



Invitation to Tender (ITT)

June 2022

Invitation to Tender (ITT) # MOBILIST-RFP-003

ITT name: Impact of ESG metrics and ESG data providers' coverage of emerging and frontier markets on asset allocation of investors and investment managers

Submission deadline: July 27, 2022 at 5pm UK time

Dear Tenderer,

Chemonics UK (Chemonics) invites you to submit a Tender for research into the **Impact of ESG metrics and ESG data providers' coverage of emerging and frontier markets on asset allocation of investors and investment managers.**

In addition to this Letter of Invitation, the ITT Pack includes:

Volume 1 - Key Procurement Information

Volume 2 - Instructions to Tenderers and Evaluation Criteria

Volume 3 - Terms of Reference (ToR)/Specifications

Volume 4 - Annexes

Annex 1 - Cover Letter (Declarations)

Annex 2 - Chemonics Tendering Requirements and Conditions

Annex 3 - Criteria for delivering excellent quality research with high value for money

Annex 4- Example Firm Fixed Price Subcontract Template (Terms and Clauses)

Tenderers are required to read "**Chemonics' Ethical and Business Conduct requirements**" in Annex 2, Section 1 and declare they have understood and adhere to these conditions in the Cover Letter provided in Annex 1.

This ITT does not obligate Chemonics to execute a contract, nor does it commit Chemonics to pay any costs incurred in the preparation and submission of the proposals.

All inquiries or requests for clarifications relating to this ITT must be made through the Procurement Point of Contact (POC) listed in the Key Procurement Information in Volume 1. Please contact the POC immediately if any of the ITT documents are missing.

Sincerely,

Tara Sabre Collier
Team Leader, MOBILIST Research and Policy Platform programme

Volume 1. Key Procurement Information

ITT number:	MOBILIST-RFP-003
Project Name/No.:	MOBILIST Research and Policy programme referred to as "Project"
Authority/Chemonics Client:	Foreign, Commonwealth and Development Office (FCDO)
Implemented by:	Chemonics International Inc.
Description of commodities or services:	Research into the Impact of ESG metrics and ESG data providers' coverage of emerging and frontier markets on asset allocation of investors and investment managers.
Issue date:	June 29, 2022
ITT conference day:	July 06, 2022
ITT clarifications deadline:	July 08, 2022
Submission deadline:	July 27, 2022 at 5.00pm UK time
Email for electronic submissions	mobilistprocurement@ukmobilist.com
Contract type/Pricing methodology:	Fixed Price
Maximum budget for this procurement:	60,000 GBP
Plug figures:	N/A
Currency of offer	Offers are expected to be expressed in British Pounds
Estimated period of Performance	3 months
Proposal validity period:	90 days
Anticipated date of award:	August 03 ,2022
Anticipated date of mobilisation:	August 10, 2022
Country where Commodities /Services will be delivered	United Kingdom referred to as "Country of Performance"
Procurement point of contact:	Mobilistprocurement@ukmobilist.com referred to as "POC"
Chemonics contact details for the Tenderer or Tenderer Personnel to notify any potential conflict of interest, safeguarding, anti-bribery and corruption or any other compliance concerns	Chemonics Office of Business Conduct Email: businessconduct@chemonics.com Online: www.chemonics.com/reporting Phone/Skype: 888.955.6881 WhatsApp: (+1) 202.355.8974

By submitting a Tender in response to this ITT, the Tenderer represents that they have read, acknowledge, understood, agree to, and will act in accordance with the terms set forth in this ITT, including the "Terms and Conditions of the Tender", as may be modified from time to time, which can be found in Annex 2, Section 3.

Volume 2: Instructions to Tenderers and Evaluation Criteria

1. Introduction:

MOBILIST supports investment solutions to deliver the large and sustainable capital flows needed to realise developing countries' development and climate ambitions. MOBILIST invests capital, delivers technical assistance, conducts research and builds partnerships to catalyse investment in new listed products.

The goal of the MOBILIST Research and Policy platform (Project) is to build sustainable finance in emerging markets and developing countries at scale through research, communications, advocacy, and monitoring, evaluation, and learning. The platform looks to create the evidence base to help guide the growth of sustainable finance and direct finance towards where it is needed most: developing countries. The Services to be procured under this ITT are required for the Project's implementation as further explained under Volume 3 -Terms of Reference. The Project anticipates issuing a Fixed price Subcontract for this work.

Tenderers are responsible for ensuring that their offers are received by Chemonics in accordance with the instructions, terms, and conditions described in this ITT.

2. Submission Procedure for Tenders:

Tenderers shall submit their tenders electronically by the submission deadline and at the email address in Volume 1- Key Procurement Information. The Technical and the Commercial tender must be submitted separately, and the technical proposal must not have any references to cost information.

Electronic submission of the tender must not exceed 3 attachments (5 MB limit) per email compatible with MS Word, MS Excel, readable format, or Adobe Portable Document (PDF) format in a Microsoft XP environment. Tenderers must not submit zipped files. Those pages requiring original manual signatures should be scanned and sent in PDF format as an email attachment.

The font size chosen for your tenders must not be less than Arial font size 10.

3. Eligibility Requirements

- a. The Tenderer must be an organisation incorporated or legally organised under the laws of its place of business and must have proper licenses or registration to deliver the Commodities or Services in the Country of Performance.
- b. No commodities or services shall be eligible for payment if provided by a vendor included on any list of suspended, debarred, or ineligible bidders used by the United Kingdom or the United States Government.
- c. Any and all items that are made by Huawei Technology Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikivision Digital Technology Company, Dahua Technology Company will not be accepted. If tenders include items from these entities, please note that they will be deemed not technically responsive and excluded from competition.
- d. Tenderer must submit the self-declarations and representations included in Annex 1 and shall pass Chemonics due diligence process.

4. Evaluation and Award:

An award will be made to the Tenderer whose proposal is determined to be most responsive to this solicitation document and represents value for money to the Project.

