

ANNEX A: Terms of Reference

TERMS OF REFERENCE

Section A: Assignment Specific Conditions

Background

In 2019, the Evaluation Department (EVAL) under the Danish Ministry of Foreign Affairs will commission an evaluation of the support to climate change adaptation under the Danish Development Assistance budget. The evaluation will have a focus on interventions within climate adaptation as part of the Climate Envelope and as mainstreamed interventions within the overall development assistance portfolio. There will be a focus on learning, building on the outcomes of interventions carried out in the period 2008 to 2012 as reported in the evaluation published in 2015¹, and adding results obtained in the period 2013-2018.

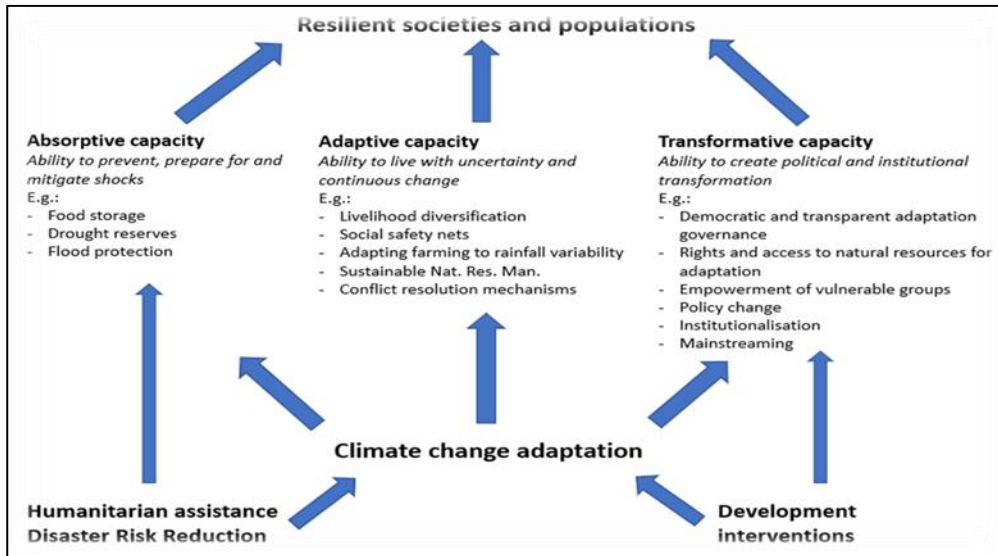
Climate change adaptation is a key component in the development of resilient societies. Support to climate change adaptation requires a broad-based approach, which not only addresses the immediate impacts of particular climate change hazards and risks, e.g. acute response to disasters such as floods and droughts, but also helps build the socioeconomic and institutional foundations for a transformation towards long-term resilience. This requires support at different levels and across sectoral boundaries, and attention to how climate change adaptation is mainstreamed into development to address an unacceptable large and growing adaptation deficit². The notion is that the adaptation deficit can be more effectively addressed by combining the work of the Climate Convention with the development aid process and mainstreaming climate risks. By developing a more coherent and operational adaptation regime collective success in climate change adaptation is believed to be more likely.

The approach is necessary both in the most fragile countries and in more “stable” poor countries, but the challenges and strategies for moving ahead may differ. The figure below illustrate how support for climate change adaptation can contribute to resilience.

The overall theme for the evaluation will be to examine how and to what extent the Danish development aid portfolio is addressing longer-term resilience in the target countries, and to identify mechanisms that have been successful in this respect. This should include consideration of the differences (and commonalities) between fragile and more stable countries and settings, and what this means for support to climate change adaptation going forward.

¹ Evaluation of Denmark's Climate Change Funding to Developing Countries (MFA, 2015).

² Burton, I. (2012): Climate Change and the Adaptation Deficit (http://projects.upci.ca/climate/files/2012/10/Book-5_Paper-3.pdf).



Source Lindegaard, L.S., M. Funder & E.F. Hansen (2019)³, adapted from (i) Jonathan Ensor (2011) “Uncertain Futures: Adapting Development to a Changing Climate” and (ii) Action Aid (2016) “Resilience Handbook: A Guide to Integrated Resilience Programming”.

