Somalia Accountability Programme

PO6725
Revised Terms of Reference (TOR) for a **Prime Contractor** of an "Implementation and Analysis in Action of Accountability Programme" (IAAAP) in Somalia as at December 2014

Closing Date for Tenders: 1400 hrs (UK time)
MONDAY 28 JULY 2014

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(55 months)

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14.1 The Supplier shall commit to being fully prepared in the event any decision is made to scale up (increase) or scale down (decrease) the scope of the Programme (i.e. in relation to the Programme's inputs, outputs, deliverables, outcomes and fund element) during the course of the contract. 26

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1. SUMMARY

1.1. DFID is seeking to contract a Supplier, (referred to as PC from here on) to act as the "prime contractor" for the delivery of a 55 month "Implementation and Analysis in Action of Accountability Programme" (IAAAP) in Somalia focused on improving "accountability" as part of the 6 year "Accountability Programme". This TOR outlines the main responsibilities of the PC in the establishment of an "Implementation and Analysis in Action Programme" (IAAAP).

1.2. The main purpose of the PC is to act as a vehicle/umbrella agent under which the IAAAP can be established. The PC will undertake a 9 month start-up/inception phase in coordination with the full IAAAP. Following that on an ongoing basis, the PC will manage the contractual and fiduciary elements of the IAAAP in order to comply with DFID requirements and ensure results are delivered, (this will last for the remainder of the IAAAP.

1.3. Various parts of the Somali administrations are aware that DFID has a programme intended to increase "accountability". This includes the President's Office and the Ministry of Finance at the Federal Level. The Anti-Corruption Commissions in Somaliland and Puntland, the Auditor and Accountant General in Puntland. Civil Society in Somalia is also aware of the programme. However, there is no direct counterpart for the programme in any administration – that can be defined (if necessary) during inception. The main beneficiary for the programme would be the people of Somalia.

2. INTRODUCTION

i. What is "Accountability" in Somalia?

2.1. The starting point for understanding "accountability" in the context of this programme is the DFID definition: "*Accountability is about **officials and politicians answering for their actions and being held to account for delivering on their responsibilities*.**"**

2.2. It is expected that the IAAAP will trial and scale up interventions and analyse the impact of them throughout the key processes supporting "accountability" namely:

- **Authorization**: providing a mandate with clear responsibilities to officials;
- **Monitoring**: tracking the implementation of responsibilities by officials;
- **Answering**: officials explaining their actions; and
- **Redress**: taking steps to remedy the gap between mandate and action either through enforcement and sanctions or influence and negotiation.

2.3. Understanding of all these elements in the Somali context is extremely limited for various reasons, notably the challenges for international partners of actually working in Somalia and the long-lasting conflict. Suggesting specific interventions directly to be delivered at this stage would therefore be risky without a greater and more sensitive understanding of what accountability means and what can be delivered within Somalia. Given that the programme is intended to be particularly responsive to the situation in Somalia, it is likely that this definition of "accountability" will become expanded and focused as the particular issues in Somalia come to the fore.

2.4. It is anticipated that in addition to finalising interventions, this programme will conduct a series of both short term (light) and long term (deep)[1] pieces of research to strengthen understanding of accountability and influence the choice of options for the programme. Research under this programme will look at financial flows in Somalia, accountability issues linked to the extractive industries, logistics around the delivery of goods and services, current social norms on accountability of "authorities" and civil society capacity and societal representativeness. Interventions to be made under the programme will be predicated on the findings of this research and a positive information loop will be created feeding back into the research in order to more deeply understand "accountability" in Somalia. Indicative areas for such interventions are set out later in this TOR.

2.5. A cross cutting and important theme throughout the analysis and interventions being pursued under this IAAAP will be the need to better understand the power relationships (particularly in terms of "arms (weapons/guns)" and "money") between elites and citizens and how this impacts on issues related to accountability, representation and exclusion (with gender and youth dimensions of these issues captured and disaggregated throughout the programme). Additionally the nature of the "relationship" that the international community has in terms of accountability (upward accountability) with the Somalis (again, particularly around various aspects of the exercise of "power") will also be explored throughout the programme.

3. OBJECTIVE

i. The PC

3.1. The main objective of this TOR for the PC is to create a platform through which the IAAAP can be operationalized and become functional given the unique nature of the programme and the difficult operating environment of Somalia.

[1] "Light" pieces of research relates to "thematic" areas of general research on emergent themes. They are intended to provide an overview of the issue and could suggest future areas of intervention or analysis. "Deep" pieces of research are intended to provide primary level, rigorously tested information that demonstrates new and cutting edge information not previously known. Such "deep" research could take a long time to come to fruition, or it may appear rapidly as a result of whistleblowing activities.

3.2. Additional details with regards to how the IAAAP is expected to operate are to be found at Section 6 of this ToR and Annex 1.

ii. The IAAAP

3.3. The main objective of the IAAAP is to implement and scale up **a package of strategic interventions** supported by **on-going "live" analytics** (the combined research and implementation approach) that improve government performance and societal accountability in a fragile environment such as Somalia. This is intended to be an innovative programme that will be constantly learning through implementing a range of interventions. The practical learning will be combined with in depth analytics that will further shape and refine project interventions on a "live" basis. The approach is experimental but builds upon current frontier thinking on implementing accountability (and more generally governance) programmes (particularly in fragile states) through experimental methodologies[2].

3.4. DFID is therefore seeking a supplier that can manage and develop an IAAAP – **The Prime Contractor (The PC) -** with strengths both on accountability interventions and the evaluation techniques necessary to judge their impact.

3.5. The IAAAP is therefore specifically *not* intended to act as a traditional "fund" pot (additional information on "Flow of Funds" is provided in section 8 below). Instead, it is intended to operate in a highly specified targeted fashion picking both the area of intervention and mechanism for intervention based on a deep understanding of how such interventions would have the most positive benefits for improving accountability as a whole in Somalia. Recognising the difficulty of this, there is therefore an inherent amount of "experimentation" involved in the IAAAP (particularly given the low state of knowledge about the impact that "accountability" interventions can have in general) but that the ability to choose the interventions and how they are chosen, should become increasingly refined and successful based on the analytics and increased information produced during the lifetime of the IAAAP.

3.6. The Business Case for this programme provides details with regards to Somalia's rankings on high level governance indicators and can be used as a baseline.

3.7. **The prime contractor will not be elgibile to deliver IAAAP elements itself.** Such an arrangement has the potential to undermine/weaken the nature of the IAAAP and could cause problems with regards to the operational suggestions made from the IAAAP and how the prime is supposed to implement

[2] For example see: ICAI Report on DFID's Empowerment and Accountability Programming in Ghana and Malawi; Woolcock "Using Case Studies to Explore the External Validity of 'complex' Development Interventions" CID Working Paper No. 270 October 2013; Andrews, Pritchett, Woolcock "Escaping Capability Traps Through Problem Driven Iterative Adaptation" CGD Working Paper 299 June 2012; Tembo "Citizen voice and state accountability: towards theories of change that embrace contextual dynamics" ODI Project Briefing 73 March 2012; World Bank "Problem Driven Political Economy Analysis" Fritz et al 2013

those suggestions

4. REQUIREMENTS

i. PC Core Team/Inception Phase (6 months)

4.1. The PC is expected to appoint a **Chief Executive Officer (CEO**) who will have overall leadership responsibility for the operational, fiduciary and logistic aspects of the IAAAP. The CEO will be a senior manager (preferably with some experience in research, fragile states and governance reforms), with high level corporate management skills, able to interface between all IAAAP partners, DFID and other stakeholders as required. The CEO should be based in Kenya with travel expected throughout Somalia. The CEO will therefore have financial and human resource management oversight of the entire IAAAP.

4.2. Additional personnel expected would include:

- **Procurement expert** – a high degree of innovative procurement expertise will be required in order to effectively design the various sub-contracting and coordination mechanisms required for this programme. It is also recognised that the intensity of the procurement of suppliers and institutions to form the IAAAP within the expected time period will be high. Their work must be in accordance with DFID guidelines and use of procurement agents where relevant. To clarify, with regard to any commodity purchases, the Supplier is authorised to procure goods and equipment up to the EU threshold (£113,057), providing they are able to demonstrate procurement capability and good value for money. Any procurement by the Supplier must be carried out in accordance with DFID Procurement Group guidance and in liaison with the local Divisional Procurement Officer. The budget for goods and equipment must be calculated on an aggregated figure, the allowance for a budget of £113,057 does not mean that Supplier can spend the first £113,057 and then revert to the Procurement Agent. Any goods and equipment purchased must be reported to DFID and will be managed by separated invoices.
- **Financial Management expertise** – combined with the above, a high degree of financial management and compliance expertise is also expected. Should the procurement of the elements of the IAAAP result in numerous different institutions forming the IAAAP a degree of harmonisation of financial reporting would ideally be required. This issue is likely to be compounded as the various intervention mechanisms and sub-contracts are designed and entered into. Combined with this, specific expertise with regards to DFID's concepts on "value for money" should also be demonstrated as finalising the value for money approach under this programme will be a key requirement of the inception phase. Harmonisation may not be completely achievable during inception but plans should be developed for how this will take place during the lifetime of the IAAAP.
- **Project Design/Commercial Expertise** – Given the intended flexible nature of the interventions under this programme, it is expected that the IAAAP is able to provide expertise in designing various interventions mechanisms. This could include: working with the private sector; funding NGOs; supporting research institutions and think

tanks; or, if the market fails in certain areas developing special purpose vehicles for implementing particular recommendations of the IAAAP including working on establishing special purpose vehicles, NGOs, institutions and so forth in order that the PC, in coordination with the entire IAAAP, is able to actualise the recommendations of the research and implementation proposal.

- **IAAAP Subject Matter Expertise** – in order for the evaluation process to be credible and for effective TORs to be designed, the PC should demonstrate expertise across the range of the IAAAP. It is likely that the majority of this expertise will only be needed for a short term basis during the start-up phase of the project, (although the PC may seek to call on short term expertise again from time to time for its own assessment as to how the IAAAP is functioning). Amongst the expertise, a key understanding of the Somali context in this area should also be demonstrated in order that evaluation criteria can be effectively designed.