In evaluating proposals, Chemonics will use the following evaluation criteria and sub-criteria:

Technical Evaluation Criteria	Maximum Score
<p>1. <i>Technical Approach and Methodology:</i></p> <p>a. Technical know-how – Does the proposal clearly explain and respond to the objectives of the Project as stated in the Terms of Reference?</p> <p>b. Approach and Methodology – Does the proposed approach and detailed activities and timeline fulfil the requirements of executing the Scope of Work effectively and efficiently?</p> <p>c. Sector/ Market Knowledge – Does the proposal demonstrate the Offeror’s sector and market knowledge as required by the SOW? This sector/market knowledge includes the role of ESG considerations in institutional investors’ asset allocation to emerging and frontier markets; expertise in ESG data, metrics, and standards; and network among capital market actors in emerging and frontier economies.</p> <p>d. Research Quality – Does the proposal demonstrate understanding of, and alignment with principles of high-quality research and Value for Money? Does the proposal meet or exceed the criteria for delivering excellent quality research with high value for money, as indicated in Annex 3 (A and B)?</p> <p>e. Dissemination – Does the proposal articulate a compelling approach to impactful dissemination, including requisite networks and track record in deploying research to influence market participants, policymakers, and regulators?</p>	40
<p>2. <i>Management, Key Personnel, and Staffing Plan (Team)</i></p> <p>Personnel Qualifications – Do the proposed team members have necessary experience and capabilities to carry out the Scope of Work?</p>	20
<p>3. <i>Corporate Capability:</i></p> <p>a. Company background: Does the Tenderer have the corporate capabilities, technical and administrative capacity to perform the Work?</p> <p>b. Past performance: Does the company have a demonstrated track record of informing and engaging institutional investors?</p>	30
<p>Total Technical score</p>	90
<p>Commercial Criteria</p>	
<p>The commercial proposal (Price) will not be scored. Cost/Price will primarily be evaluated for realism and reasonableness. If technical scores are determined to be nearly equal, the commercial proposal will become the determining selection factor. Chemonics will award a contract to the Tenderer whose proposal represents value for money to Chemonics.</p>	N/A

Chemonics reserves the right to award to a higher priced Tenderer if a determination is made that the higher technical evaluation of that Tenderer merits the additional cost/price.	
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5. Tender details

The following is the information required to be considered a responsive tender:

5.1 Cover letter: All tenders without exception must include a cover letter using Annex 1 as a basis. The cover letter includes the Subcontractor declaration and must include all documentation necessary for Chemonics to do its due diligence process. The declaration must be signed by an authorised representative of the company. Chemonics reserves the right to request additional documentation as part of its due diligence.

5.2 Technical Proposal

The technical proposal shall comprise the following parts:

Part 1: Technical Approach and Methodology. This part shall be between 5 and 15 pages long but may not exceed 15 pages. The Tenderer shall describe the company's approach to performing the services as described in the Scope of Work in Section II. This may include but not limited to demonstrating how the tenderer will align with principles of high-quality research, as well as Value for Money, which are delineated within this document. The Technical Approach should also demonstrate how the tenderer will ensure that their deliverables present and disseminate findings in a way that is rigorous and impactful in informing the intended audience of ESG data providers, asset allocators with ESG mandates to invest in/advise on emerging and frontier markets, development finance institutions and donors, and policymakers and regulators responsible for ESG investing and data.

Part 2: Management, Key Personnel, and Staffing Plan. This part shall be between 2 and 5 pages long but may not exceed 5 pages. CVs for key personnel may be included in an annex to the technical proposal and will not count against the page limit.

Tenderers shall propose staff for the following key personnel positions necessary for the implementation of the scope of work:

- Research Lead, who will be the single point of contact accountable for both timeliness and quality of the Tenderer's deliverables in the context of the FCDO's Principles of High-Quality Research.
- Quality Assurer, who will provide challenge and feedback to the Research Lead on draft deliverables and should have specialized expertise relevant to the Scope of Work. This may be an individual internal or external to the Offering entity.
- Research Team, including an appropriate mix of qualitative and quantitative research expertise to deliver the Scope of Work.

Part 3: Corporate Capabilities and Past Performance. This part shall be between 2 and 7 pages long but may not exceed 7 pages. This section must include a description of the company and organization, with appropriate reference to any parent company and subsidiaries. Tenderers must include details demonstrating their experience and technical ability in implementing the proposed technical approach/methodology and the detailed work plan. Additionally, Tenderers must include 2 to 3 past performance references of similar work (under contracts, subcontracts or grants) previously implemented as well as contact information for the companies/donors for which such work was completed. Contact information must include at a minimum: name of point of contact

who can speak to the Tenderer's performance, name and address of the company/donor for which the work was performed, and email and phone number of the point of contact.

Chemonics reserves the right to check additional references not provided by the Tenderer.

5.3 Commercial Proposal

The commercial proposal is used to determine which proposals represent value for money and serves as a basis of negotiation before award of an agreement.

The price of the Agreement to be awarded will be all-inclusive price. No profit, taxes, or additional costs can be added after award therefore these costs must be included in the proposal budget. For the commercial proposal, Tenderers must provide a detailed budget showing major line items, i.e., Fees (Gross Daily Rates) and Expenses. The Gross daily rates for productive days included under Fees shall include personnel remuneration and benefits, overhead and profit/margin, if applicable. Expenses may include travel costs, monitoring and evaluation, supplies or equipment, insurance, VAT, etc.

All items, services, etc. must be clearly labelled and included in the total offered price. All cost information must be expressed in the currency in the Key Procurement Information in Volume 1.

The cost proposal shall also include a budget narrative that explains the basis for the estimate of every cost element or line item. Supporting information must be provided in sufficient detail to allow for a complete analysis of each cost element or line item. Chemonics reserves the right to request additional cost information if the evaluation committee has concerns of the reasonableness, realism, or completeness of a Tenderer's proposed cost.

Under no circumstances may cost information be included in the technical proposal.

