Instructions for FbF teams:

* Red text or [square brackets] indicate where the text of the template needs to be adapted to your country and programme/project context.
* In case you are also engaging the services of a project statistician or research/survey expert ([link to TOR](https://docs.google.com/document/d/1WY3oVc_4SmrRsvX4CzgoAh2mY1bLWWl7GP759_X__P0/edit)) to develop the research design or supervise the data collection, ensure that the TOR do not overlap but complement each other. In case you are not engaging another expert, consider including some of their TOR tasks in the TOR of the survey firm.
* Modify the title & content of the position according to the role that best complements (a) the statistical and research expertise in the FbF team and (b) the capacity and role of the project statistician or research/survey expert.

**Terms of Reference**

**FbF [programme/project academic partner] or [survey contractor]**

1. **Background and purpose**

Forecast-based Financing (FbF) is a funding modality and way of working whereby resources are released based on forecast information *before* a climate-related disaster happens, to implement planned activities which reduce risks, enhance preparedness and response, and make disaster risk management overall more effective.

In [name of country], [Name of FbF implementing agency] has worked with [name of collaborating organizations] to set up an FbF mechanism that delivers forecast-based actions to vulnerable and exposed communities before an anticipated disaster, specifically in the event of [list hazards, i.e. floods, cyclones, droughts, etc.]. Once a forecast reaches a certain probability threshold for an extreme event, forecast-based financing is automatically released and the early action protocol (EAP) is triggered which guides the implementation of early actions.

The purpose of engaging the contractor is to provide research and data collection capacity to the [FbF project] to assess the efficiency, effectiveness and impact of the FbF initiative against its objectives as stated in the programme/project logframe (see Annex).

[Important, read to ensure this is suitable for your FbF project:] **Important:** Since forecast-based actions are only implemented when a critical forecast triggers the EAP, an FbF impact assessment can only be carried out after such a trigger has occurred. Depending on the chosen probability threshold and danger level, a trigger may occur every three to five years or even never. Therefore, this TOR constitutes a “stand-by agreement” valid for [# number] years. By entering into the agreement, the contractor agrees to carry out the tasks described in this document when requested by the FbF team, with potentially little advance notice (4-6 weeks). If a trigger does not occur in the agreement period, the agreement is automatically voided.

1. **Scope of work**

The [FbF M&E Guide](http://goo.gl/eG7kw1) (web link: <http://goo.gl/eG7kw1>) provides general recommendations how to plan and implement an FbF impact assessment. The contractor is expected to be familiar with this general guidance and to carry out the planning and implementation of the data collection in accordance with the general guidance and the instructions of the FbF team.

The FbF impact assessment broadly follows a two-pronged approach:

1. Monitor the implementation of the EAP to ascertain whether actions have been implemented early and as planned;
2. Collect and analyze household-level data to assess whether the FbF project achieved a reduction in the effects of climate-related disasters on vulnerable communities.

The FbF team intends to use an experimental or quasi-experimental research design, with intervention and comparison groups. Therefore, it is essential that the contractor has the capacity to collect high-quality quantitative and qualitative data according to rigorous sampling procedures.

[If a sample frame has already be developed, make sure to include it here so the survey contractor can provide a cost estimate based on actual field work needs. For example:] A sample frame has already been outlined. The survey will be implemented using 2-stage cluster random sampling. A total of 400 survey responses will need to be collected from intervention households in a total of 4 regions and 10 districts, meaning that two regions will have two of their districts each included in the sample, another two regions will each have three of their districts included in the sample. In the same areas, 400 survey responses from comparison households will need to be collected.

1. **Specific tasks and deliverables**
2. [Assuming that the research design has already been developed by the statistician/research expert, see their TOR:] Review the indicators defined in the FbF project logframe (see Annex 1) and M&E plan, the EAP, and review the detailed research design (see Annex 2) proposed by the FbF team and their experts, ensuring that the contractor can follow the requirements.
3. **Upon signing of the contract,** develop a detailed data collection plan suitable to measure the result indicators as defined in the project logframe, in consultation with the FbF team. The data collection plan must include:

* A detailed Gantt Chart showing the timing of all tasks and deliverables
* Composition of a field team
  + Number of enumerators
  + Number of field-supervisors
  + Qualifications, training of each
* Expected tasks, responsibilities and schedule of delivery of each member of the team
* Number of visits per household (a contingency number of follow-up visits to selected households must be planned to allow for interrupted surveys, revisions of incomplete or inconsistent information, and quality control)
* The expected time each team will spend in a primary sampling unit (PSU)
* Transportation and lodging logistics
* Sample Control File for data collection in each PSU
* Protocol for confirming that the location has been correctly identified
* Supervision and spot check plans to ensure adherence to data collection protocols and confirm quality of data collection and entry, including a minimum of [10%] of re-visits to a random sample of the total sample to confirm the validity of the data
* Mechanisms to ensure the data collection process follows the highest ethical standards, including informed consent
* Protocols and procedures for addressing data inconsistencies/mis-reporting when identified
* Protocols for electronic data entry in the field, whereby questionnaires are captured and validated immediately on a smartphone or tablet, and the results transmitted back to the field teams to conduct quality checks as needed.