4.3. General expertise of operating in conflict affected areas across these areas would also be valued. Additionally, ability to demonstrate "innovation" in terms of: programme management; delivering value for money; and measuring results. Innovation should in particular be concerned with "doing more, for less, for more" with the resources available and be particularly cognizant of not repeating past failures in Somalia. "Innovation" should be integrated at each level of the programme management and implementation and show how it all fits together in a coherent and complimentary fashion.

4.4. Suppliers bidding for the work of the PC should present a cohesive as well as a qualified team. DFID recognises that problems in leadership, composition and management structure can greatly reduce the effectiveness of consultancy teams in the field, impacting negatively on programme delivery and staff turn-over. The Suppliers must therefore demonstrate a clear rationale to team recruitment, composition and management that minimises these risks to implementation, and addresses issues if and when they arise.

4.5. The PC is expected to rapidly procure all the elements of the IAAAP (as detailed per annexes 2-5).

4.6. The inception phase would comprise the design of a research agenda. The inception phase will last for **six months**

4.7. The inception phase should consist of scoping studies including: (i) the existing evidence base, (ii) analysis of past and existing accountability improvement interventions for key "lessons learned", (iii) engagement of relevant stakeholders including government, Parliaments, civil society, clans, research institutions, universities, the international diaspora and implementing agencies (particularly identification of key champions), (iv) scoping of current data. It would also include the design of proposed interventions and the preparation of fully costed proposals

for the programme interventions and research as well as criteria for scaling up or abandoning pilots and results framework.

4.8. Particular emphasis from the scoping work would be placed on the ability of the interventions to work through all levels of Somali society and connect the work of each individual intervention – i.e. linking the household ultimately more directly with Somali administrative institutions and vice versa in order that the cumulative results of interventions aggregate up all the individual interventions.

4.9. The outputs of the inception phase, which the PC will be responsible for delivering, are contained in the table below:

Commitment	**Description**
Procurement of Research	Procurement of inception stage "elements" including Political Economy, M&E, and a number of Research and Analysis elements.
Produce "Research and Implementation" Report	"Research and Implementation Report" produced would include a detailed scoping including: (i) the existing evidence base, (ii) analysis of past and existing accountability improvement interventions in Somalia for key "lessons learned", (iii) engagement of relevant stakeholders including government, Parliament, civil society, clans, research institutions, universities, the international diaspora and implementing agencies (particularly identification of key champions), (iv) scoping of current data collection and establishing of baselines. It would also include the design of proposed interventions and the preparation of fully costed proposals for the programme interventions and research as well as criteria for scaling up or abandoning the interventions/pilots. Further details are provided in section 5 of this ToR and Annex 1.
Communications Plan Developed	Develop a set of criteria as to how to classify and disseminate the information found.
Security Provisions and Logistical Support	As part of the inception phase, the

for Operating in Somalia	IAAAP is expected to produce a report demonstrating its security provisions and logistical support for operating in Somalia. It is not expected that each IAAAP element be able to operate independently in Somalia. Through the procurement process for the IAAAP elements and subsequent work through the inception phase, the PC should determine what capacity will be required to support all elements of the IAAAP to be able to work throughout Somalia. This plan should be detailed within the "research and implementation report" produced at the end of the inception phase.
Costs and benefits finalised	Finalise detailed cost breakdown for the programme as well as cost benefit analysis.
Finalise VFM approach	Due to limited evidence and quantification possible at the appraisal stage, the VFM measures to be monitored will be particularly important in order to determine which are the cost effective pilots to scale up. A rigorous approach must be used to ensure a better sense of the value can be established, ideally at the end of the inception phase, and definitively before the end of year 1. This should cover all aspects of economy, efficiency and effectiveness
Finalise log frame, IAAAP results framework and activity tracker.	Milestones for Outcome Indicator 1 and Output Indicator 2.2. to be finalised and log frame as a whole reviewed
Other Project level deliverables	• The PC will create an inventory of Somali institutions to promote collaboration between international and local research organisations during the inception and implementation phases • Operational plans and manuals for

	the effective functioning of the IAAAP; • Effective financial management manuals and plans in place; • Communications and logistics in place and functional for the smooth operation of the IAAAP; and • A pipeline of interventions planned and established as part of the "Research and Implementation Proposal".

4.10. At the end of the 6 month Inception phase, there will be a contract break point to review Inception Outputs. Progress to the Implementation Phase will be subject to the satisfactory performance of the service provider, delivery of Inception outputs and the continuing needs of the Programme.

4.11. One of the key inception outputs will be the "Research and Implementation Proposal". This will be reviewed against the IAAAP criteria provided in the tender documents and during start-up negotiations. Progress will be monitored through reviews, agreed between DFID and the IAAAP on agreement of contract. This will include at least an interim meeting at the mid-point of the inception phase and the end of the penultimate month.

4.12. There will be a further break point half-way through the contract to allow an on-going assessment of the successful operation of the evaluation work and progress against objectives. We can also use this opportunity to consider increasing / decreasing the scale of the programme depending on the results achieved to date.

4.13. So assuming an intended start date of around January 2015, the first break point will be following the inception phase and the delivery of the inception phase report i.e. around June/July 2015. The second break point will be at the mid-term of the project, i.e. around March/April 2017.

4.14. Due to the nature and duration of the Programme, the Contract that will be awarded must have adequate provision for variation to adapt to changes that occur during the life of the Programme. DFID shall, as a condition of proceeding from the inception phase to implementation, have the right to request changes to the Contract, including the Services, the Terms of Reference and the Contract Price to reflect lessons learned, or changes in circumstances, policies or objectives relating to or affecting the Programme.

4.15. Although not part of the PC contract it is expected that IAAAP will become important sources of specific policy advice for DFID Somalia. As such, DFID will work closely with the IAAAP to determine how best to leverage the findings and recommendations as part of wider HMG dialogue with the Somali administrations.

4.16. The outputs for the IAAAP as a whole during the inception phase will be a

research proposal and the design of the implementation mechanism contained in the production of "**The Research and Implementation Proposal",** in coordination with all the elements of the IAAAP. This will provide great detail as to how resources under the programme are to be allocated. Currently it is estimated that at least 60% of the total financial resources under the programme will be channelled through the implementation/intervention mechanism. The outcome of the inception phase will further clarify the balance of spend.

4.17. A key output to be contained in the inception phase report is a review of whether the research topics and themes being led by the elements of the programme continue to be relevant. The inception phase report will, overall, suggest which research themes to continue, what the specific questions are, and how these will interlink with the implementation/intervention mechanism described further below.

4.18. The "Research and Implementation Report" should also set out how, for the research components, time and budget will be allocated for external quality assurance of research outputs.

4.19. Additional information about the design of the implementation mechanism for the IAAAP, to be finalised during the inception phase, is to be found in Annex 1.

4.20. The Accountability Programme and this IAAAP is expected to operate across all administrations of Somalia and potentially at all administrative levels. The IAAAP should therefore expect to develop criteria during the inception phase, in consultation with DFID Somalia, setting out precisely how and under what conditions the IAAAP will engage in and with the various administrations (South Central, Jubaland, Puntland, Somaliland and others as they emerge). Given the differences between administrative areas, it is not expected that the level of effort will be the same in all administrations. Overall, ability to have the greatest impact on improving "accountability" should be the guiding criteria as well as developing interventions which target the creation/strengthening of linkages between citizen voice and administrative responsiveness. The criteria developed will therefore form a key component for how the implementation mechanism (see next section) would actually function.

ii. Ongoing IAAAP Management

4.21. Should a decision be taken to continue with the programme following review of the "Research and Implementation Report", the main requirement for the PC will be to continue to maintain the management of the IAAAP.

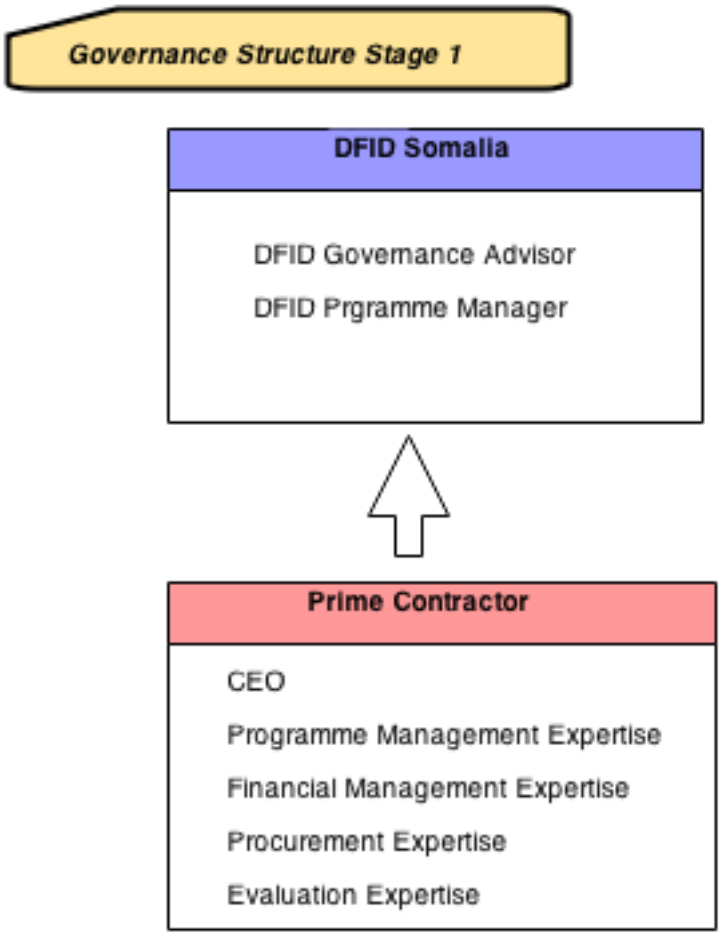
4.22. Additional details with regards to this management function should be contained in the "Research and Implementation Report". DFID's expectations in this regard are also set out in detail in section 6 below and Annex 1.