Volume 3. Terms of Reference

1. BACKGROUND

MOBILIST will sponsor an ambitious programme of research to inform and influence market actors, filling knowledge gaps and correcting misperceptions to enhance the volume and efficiency of capital allocated to emerging and frontier markets. Combined with MOBILIST seed capital and technical support for high potential firms and fund managers, MOBILIST's research outputs will help demonstrate the potential of emerging and frontier market listed assets for international portfolios. Ultimately, MOBILIST research will help enhance the flow of capital into assets that contribute to sustainable economic development in emerging and frontier markets, contributing at scale to the Sustainable Development Goals and Climate Finance objectives. This RFP relates to the first piece of Market Infrastructure and Enabling Environment Research commissioned under MOBILIST's research agenda and will constitute a flagship knowledge product from the second year of operation.

The knowledge gap we have identified for this piece of research surrounds the influence of investors' evolving and increasing consideration of environmental, social and governance (ESG) factors in determining asset allocations to emerging and frontier markets. This piece builds on prior MOBILIST research, which identified the risk that the increasing influence of ESG considerations would divert capital away from the markets that need it most, in part because data are incomplete and established disclosures/metrics inappropriate in these contexts. Under this successor research, we wish to explore: the materiality of capital diversion from emerging and frontier markets due to ESG considerations among global allocators; how ESG investing and these potential negative externalities are evolving; and ways to ensure that emerging and frontier market issuers' and investors' needs and perspectives shape global and regional voluntary and mandatory disclosure frameworks and private sector-led innovations in ESG data and metrics.

The Intended Audience for this research is (i) allocators underweight emerging and frontier markets due to a (perceived) lack of appropriate data and metrics relating to ESG considerations for emerging and frontier market issuers; (ii) ESG data providers and global standard setters with influence over ESG information available to/mandated of allocators; and (iii) domestic policymakers/regulators responsible for ESG standards and disclosures in emerging and frontier economies. The research should highlight and evaluate actionable, market-led solutions to correct for potential capital market distortions affecting these economies due to present availability of ESG-related information and the nature of ESG disclosures and metrics. Potential solutions could include alternative asset management approaches; innovations in data collection, collation, and analysis; regulatory fixes for market failures, including in the ESG data/metric industry; and even scaling back or moderating of ESG consideration altogether.

2. SCOPE OF WORK

Context

ESG considerations increasingly affect asset allocation globally. Investor interest in ESG-integration has increased rapidly in recent years, in part (i) reflecting the view that environmental,

social and corporate governance issues affect the long-term performance of issuers¹; (ii) reflecting reputational risk associated with adverse ESG events; and (iii) reflecting allocators' increasing intent to generate positive ESG impact. For example, between 2016 and 2020, assets aligned with ESG investment strategies increased from US\$23 trillion to US\$35 trillion, equivalent to a third of total global assets under management.² To service the growing demand for ESG investment and analysis, ESG teams at the 30 largest global asset managers grew by more than 230% in the same period.³

This trend is expected to accelerate in response to the transition from voluntary to mandatory disclosures in several key markets.⁴ For example, the US SEC's March 2022 consultation on requirements for all filers to report on emissions and other non-financial considerations is expected to require new data, processes, and controls. Similarly, from 2022, reporting based on the Taskforce on Climate-Related Disclosures' (TCDF) framework will be mandated for more than 1,300 of the largest UK-registered companies and financial institutions; while the International Sustainability Standards Board (ISSB) is presently consulting on draft climate and ESG disclosures expected to be adopted under UK law. The ISSB's drafts require sustainability reporting to be connected to and complement financial statements.

Prior MOBILIST research identified the increasing role of ESG considerations as a material factor shaping capital allocations to emerging and frontier markets, and a risk that this trend would divert capital away from where it is most needed. While the rise of ESG investing has predominantly been led by developed markets, MOBILIST-supported research on the drivers of investment flows into emerging and frontier markets also identified ESG as an increasingly significant factor in international allocators' decisions relating to these economies. However, the authors of this research concluded that this trend perversely risks driving capital away from emerging and frontier markets due to the developed-market orientation of ESG metrics and standards and data shortages in developing countries.⁵ Currently, total assets under management in emerging market-domiciled ESG-integrating funds is just US\$28 billion, which accounts for less than 3% of the total global amount.⁶

Shortcomings in ESG data and metrics are also increasingly recognised in developed markets. With no formal agreement on a universal set of ESG standards and metrics, approaches taken by different ESG data and rating agencies vary significantly. This is evident in the identification and weighting of relevant factors, the level of granularity of information, and how the data is sourced. For example, MSCI research suggests that the correlation of ESG scores across data providers for the same company can be as low as 50%; while ESG metrics for different rating agencies can vary from as few as 12 performance indicators to 1,000.⁷ This inconsistency reflects the high level of subjectivity in the current ESG rating process, which has also been criticised as overly simplistic for accurately reflecting a company's true ESG credentials.⁸ Oversimplification is also an issue for ESG ratings due

¹ Amel-Zadeh, A., Serafeim, G. (2020) Why and How Investors Use ESG Information: Evidence from a Global Survey

² Global Sustainable Investment Alliance (2021) Global Sustainable Investment Review 2020

³ Foubert, A. (2020) ESG Data Integration by Asset Managers: Targeting Alpha

⁴ <https://home.kpmg/uk/en/blogs/home/posts/2022/05/mandatory-esg-reporting.html#:~:text=The%20draft%20standards%20set%20out,and%20complement%20the%20financial%20statements.>

⁵ Garcia, A. et al (2017) Sensitive Industries Produce Better ESG Performance: Evidence from Emerging Markets

⁶ IFC, Amundi Asset Management (2021) Artificial Intelligence Solutions to Support Environmental, Social, and Governance Integration in Emerging Markets

⁷ Labella, M. et al. (2019) The Devil is in the Details: The Divergence in ESG Data and Implications for Responsible Investing

