (or if not applicable, details of the person responsible for data protection in the organisation) are:

(3) The Contractor shall comply with any further written instructions with respect to processing by the Authority.

(4) Any such further instructions shall be incorporated into this Annex 1.

Description	Details
-------------	---------

Data Protection Legislation	<p>The UK GDPR and any applicable national implementing Laws as amended from time to time; or</p> <p>the DPA 2018 to the extent that it relates to Processing of personal data and privacy; or</p> <p>all applicable Law about the Processing of personal data and privacy</p>
UK General Data Protection Regulation (UK GDPR)	The retained EU law version of the General Data Protection Regulation (Regulation (EU) 2016/679) as transposed into UK Law by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019.
Subject matter of the processing	<p>This box should contain a high level, short description of what the processing is about i.e. its subject matter. For example: The processing is needed in order to ensure that the Contractor can effectively deliver the contract to provide x service.</p> <p>All contracts should also include the following text in this box. It may be that this is the only processing involved in the contract:</p> <p>The processing of names and business contact details of staff of both the Authority and the Contractor will be necessary to deliver the services exchanged during the course of the Contract, and to undertake contract and performance management.</p> <p>The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p>
Duration of the processing	<p>Processing will take place from [insert date of start of Contract] for the duration of the Contract (if applicable, insert duration of Contractor retention period e.g. twelve month retention period) [plus a x month retention period.] The Contract will end on [insert date of end of contract] but may be extended until [date of end of final extension period].</p> <p>Guidance Note: The Contractor retention period is the amount of time the Contractor will be</p>

	<p>contracted to store the data after the expiry of the contract. This will not apply to most Contracts. In most cases, data will be either securely destroyed or transferred back to BEIS at the end of the contract and stored within BEIS.</p>
Nature and purposes of the processing	<p>This box should include all intended actions the Contractor will take with the Personal Data. The following are examples which you should select from. Only if all the verbs apply should you leave all in.</p> <p>The nature of the processing will include (select from the following) collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (and confirm whether the erasure or destruction will be by automated means) etc.</p> <p>Processing takes place for the purposes of (include the purposes of processing e.g. employment processing, statutory obligation, recruitment assessments, research etc.)</p> <p>All Contracts should also include the following text in this box. It may be that this is the only processing involved in the Contract:</p> <p>The nature of processing will include the storage and use of names and business contact details of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p>
Type of Personal Data	<p>This box should include all types of Personal Data the Contractor will process e.g. name, address, date of birth, NI number, telephone number, pay, images, biometric data etc.</p> <p>All Contracts should also include the following text in this box. It may be that this is the only type of Personal Data involved in</p>

	<p>the Contract:</p> <p>Names, business telephone numbers and email addresses, office location and position of staff of both the Authority and the Contractor as necessary to deliver the services and to undertake contract and performance management. The Contract itself will include the names and business contact details of staff of both the Authority and the Contractor involved in managing the Contract.</p>
Categories of Data Subject	<p>This box should include all types of categories of Data Subject (the individuals whose Personal Data is being processed). This could include staff of the Authority or the Contractor (including volunteers, agents, and temporary workers), customers/clients, patients, students/pupils, members of the public, users of a particular website e.g. gov.uk, workers in a particular industry, applicants or users of a particular service etc.</p> <p>All Contracts should also include the following text in this box. It may be that these are the only Data Subjects involved in the Contract:</p> <p>Staff of the Authority and the Contractor, including where those employees are named within the Contract itself or involved within contract management.</p>
Plan for return and destruction of the data once the processing is complete UNLESS requirement under UK GDPR to preserve that type of data	<p>This box should read and be formatted as one continuous paragraph. Please remove all square brackets and spaces when you have finished amending.</p> <p>If the Contractor will retain the Personal Data after the Contract has ended, please include and edit the following sentence: [The Personal Data will be retained by the Contractor for a [insert duration of Contractor retention period e.g. twelve month] retention period, following which]</p> <p>(the 'T' in 'The Contractor' below, should be changed to lower case where the above sentence for retention applies)</p>

	<p>The Contractor will</p> <p>a) to be used where BEIS wishes to retain the data: provide the Authority with a complete and uncorrupted version of the Personal Data in electronic form (or such other format as reasonably required by the Authority) and erase from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract (include if applicable) [and the Contractor retention period]. The Contractor will certify to the Authority that it has completed such deletion.</p> <p>b) to be used where BEIS wishes to have the data deleted all together: delete the Personal Data and erase the Personal Data from any computers, storage devices and storage media that are to be retained by the Contractor after the expiry of the Contract (include if applicable) [and the Contractor retention period]. The Contractor will certify to the Authority that it has completed such deletion.</p> <p>All Contracts should also include the following text in this box:</p> <p>Where Personal Data is contained within the Contract documentation, this will be retained in line with the Department's privacy notice found within the Invitation to Tender.</p>
--	--

Guidance Note 1: The UK GDPR has changed what information should be provided to individuals at the point their personal data is collected. Where the Contractor will be collecting personal data directly from data subjects, the communication the Contractor uses for this purpose will need to be updated to include all information included in the BEIS privacy notice template (the template called 'BEIS Privacy Notice (Word)' on the intranet [here](#)). The need for a privacy notice should be included within the specification, however the content can generally be agreed after contract award. However, where there is a particular method of communication you wish the Contractor to employ regarding this privacy notice, which may impact the price i.e. a procurement for a telephone research campaign or helpline may wish to include a requirement to email or post privacy notices to individuals as opposed to increasing the length of the script, this should be outlined at this point of the specification so the

Contractor can price their bid accordingly.

Optional clause 1: The nature of the service will require the Contractor to collect personal data directly from data subjects. The Contractor will use the agreed BEIS privacy notice as instructed by the Authority.

Guidance Note 2: Where consent is the legal basis for processing, please include the following clause.

Optional clause 2: BEIS will be relying on consent as the relevant legal basis of processing. The Contractor will ensure that all communications requesting the provision on personal data allow for the data subject to provide clear, affirmative, informed, freely given and unambiguous consent, which requires a positive 'opt-in.' The Contractor will have mechanisms in place to ensure that consent is recorded and shown through an audit trail.