5. IMPLEMENTATION REQUIREMENTS – REPORTING, GOVERNANCE AND MANAGEMENT STRUCTURE OF THE IAAAP

5.1. The following diagrams indicate the expected evolving governance structure of the IAAAP that the PC is expected to facilitate. As noted, this section should be read in conjunction with the requirements set out in Annexes 1 through 5.

i. Initial Stage – PC Establishment

5.2. Following the successful tender for the PC, the PC will maintain a direct relationship with DFID. The PC will report to the DFID Governance Advisor and Programme Manager responsible for the programme:



6. SCOPE OF WORK

6.1. The PC is expected to:

- Rapidly undertake procurement of the core elements of the IAAAP (additional details of the core elements to be contracted are provided at [Annexes 2-5]);

- Work with the elements of the IAAAP to finalise the results framework for the programme;

- Provide compliance and logistic support to all members of the IAAAP; and

- Establish all necessary and relevant due diligence, compliance and reporting requirements needed in order to make the interventions under this IAAAP feasible, recognising the multitude of formats that such interventions could take.

6.2. The PC is expected to have sufficient understanding of the market costs of these areas in order to be able to prepare terms of reference suitable to attract the highest calibre of people and institutions. It is expected that around 40% of the total costs of the IAAAP will be spent on "analysis" and "research" elements under the programme, with the remainder spent on delivering actual interventions.

6.3. As part of the procurement and evaluation process for the elements of the IAAAP, the PC will be required to have at least two places for evaluators from DFID. One of these places will be filled by the DFID Advisor leading the Accountability Programme, with the other spot available for other DFID staff to be selected at the discretion of the DFID Governance Advisor.

6.4. Overall, the scope of work that the PC is expected to deliver is:

- Be the main contractual point of contact for DFID for the IAAAP and handle all "management" related issues of the contract (the "strategic direction" for the IAAAP will be based in the Project Leadership Board);
- Handle and administer all the funds under the contract and sub-contract the other elements of the IAAAP at the start of the inception phase;
- Design flexible contractual arrangements for the "inception" and "implementation" aspect of the work, within the parameters of DFID contracting guidelines;
- If necessary, establish appropriate "vehicles" in Somalia for direct implementation by the IAAAP of project interventions;
- Establish and maintain a project office (this should have strong virtual communication capabilities since it is likely that key members of the IAAAP will be scattered across locations) for the IAAAP to facilitate the work of all members of the IAAAP;
- Provide other logistical and operational support as may be required, requested and agreed upon as part of the working arrangements under the IAAAP; and
- Develop a new name that is easily communicable for the overall IAAAP.

6.5. On a monthly basis (or more frequently, if necessary), the PC will provide DFID with

a breakdown of claims received from fund recipients and a total figure for payment along with an assurance statement that all amounts claimed have been checked and verified. DFID will issue payment to the PC for onward payment subject to cross-checking and receipt of all necessary assurances.

6.6. Any interest accrued by the PC stemming from balances held through advance payments of grant funds can be used to offset any bank charges incurred through the normal operations of the account. Any interest over and above such bank charges will remain the property of DFID. Payments for the PC's fees and expenses will be made in arrears.

6.7. For our information only and ongoing market intelligence, (i.e not necessary to provide a detailed breakdown within the Part C Commercial schedules as it will not be evaluated), please detail separately what percentage you would have applied to pre-finance this requirement and how that percentage is constructed.

i.i. DFID Somalia Programme Implementation Committee:

6.8. Activities of the PC and the IAAAP as a whole will be overseen by DFID's Governance Adviser (Accountability) and Governance Team Senior Programme Officer who will facilitate a Programme Implementation Committee across DFID Somalia. This will involve pillar advisers and programme managers, and members of the Accountability and Results Team and will form the core committee group. Others – such as the Deputy Head of DFID Somalia and colleagues from other departments with an interest in the programme (e.g. FCO) will be invited to the Committee from time to time. The core committee group will be responsible for monitoring progress against the log frame, annual work plan and financial forecasts.

6.9. The Implementation Committee will be responsible for the day to day management of the Accountability Programme, liaising closely with the CEO of the PC in the initial stages and then additionally with the Project Leadership Board of the IAAAP. DFID Somalia will also be able to liaise directly with each element of the IAAAP on discrete areas, although it is expected that such direct contact with each element will be limited. All relevant reports from the PC and IAAAP will be delivered to the DFID's Governance Advisor and Programme Manager for the project.

6.10. The DFID Somalia implementation Committee will also comprise individuals from DFID specialised in undertaking research e.g. from DFID's Research and Evidence Division. These individuals will help review the research outputs from the IAAAP and ensure their overall quality. The quality of the research reports will be further tested through the outreach events with other interested parties as is noted further below.

ii. Establishment of the IAAAP

6.11. As noted elsewhere, the initial role of the PC will be to procure all the various elements of the IAAAP. The PC will manage the contracts of each element of the IAAAP. The PC will decide how best to procure each element of the IAAAP in line

with the procurement manual agreed with DFID during the tender process. Draft terms of reference – setting out the key objectives and outcomes expected from each element of the IAAAP – are included in Annexes 2 through 5. It is **not** necessary that the PC procure/sub-contract nine different institutions/suppliers to separately complete each element of the work. The PC is expected to understand the market well enough and design a procurement methodology effective enough to be able to procure the institutions and sub-contractors necessary to achieve the overall objectives of the IAAAP based on the elements set out in this ToR.

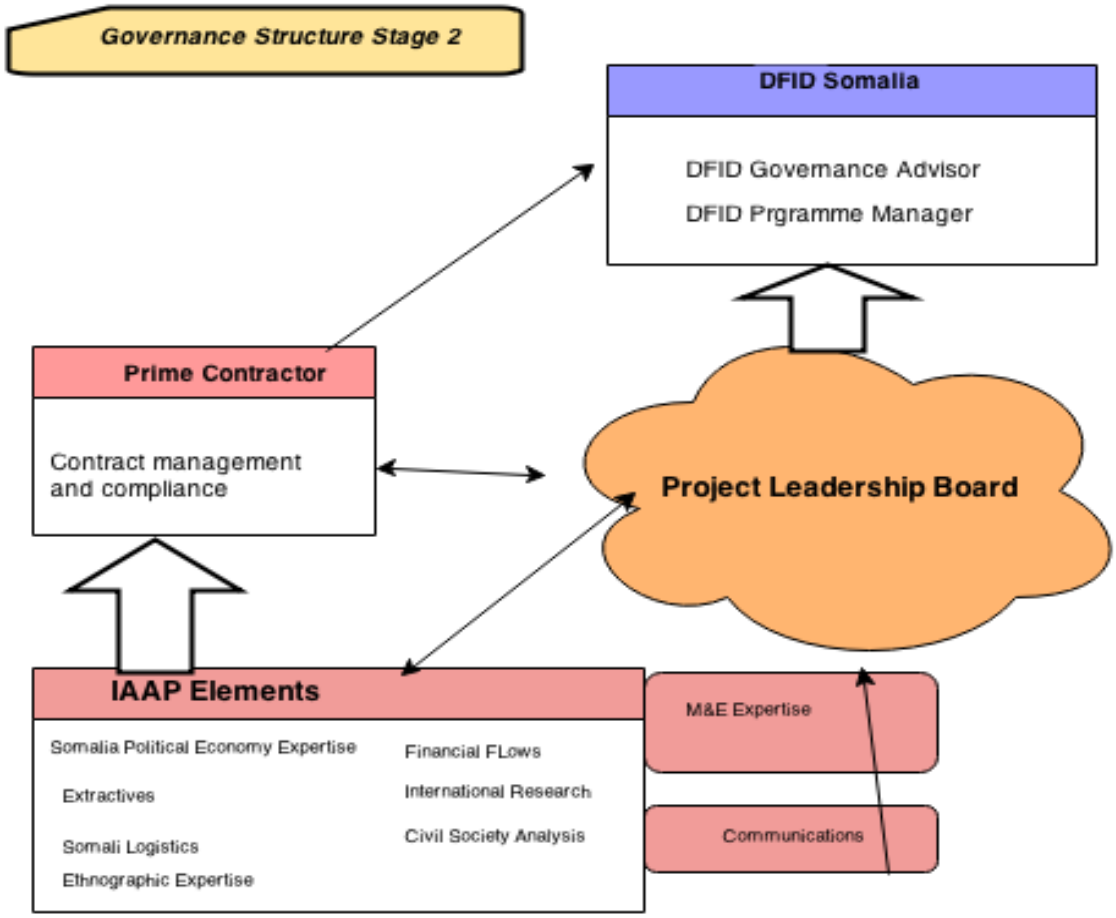
6.12. It is up to the PC to demonstrate how they would get the elements to function effectively, including with clear roles and responsibilities, in order to deliver the programme as effectively as possible. There are requirements in the ToR for developing effective operation manuals.

6.13. Reporting and relationship structures between the PC and all the elements of the IAAAP should be clearly agreed within the sub-contracts.

6.14. Each element of the IAAAP will be required to appoint a "Project Lead/Director" who will form the overall "Project Leadership Board (PLB)". The CEO from the Prime Contractor will chair the PLB.

6.15. **The PLB is intended to provide the overall strategic leadership and direction for the programme** and ensure a harmonious and effective working relationship between all the elements of the IAAAP. It is recognised that the various moving parts of the IAAAP makes for a relatively complex managerial structure. The PC will have to ensure that the terms of reference and sub-contracts entered into with each element of the IAAAP ensure clear reporting lines and roles and responsibilities of reporting and delivery to ensure the overall success of the IAAAP.

6.16. It is expected that the PLB will meet and report at least quarterly. Meetings can take place through a combination of virtual and physical means depending on availability of personnel, but with the reasonable expectation for a minimum level of face-to-face meetings of key personnel at regular intervals as well. Not all personnel from the IAAAP are expected to be based full time in Nairobi given the nature of the work of many of the elements of the IAAAP. Critically, the DFID Governance Advisor and DFID Programme Manager responsible for the DFID Accountability Programme will both be provided with places on the PLB. The DFID representatives will feed into the strategic discussions about the programme. All decisions with regards to overall project direction at the strategic level will have to be approved by the DFID representatives



6.17. It is important to note that the "M&E Expertise" and the "Communications" expertise are core elements of the IAAAP. However, as the draft terms of reference in Annexes 3 and 4 make clear, the purpose of these elements cut across all the other "research and analysis" areas of the IAAAP. The PC must be especially alive to this requirement when contracting the M&E and Communications elements of the IAAAP. The M&E and Communications aspects of the IAAAP will therefore also be under a contractual relationship with the PC.

