

Terms of Reference

Evaluation of the Natural Resource Governance Institute results in the context of its 2014-19 strategy and the definition of actionable recommendations to input into its next strategy phase and ultimately increase NRGi's impact.

Application deadline: May 25, 2018

Contact: Caroline Laroche, claroche@resourcegovernance.org

We kindly **request** any interested firm to reach out to Caroline Laroche at claroche@resourcegovernance.org before **Wed May 16th** to register their interest in this tender and to seek any clarification necessary.

Summary and Purpose

The Natural Resource Governance Institute (NRGI) is seeking an evaluation firm to undertake an independent evaluation of NRGi to take place in two phases between June 2018 and May 2019, and a third ancillary phase concluding in July 2019. The main goal of this evaluation is to improve program effectiveness and provide inputs to the development of NRGi's 2020-24 strategy. The specific objective for this evaluation is to assess progress against NRGi's current (2014-2019) strategy objectives by evaluating results achieved, unpacking how and why those results have emerged and assess the effectiveness of NRGi's delivery approach. The evaluation will help inform the development of NRGi's next organizational strategy, 2020-24, with primary users NRGi's staff, management and leadership teams, and governing bodies. Key results will be shared with NRGi current and prospective donors.

To ensure the findings and recommendations are highly relevant and to maximize evaluation use, NRGi wishes to work closely and in a participatory manner with the evaluators. NRGi's Monitoring, Evaluation and Learning (MEL) team will work in partnership and interactively with the consultant, roping in a reference group comprising key individuals in our leadership team, governing bodies and others with relevant expertise to inform the exercise. NRGi will favor proposals from evaluators with a demonstrated experience conducting evaluations of governance and advocacy-oriented programs, developing long-term evaluation partnerships with clients and ensuring evaluation use is maximized at all stages of the evaluation.

About NRGi

The Natural Resource Governance Institute helps people realize the benefits of their countries' endowments of oil, gas and minerals. Our independent, non-profit organization provides policy advice and advocacy infused with lessons learned in the field and with insights developed through rigorous research. We share our knowledge and experience freely with policy-makers, accountability actors, and the global campaign for improved international norms. We convene reform-oriented dialogue and engage in constructive policy advocacy.

We embrace multi-stakeholder approaches and remain focused on our core competencies, such as the measurement and assessment of natural resource governance, drawing on our signature initiatives like the Resource Governance Index and the Natural Resource Charter. At the country level we provide training, technical assistance and support on

how to deliver transparency and accountability, including through implementation of the Extractive Industries Transparency Initiative, and the use of data; strengthening fiscal systems; reform of state-owned enterprises; and improvements in the management of resource revenues. We also promote the uptake of global norms of transparency and governance. We seek to produce measurable change in the direction of more effective and more open management of natural resources. Please see our theory of change in Annex 2, and a summary of our 2015-2019 organizational strategy online [here](#).

NRGI's work is funded by philanthropic organizations and national governments. We have registered offices in New York, Accra, Beirut, Lima and London, and further staff presence in Cameroon, DRC, Guinea, Indonesia, Myanmar, Nigeria, Uganda, Tanzania and Tunisia.

Evaluation Overview and Timeline

Focus on outcomes: this evaluation will focus on outcomes arising from NRGI work. 'Outcomes' are understood as the policy changes we contribute to, as well as the behavioral changes by the stakeholders we support. The focus of the evaluation and underlying assumptions of our theory of change are explained in [Annex 2](#). The focus on outcomes is based on NRGI's working assumption that this is the highest "results" level where NRGI's contribution can be traced in a meaningful way.