Investigating resilience is a complex matter and for this reason, the evaluation will focus on; 1) poverty and vulnerable groups; 2) resilient livelihoods and 3) transformation. The considerations for each of these are as follows:

The theme ‘Poverty and vulnerable groups’ relates directly to the 2016 Guiding Principles for the Danish Climate Envelope⁴, which state: “The specific impact that is targeted by the Climate Envelope is the following: (i) Reduced greenhouse gas emissions, (ii) Increased climate resilience specifically for vulnerable and marginalised groups.” The upcoming evaluation provides an opportunity to conduct an in-depth assessment of the success of the second principle in practice, as well as a consideration of enabling factors, constraints and knowledge gaps. Specifically, this could include an evaluation of initiatives with a focus on supporting the resilience of poor populations, socially and economically marginalized groups, including women and girls, and geographically vulnerable populations, e.g. in coastal areas affected by storms or sea level rise.

The theme ‘Resilient livelihoods’ touches on several areas significant to climate change adaptation, including initiatives on natural resource management (water, forestry, land, etc.), ecosystem services, rural livelihoods (incl. climate-smart agriculture and forestry-based livelihoods) and governance support to livelihoods (e.g. extension services, infrastructure and training). It supports the first theme as poor groups vulnerable to climate change are often highly dependent on livelihoods affected by climate variability. Interventions in this category are also relevant for mainstreaming, as they are areas where climate change adaptation could be integrated into development initiatives with synergies and beneficial results. It is important to consider how climate change may require new approaches to secure resilient livelihoods, including new knowledge, practices or inputs, and to prevent maladaptation in development efforts. Finally, the focus of the theme provides an opportunity to gain learning on co-benefit initiatives. It encompasses e.g. agriculture and forestry, areas highly relevant for both adaptation and mitigation. Co-benefit initiatives are significant in the Climate Envelope with over 40% of the funds committed from 2013 to 2018 have been directed to co-benefit initiatives. In the Green Climate Fund, the corresponding figure for co-benefit interventions is 33%.

Finally, the theme “Transformative responses” points to processes of transition towards individual and societal resilience. Long-term resilience will require the ability to respond to climate variability (e.g.

³ Lindegaard, L.S., M. Funder & E. Friis Hansen (2019): Preparatory Study for 2019 Climate Evaluation: Outputs. DIIS Working Paper March 2019.

⁴ MFA (2016): Guiding Principles for the Danish Climate Envelope. February 2016 (<http://amg.um.dk/en/tools/guiding-principles-climate-envelope/>).

temperature and precipitation fluctuations and extremes) in relation to changing socio-economic conditions. This will involve structures and processes enabling ongoing responses to changing circumstances, and this theme therefore seeks to gain insight into what kinds of adaptation initiatives have been able to support transformative processes, how (e.g. building robust institutions and policies), and in what circumstances. Identifying examples of transformation would require determining if an initiative had significant knock-on effects; evaluating whether new institutional structures and processes have been sustained after the grant period; or identifying instances of significant transition towards sustainability in climate-related sectors. This may include institutional development and capacity building (e.g. new climate-related institutions and disaster preparedness processes; mainstreaming of climate change into agricultural planning, infrastructure development, land and resource management); new forms of organization and exchange (e.g. farmers' or women's groups, governance exchange on best practices, sharing of adaptive knowledge/approaches within climate-affected sectors); and policy processes and development (e.g. the establishment of new policies or policy processes supporting adaptation and resilience not necessarily explicitly related to climate, but could instead address vulnerability and livelihoods); and finally green transition (e.g. shifts in socio-economic systems including new water management, energy, agricultural systems).

For the evaluation, the last theme poses a series of possible dilemmas. Firstly, there is a possible trade-off to be examined between targeted projects that address a particular climate change impact versus broader initiatives that seek to institutionalize transformative structures and processes. Secondly, this theme highlights the importance of processes of change and supporting structural and institutional factors. Thirdly, there is a possible dilemma between the nature of adaptation and the pathways through which Danish support to adaptation is delivered. Adaptation is often highly contextual, which in terms of governance points to the significance of the sub-national (decentralised) level. All three issues will be investigated by the evaluation, especially within the four country cases.

In light of the adaptation focus, it is worth noting that support to adaptation in the Climate Envelope has lagged far behind that to mitigation. Of the total amount of Climate Envelope commitments from 2013-2018, 13% has been directed to adaptation contra 38% to mitigation. Co-benefit initiatives are also prominent, making up 41% of committed amounts. 8% is left for "supporting actions".