6.18. When submitting proposals for this TOR, Suppliers should provide examples of the terms of reference for each element and their methodology for procuring the various elements of the IAAAP based on the drafts in the annexes.

6.19. **It is expected that procuring and contracting all the elements of the IAAAP should take no longer than the 6 months allocated to inception phase. As is mentioned elsewhere, it is therefore recognised that upfront inputs of the PC may be high before tailing off.**

6.20. Once the IAAAP is finalised, the "inception phase" of the IAAAP will begin. The main output from the inception phase will be the production of the "research and implementation report". Details of this report and the "inception phase itself" are described elsewhere.

6.21. **It is expected that the production of the "Research and Implementation Report" should be completed within the inception phase of 6 months.** The responsibility for ensuring delivery by the deadline will rest with the PC.

6.22. Based on a review of the "Research and Implementation Report" a decision will be taken as to whether or not to (a) Continue with the programme; (b) Re-bid out the work of the IAAAP to other suppliers; or (c) End the IAAAP entirely.

6.23. To summarise, we have envisaged programme delivery to fall into 2 key phases:
(ii) Inception Phase – 6 months
(iii) Implementation Phase – 49 months

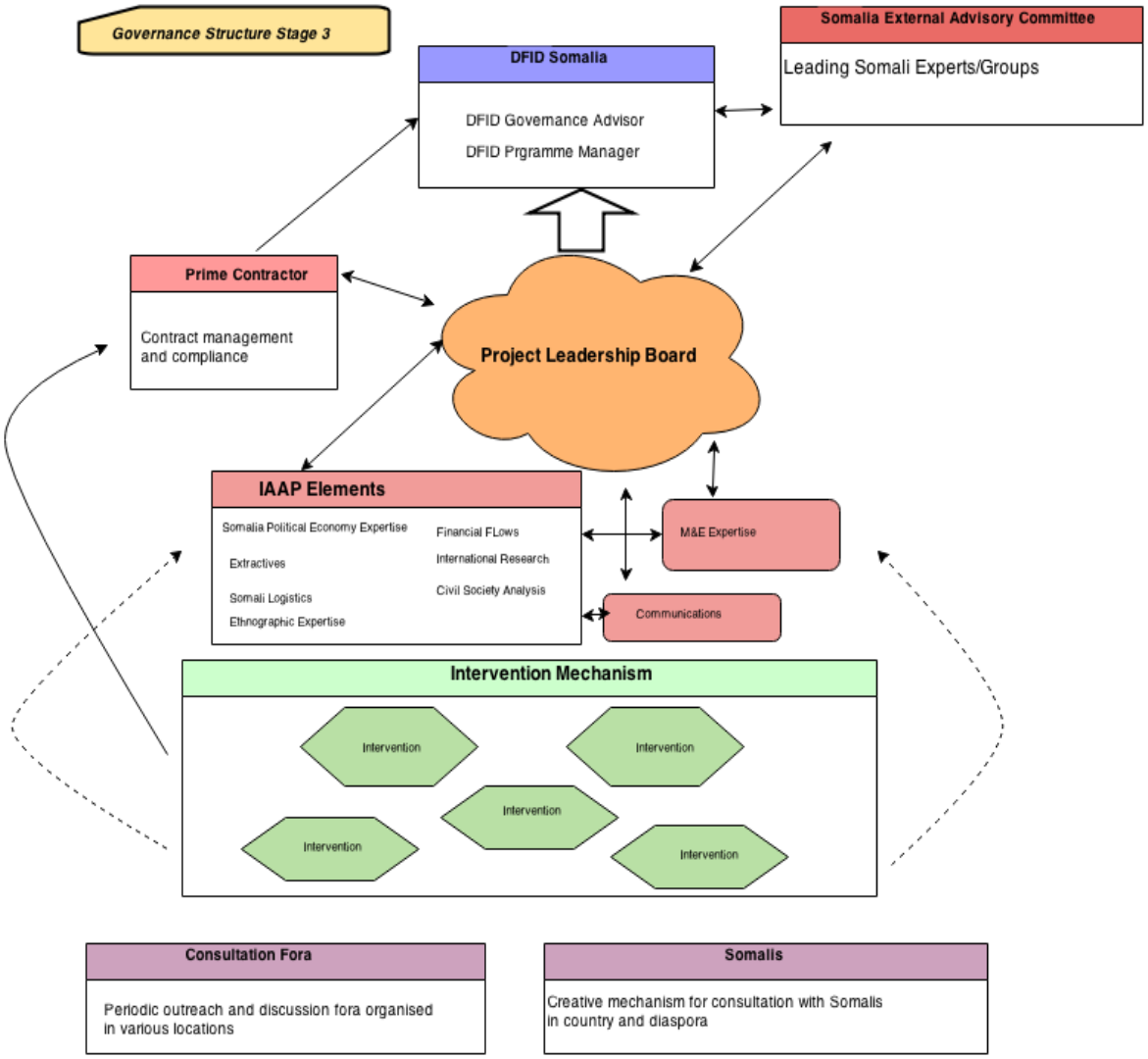
We therefore expect you to provide detailed technical and commercial submissions that clearly present across each distinct phase and acknowledge you may have to amend our standard proformas to include all three phases.

iii. Implementation of the Intervention Mechanism (s)

6.24. Assuming that the decision to continue with the IAAAP is taken following the finalisation of the "Research and implementation Report", the PC, in coordination with the PLB, will then move on to implement the recommendations with regards to intervention mechanisms in Somalia.

6.25. The **PC will have total responsibility for entering into appropriate contractual relationships (whatever these may be) with any implementing agencies, NGOs, companies, individuals or other entities for implementing activities within Somalia. The PC will have to take on all compliance requirements (including fraud and corruption) and ensure that due diligence and duty of care requirements of DFID are met. Somalia is a high risk environment and it is therefore likely that the PC will have to develop innovative mechanisms for ensuring that payments are appropriate and legitimate and reach their intended beneficiaries.**

6.26. The only exception to the above paragraph is where the IAAAP identifies that DFID entering into a Memorandum of Understanding (MOU) with a multilateral agency would be the most appropriate course of action in order to deliver a specific intervention. Such a proposal would be discussed at the PLB and would have to be agreed upon with the DFID leads on the Accountability Programme. If the MOU was entered into, funds would flow directly from DFID to the multilateral as per the MOU.



6.27. The *purpose* of the research elements of this project is to produce a ”live” understanding of key issues in Somalia in order to develop extremely context specific interventions in Somalia with a view to strengthening “accountability” in Somalia. Section 5 provides an indicative, non-exhaustive list of areas of intervention but it will be incumbent upon the PLB and all the elements of the IAAAP to provide rigorous analytical based evidence for choosing the area of intervention as well as the mechanism of the intervention. The flexibility of this approach is intended to increase the value for money of the programme as a whole as well as increasing the impact of the interventions as a whole.

6.28. The “live” analysis will allow the PLB to track the ***trajectories of the interventions*** (and taking into account the contextual idiosyncrasies of Somalia and implementation capabilities of all partners in that environment) and amend them as necessary (while possibly also ending them should they prove to be ineffective).

6.29. By “live” understanding we expect the programme to develop a range of methodologies that enable the programme and DFID to track the interventions and

their impact as close to "real time" as possible. In order to implement this, DFID expects the PC and the IAAAP to:

- A cloud based project management tool that provides an activities and results tracker that all members of the IAAAP can access as well DFID staff. The PLB should also consider the impact that opening the activity tracker to wider public consumption would have on increasing the overall transparency and impact of the project;
- Review, develop and apply the mechanisms and methodologies behind the "real time evaluations" (RTEs) of humanitarian programmes in order to make an approach relevant for this programme;
- Review, develop and apply the work undertaken by organisations around the world such as the International Budget Partnership and civil society partners Fundar, Ibase, the Public Sector Accountability Monitor, and Haki Elimu around real time evaluation of the impact of their advocacy on budget reform to develop the methodology to become more widely applicable to other types of intervention; and
- Ensure that the real time evaluations are closely linked to criteria to scale up or down interventions as well as directly inform the research under the programme, the logframe for the programme as well as the overall theory of change in Somalia.

6.30. DFID expects that as part of the contractual arrangements a main point of contact for the Project Leadership Board will be established from the Supplier leading on the work under Element 1 of the IAAAP (Somalia Political Economy Expertise). DFID Somalia will be able to contact this person on a regular basis for discussions and updates about the overall progress of the programme. DFID Somalia also expects – on a more limited basis – to be able to maintain direct relationships with each element of the IAAAP on an informal basis and through the Project Director/Lead. **However, all main strategic questions affecting the IAAAP will be taken at the PLB.**

6.31. The PC is expected to agree with the elements of the IAAAP how decisions will be taken at that meeting and this should be reflected in the Operational Manual for the IAAAP.

6.32. The IAAAP in its "Research and Implementation Report" **must** clearly demonstrate how the research and analysis of the key issues raised here will be integrated into project intervention, design and monitoring.

6.33. The PC will therefore be required to ensure that the sub-contracts entered into through the various interventions as well as with the IAAAP elements provide for this. Information must be shared openly and honestly throughout all elements of the IAAAP in order to be able to actually measure the success or otherwise of the IAAAP.

6.34. As is also noted in the business case for this programme, a key part of the

"value for money" of the IAAAP as a whole will be the capability to end interventions which do not work and rapidly scale up interventions that are "working". Again, all sub-contractual arrangements between the PC and the interventions must provide for such contingencies.