Evaluation activities: the evaluation will aim to explore NRGI's results since 2014 , unpack how and why those results have come about and make recommendations for how NRGI's effectiveness could be improved. We expect evaluators to engage in the following activities:

- **Cross-cutting program/results evaluation (Phase 1):**
 - Analyze/map NRGI results achieved so far (based on a 'database of results' provided by NRGI), validate those results and further unpack a significant sample of results included in the database;
 - Collect and analyze additional data relevant to answer evaluation questions listed below;
 - Formulate recommendations for how NRGI should improve its effectiveness and overall ability to deliver change
- **'Deep dives' (Phases 1 and 2):**
 - Conduct a targeted or in depth evaluation of selected specific programs. This could take the form of case studies around issues or countries of work. We hope this can generate rigorous findings about NRGI's contribution to a subset of representative key results. NRGI and the evaluation firm will jointly select the results/programs to be evaluated, ensuring that the results/programs with the greatest potential for learning are selected. (Specific evaluation activities to be determined based on scope/methods proposed.)
- **Review of MEL practices: (Phase 3)**
 - Formulate recommendations on how NRGI could improve its MEL work, based on lessons from the evaluation and broader insights on evaluative activities that NRGI may want to consider going forward as part of its next strategy period.

Structure and timeline: We anticipate two phases in the results evaluation to enable stocktaking, iteration and tailoring approach. The first phase will focus on developing evaluation instruments, engaging in a cross-cutting evaluation of our results, and piloting a number of deep dives. This will be followed by a review with lessons learned from the first evaluation phase and, if needed, revisions to the evaluation approach before proceeding to a second set of deep dives, leading to final findings on results achieved and recommendations how NRGI has been and could be better maximizing its impact. A third phase, to review MEL practices, will begin once the main results evaluation has been completed.

The following table provides an overview of expectations for each phase including deliverables and key meetings with NRGi leadership and members of an evaluation reference group. We expect some flexibility in adjusting this timeframe in discussion with the evaluator and in response to shifts in the NRGi strategy process, which will be kicked off later in 2018. Note that the findings of this evaluation will feed into the 2020-2024 NRGi strategy, the development of which will take place in 2019.

| Evaluation Phase | | Timing | Objective of Phase | Anticipated interaction with NRGi |
|-------------------------------------|--------------------------------------|-------------------------|---|---|
| Inception phase | Inception report | by late-July 2018 | <ul style="list-style-type: none"> Learn about NRGi Define evaluation scope and methodology (review questions, agree on methodology and sample, develop draft evaluation instruments) | <ul style="list-style-type: none"> MEL team and oversight committee inputs (ongoing) Presentation and feedback from Institutional leadership team |
| | Evaluator performance review | | | |
| Phase 1 | Data collection | by end of October 2018 | <ul style="list-style-type: none"> Cross-cutting program/results evaluation (mostly desk work) 2 pilot deep dives (travel expected) | MEL team and oversight committee inputs (ongoing) |
| | Stocktaking and preliminary findings | by end of November 2018 | <ul style="list-style-type: none"> Present preliminary findings to NRGi Discuss relevance of findings and lessons from phase 1 and, if relevant, adapt evaluation scope and approach for second round of deep dives | <ul style="list-style-type: none"> MEL team and oversight committee inputs (ongoing) Presentation to NRGi management or leadership |
| Evaluator performance review | | | | |
| Phase 2 | Data collection | by end of February 2019 | 2-3 additional deep dives (travel expected) | MEL team and oversight committee inputs (ongoing) |
| | Draft report | by end of March 2019 | Draft report with findings and recommendations and present to NRGi for discussion | <ul style="list-style-type: none"> MEL team and oversight committee inputs (ongoing) Presentation to, and workshop with to NRGi leadership to discuss and review findings |
| | Final report | by end of May 2019 | Draft and present final report with final findings and recommendations that incorporates relevant NRGi feedback | Presentation to and workshop with NRGi staff to present and discuss findings |

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|----------------|---------------------------------------|---------------------|--|---|
| Phase 3 | MEL practices ancillary report | By end of July 2019 | Draft report on how NRGi could improve its MEL | Presentation to and workshop with NRGi MEL team and oversight committee to present and discuss findings |
|----------------|---------------------------------------|---------------------|--|---|

Preliminary List of Evaluation questions

NRGI has defined a set of questions summarizing NRGi’s interest in this evaluation and providing a line of inquiry for this exercise. These evaluation questions are the result of early and partial consultations with NRGi leadership and staff. They are provided as a long list of possible questions to inform the possible scope of the evaluation exercise, noting however that the scope and prioritization of different questions may change following additional consultations in the lead up to the development of an inception report, and, thereafter, progress with the evaluation. We expect evaluators to come up with *answers* to the final list agreed questions that are specific, detailed and nuanced, as well as a *set of recommendations* that are relevant, feasible and actionable.