⁸ Mobius, M., Ali, U. (2021) ESG in Emerging Markets: The Value of Fundamental Research and Constructive Engagement

to the equal weighting given to ESG factors. Companies are typically assessed on aggregate performance equally across the E, S and G, rather than focusing on the most salient issues for that business.⁹

A further challenge of current ESG frameworks and metrics is the backwards-looking nature of reporting. This historic assessment tends to over-emphasise current risks whilst downplaying future opportunities, with little predictive power for future performance or the general direction of travel. It also mitigates an assessment of an investor's attributable contribution to this direction of travel, so-called 'ESG additionality'. The previous MOBILIST-supported study cited above concluded that *"research is needed to develop concepts of ESG additionality and practical tools for investors to deliver it, including momentum indicators and indices that upweight capital recipients who are enabled to deliver on SDG targets."*

A recent report by the IFC and Amundi Asset Management also highlighted the challenge of data quality control and traceability in emerging and frontier markets, posing issues for analysts collating and verifying ESG inputs.¹⁰ Where this is the case, there is a much greater chance of inaccurate ESG ratings, which could harm companies in emerging and frontier markets. Another similar study examines the unstructured and decentralised nature of ESG information.¹¹ Key ESG data points are typically spread across various news articles, company prospectuses, disclosures and routine reports and therefore require a manual extraction, synthesis and analysis process. Where the resources to conduct this manual process are unavailable, there tends to be a bias towards larger companies and better-covered markets and industries, contributing to an underweighting of emerging and particularly frontier markets.^{12,13}

Innovative private sector-led solutions are emerging, and ESG investing is rapidly evolving. For example, research by Mobius and Ali suggests that a forensic, bottom-up approach of constructive engagement with companies to perform rigorous due diligence is required.¹⁴ However, transaction costs associated with these strategies mean they can struggle to scale to larger and non-specialist allocators, or they fail to prove cost-effective in smaller emerging and frontier markets. One innovative alternative, assessed by IFC and Amundi, proposes using artificial intelligence, specifically natural language processing, to enable investors to access, consolidate and analyse new data sources efficiently.¹⁵ Such an approach has been piloted by Canada's Public Sector Pension Investment Board, which manages EUR 144.7bn. Denmark's largest pension provider ATP also used artificial intelligence to establish environmental metrics as effective predictors of future financial success.

Standard-setting and regulation in relation to ESG disclosures and data are also evolving. Efforts to consolidate and mandate uniform disclosures is progressing, as discussed above. However,

⁹ Porter, M. et al. (2019) Where ESG Fails, Institutional Investor

¹⁰ IFC, Amundi Asset Management (2021) Artificial Intelligence Solutions to Support Environmental, Social, and Governance Integration in Emerging Markets

¹¹ Varco, C. (2016) The Value of ESG Data: Early Evidence for Emerging Markets Equities

¹² Park, S., Jang, J. (2021) The Impact of ESG Management in Investment Decision: Institutional Investors' Perceptions of Country-Specific ESG Criteria

¹³ Labella, M. et al. (2019) The Devil is in the Details: The Divergence in ESG Data and Implications for Responsible Investing

¹⁴ Mobius, M., Ali, U. (2021) ESG in Emerging Markets: The Value of Fundamental Research and Constructive Engagement in Looking beyond ESG Ratings

¹⁵ IFC, Amundi Asset Management (2021) Artificial Intelligence Solutions to Support Environmental, Social, and Governance Integration in Emerging Markets

the design of mandatory disclosure frameworks and metrics in major economies tends to underrepresent emerging and frontier market perspectives and the impact of reform on flows to these economies. Furthermore, the International Organization of Securities Commissions (IOSCO) published a piece in late-2021 recommending changes to the ways ESG data providers are regulated altogether,¹⁶ to tackle a lack of transparency in ESG ratings and data products.

Our point of departure for this research is that integrating emerging and frontier market perspectives and proposals into market-led and regulatory solutions is the most scalable, sustainable approach to mitigating the potential distortions discussed above. Findings and recommendations from the proposed research would likely be pitched at this strategic level, focusing on ways in which (i) transaction costs associated with data collection and analysis in emerging and frontier markets can be reduced; (ii) ESG disclosures and metrics can be better tailored to emerging and frontier markets' needs; and/or (iii) additional regulatory solutions can tackle genuine market failures in the industry of ESG data and metrics providers, leading to weak coverage of emerging and frontier markets.

In summary, the Tenderer's deliverables should provide current, original, actionable insights on the following Research Questions:

- To what extent and in what ways are a lack of quality ESG-related data and the nature of ESG disclosures and metrics reducing investment flows via listed markets to developing countries that need it most? What is the outlook for ESG investing on public markets and in relation to this risk?
- How are private sector, standard-setting, and regulatory solutions addressing these data gaps as interest in sustainable investing continues to grow among public market allocators? What market failures in the ESG data/metric industry inhibit innovation to enhance effective coverage of emerging and frontier economies?
- To what extent do emerging and frontier market issuers', investors', and regulators' needs and perspectives shape the development of global private sector and regulatory solutions? How can their needs be better served, to ensure ESG considerations do not divert public markets capital away from the economies in which it is most needed?

The Tenderer will be supported by a Research Advisory Panel of experts from FCDO, from the practitioner community, and from the academic community. This Research Advisory Panel will also ensure alignment with the FCDO Research and Evidence Division's quality standards, described in Annex 3.

The Tenderer is expected to design a compelling methodology, which at a minimum combines desk research and structured interviews with public market asset allocators, ESG data and index providers, ESG consultants, and other ecosystem actors, such as the CFA Institute and UNPRI. The Tenderer is also required to propose a series of 3-5 short case studies, prepared through engagement with issuers, intermediaries, and capital market authorities in a set of emerging and frontier economies, to assess their understanding of the ways in which ESG considerations feature in asset allocation strategies among international investors; the steps they are taking to address ESG data gaps; and the

¹⁶ <https://www.iosco.org/library/pubdocs/pdf/IOSCOPD690.pdf>

barriers to closing these gaps fully. Throughout this research, the Tenderer should focus on public markets, though cross-cutting findings also relevant for private markets should be identified.