6.35. Also at this time, the PC in close coordination with the PLB, will be required to establish various consultation. These include:

iii.i. Somalia External Advisory Committee (SEAC):

6.36. The SEAC will be made up of representatives of leading organisations in Somalia and Kenya with an interest in accountability programming and research. The IAAAP is expected to facilitate DFID Somalia in the creation of this. The programme will also work in close cooperation with the Somalia and Eritrea Monitoring Group (SEMG) in order to exchange information. A forum of a similar nature was held during the design of the programme under the auspices of the Rift Valley Institute and proved a good success. This SEAC will be advisory and its role will be to: (i) ensure relevance of the programme based on existing knowledge and evidence; (ii) support the dissemination and uptake of research findings; (iii) influence the enabling environment for accountability in Somalia and amongst donors using the evidence from the programme. It is anticipated that such meetings would be held quarterly once the programme is fully up and running and returning results.

iii.ii. Accountability to Somalis:

6.37. The IAAAP will be responsible for creating a forum to involve civil society and Somali individuals (particularly those disempowered such as women, youth and minority clans) in the design of the intervention and mechanisms to ensure all aspects of Somali society can provide feedback on implementation (beneficiary monitoring), receive feedback on how their views have been taken into account (feedback loops) and have opportunities to share concerns and complaints (recourse mechanisms).

iii.iv. International Development Community:

6.38. There is considerable interest across the development community working on Somalia. While no donors have a directly similar "accountability programme" in place or designed to be, the importance of accountability mechanisms and fora for discussing these issues is becoming increasingly recognised. As noted before, the issue of mutual accountability has been brought to particular prominence as a result of the on-going work around the "New Deal". As such, in addition to organising outreach and dissemination events amongst donors to raise the findings from the programme, the programme will also find ways to link up with other fora (such as

the PSG working groups or any manifestation of the Joint Financial Management Board (JFMB) or Financial Governance Advisory Committee (FGAC) as may or may not be established) related to accountability in order to share knowledge and influence work in both directions.

7. FLOW OF FUNDS

7.1. All funds under this project are expected to flow from DFID to the PC only. The PC will be responsible for the accurate forecasting and spending of funds in line with the contractual arrangements the PC enters into with each element of the IAAAP and in line with the mechanisms determined for the interventions.

7.2. In order to ensure that results are met, the PC should take as a guiding principle that payments will be made based on results achieved/delivered rather than providing payments simply on a quarterly basis. The tender process will also explore whether payments could also partly be related to specific outputs as well.

7.3. In this same manner, DFID will also expect to enter in a performance based payment mechanism with the PC. As part of the proposal, Suppliers are expected to provide a results based payments proposal by the end of the inception phase.

7.4. The inception phase report itself should therefore include the finalisation of the result based payment mechanism for the remainder of the project.

8. BUDGET

9.1 It should be noted that the available budget we have for this entire programme is in the region of £10m to £13m.

9. PROCUREMENT

9.1. The PC will manage all aspects related to the procurement of the various elements of the IAAAP. This would include: the advertising process, procurement correspondence, bid receipt and bid opening in accordance with international best practice in procurement procedures.

9.2. As part of the response to this TOR, the PC will submit a draft procurement manual for this project. This will be clarified and agreed prior to contract award and, will form the basis for all procurement of the elements of the IAAAP. As is noted earlier in this TOR, the evaluation panel should reserve at least two seats for DFID staff to act as evaluators for the procurement of the IAAAP elements

9.3. In addition to the above requirement for international best practice in procurement, the PC will also ensure that conflict sensitive approaches to procurement are carried

out at all stages, with the required level analysis and coordination for the Somali context.

10. KEY PERFORMANCE MANAGEMENT INDICATORS

11.1 KPIs will be agreed between DFID and the supplier during the Inception Phase and before formally amending the contract for the Implementation Phase to link fees (at a percentage that will be jointly agreed between the PC and DFID) to performance. Bidders are invited to propose KPIs but from our perspective, it is anticipated that they will include the following:

- Establishment of an intervention mechanism that allows for the piloting and scaling up of interventions;
- Quality of research and analysis outputs;
- Quality of VFM approach to scaling up and ending interventions;
- Demonstrated impact of influencing through the programme other donor interventions;
- Ability to work across the DFID portfolio and leverage all programmes.

11.2.1 The IAAAP as a whole will be expected to propose an M&E methodology and supporting IT and knowledge management system to manage project level implementation and reporting requirements. Additional information is to be found within the M&E element TOR.

11. REPORTING AND COORDINATION

11.1. The following reports will be prepared and sent to DFID:

- Research and Implementation Report (at end of inception phase);
- Regular quarterly progress reports documenting programme activities, expenditures (especially in terms of VFM) and achievements;
- All research reports produced by the IAAAP;
- A 6 monthly update of the risk analysis will be presented together with any recommendations to modify the risk mitigation strategy;
- External audits reports (annual audits to be financed by the PC) including both financial and management reports and the management response for follow up; and
- Any other reports agreed upon between DFID and the PC during the inception phase or as a result of discussions at the PLB during the full implementation of the project.

11.2. At the start of the contract the Supplier will maintain weekly contact with the DFID Accountability programme leads to apprise them of pertinent issues as they arise. As the programme progresses this may be reduced to less regular contact subject to the proviso of DFID representation on the PLB.

The DFID Accountability programme management team will monitor operational and financial progress.

12. DUTY OF CARE

13.1 The Supplier is responsible for all acts and omissions of the Supplier's Personnel and for the health, safety and security of such persons and their property. The provision of information by DFID shall not in any respect relieve the Supplier from responsibility for its obligations under this Contract. Positive evaluation of proposals and award of this Contract (or any future Contract Amendments) is not an endorsement by DFID of the Supplier's security arrangements". Note that the term "Supplier's Personnel" is defined under the Contract as "any person instructed pursuant to this Contract to undertake any of the Supplier's obligations under this Contract, including the Supplier's employees, agents and sub-contractors.

13.2 DFID will share available information with the Supplier on security status and developments in-country where appropriate. DFID will provide the following:

- All Supplier Personnel will be offered a security briefing by the British Embassy Nairobi (Mogadishu when in Somalia) on arrival. All such Personnel must register with their respective Embassies to ensure that they are included in emergency procedures.
- A copy of the DFID visitor notes (and a further copy each time these are updated), which the contractor may use to brief their Personnel on arrival.

13.3 This Procurement will require the supplier to operate in conflict-affected areas and parts of it are highly insecure. The security situation is volatile and subject to change at short notice. The supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region, where they adjudge security permits, in order to deliver the contract.

13.4 The supplier is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract. The Supplier must ensure their Personnel receive the required level of training and complete a UK government approved hostile environment training course (SAFE) or safety in the field training prior to deployment.

13.5 The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the

FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

13.6 Tenderers must develop their PQQ Response and Tender (if Invited to Tender) on the basis of being fully responsible for Duty of Care in line with the details provided above and the initial risk assessment matrix prepared by DFID (see Annex 6 of this ToR). They must confirm in their PQQ Response that:

· They fully accept responsibility for Security and Duty of Care.
· They understand the potential risks and have the knowledge and experience to develop an effective risk plan.
· They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.

13.7 If you are unwilling or unable to accept responsibility for Security and Duty of Care as detailed above, your PQQ will be viewed as non-compliant and excluded from further evaluation.

13.8 Acceptance of responsibility must be supported with evidence of Duty of Care capability and DFID reserves the right to clarify any aspect of this evidence. In providing evidence, interested Suppliers should respond in line with the Duty of Care section in Form E of the Pre-Qualification Questionnaire (PQQ).

Duty of Care Questions

13.9 Please state 'yes' or 'no' to each of the Duty of Care questions detailed below in the boxes provided. Please refer to any information provided on Duty of Care within the Terms of Reference, Additional Information Documents before completing this section.

13.10 Your responses must be supported by evidence (no more than 2 A4 pages) attached as a separate Annex and must include a statement confirming that you (as the Lead Organisation) fully accept responsibility for Security and Duty of Care (including any personnel and subcontractors) throughout the life of the contract. The supplier must demonstrate their capability to take on this responsibility in terms of knowledge, experience and resources.

13.11 DFID reserves the right to clarify any aspect of this evidence or to request additional evidence/information where we deem appropriate.

13.12 If you are unwilling to accept responsibility or are assessed by DFID as not having the capability to provide Security and Duty of Care for any contract awarded under this procurement, your tender will be excluded from any further Technical Evaluation and Scoring.

13.13 Note: this assessment of supplier capability does not form part of the Technical Evaluation and Scoring and should not be viewed as DFID setting any standard of

Duty of Care requirements, which is for the supplier to determine.

1.	Have you completed an initial assessment of potential risks that demonstrates your knowledge and understanding, and are you satisfied that you understand the risk management implications (not solely relying on information provided by DFID)?
2.	Have you prepared an outline plan that you consider appropriate to manage these risks at this stage (or will you do so if you are awarded the contract) and are you confident/comfortable that you can implement this effectively?
3.	Have you ensured or will you ensure that your staff are appropriately trained (including specialist training where required) before they are deployed and will you ensure that on-going training is provided where necessary?
4.	Have you an appropriate mechanism in place to monitor risk on a live/on-going basis (or will you put one in place if you are awarded the contract)?
5.	Have you ensured or will you ensure that your staff are provided with and have access to suitable equipment and will you ensure that this is reviewed and provided on an on-going basis?
6.	Have you appropriate systems in place to manage an emergency/incident if one arises?

13. SCALE UP/DOWN

14.1 The Supplier shall commit to being fully prepared in the event any decision is made to scale up (increase) or scale down (decrease) the scope of the Programme (i.e. in relation to the Programme's inputs, outputs, deliverables, outcomes and fund element) during the course of the contract.

14. BACKGROUND

14.1. On most international governance indicators, Somalia tends to rank bottom. The Mo Ibrahim Index for Somalia ranked it 52nd out of 52 countries some 26 "points" behind Democratic Republic of Congo - with a "score" of 33/100 (the highest scoring country in Africa was Mauritius with 83/100). On the accountability indicator of the Mo Ibrahim Index in 2012 Somalia scored just 3/100 – below its own average "score" and well behind the continental average of 43/100. According to Transparency International's 2012 annual corruption perceptions index, Somalia is the most corrupt country in the world. It was ranked 174 out of the 174 assessed countries, with a score of 1 on a 0 (highly corrupt) to 10 (highly clean) scale. Somalia also performs extremely poorly on the World Bank's Worldwide Governance Indicators. In particular, Somalia was ranked in the lowest percentile (0) in terms of political stability, government effectiveness, rule of law and control of corruption (four of the six indicators) for the last five years.