1. Carry out translation, back-translation and pre-testing of all data collection tools (e.g. questionnaires).
2. Programme the questionnaires onto a suitable electronic platform or directly onto mobile data collection devices (smartphones or tablets), to be used by the enumerators:

* Adapt data entry range and consistency checks to values appropriate for the country context, based on existing household (HH) survey data;
* To the greatest extent possible, the data entry program should conduct range and consistency checks, as the questionnaire is keypunched;
* Violations of these checks should lead to an immediate and transparent message sent to the keypuncher, along with a practical method for correcting keypunch errors, or overriding and documenting any answers that violate the range and consistency check rules;
* The program should allow valid open-ended and "other" textual responses outside of the response options provided in the questionnaire;
* Variable names generated by the program should correspond clearly and logically to the question labels used in the questionnaire;
* Coding strategy in order to maintain consistent, unique identifiers for households for matching longitudinal data.

1. **Upon activation of the contract,** obtain all necessary clearances, including ethical approval, and select and train enumerators on data collection tools, electronic data entry, and fieldwork protocols including following sampling procedures; enumerators must speak the local language of the respondents
2. Implement the data collection plan.
3. During data collection, share incoming data with the FbF team immediately (preferably “live” on the server).
4. Upon completion of data collection, transfer the full electronic dataset to the FbF team.
5. Copies of the data must not be retained. The FbF project will be the sole owner of the data and the intellectual property connected thereto.

All work must be original and follow the highest research and ethics standards.

1. **Reporting and work arrangements**

The contractor reports to [name of person / function] in [name of organization]. Upon signing the contract, and once the contract is activated, regular progress reports against the consultant’s work plan must be submitted to the supervisor in a form and frequency to be determined by the supervisor. Payment is subject to satisfactory performance and completion of all deliverables.

All submissions will be made electronically (email, Skype, phone, etc.), unless requested otherwise by the FbF team.

1. **Duration of the consultancy**

The contract (stand-by agreement) is entered between the FbF project and the contractor for the duration of [# number] years. The approximate start date is [date]. Once activated, all tasks are expected to be implemented within 4-12 weeks.

1. **Required qualifications and experience of the institution**

* A lead researcher with a graduate or advanced (PhD) degree in relevant disciplines such as statistics, demography, economics, sociology or related disciplines
* 7-10 years of experience in quantitative and qualitative research for impact assessment/evaluation
* Proven institutional experience in quantitative and qualitative data collection
* Proven experience in implementing experimental or quasi-experimental research designs (submit work samples together with application documents)
* Availability of and access to a pool of qualified enumerators for quantitative and qualitative data collection (include profiles together with application documents)
* Knowledge of electronic, mobile data entry platforms and how to programme questionnaires into them
* Sound experience coding and analysing qualitative data
* Ideally, first-hand experience evaluating early warning/early action or similar initiatives in [name of country/region]
* Strong [local language] language skills of all enumerators and field supervisors.

1. **Application process and documents**

The deadline for applications is [date] at 23:59 hrs [timezone].

Interested institutions should submit the following documents electronically to [email address]:

* Short technical proposal summarizing:
  + Qualifications and experience of the core team members
  + Profile and relevant experience of the institution
  + Reflections on the research design
  + Draft work plan showing the suggested timing of carrying out the specific tasks in relation to (a) the signing of the contract and (b) the activation of the contract when triggered.
* List of publications and completed quantitative and qualitative surveys, in tabular format
* Samples of previous work that show the expertise and experience of the contractor; samples must be the original work of the contractor (e.g. survey reports).

Incomplete applications or applications that are received late will not be considered. Only shortlisted candidates will be contacted.

**ANNEX 1: Logframe**

[Include FbF programme/project logframe.]

**ANNEX 2: Research design & sample size**

[Include research design and expected sample size, or, if not available, include the development of a research design and sample frame in the TOR.]