The Final Research Report will be made available online on MOBILIST's website and through targeted dissemination with the intended audience at the discretion of Chemonics and FCDO. The Tenderer will be required to contribute to and/or lead elements of this dissemination strategy. All relevant content produced should be MOBILIST branded and acknowledge FCDO funding. Co-branding or alternative branding requests will be made at the discretion of Chemonics and FCDO. All core research and external communications materials including media engagements must be approved by MOBILIST's research and communication teams.

3. DELIVERABLES DESCRIPTION

Deliverable No. 1: Inception Report

A 5–7-page Inception Report detailing:

- Finalised research questions
- Final methodology and workplan
- Risks and mitigants
- Dissemination plan

Deliverable No. 2: Research Report

A written Research Report of up to 50 pages, comprising at a minimum:

- Abstract
- Research questions
- Evidence review
- Conceptual framework and key hypotheses to be tested

- Methodology
- Results
- Conclusions, including recommendations

Deliverable No. 3: Research Presentation

A summary Research Presentation in the form of a slide deck, comprising headlines from each section of the report, including:

- Abstract
- Research questions
- Evidence review
- Conceptual framework and key hypotheses to be tested
- Methodology
- Results
- Conclusions, including recommendations

Deliverable No. 4: Research Dissemination and Uptake

Working with MOBILIST's research and communication teams, the Tenderer will prepare and execute a dissemination plan and accompanying uptake monitoring plan. During inception, MOBILIST will work with the Tenderer to agree on a key target audience and communication objectives. As the research

progresses and before the research concludes, the Tenderer will prepare a communication plan that meets the agreed objective. Chemonics will review and provide guidance to the awardee. At a minimum, this dissemination will include:

- An externally facing event (online or offline) to share findings with MOBILIST stakeholders and the development finance ecosystem
- An externally-facing abstract of the research and key findings
- An 800-word blog that summarises the findings and integrates into the news cycle

The team will also be expected to work closely with MOBILIST's communications and research teams who will sign off on all communications content. The Tenderer will be asked to sign off on select content that MOBILIST produces about the research itself, including, for example, blogs and social media.

4. PRICING AND DELIVERABLE SCHEDULE

Chemonics will make each payment in accordance to and as described in the table below, after Subcontractor's completion and Chemonics acceptance of the corresponding deliverable as indicated.

Deliverable Number	Deliverable Name	Due Date
1	Inception Report	1 weeks after subcontract signing
2	Research Report	12 weeks after subcontract signing
3	Research Presentation	13 weeks after subcontract signing
4	External Dissemination	17 weeks after subcontract signing

Chemonics will pay invoices within thirty (30) calendar days after both a) Chemonics' approval and acceptance of Services, and b) Chemonics' receipt of a valid invoice.

5. DUTY OF CARE

The Vendor/Subcontractor will be responsible for their own safety and well-being and Third Parties affected by the Vendor/Subcontractor's activities under any resulting Agreement, including appropriate security arrangements. The Vendor/Subcontractor will also be responsible for providing suitable security arrangements for their domestic and business property.

MOBILIST Research and Policy Platform

MOBILIST-RFP-003

Partner Selection Questionnaire

Potential Subcontractor Information and Exclusion Grounds: Part 1 and Part 2

This Partner Selection Questionnaire is a self-declaration, made by you (the Potential Subcontractor), that you do not meet any of the grounds for exclusion¹⁷. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation.

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusion grounds. We require all subcontractors that we will rely on to meet the selection criteria set forth in the above-referenced Invitation to Tender to provide a completed Part 1 and Part 2.

If you seriously misrepresent any factual information in filling in the Partner Selection Questionnaire, and so induce Chemonics International Inc. to enter into a subcontract, you may be excluded from the procurement procedure and from partnering with Chemonics in the future. If a subcontract has been entered into, the subcontract may be terminated for default.

Part 1: Potential Subcontractor Information

Section 1.1		Potential Subcontractor information
Question number	Question	Response
1.1(a)	Full name of the Potential Subcontractor submitting the information	
1.1(b) – (i)	Registered office address (if applicable)	
1.1(b) – (ii)	Registered website address (if applicable)	
1.1(c)	Trading status a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify your trading status)	
1.1(d)	Date of registration in country of origin	
1.1(e)	Company registration number (if applicable)	
1.1(f)	Charity registration number (if applicable)	
1.1(g)	Head office DUNS number (if applicable)	
1.1(h)	Registered VAT number	
1.1(i) - (i)	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
1.1(i) - (ii)	If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).	

¹⁷For the list of exclusion please see

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf

Section 1.1		
Potential Subcontractor information		
Question number	Question	Response
1.1(j) - (i)	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.	
1.1(k)	Trading name(s) that will be used if successful in this procurement	
1.1(l)	Relevant classifications (state whether you fall within one of these, and if so which one) a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) ¹⁸ ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	Details of Persons of Significant Control (PSC), where appropriate: ¹⁹ - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met; - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. ²⁰ (Please enter N/A if not applicable)	
1.1(o)	Details of immediate parent company: - Full name of the immediate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) (Please enter N/A if not applicable)	
1.1(p)	Details of ultimate parent company: - Full name of the ultimate parent company - Registered office address (if applicable)	

¹⁸ See EU definition of SME https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

¹⁹ UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance.](#)

²⁰ Central Government contracting authorities shall use this information to have the PSC information for the preferred Subcontractor checked before award.