We expect some flexibility and anticipate possible scope changes, which will be discussed with the evaluators selected for this exercise. This is reflected in our suggestion to stagger and sequence data collection in two phases to adjust approach in response to needs and lessons from data collection processes.

1. **To what extent are we contributing to positive changes in**
 - a. natural resource policy and practices?
 - b. changes in the behavior (motivation, knowledge, skills, actions) of governments, private sector and accountability actors (e.g. civil society, media, and parliament among others) and their overall alignment, coordination and collective action?
 - c. international norms?
2. **What is the change we contributed to?**
 - a. What is the nature of that change? (type of outcomes, country/region where it happened, theme, programs involved, etc.)?
 - b. How sustainable is that change?
 - c. How aligned is that change with NRGi’s theory of change and our country program’s country strategy notes? With NRGi’s plans at the beginning of its strategy phase?
 - d. Are there any areas where NRGi has not had the level of results expected? Why?
 - e. Were there unintended consequences to NRGi’s work?
3. **How have we contributed to those changes? How could we maximize our effectiveness?**
 - a. What is the role of NRGi’s key modalities (partnerships, multi-stakeholder approach, global-country level linkage, ‘think-do’ linkage, flexibility adaptability and innovation) in delivering change? Are the key modalities understood and implemented effectively across the organization? Are we focusing on issues/projects that best play to it? Are we using the right modalities and are they still fit for purpose (i.e. are they still a good representation of NRGi’s comparative advantage)? How could they be improved or evolved?
 - b. What is the role of NRGi’s key intervention functions (technical assistance, research, advocacy, capacity development, etc.) in delivering change? Are we using the right intervention functions? Are we deploying them effectively and in concert? How should they be revised?
 - c. Is NRGi’s theory of change an appropriate representation of how NRGi effects change? Are we working with the right stakeholders to bring about the changes we are seeking? How can we improve our selection and focus on stakeholders?

In addition to the results evaluation, NRGi seeks to draw lessons on how it should evolve and improve its MEL in light of lessons from evaluation, including considerations around appropriate results frameworks, systems and evaluation approaches to be considered in the future. This could cover the following questions:

4. **How can we improve our MEL practices to support our strategy and maximize our effectiveness?**
 - a. In what way should NRGi revise its MEL systems and results framework to better support adaptive management across the organization?
 - b. How can NRGi improve its evaluability?
 - c. For its next strategy phase, what type of evaluations should NRGi commission?

Data and access

We expect evaluation data to be collected using a mix of desk review, surveys, key stakeholder interviews, focus groups and meta-evaluation of previous NRGi assessments. NRGi expects the evaluation consultants will need to travel to some of NRGi's countries of operation as part of the evaluation exercise to gather information from local staff, beneficiaries and other relevant stakeholders, at least as part of the 'deep dives'.

NRGi is currently compiling a 'database of results', which will be shared with the evaluators at the start of the evaluation. This database will list discrete stories of NRGi results, mined from a variety of NRGi documents produced since 2014 (evaluation reports, internal assessments, online monitoring database, NRGi website, etc.). This can be considered by evaluators as a starting point for a deeper investigation of results. All documents which the database draws from will be shared with the evaluators, in addition to the following:

- NRGi background documents
- Available monitoring data and reports
- Previous external evaluations of NRGi and its programs
- NRGi strategy documents

NRGi aims to give the evaluation firm all relevant access to NRGi staff, leadership team and other stakeholders for the purposes of this evaluation.