Scope of work

The evaluation will be based on a bottom-up approach with a strong focus on four country cases.

It is expected that the evaluation will include four categories of adaptation projects:

- Funded through the Climate Envelope (adaptation aspects of the 138 projects and programmes within the Climate Envelope 2008-2018).
- Other bilateral assistance: 20-25 programmes/projects with a focus on climate adaptation interventions, which are part of Danish climate-related ODA, but outside the Climate Envelope. 17 of these are on activities in Bangladesh (4), Burkina Faso (6), Ethiopia (1) and Kenya (6). In addition, the evaluation will assess the adaptation elements of the climate screenings of Danida Country Programme, carried out 2005-2008.
- Funded through NGOs; focus on a number of major NGOs with significant climate adaptation activities.
- Funded through multilateral organisations (e.g. UN, the Green Climate Fund and World Bank).

In the four case countries, the evaluation will explore how various climate adaptation activities within the four categories intervenes.

During the inception phase, the evaluation team will thoroughly analyse available documents and reports pertaining to these interventions. A focus will be on the quality of the baseline data of climate adaptation activities undertaken 2008-18 and on the quality of data gathered and registered by the monitoring systems and evaluation units for the additional interventions. A particular focus should be on how to measure impact and increased resilience for vulnerable and marginalized groups. To this, the evaluation will assess from 2016 and onwards to what extent sufficient reporting is done for the relevant impact indicators mentioned in the guiding principles for the Danish Climate Envelope.

The inception phase will include initiation of the meta-analysis of the entire dataset 2008-2018 with respect to the evaluation themes, e.g. what kinds of project modalities and delivery pathways have been most effective in providing adaptive outcomes for poor and vulnerable groups, supporting resilient livelihoods and enabling transformative responses to climate change. This provides a foundation for engaging with evaluation questions on (1) mainstreaming of climate adaptation in Danish development aid, (2) transformative responses to climate change, (3) the role of the Climate Envelope within the overall adaptation portfolio and (4) Denmark's contribution to the global climate adaptation support landscape.

To this, the inception phase will include the design of the four country cases. These cases will be an important source of knowledge on what works on the ground in terms of the evaluation themes. The following countries, which provide examples from different regions, levels of development and fragility contexts, are selected (with short justification):

- **Kenya** – There are extensive climate-related activities in Kenya, both in terms of adaptation and mitigation. Kenya was included in the 2015 evaluation, which provides the opportunity to re-evaluate after the initiatives have gained maturity. It also provides insights into an African context.
- **Bangladesh** – Bangladesh provides an Asian case with very different contextual factors and climate change impacts. It also has a sizeable bilateral climate programme.
- **Burkina Faso** – Burkina Faso is 'characterized by fragility' in Denmark's latest strategy (The World 2030) for development cooperation and humanitarian action. The country is subject to both political and climate-related fragility and receive significant Danish support to climate related initiatives. This could provide valuable learning on adaptation and resilience in fragile contexts.
- **Ethiopia** – Ethiopia is to some extent stable but have fragile tendencies or areas. It will provide insight on mainstreaming climate change across the humanitarian-development nexus.

This list includes countries supported through the Climate Envelope as well as those supported through other climate-related ODA. The particular sectors or projects to evaluate will be country specific but could include, e.g. water (Burkina Faso, Bangladesh, Kenya), food security and social protection (Ethiopia), local infrastructure (Bangladesh) - see country policy papers for additional information⁵.

These case investigations can help shed light on how the Danish supported adaptation-related interventions interact and integrates into the overall landscape of adaptation actions and adaptation-related support interventions in the different country case. The grounded approach allows for an investigation of how these various forms of intervention play out in practice, what strengths or gaps are evident and how they might support each other going forward. This will provide an informed basis for

⁵ MFA Country Strategies (<http://um.dk/da/danida/lande-og-regioner/landepolitikker>).

subsequent considerations on global-level engagement with adaptation, for instance through multilateral funds and organizations, and Denmark's role in the same.

EVAL plans a dedicated communication process to document the outcome of the evaluation. This effort will be coordinated closely by EVAL with the evaluation team. It will be financed directly by EVAL and carried out by a separate communication team, which will work closely with the evaluation team and in two of the country cases collect contribution stories alongside the evaluation team for later dissemination.