Section 1.1		Potential Subcontractor information
Question number	Question	Response
	<ul style="list-style-type: none"> - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) (Please enter N/A if not applicable)	

Section 1.2		Contact details
Question number	Question	Response
1.2(a)	Contact name	
1.2(b)	Name of organisation	
1.2(c)	Role in organisation	
1.2(d)	Phone number	
1.2(e)	E-mail address	
1.2(f)	Postal address	

Part 2: Exclusion Grounds

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

Section 2		Grounds for mandatory exclusion
Question number	Question	Response
2.1(a)	<p>Regulations 57(1) and (2) The detailed grounds for mandatory exclusion of an organisation are set out on this webpage, which should be referred to before completing these questions. Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the webpage.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)

Section 2		
Grounds for mandatory exclusion		
Question number	Question	Response
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
2.1(b)	If you have answered yes to question 2.1(a), please provide further details. Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, Identity of who has been convicted If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	
2.2	If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(a)	Regulation 57(3) Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(b)	If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	

Section 3		
Grounds for discretionary exclusion		
Question number	Question	Response
3.1	Regulation 57 (8) The detailed grounds for discretionary exclusion of an organisation are set out on this webpage , which should be referred to before completing these questions. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.	
3.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 3		Grounds for discretionary exclusion
Question number	Question	Response
		If yes please provide details at 3.2
3.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(g)	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2

Section 3		Grounds for discretionary exclusion
Question number	Question	Response
3.1(j)-(iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	

[letter headed notepaper]
Subcontractor Declaration

To: Chemonics International Inc.

Date: **[Date]**

I confirm that:

- We have agreed in principle with Chemonics International Inc., to deliver the following elements of the service described in their tender:
 - **research is rigorous analysis of the Impact of ESG metrics and ESG data providers' coverage of emerging and frontier markets on asset allocation of investors and investment managers.**
- I have read and understood the specification for the elements of provision, which my organisation will deliver.
- I have agreed in principle with the terms of delivery for this provision and am content that reasonable and appropriate price and payment terms will be negotiated and agreed for delivery of these services at the Invitation to Tender stage.
- The agreement in principle allows for my organisation to implement the appropriate level of planning and investment to deliver the service.
- The agreement made is consistent with the general principles set out in the DFID Code of Conduct.

In relation to personnel nominated to work on this project, my organisation confirms that:

- All personnel will be available to provide the required services for the duration of the subcontract.
- If nominating a member of the Foreign, Commonwealth and Development Office (FCDO) staff who is in service, or on leave of absence, or has been a staff member of FCDO within the past 2 years, the individual shall obtain prior written agreement from FCDO's Human Resources Department. A copy of this agreement must be provided to Chemonics International Inc.
- If nominating an ex-UK Crown Servant who has left the service within the past 2 years, my organisation shall provide to Chemonics International Inc. a letter from their Crown Service employer granting permission for them to undertake the services.

I declare that:

- To the best of my knowledge the answers submitted, and information contained in this document are correct and accurate.
- Upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that:

- The information contained in this document will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.
- Chemonics International Inc. may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

By attaching this declaration, my organisation will be deemed to agree to their contents.

Signature:	[Person signing this declaration should be authorised to sign contractual agreements on behalf of their organisation]
Name:	
Title:	

Name of Organisation	
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Annex 2 - Chemonics Tendering Conditions:

The following Ethical and Business Conduct requirements, Definitions and Terms form a material part of the ITT.

Section 1. Ethical and Business Conduct Requirements

Chemonics is committed to integrity in procurement, and only selects suppliers based on objective business criteria such as price and technical merit. Chemonics expects suppliers to comply with our Standards of Business Conduct, available at <https://www.chemonics.com/our-approach/standards-business-conduct/> and the FCDO Supplier Code of Conduct available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/926545/Supply-Partner-Code-of-Conduct-FCDO-oct20.pdf.

Chemonics does not tolerate fraud, collusion among Tenderers, falsified proposals/bids, bribery, or kickbacks. Any firm or individual violating these standards will be disqualified from this procurement, barred from future procurement opportunities, and may be reported to Chemonics' Client.

Tenderers will ensure they comply with all applicable laws and regulations in force of the country in which the Tenderers is registered and the country where the services are to be wholly or partially performed, including, but not limited to tax laws, environmental, legal and social obligations, anti-corruption laws, anti-bribery laws and anti-terrorism laws. The Tenderers also represents that neither it, nor to the best of its knowledge any of its personnel, servants or agents or any person acting on its behalf, have at any time prior to and during the term of this proposal appeared on the Home Office Proscribed Terrorist Organisations List and/or the Consolidated United Nations Security Council Sanctions List.

The Tenderers must certify that the Tenderers, or its principals, is not debarred, suspended, or proposed for debarment or declared ineligible for award by any UK department or agency or by the U.S. OFAC (Office of Foreign Assets Control List) of Specially Designated Nationals and Blocked Persons at <http://www.treas.gov/offices/enforcement/ofac/sdn>.

Chemonics takes a zero-tolerance approach towards human trafficking consistent with the United Kingdom Government's anti-trafficking and safeguarding efforts guided by Safeguarding Vulnerable Groups Act 2006. The Tenderers shall therefore comply with, all applicable anti-slavery and human trafficking laws, statutes, regulations and codes from time to time in force including the Modern Slavery Act 2015.

The Tenderers warrants that at the time of submitting this proposal they are not aware of any present or future matter that may give rise to any real or perceived conflict of interest with this proposal and/or the Project. If a real or perceived conflict of interest arise, the Tenderers will notify Chemonics immediately in writing.

Employees and agents of Chemonics are strictly prohibited from asking for or accepting any money, fee, commission, credit, gift, gratuity, object of value or compensation from current or potential vendors or suppliers in exchange for or as a reward for business. Employees and agents engaging in this conduct are subject to termination and will be reported to Chemonics' Client. In addition, Chemonics will inform its Client of any supplier offers of money, fee, commission, credit, gift, gratuity, object of value, or compensation to obtain business.

Please contact the Point of Contact or Chemonics Office of Business Conduct listed in the Key Procurement Information with any questions or concerns regarding the above information or to report any potential violations.