Evaluation plan and methods

We aim to work with the evaluators to develop an evaluation plan that is feasible, relies on rigorous methods and has the potential to produce generalizable conclusions. We expect the evaluation will be conducted using a mixed methods approach, but would welcome the inclusion of rigorous, cutting-edge policy influence evaluation methods as part of the evaluation 'deep dives' being planned.

The evaluation proposal should outline proposed methods, noting that NRGi will be refining the evaluation methods jointly with the evaluators during the inception phase and NRGi's approval of the final methodology will be necessary before the evaluation begins.

Evaluation Management

Deliverables

NRGi expects the contracted evaluation firm to produce the following deliverables:

1. **Inception and methodology proposal report** (July 2018) to include:
 - a. Conceptual framework and evaluation questions

- b. Proposed methods and data collection plan
 - c. Timeline of activities
 - d. Consultation plan
- 2. **Phase 1 summary presentation/workshop** (November 2018) to include:
 - a. Description of evaluation activities conducted
 - b. Discussion of preliminary results
 - c. Lessons learned as part of phase 1
 - d. Recommendations for phase 2 evaluation
- 3. **Presentation to NNGI leadership** (November 2018)
- 4. **Draft report** (March 2019)
 - a. Description of evaluation activities conducted
 - b. Discussion of results and recommendations
- 5. **Presentation to NNGI leadership** (March 2019)
 - a. Presentation and discussion of draft findings and recommendations
- 6. **Final Phases 1 and 2 report** (May 2019) to include:
 - a. Full final report (ideally max. 30 pages)
 - b. Executive summary (2-3 pages)
 - c. Files with all data compiled as part of the evaluation
- 7. **MEL practices ancillary Phase 3 report and presentation** (July 2019)
 - a. Report on proposed MEL changes (ideally max. 15 pages)
 - b. Presentation to and workshop with MEL team and evaluation oversight committee

Evaluation uses and users

The purpose of this evaluation is internal, to assess our achievements and help inform the development of our next organizational strategy. The primary user groups for the evaluation are therefore NNGI's staff, as well as management and leadership teams, and governing bodies. We also plan to share key results of this evaluation with NNGI current and prospective donors.

Management & Governance

NNGI's MEL Team will manage the evaluation and will be the primary point of contact during the evaluation. NNGI will set up an **Oversight Committee** to review and provide inputs at key steps of the process, in particular to inform the development of the evaluation methodology. In addition to this internal committee, NNGI will identify external advisers to provide inputs into the evaluation when deemed necessary by NNGI. External advisers will report directly to NNGI.

The consultants will be required to liaise closely with NNGI throughout the assignment. Consultation with NNGI leadership, including senior management and the Governing Board, will be necessary at key steps of the process.

Application Process

Team profile

- Demonstrated experienced conducting results evaluations, ideally with proven expertise in the evaluation of advocacy and policy influence activities.
- Experience with utilization-focused evaluations.
- Ability to put together a composite team of evaluators with expertise in rigorous results evaluations;
- Experience reviewing or evaluating governance programs, including research, policy analysis, capacity-building and technical assistance activities, in particular in low and middle income countries;
- Experience and expertise in the natural resource governance/extractive industries sector a plus;
- Experience working on international evaluations requiring the consultation of stakeholders located in multiple countries;
- Solid evaluation experience and expertise using both qualitative and quantitative techniques
- Ability and willingness to work in dynamic consultation with NRGi staff;
- Experience supporting organizational learning processes, facilitating workshops and engaging in theory of change development exercises;
- Ability to work on a tight timeline and resourcefully drawing on additional outside expertise as needed to complete the work;
- Demonstrated ability to communicate findings effectively and succinctly to the evaluation audiences, with ample reliance on visuals, data, and diagrams;
- Ability to comply with NRGi's MEL and organizational values (see Annex 3).