Evaluation questions

A specification of the main evaluation questions (EQs) is as follows⁶:

With respect to mainstreaming of climate considerations in bilateral Danish ODA that does not have climate adaptation as its main objective:

EQ 1: What are the implementation experiences with mainstreaming regarding effectiveness, efficiency and outcomes?

EQ 2: What approaches to mainstreaming have been taken, and were these successful regarding expected impacts and sustainability?

EQ 3: What is the scale of implementation compared to perceived opportunities and the sustainability of these?

EQ 4: How can mainstreaming be further enhanced across the entire Danish ODA portfolio?

With respect to transformative responses to climate change:

EQ 5: To what extent has support for climate change adaptation contributed to transformative responses to climate change?

EQ 6: What kinds of interventions or mechanisms have been well-suited to supporting transformational responses and how?

With respect to the role of the Climate Envelope within the overall adaptation portfolio:

EQ 7: What has been the outcomes and implications of different delivery pathways for climate change adaptation, such as bilateral, multilateral or civil society?

EQ 8: What has been the effectiveness, efficiency and outcomes with respect to learning, innovation and showcases of minimizing risks and vulnerability from climate change and building resilience?

EQ 9: What has been the development outcomes of targeted Climate Envelope interventions?

With respect to Denmark's role in the global adaptation support landscape:

EQ 10: What has been the outcome and effectiveness of Danish engagement in global discussions on support to climate change adaptation in developing countries?

⁶ See Lindegaard, L.S., M. Funder & E. Friis Hansen (2019): Preparatory Study for 2019 Climate Evaluation: Outputs. DIIS Working Paper March 2019 for additional justification for the focus of some of the evaluation questions.

EQ 11: What strategic considerations might Denmark engage in going forward to gain an increasingly significant role in shaping the global agenda on climate change adaptation and development?

EQ 12: What opportunities are there for institutional learning within Danida on climate change adaptation that could support Danish input to the global adaptation and development agenda?

Outputs

The outputs of the evaluation will include:

- An inception report with evaluation design. The report provides an evaluation matrix dealing with the evaluation questions as well as a thorough outline of the methodology to be used.
- Field visit reports from the case countries.
- An initial findings paper (not for publication).
- A draft final report.
- A final report (maximum 50 pages plus Annexes).

Reporting requirements

In addition to the reporting described for the evaluation outputs, the evaluation team shall prepare an Inception Report including a detailed Work Programme. The inception report shall include an elaborated methodology of the evaluation, including the design, approach, data collection strategy and methods, analytical framework and reporting outline. This will be a further elaboration of the approach and methodology already presented in the tender proposal. The inception report will also include the proposed portfolio to be included in the evaluation. The evaluation team will present the inception report to the Evaluation Management before the evaluation analysis is commenced.

Relevant documentation of the evaluation process and data including reports from field visits, raw data collected, survey data, progress reports, minutes of meetings, QA reports, presentation and similar shall be properly organised and included as part of the reporting (data files to be submitted with the evaluation report).

The evaluation outputs will all be submitted to the responsible contact person in EVAL and must comply with the EVAL guidelines for report writing and layout, which can be found at (<http://um.dk/en/danida-en/results/eval/>) (under relevant documents).

Task	Date/period	Responsible/involved
Initiation of evaluation (Signing of contract)	1 st October 2019	EVAL & ET (evaluation team)
Inception, including country case design	December 2019	ET & partners in concerned countries
Draft inception report submitted	10 January 2020	ET
Discussion of inception report	Mid-January 2020	EVAL, ERG & ET
Main study	End Jan-May 2020	ET & partners in concerned countries
Preliminary findings paper	End May 2020	ET

Discussion of findings	June 2020	EVAL, ERG & ET
Draft report submitted	End August 2020	ET
Final report	End September 2020	ET
Launch final report and communication cases, and seminar in Copenhagen	Mid October 2020	ET & EVAL

Organisation

Management of the Evaluation will follow the Danida Evaluation Guidelines (2012) and the OECD-Development Assistance Committee quality standards (2010). There are three sets of roles in the process: a) the Evaluation Management; b) the Evaluation Team (Consultant); and, c) the Evaluation Reference Group (ERG).