Section 2. ITT Definitions

The following definitions apply to Chemonics invitations to tender as applicable:

- a. "Agreement" refers to a contract that will be executed as a result of this tendering process between Chemonics (Buyer) and the selected Tenderer (Seller). It can be a Subcontract, or a Vendor Agreement as defined below.
- b. "Anticipated date of award" is the date that Chemonics expects to sign the Agreement with the Vendor/Subcontractor.
- c. "Anticipated date of mobilisation" is the date Chemonics expects the Vendor/Subcontractor to commence work.
- d. "Authority or Chemonics Client" means an entity that has contracted Chemonics to implement the Project referenced on the cover page.
- e. "Chemonics" acting as the "Buyer" means Chemonics International Inc., Chemonics U.K. or a branch or subsidiary implementing the Project.
- f. "Commodities" means the supplies or items set out in Volume 3 and such other items as the parties may agree in writing from time to time to be delivered by the Vendor/Subcontractor.
- g. "Country of Performance" means the country(ies), identified in the Key Procurement Information, where the Services are rendered and/or Commodities will be used.
- h. "Eligible Vendor/Subcontractor" means an entity that complies with the ITT eligibility requirements and that has passed Chemonics due diligence process.
- i. "FCDO" means Foreign Commonwealth & Development Office and includes any successor departments of the U.K. Government.
- j. "Framework agreement or Blanket Purchase Agreement (BPA)" is a draw-down or umbrella type agreement that establishes the pricing, terms, and conditions for the as-needed purchases. This agreement allows the Project to issue specific purchase orders, on an as-needed basis, for the procurement of Commodities/Services over the Period of Performance. Chemonics is only obligated to pay for Commodities/Services ordered through purchase orders issued under this agreement and delivered by the Vendor in accordance with the terms & conditions. All unit prices included in the Tender must remain fixed for the initial Period of Performance of the Framework.
- k. "In-Person Presentations" means an invitation for the best ranked Tenderers to present their proposed technical proposal.
- l. "ITT Clarifications" is the opportunity Tenderers have to ask questions on the ITT. Questions or clarifications shall only be sent to the Point of Contact and no later than the date and time specified in the Key Procurement Information. To ensure equity, responses will be notified to all Tenderers (where deemed appropriate by Chemonics) without disclosure of the initiator. Only written answers from Chemonics will be considered official and carry weight in the tendering process and subsequent evaluation. Any answers received outside the official channel, whether received verbally or in writing, from employees or representatives of Chemonics or any other party, will not be considered official responses regarding this ITT.
- m. "ITT Conference day" means a conference set prior to the Submission deadline where Tenderers are invited to discuss the conditions of the ITT and the Terms of Reference.
- n. "Legal Services Agreement or LSA" constitutes a contract issued to provide legal advice for Project implementation on an as-needed basis.
- o. "Maximum Budget" is the maximum amount available or authorised for the total procurement. Tenders are expected to be below this amount unless specified in the ITT.
- p. "Plug Figure" is an amount of money that the Project expects to be budgeted or reflected in the proposed budget. i.e., travel costs for £25,000 or a programmatic audit for £5,000.
- q. "Proposal validity" means a period, expressed in calendar days, in which proposed prices must remain valid after the ITT deadline. If an evaluation process is delayed, Chemonics reserves the right to request extension of the offer validity period.

- r. "Project" is the project that Chemonics is engaged to deliver pursuant to the provisions of the Prime Contract.
- s. "Purchase Order or PO" constitutes an agreement issued which includes a description of the Commodities and/or Services and the Schedule of Prices stipulated for the individual order.
- t. "Services" means the services set out in Volume 3 to be delivered by the Vendor/ Subcontractor.
- u. "Subcontract" means a contractual agreement for services or facilities which *are material* for the provision of services under the head contract with the Authority.
- v. "Subcontractor" means the entity selected by Chemonics to supply the Commodities and/or Services under a Subcontract resulting from this ITT.
- w. "Time and Materials Vendor Services Agreement or VSA" constitutes a contract issued which includes a description of the Services and the Workdays being Ordered. The Schedule of Prices is expressed in Time (Gross daily rates) and Materials (expenses).
- x. "Transportation Services Agreement or TSA" constitutes a contract issued to provide transportation (car plus driver) for Project implementation.
- y. "Tenderer" means the entity submitting a tender or bidding under this ITT.
- z. "U.K." means the United Kingdom including its provinces, states and territories.
- aa. "U.S." or "United States" means the United States of America, including any State(s) of the United States, the District of Columbia, and areas of U.S.-associated sovereignty, including commonwealths, territories and possessions.
- bb. "Value for Money or VfM" is defined as the "optimum combination of whole-life cost and quality to meet requirements in a fully transparent manner". The concept of VfM also includes the "4 E".
 - i. Economy: ensuring how teams will gather up-to-date information on cost drivers to deliver the most economical approach.
 - ii. Efficiency: project learning exercises reflect operational lessons to improve efficiency of the delivery strategy.
 - iii. Effectiveness: present Key \Performance Indicators (KPI) and project indicators that show how the project is achieving results.
 - iv. Equity: how the project is addressing gender equality, disability, and leaving no one behind.
- cc. "Vendor" means the entity selected by Chemonics to supply the Commodities and/or Services under a vendor agreement resulting from this ITT. Examples of vendor agreements are PO, VSA, TSA, LSA as defined herein.
- dd. "Vendor Agreement" means a contractual agreement for ancillary services or commodities which *are not material* for the provision of services under the head contract.