Application process

1. **By Thursday May 16th 2018:** Interested firms are required to reach out to Caroline Laroche at claroche@resourcegovernance.org to register their interest in this tender and to seek any clarification necessary.
2. **By Friday May 25th,** evaluation firms able to put together a team of consultants meeting the above competencies should send an application to Caroline Laroche (email above). The application should include:
 - A short cover letter/proposal describing the firm/consultant's interest in the work,
 - The qualifications and experience that they bring to the evaluation,
 - The profiles, expertise and CVs of the experts that will lead and integrate the evaluation team,
 - The key questions that this TOR elicits for them, and
 - An initial quote for undertaking the consultancy on the timeline identified, separating costs for the three phases of the evaluation.
3. **In late May,** NRGi will invite shortlisted firms for interviews and/or practical exercises. Please note that shortlisted firms/consultants will be asked to provide the following:
 - Two examples of previous evaluation work in the governance field, demonstrating the firm or evaluators' expertise and
 - Names and contact details of three most recent evaluation clients.
4. **In early to mid-June,** the evaluation contract will be signed and the evaluation will begin.

NRGI will evaluate proposals based on quality, proposed evaluation activities and consultation plan, timeline, experience of the firm involved and value for money. Applicants should note that NRGI reserves the contractual right to approve any proposed changes in individuals employed or sub-contracted by the evaluation firm to conduct the assignment. NRGI also plans to align payment installments with the three evaluation phases outlined above, and review on an ongoing basis the opportunity to move to subsequent stages of the evaluation, depending on evaluator performance and revisions of scope.

Financial proposals should take into account that NRGI is a nonprofit with 501(c)(3) status.

Annex 1 – NRG I Background Information

Please find more information about NRG I by following the links included below.

NRG I Website:

<http://www.resourcegovernance.org>

NRG I Organizational Strategy

<https://resourcegovernance.org/sites/default/files/documents/nrgi-strategy.pdf>

NRG I Country Prioritization & Selection Process

<https://resourcegovernance.org/sites/default/files/documents/country-prioritization.pdf>

NRG I Primers: A Series About Resource Governance

<https://resourcegovernance.org/analysis-tools/publications/nrgi-primers-series-about-resource-governance>

NRG I Country Strategy Notes

Country strategy notes contain policy targets identified at the start of our 2014-19 strategy and guiding NRG I work at the country level. These policy targets will provide objectives against which to evaluate NRG I success at the country level.

<https://resourcegovernance.org/analysis-tools/collection/country-strategy-notes>