Role of the Evaluation Management

The evaluation will be supervised and managed by the Evaluation Department (EVAL) in the Danish Ministry of Foreign Affairs (MFA). The Evaluation Management will:

- Participate in the selection of Evaluation Team based on received tenders and assisted by an independent tender consultant.
- Coordinate with all relevant evaluation stakeholders.
- Ensure that quality control is carried out throughout the evaluation process. In so doing, EVAL may make use of external peer reviewers.
- Provide feedback to the Evaluation Team. Comment on draft versions of the inception report, the work plan, annual field visit reports and the summative evaluation report. Approve final reports.
- Organise and chair meetings of the Evaluation Reference Group.
- Facilitate and participate in evaluation workshops, including possibly an open dissemination workshop towards the end of the evaluation.
- Coordinate and initiate communication process.
- Organise presentation of evaluation results and follow-up on the evaluation for the internal Danida Programme Committee and the Minister for Foreign Affairs (the responsible department or Embassy drafts the management response).
- Advise relevant stakeholders on matters related to the evaluation.

Role of the Evaluation Team (the Consultant)

The DAC evaluation principles of independence of the Evaluation Team will be applied. The Evaluation Team will carry out the evaluation based on a contract with the MFA and will:

- Prepare and carry out the evaluation according to the TOR, the approved Inception Report, the DAC Evaluation Quality Standards and the Danida Evaluation Guidelines.
- Be responsible to the Evaluation Management for the findings, conclusions and recommendations of the evaluation.

- Ensure that quality assurance is carried out and documented throughout the evaluation process according to the Consultant's own Quality Assurance Plan as described in the proposal.
- Report to the Evaluation Management regularly about progress of the evaluation.
- Organise and coordinate meetings and field visits, and other key events, including debriefing session and/or validation workshops in the field visit countries.

The Team Leader is responsible for the team's reporting, proper quality assurance and for the organisation of the work. The Team Leader will participate in the ERG meetings and other meetings as required and upon request. It is envisaged that the Team Leader will participate in approximately four meetings in Copenhagen during the whole process.

Role of the Evaluation Reference Group

An Evaluation Reference Group (ERG) will be established and chaired by EVAL. Other members of the ERG will include MKL, KFU and other stakeholders. The mandate of the ERG is to provide advisory support and inputs to the evaluation, e.g. through comments to draft reports. The reference group will work with direct meetings, e-mail communication and video-conferencing. The tasks of the ERG are to:

- Comment on draft inception report, draft annual field visit reports and draft evaluation report with a view to ensure that the evaluation is based on factual knowledge about the engagement and how it has been implemented.
- Support the implementation of the evaluation and promote the dissemination of the evaluation conclusions and recommendations.

Other key stakeholders may be consulted at strategic points in time of the evaluation either through mail correspondence or through participation in stakeholder meetings/workshops.

Eligibility

The OECD-DAC evaluation principles of independence of the evaluation team will be applied. The candidates will provide a declaration of prior involvements. In situations where conflict of interest occurs, candidates may be excluded from participation, if their participation may question the independence and impartiality of the evaluation. Any firm or individual consultant that has participated in the preparation or implementation of the evaluated Danida programmes may be excluded from participation in the tender.

Tenderers are obliged to carefully consider issues of eligibility for individual consultants and inform the Client of any potential issues relating to a possible conflict of interest.

Requirements for home office support

The Evaluation Team's home office shall provide the following, to be covered by the Consultants fees:

- General home office administration and professional back-up.
- Quality assurance (QA) of the consultancy services in accordance with the quality management and quality assurance system described in the Tender. Special emphasis should be given to quality assurance of draft reports prior to the submission of such reports. EVAL may request documentation for the QA undertaken in the process.

All QA activities should be properly documented and reported to EVAL.

Budget

The total budget for the consultancy services is a maximum of DKK 4,000,000. The Consultant's financial proposal shall include all costs for fees and project related reimbursable expenses. It is the responsibility of the Consultant to ensure that the products and outputs specified above and all other tasks specified in these terms of reference are performed within the framework of the financial proposal and the specified ceiling amounts (see Appendix 3).

The cost of quality assurance (QA) should be included in the Consultant's overhead.

EVAL will cover the expenditures incurred in preparing the final evaluation report for publication and any additional dissemination activities in Denmark as and if agreed upon.

Background documents

- Lindegaard, L.S., M. Funder & E. Friis Hansen (2019): Preparatory Study for 2019 Climate Evaluation: Outputs. DIIS Working Paper March 2019.
- Danida EVAL has compiled background documents for the evaluation that will be made available to the selected evaluation consultant.