14.2. The poor governance environment is perhaps not surprising given the long running conflict and recurrent humanitarian crises in Somalia. Best estimates indicate that the effects of the conflict are far-reaching: 1.1 million people are internally displaced and 988,000 Somali refugees have fled in the region; 43% of the population live on less than US $1 a day. Somalia has not achieved a Millennium Development Goal. The unemployment rate is above 60%. Women and girls suffer disproportionately with Somalia ranked the fifth most dangerous country in the world for women. Non-state armed groups, in particular Al Shabaab, continue to exercise control over large areas of south Somalia; although territorial gains over the last year by the African Union Mission in Somalia (AMISOM), the Somali Federal Government, Ethiopian and Kenyan forces have prompted the withdrawal of Al-Shabaab from key strategic locations, such as Kismayo, Baidoa and Mogadishu.

14.3. Since 2002, the UN Security Council has monitored the situation in Somalia through annual reports produced by a team of experts. The original Security Council Resolution 1407 from 2002 provided the team of experts with a mandate primarily to investigate violations of the arms embargo against Somalia and particularly to investigate the capacity of the Somali administrations to enforce the embargo. The latest report on Somalia (now dubbed the Somalia and Eritrea Monitoring Group (SEMG) Report) is based on Security Council Resolution 2060.The work of the SEMG has steadily expanded over the years beyond monitoring violations of the arms embargo and now encompasses analysing all economic activities in Somalia which provide sources of financing for circumventing the arms embargo.

14.4. This expansion of analysis by the SEMG had particular consequences for better understanding the financial accountability of the previous Transitional Federal Government (TFG). The SEMG report of 2012, the findings of which are closely correlated with the end of the TFG in 2012, noted:

- *"Out of every US$ 10 received by the Transitional Federal Government in 2009 and 2010, US$ 7 never made it into State coffers;"*
- *"In 2011, almost one quarter of total Transitional Federal Government expenditure (over US$ 12 million) was absorbed by the offices of the three top leaders: the President, the Prime Minister and the Speaker of Parliament. This represented roughly half of the Transitional Federal Government's domestic income and almost as much as the Government spends on security in a time of conflict;"*
- *"While [the chaotic nature of public financial management systems] is in part due to lack of capacity, it is also the product of deliberate, systematic and often sophisticated behaviour, intended to prevent transparency or accountability;"*
- *Despite the efforts of some dedicated Transitional Federal Government officials to introduce greater transparency and accountability into the Transitional Federal Government's financial arrangements, it is clear from the Monitoring Group's investigations that the political will to enact [public financial management] reforms is lacking in the highest echelons of government."*

14.5. In August of 2012 the TFG was officially ended following the finalisation and adoption of a new Provisional Constitution. The Provisional Constitution was approved by a National Constituent Assembly of 825 Members (chosen by 135 traditional leaders). The Constituent Assembly also appointed 275 members of the Federal Parliament. The Federal Parliament in turn selected its Speaker and in turn the Parliament voted for a new Somali President. The President then appointed a Prime Minister who appointed a Council of Ministers and thus the current Federal Government of Somalia (FGS) was formed.

14.6. Since the establishment of the FGS at the end of 2012, there has been renewed interest in the international community to improve the accountability environment, most notably around public financial management. A raft of donors including DFID, the World Bank and the African Development Bank are now working to improve these systems.

14.7. Improved public financial management (PFM) is likely to take some time to come to fruition. While the FGS represented the election of new individuals, it did not fundamentally alter the nature of the institutions that they are now in charge of. It remains to be seen whether the FGS has the political capital necessary to be able to push through reforms and alter the institutions to work transparently and in the interests of the people of Somalia. Understanding the social barriers to politicians achieving these reforms is necessary.

14.8. The July 2013 SEMG report does note some improvement in terms of the FGS's ability to obtain revenues from key areas (e.g. Mogadishu port). However, several findings give cause for concern about the accountability environment in Somalia, and in particular how developmental assistance has, in many ways, been perverted by the lack of accountability. The report's findings demonstrate that weak accountability is a development problem beyond basic public financial management:

- *"The individuals involved [in the African Development Bank public financial management project which started in 2009] abused development concepts of local ownership and capacity building in order to access resources. It is paradoxical that efforts to achieve financial accountability became vehicles for corruption";*
- *"Despite the efforts of some aid agencies to achieve greater transparency and accountability, a culture of denial and secrecy continues to exist that prevents the humanitarian community from sharing bad experiences, learning hard lessons and developing common tools. Many donors are responsible for contributing to this culture of silence because of inconsistent responses and reactions to diversion of aid that do not encourage transparency and openness";*
- *"Indeed, while donors have stressed the need for increased transparency and accountability, they have not supported or promoted principled actors or provided many incentives for agencies to systematically tackle the problems of diversion"; and*

- *"AMISOM has yet to implement the UN Policy on Prevention of Sexual Exploitation and Abuse, aside from inclusion of a section on SEA in pre-deployment training. The Policy requirements include prevention, public information, establishment of a reporting system, establishment of accountability mechanisms and support to victims*"

14.9. The latest SEMG report did note a distinction between the incoming individuals of the FGS and the institutional framework that they have inherited. However, without determined actions to demonstrate a change in attitude towards issues of transparency and accountability of public offices and developmental actions in Somalia, that distinction will diminish.

14.10. Somalia is in the process of implementing the "New Deal for Engagement in Fragile States" ("The New Deal"). In Brussels on September 16 2013 "The Somali Compact" was signed, the intention of which is to create a "*new political, security and development architecture framing the future relations between Somalia, its people and the international community*". Critical for the success of the New Deal is the recognition that progress depends upon mutual trust among the various administrations of Somalia, Somali civil society, and the international community. To build this trust, the New Deal calls for a focus on country-led paths out of fragility, arrived at through a political dialogue between the administrations and civil society, and accompanied by transparency and accountability in the management of foreign assistance and domestic resources. This programme will provide support in nurturing such processes.

14.11. This is an opportune time for support in this area, given the New Deal process and a process to finalise the Provisional Constitution. The compact that needs to be agreed to finalise the Constitution will be critical in defining the accountable relationship between Somali citizens and the State. Central to driving the process are the Parliaments in Somalia, especially the Federal Parliament.

14.12. Since 2008, a total of 116 interventions have been attempted in Somalia in an effort to improve "accountability" in the country, yet Somalia remains rooted to the bottom of most international indicators measuring accountability. Other analysis, such as the SEMG Report, do not suggest that there are internal drivers creating a critical mass pushing for improvement. It is therefore time for DFID to take a lead in this area as part of its wider programme.

Annex 1 – Description of the Working Mechanism for the IAAAP

i. Functions of the IAAAP (i) Interventions

1. As is noted in the main body of the ToR, the PC is expected to procure the elements of the IAAAP. The PC will then be responsible for delivering the smooth operational functioning of the IAAAP in line with the requirements set out in this Annex.

2. While a solid research approach is a specific means to an end under this programme, effective implementation will also be critical. In this regard, the IAAAP is expected to demonstrate substantial expertise at being able to achieve and understand results from interventions in Somalia (or other fragile states where remote working is the norm) as part of the design for the implementation element of the programme. The interventions themselves must be open to rigorous analysis by the research elements of the programme and all elements of the IAAAP must be open to learning from "failure" of interventions.

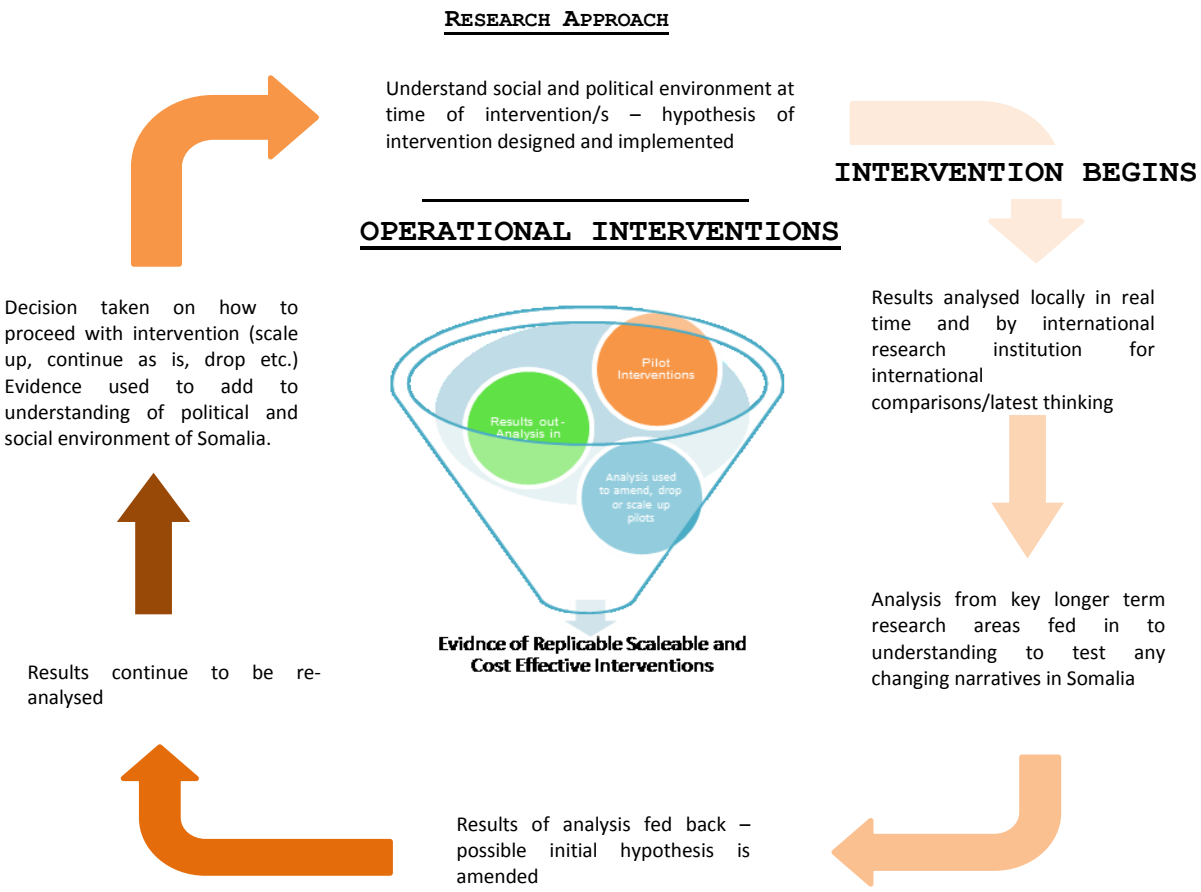
3. Where the research element of the IAAAP is able to demonstrate that the market for interventions in Somalia is either flawed or non-existent, yet the benefits to be accrued from intervening in a particular area are shown to be significant, the research element may choose to "create" a new mechanism for such specific interventions in Somalia. Where such mechanisms are "created" care must be had not to unduly or unfairly out-compete existing suppliers operating in Somalia who could potentially and usefully enter that area of work. The PC will be responsible for the creation of these mechanisms.