NRG I Objectives

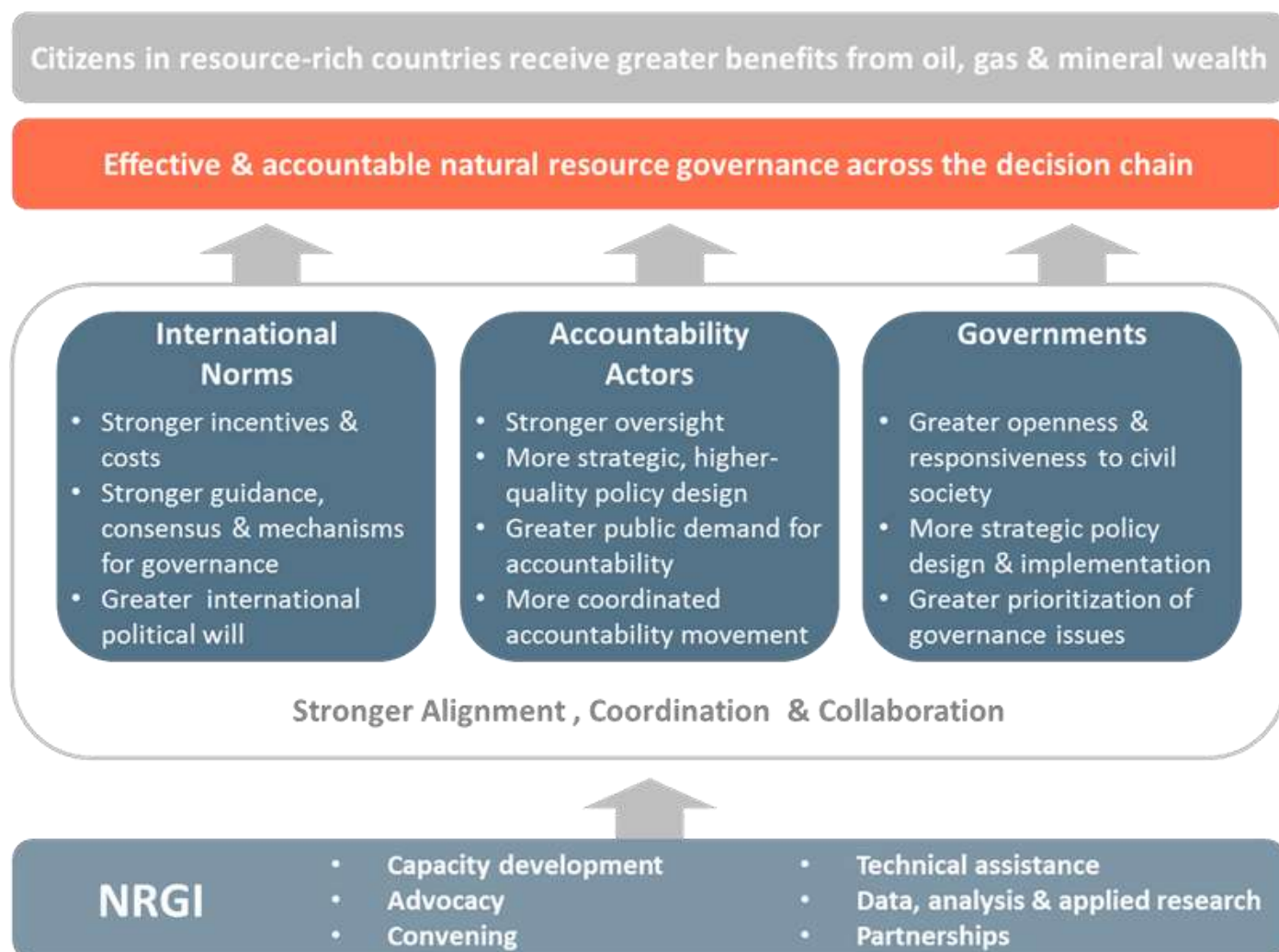
NRG I will provide to prospective applicants that have registered their interest our Objectives, which serve to convey progress in delivering our strategy for internal and external accountability and learning, with improved program design and impact as the ultimate goals. The objectives framework is composed of thematic, country and organizational objectives:

- Thematic objectives serve as an aggregate measure of progress in key policy areas across countries and provide a sense of progress in building global norms for improved natural resource governance
- Country objectives are the objectives that have been prioritized in our country strategy notes and adapted over time. There are a total of around 45 country objectives that guide NRG I work at the country level. (These are found in the above-mentioned country strategy notes but adapted versions can be provided on request.)
- Organizational objectives (AO) finally measure progress in building organizational readiness to deliver our mission.

Thematic and organizational objectives have been developed only in 2017 for the first time. Other results frameworks developed for specific donors will provide complementary information on NRG I objectives for the previous years.

Annex 2 – NRG Theory of Change

NRGI Theory of Change



NRGI’s Theory of Change is accompanied by underlying assumptions about how change happens in the field of natural resource governance. Our assumptions explain the linkage, and to a certain extent causality, between each level of the theory of change, from bottom to top. Some of our key assumptions are as follows:

- Key agents of change (e.g., governments, civil society, media, parliaments, private sector, national oil and mining companies) hold the power to create change in natural resource governance; NRG plays a supporting role.
- The key agents of change that NRG works with play unique and complementary roles in ensuring good governance.
- Effective communication and dialogue between government and citizens is critical to building understanding of and buy-in to policy choices.
- Effective collaboration between parliament and civil society helps hold the executive accountable for and informs policymaking.
- Media builds public understanding and demand for government accountability; their role is strengthened by working in partnership with civil society and parliament.
- Policymakers and companies respond to international cues about what is expected and desirable practice, and they use domestic policy to signal intentions and improve their reputations abroad.