Section 3. Terms and Conditions of the Tender

The following terms and Conditions apply to this ITT

- a) This is an invitation to tender (ITT) only. Issuance of this ITT does not in any way obligate Chemonics, the Project, or Chemonics Client to make an award or nor does it commit Chemonics to pay any costs incurred in the preparation and submission of the proposals. *
- b) Chemonics may cancel this ITT at any time.
- c) Late tenders may be considered at the discretion of Chemonics.
- d) Chemonics reserves the right to reject any and all offers, if such action is considered to be in the best interest of Chemonics.
- e) If there are significant deficiencies regarding responsiveness to the requirements of this ITT, a tender may be deemed “non-responsive” and thereby disqualified from consideration. Chemonics reserves the right to waive immaterial deficiencies at its discretion.
- f) Complaints/Appeals: The Tenderer agrees that any complaint or appeal hereunder must be presented—in writing with full explanations—to the Point of Contact in the Key Procurement Information in Volume 1 for consideration. Chemonics, at its sole discretion, will make a final decision on the complaints/appeals for this procurement. By submitting a Tender hereunder, the Tenderer understands that the Authority/Chemonics Client is not a party to this solicitation and will not entertain appeals from Vendors/Subcontractors. *
- g) Tenders must provide their best offer. It is anticipated that award will be made solely based on these original offers. However, Chemonics reserves the right to conduct negotiations with and/or request clarifications from any Tenderer prior to award.
- h) The Agreement issued by Chemonics will contain provisions required by the Authority and will be subject to Chemonics’ standard terms and conditions. A copy of the full terms and conditions is attached separately to this RFP *
- i) An Agreement resulting from this ITT will only be issued to the entity submitting the tender in response to this ITT; payments for Commodities or Services provided under such will not be issued to a third party. *
- j) For Framework agreements only: Any award resulting from this ITT will be in the form of a Framework Agreement (FA). The Project anticipates issuing a FA (or multiple FAs) under which specific purchase orders can be issued—on a demand driven basis—at the pricing levels established in the FA. When the need arises for the commodities/services described in the FA, the Project will issue a purchase order to the FA-holder. If there are multiple FA-holders as a result of this ITT, the purchase order will be issued to the FA-holder that presents value for money for that specific order, based on price and delivery time.
- k) Tenders are encouraged to view [Chemonics Data Privacy Policies](#) to see how we process your personal data. *

Annex 3 - Criteria for delivering excellent quality research with high value for money

Annex 3A- Guidance regarding assessment criteria relevant to research excellence

Principles of quality	Associated issues
Conceptual framing	High quality studies acknowledge existing research or theory. They make clear how their analysis sits within the context of existing work. They typically construct a conceptual or theoretical framework, which sets out their major assumptions, and describes how they think about the issue at hand. High quality studies pose specific research questions and may investigate specific hypotheses.
Transparency	High quality studies are transparent about the design and methods that they employ, the data that has been gathered and analysed, and the location/geography in which that data was gathered. This allows for the study results to be reproduced by other researchers or modified with alternative formulations. Failure to disclose the data and code on which analysis is based raises major questions over the credibility of the research. Transparency includes openness about any funding behind a study.
Appropriateness	There are three main types of research design, and many types of methods. Some designs and methods are more appropriate for some types of research exercise than others. Typically, experimental research designs tend to be more appropriate for identifying, with confidence, the presence of causal linkages between observable phenomena. The implementation of an experimental design is not, in itself, a sign of good quality. The diverse array of observational (or 'non-experimental' designs) may be more appropriate for questions that either cannot be explored through experimental designs due to ethical or practical considerations, or for the investigation of perspectives, people and behaviours that lie at the heart of most development processes.
Cultural sensitivity	Even research designs that appear well-suited to answering the question at hand may generate findings that are not credible if they fail to consider local, cultural factors that might affect any behaviours and trends observed. High quality studies will demonstrate that they have taken adequate steps to consider the effect of local cultural dynamics on their research.
Validity	Measurement validity: Measurement validity relates to whether or not the specific indicator chosen to measure a concept is well suited to measuring it.

	<p>Internal validity: Some research is concerned with exploring the effect of one (independent) variable on another (dependent) variable. It can do so using a range of research designs and methods. An internally valid study would employ a technique capable of demonstrating such causal relationships.</p> <p>External validity: This describes the extent to which the findings of a study are likely to be replicable across multiple contexts. Do they apply only to the subjects investigated during this particular study, or are they likely to apply to a wider population/country group? Quantitative researchers typically seek to address issues of external validity by constructing 'representative samples'.</p> <p>Ecological validity: This dimension of validity relates to the degree to which any research is really able to capture or accurately represent the real world, and to do so without the research itself somehow impacting upon the subjects it seeks to study. Ecologically valid studies will explicitly consider how far the research findings may have been biased by the activity of doing research itself.</p>
Reliability	<p>Stability: If validity is about measuring the right 'thing', then stability is about measuring it 'right'. What steps, if any, have been taken to ensure that the researchers are consistent in the way they ask questions and gather data?</p> <p>Internal reliability: Many concepts can be measured using multiple indicators, scales, and indices. If very significant discrepancies exist between indicators, then the internal reliability of one or other of the measures is open to question. High quality research will consider such issues, with specific attention to whether or not particular measures are well-suited to the cultural context in which they are taken.</p> <p>Analytical reliability: the findings of a research study are open to question if the application of a different analytical technique (or 'specification') to the same set of data produces dramatically different results.</p>
Cogency	<p>A high quality study will provide a clear, logical thread that runs through the entire paper. This will link the conceptual (theoretical) framework to the data and analysis, and, in turn, to the conclusions. High quality studies will signpost the reader through the different sections of the paper, and avoid making claims in their conclusions that are not clearly backed up by the data and findings. High quality studies will also be self-critical, identifying limitations of the work, or exploring alternative interpretations of the analysis.</p>

Guidance regarding assessment criteria relevant to Value for Money

Impact:	Does the research focus on an important and practical development challenge?
Additionality:	Does financial support address an important gap in research funding?
Quality:	Will the commissioned research be of the highest quality?
Deliverability:	Will the research deliver benefits within a realistic timeframe?
Cost:	Has every possible step been taken to control costs?

Annex 3B- Assessing the Strength of Evidence

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/291982/HTN-strength-evidence-march2014.pdf

Annex 4- Example Firm Fixed Price Subcontract Template (Terms and Clauses)

Separate attachment