4. The IAAAP should also explore innovative and complimentary methods of financing interventions in Somalia. This could include (but would not be limited to) small and well-targeted challenge funds in order to spur innovation amongst Somalis; direct capacity building support to Somali NGOs without providing financial support to better enable them to achieve their aims; working with the private sector, philanthropists and entrepreneurs; or some other mechanism. At all stages, it must be understood that the mechanism of intervention has an impact on how effective the interventions is likely to be. Discussions of the policy and commercial implications must be held at the Project Leadership Board with input from DFID.

5. Additionally the IAAAP should focus on supporting interventions that strengthen and make more effective the "long" routes of "accountability" in Somalia raising citizens' voices through the various levels of local government and linking that up to the executive. Similarly, interventions should also be aimed at increasing the capacity to respond to and better capture/understand the nature of citizen demand in the Somali executive itself.

6. The diagram below provides a suggested model as to how the research/analysis elements of the programme will link with the intervention elements of the

programme:



7. As can be seen, the research elements of the IAAAP are intended to be on-going and part of a feedback loop whereby the interventions provide information direct to the research elements (and vice-versa) in order to test and amend working hypotheses.

ii. Functions of the IAAAP (ii) Knowledge

8. In addition to creating new knowledge, the IAAAP will be expected to play an important role in channelling and synthesising existing knowledge about accountability interventions in Somalia while being aware of global literature and evidence on the subject.

9. Particular emphasis will be placed on ensuring that research addresses questions that have clear operational relevance3 in support of the interventions to be tested

[3] This does not preclude the kinds of conceptual and theoretical work that can underpin good policymaking. It does require, however, that the proposed research question is sensitive to the current and anticipated needs of policy makers, politicians and communities, and able to demonstrate this in

and scaled up under the programme.

10. The IAAAP must have the uptake of relevant research findings as a central concern. For example, innovative partnerships that support multi-media communication and facilitate access to key policy forums - such as the New Deal Peace and State Building Goal (PSG) Working Groups - will be strongly welcomed. More on how the communications and uptake elements should be approached is set out in Section 6 below.

11. The IAAAP will draw on expertise from numerous and varied disciplines. This could potentially include (but is not limited to), for example: accountability, anti-corruption, Somalia, fragile states, political science, history, psychology, anthropology and sociology, alongside more conventional development-related disciplinary areas. Gender-related expertise will be considered to be especially important.

12. The IAAAP will operate in ways that strengthen the sustainable capacity of Somali researchers and institutions where possible and that stimulate and give profile to Somali-led and owned research initiatives.

iii. Deliverables

13. The IAAAP is expected to drive the achievement of the main Outcome under the Accountability programme, namely:

    - "An increase in transparent, evidence based interventions that support Somali administrations that are representative and accountable to the population"

14. In particular, the IAAAP will focus on supporting the achievement of the following two sub-outcome indicators:

    - Total size (in £) of programmes to be influenced based on research; and
    - Number of documented examples where civil society has influenced the formulation and delivery of policy with project support

15. Suppliers and institutions are expected to be familiar with the Accountability Programme's logframe and demonstrate how the IAAAP will contribute to the achievement of the key outputs under the logframe. However, the PC and IAAAP are expected to devise a more robust logframe and activity tracker in order to better reflect the activities, outputs, outcomes and overall results from the IAAAP (see further below with regards to inception phase commitments).

16. The IAAAP should also be prepared to contribute to the other main outcome under

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their work.

the broader Accountability Programme (see Section vii) which is:

- "Credible and accountable Constitutional Review process supported to a socially and politically acceptable conclusion"

17. Additional outputs not contained within the log frame which the IAAAP should consider incorporating into its operational plans include:

- An IAAAP that develops an effective mechanism for being able to implement projects, both in executive administrations and within civil society, over both the short and long term in Somalia;
- An IAAAP that delivers its vision for a clear and coherent body of research;
- Methodologically rigorous, peer reviewed evidence (For guidance in this regard, we would suggest that bidders take their steer from DFID research types of programmes. DFID does envisage there to be an element of external academic peer review of some of the products of the programme);
- A steady flow of clear, operationally relevant and accessible messages for policy makers (both Somalis and those in the International or regional communities);
- More and better data on how "accountability" "works" in Somalia;
- A range of multi-media outputs to engage a range of audiences in developing countries at various levels;
- Stronger capacity for political and social science research in Somalia;
- Stronger policy networks in Somalia and internationally, which demonstrate clearer effective demand for evidence, and which draw regularly on the research teams' advice and guidance.

iv. Links to Other Elements of the Accountability Programme – Parliamentary Support

18. In November 2013, DFID Somalia entered into a Memorandum of Understanding (MOU) with the United Nations Development Project (UNDP) to provide a contribution to a multi-donor programme aimed at strengthening the parliaments throughout Somalia. The MOU is also the current vehicle for DFID Somalia's support to the UNDP's work on the review of the Provisional Constitution in Somalia.

19. The IAAAP should therefore be prepared to engage both with the UNDP and DFID's supplier under the "Monitoring Programme" during the IAAAP's inception phase in order to provide DFID Somalia with an overall review of the impact that the programme is having on the wider "accountability" framework within Somalia. In terms of its research programme and design of the implementation/intervention mechanism, the IAAAP should be fully cognizant of the activities UNDP is undertaking – both in the area of institution building of Parliament and support for the Constitution – and determine what activities can be developed to effectively support and better enhance the impact of those interventions.

v. Outline of Implementation and Analysis in Action Programme (IAAAP) . Key Required Features

20. The IAAAP is expected to combine skills expertise in all of the following core areas:

- Deep technical and operational expertise in emerging development themes related to “accountability”; “anti-corruption”; “social capital”; “political settlements”; and “fragile states”;
- Ability to effectively design the implementation of programmes in Somalia and deliver high quality results;
- High quality applied and operational research in both qualitative and quantitative methodologies;
- Deep and long term understanding of Somalia;
- Excellent communication and policy influencing skills;
- High quality monitoring and evaluation frameworks (particularly in conjunction with DFID third party monitors under the Somalia Monitoring Programme);
- High quality frameworks for capacity building with Somali partners;
- High quality gender mainstreaming capacity; and
- High quality management ability, including personnel and financial management.

21. In terms of the research elements of the IAAAP, while being cognizant of the requirements in the TORs below and described in more detail in the annexes, the focus must be on quality research outputs relevant to practitioners or policymakers, that lead to specific interventions that represent good value for money, are sustainable, can be scaled up and have a lasting impact in Somalia.

vi. Designing and Implementing the Intervention/Implementation Element of the Programme

22. DFID expects the inception phase to produce an innovative mechanism for how to actually undertake interventions aimed at improving accountability in Somalia that is directly informed by the research programme. This mechanism will be an integral part of the IAAAP as the programme moves forward. As such the procurement of the various elements of the IAAAP should make clear that this is a vital part of the consideration for evaluation. The PC should have the capacity to be able to understand, design and implement the proposals developed during the inception phase and work closely with members of the IAAAP to actualise this.

23. As the indicative areas of interventions set out below make clear, the areas of possible intervention under the programme should cover both the full chain of accountability issues linking citizens (and particularly disempowered groups) with more responsive administrations. Given this, it may be that the IAAAP has to develop a range of flexible support and possibly funding mechanisms in order to support such interventions. Interventions that are able to better link citizen voice and demand to administrative capacity to understand and respond will be particularly encouraged.

24. In line with the piloting/research led nature of the programme, the interventions will have to be designed in such a manner that successful interventions can be scaled up while unsuccessful ones are stopped. This would clearly have implications for how

finances are managed under the intervention.

25. The IAAAP will be expected to take into account all the relevant reviews and literature about mechanisms that are currently utilised to support accountability programming and determine which mechanisms are most appropriate for Somalia. This could therefore include:

    - Direct capacity building and support (without providing funding) to Somali NGOs and CSOs;
    - Developing a competitive funding scheme and issuing calls for proposals in discrete areas;
    - Directly supporting training, technical assistance and capacity building in Somalia interventions;
    - Creating new vehicles or institutions in Somalia that do not currently exist (for example think tanks);
    - Creating capacity to carry out demand led research to better capture citizens voices;
    - Creating chains of interventions that support “long routes” of accountability from the citizens through to policy makers;
    - Creating or strengthening “short chain” accountability mechanism; and
    - Developing policy information exchange mechanisms.

26. As noted elsewhere, critical to the success of the interventions/implementation mechanism will be the ability to:

    - Capture results in real time;
    - Determine the best value for money of how to undertake interventions;
    - Learn from failures as well as success of interventions;
    - Develop a mechanism and criteria to “scale up” successful interventions and to rapidly end “unsuccessful interventions”.