Annex 3 – MEL at NRGi - Vision & Values

NRGI's Vision for Monitoring, Evaluation & Learning

Improving natural resource governance is a complex and challenging goal that NRGi pursues in partnership with other actors. We will use monitoring, evaluation, and learning activities to be accountable to our core aims of achieving results at the global and country levels. We will share our findings actively and openly with the broader field to promote innovation, risk-taking, and deliberate learning.

Inherent in this vision is a set of underlying values that guide how we engage in MEL. These values include:

- **Integrity.** We will adhere to ethical principles in our monitoring, evaluation, and learning work, such as respect for interview subjects.
- **Transparency.** We will make evaluation and learning findings available to the public, and as appropriate share evaluation plans and underlying data sets to allow secondary analysis. We will prioritize evaluation and learning activities that benefit the field.
- **Intellectual rigor.** We will use the evidence produced to inform our programming, engagement with stakeholders, and the broader the field.
- **Innovation.** We will experiment with new strategies and tactics, and will collect lessons from failures as well as successes.
- **Parsimony.** We will only collect data that is useful and usable for ourselves, our partners, and/or our funders.
- **Independence.** Where possible, we will complement our internal approaches with external support to ensure objective review of our work.
- **Intentionality.** Evaluation is not an exercise in checking boxes. We will use monitoring, evaluation, and learning to inform our strategic decision-making.

Those MEL-specific values supplement or expand upon NRGi's core organizational values:

- **Integrity:** Maintaining our independence and credibility. Willing to speak truth to power. Engaging with respect. Practicing what we preach. Upholding the highest standards of excellence in all we do.
- **Impact:** Strategic and selective in our approach. Mindful of context, adapting to changing realities and seizing new opportunities. Looking critically and openly at what works and what doesn't and why. Integrating that learning into our forward looking work. Accountable to our mission, the actors with whom we work and each other.
- **Collaboration:** Partnering internally and externally to affect change. Capitalizing on NRGi's comparative advantage. Valuing teamwork, diversity and inclusion. Working with and across different stakeholders. Commitment to building the field and inspiring others to act.
- **Passion:** Commitment to social justice. Prudently optimistic that we can and will shift entrenched power dynamics. Dedication, creativity and resiliency in the face of obstacles. Investing in change makers and in strengthening NRGi.
- **Rigor:** Technical competence, intellectual leadership and commitment to quality. Generating and leveraging the evidence base. Interrogating our work. Innovation and initiative to push the boundaries of our field.

Annex 4 – List of NREGI Programs

Country Programs

Priority Country Programs

1. Colombia
2. Democratic Republic of Congo
3. Ghana
4. Guinea
5. Indonesia
6. Mexico
7. Mongolia
8. Myanmar
9. Nigeria
10. Tanzania
11. Tunisia

Limited Engagement Country Programs

1. Azerbaijan
2. Bolivia
3. Kyrgyz Republic
4. Libya
5. Peru
6. Philippines
7. Uganda

8. Ukraine
9. Zambia

Regional Programs:

1. Anglophone Africa
2. Francophone
3. Asia-Pacific
4. Eurasia
5. Latin America

Global Programs

1. Capacity development
2. Governance
3. Legal and Economic
4. Research and Data

Annex 5 – List of NRGi Policy Issues and Initiatives

The [Natural Resource Charter](#) is NRGi's main conceptual framework. NRGi's work focuses in particular on the following subset of policy issues and initiatives, which are also outlined on NRGi's [website](#)

- Beneficial Ownership
- Climate change/environment
- Contract transparency and monitoring
- Corruption
- Diversification/measuring development impacts
- Extractive Industries Transparency Initiative
- Gender
- Legislation and regulation
- Licensing and negotiation
- Mandatory disclosure
- Measuring and assessing resource governance (including the Resource Governance Index and the Natural Resource Charter benchmarking framework)
- Non-fiscal costs and benefits
- Open Government Partnership
- Open data tools and standards
- Revenue management
- Revenue sharing/subnational
- State-Owned Enterprises
- Tax policy