27. It is expected that the PC, on behalf of the IAAAP, will sub-contract directly with organisations that it chooses to use in the implementation mechanism. As such, the PC will be responsible for ensuring that all due diligence assessments (in line with DFID requirements) of the implementing partners chosen are appropriately carried out. Additionally, the PC will be responsible for ensuring that all DFID requirements with regards to duty of care are appropriately met. The terms of the sub-contract should be discussed with the members of the IAAAP through the Project Leadership Board, to ensure that the interventions function in a manner that allows for appropriate information exchange, monitoring and evaluation and communications

28. The following is a non-exhaustive indicative list of areas of potential intervention under the programme. The tender process, inception phase and research element of the IAAAP is expected to better drive, develop and sequence the overall nature of the interventions to be piloted under the programme;

Civil Society/Empowerment

- Supporting civil society, non-state actors and individuals to be empowered and have a voice as part of the Constitutional Review process (to be completed by 2016);
- Increasing civil society oversight of administration finances and procurement, and of international accountability mechanisms such as the Somalia and Eritrea Monitoring Group Report (SEMG) and the New Deal;
- Developing or creating public policy institutes/think tanks to provide evidence to administrations on emergent technical areas such as public financial management, management of extractive industries and transparency initiatives;
- Assistance with the implementation of elections in Puntland and Somaliland (2014/5 and beyond), and working towards establishing the necessary requirements for Federal Elections (2016 and beyond);
- Improving corporate governance and corporate social responsibility of Somali businesses (notably the financial, telecoms and livestock sectors);
- Supporting the media in terms of investigation and reporting of key issues in order to hold administrations more accountable in key sectors (e.g. health, education) and also raising awareness of citizens' rights;

Institution Building

- Supporting the nascent Somali administration accountability mechanisms such as anti-corruption commissions, ombudsmen and other watchdogs where these show potential for impact;
- Developing local based fora and mechanisms for clans and communities to work cooperatively to improve accountability;
- Piloting and evaluating grievance redress mechanisms around core government services (e.g. health and education);

29. As noted elsewhere, the ability to create stronger links through interventions between citizens and administrative institutions as part of raising the overall level of accountability and social capital in the country, will be particularly valued.

30. As mentioned elsewhere, particular emphasis for the interventions should be placed on complimenting DFID's overall portfolio and pillar work (additional information in that regard can be found in DFID Somalia's current Operational Plan and through DevTracker).

vii. Conflict Sensitivity

31. All activities – both research and implementation – under the IAAAP are expected to be undertaken with a view to conflict sensitivity in Somalia.

32. DFID's approach to funding within Somalia is predicated on principles of 'Do No Harm' and conflict sensitive programming and analysis. The Fund will be operating in a conflict-prone environment where its actions and the actions of its implementing partners will affect that conflict, positively or negatively. The PC and IAAAP, like others, is a conflict actor which must take responsibility for the effects of its programmes and internal processes, as well as guard against the risks that an insecure conflict-affected environment poses to the organisation and its staff. Conflict sensitivity is defined here as:

- Understanding the context in which the PC and IAAAP and its implementing partners operate;
- Understanding the interaction between PC's and IAAAP interventions and the context; and
- Acting upon the understanding of this interaction, in order to avoid

33. This not only includes sensitivity as to how the research or interventions are undertaken but also as to the overall importance the issues may have in relation to continuing the conflict in Somalia.

34. 'Conflict" should be considered broadly and as such, all activities should be cognizant of the effect their work may have at the household, community, district, regional and national level.

35. Additionally, all the activities should consider within their approach how they can contribute to the overall goals of peace building in Somalia. In particular, where linkages can be found across programmes that would have a benefit in increasing peace in Somalia, these should be pursued.

36. Overall all activities should be undertaken with a view to doing no harm in country. The implementation/intervention mechanism should be designed in a way that is particularly cognizant and responsive of this fact.

37. Amongst other issues the PC and IAAAP will promote inclusion and ensure broad and meaningful participation; act in a transparent and accountable way; consider the timing, sequencing and location of interventions for their potential conflict impact; and be responsive and flexible to changing requirements. The PC and IAAAP should articulate its understanding of Do No Harm with regards to implementing this programme and provide examples of conflict sensitive approaches to identifying and managing projects in fragile states.

ANNEX 2 - Somalia Political Economy/Science Expertise

IAAAP Element 1: Draft Terms of Reference

Somalia Political Economy/Science Expertise (SPE)

Background: The on-going conflict in Somalia has limited the degree to which in depth political economy analyses can be carried out in Somalia. The situation is improving and, particularly in Mogadishu, Somaliland and Puntland, the spaces to conduct rigorous political economy analysis are slowly expanding. Recognising the impact that effective political economy analysis can have on the overall impact and success of governance programming, the purpose of the SPE is to act as the "sense check/institutional guiding memory" for the overall direction of the programme. The SPE will be the key conduit through which to shape initial hypotheses, understand the changes in dynamics in Somalia, collate research activity results to further inform hypotheses and lead on the overall design of the implementation/intervention element of the programme.

The SPE will also play a critical role in building and establishing relations with Somali policy makers, civil society and the international community. In addition to being the "sense check" of the programme, the SPE will act as the public interface of the programme on policy issues. In particular the SPE will be the main part of the IAAAP that will brief DFID and coordinate activities with DFID. As such it is expected that the Project Director/Lead of the SPE will be the overall Chair of the PLB.

The SPE will therefore need to combine a range of skill sets – from deep and long term political and social understanding of the Somali context, to effective engagement and communication skills with the international community. The SPE is expected to coordinate closely with all elements of the IAAAP and to draw on the combined collective strength of the IAAAP to deliver an effective programme, particularly by utilising the PLB but also through more informal and regular channels..

The SPE should also be aware of critical points in the development of the Somalia over the life time of the project and ensure that the research and implementation elements of the project are appropriately configured to respond to such issues. This could include: the formation of regional states; local and federal elections; the development of the Constitution in Somalia; and AMISOM and other security sector surges leading to newly recovered areas. In particular, DFID is keen to ensure that is has appropriate support for and can work with other bilateral and multilateral agencies in support of, the constitutional review process and elections in Somalia

Scope of Work: This work is intended to cover all parts of Somalia (including Somaliland and regional states). The intention of the Somalia Political Economy/Science Expertise is to provide the overall "controlling mind" for the project. In this regard, the SPE is expected to:

- Provide the overall leadership for the combined research and intervention programme of all elements of the IAAAP in combination with lead individuals

appointed under each research element through chairmanship of the PLB;

- Work with the CEO of the PC to develop effective operational, fiduciary and logistic support for the smooth functioning of the IAAAP;
- Develop a mechanism that grounds all the research elements of the programme into the realities of the political economy of Somalia;
- Design the overall implementation mechanism for the programme as well as the criteria for scaling up and scaling down interventions in line with a "real time" monitoring and evaluation strategy in Somalia, in conjunction with the other members of the IAAAP and the PC through the PLB;
- Develops a forum (real, virtual or both) with support from the PC for on-going consultations with all the elements of the IAAAP in order that information is exchanged effectively between the research elements of the project and that all the elements are guided by up to date political economy analysis of the situation throughout Somalia;
- Leads on the overall design of the inception phase and is responsible for the production of the inception phase report in coordination with other partners of the IAAAP and the PC;
- Briefs and coordinates closely with DFID on issues of political economy and accountability throughout the current pillar work of DFID;
- Establishes close and effective links with the Somali administrations, civil society and other key actors;
- Undertakes political economy analysis of key issues related to accountability, transparency and integrity of the institutions of Somalia;
- In particular undertakes analysis with a view to supporting the development of 'open inclusive' (accountable) political institutions, and also DFID and the international community can ensure aid that may seem politically benign is not closing that set of political outcomes and fostering closed settlements;
- Establishes close and effective links with the international community- both on the political and the development side;
- Establish and maintain links with the UNDP supported Parliamentary support element of the project in order to assess the overall efficacy of that modality of support. This work would be undertaken in close coordination with the M&E element of the IAAAP; and
- Ensure all inception phase commitments are delivered in coordination with the PC;

The SPE is expected to appoint a **Political Economy and Research Director (PERD)**, who will have overall leadership in guiding the areas of analysis under the programme, coordinating the various research aspects of the programme – and who will act as the "Project Director/Lead" for this element of the IAAAP. The PERD does not have to be an internationally recognised academic researcher but they must have demonstrable deep understanding of the Somalia political economy based on a significant number of years of in depth work in the country. Demonstrable evidence of linkages to key political networks in Somalia would also be highly valued (as would the ability to communicate in Somali). The PERD must also have excellent skills in terms of outreach and influence amongst the international community.

Other core tasks that the PERD is expected to lead on (but may be delegated to other

members of the SPE through clearly defined reporting lines and procedures) include:

- Ensuring delivery of the outputs set for the IAAAP;
- Reviewing the progress of the IAAAP in terms of potential impact on development problems;
- Monitoring the impact of the interventions under the IAAAP and ensuring the programme is appropriately tailored to changing realities and focuses on results;
- Disseminating and promoting the use of IAAAP-generated knowledge for the benefit of poor people in developing countries;
- Managing mechanisms for data archiving, including procedures for long-term accessibility to data after the RPC ends and procedures for public access to data and knowledge;
- Ensuring gender dimensions are mainstreamed into research themes.
- Terminating unsuccessful activities in coordination with the PC;
- Defining additional outputs for agreement with DFID;
- Project identification;
- Identifying the clients for research outputs within and beyond the consortium, the means by which these outputs may be used and how they should be packaged and promoted;
- Establishing effective relationships with the consortium partners and with other collaborating research institutions in target countries to promote the transfer of knowledge to beneficiaries;
- Development of new consortium milestones for agreement with DFID.

Outputs. Through the tender process undertaken by the PC for the recruitment of the SPE, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- Delivery of all inception phase commitments;
- Production of the inception phase report which will include:
    - Overall research strategy;
    - Demonstration as to how the research will inform the interventions;
    - Design of the Intervention/Implementation Mechanism;
    - Mechanism for “real time” monitoring and evaluation of the interventions.

Annex 3 – Research and Analysis Under the IAAAP

The **Core Criteria Selection** for all the "elements" listed in Annex 2 (Sub-Annexes 2(A) through 2(F)) this section and which each institution is expected to be able to demonstrate include:

- Technical capacity and ability to develop effective pilot interventions that can be scaled up;
- Importance of research theme, highlighting key research questions/hypotheses, why the research theme is important and how this is demonstrated through demand for information on this area. Questions should ideally be framed in a way where the exact operational questions being addressed, and the target audience of research output, is clear. The likelihood of research contributing to poverty reduction should be laid out.
- Quality of research approach/methodology, including quality of the outline plan and examples of hypotheses; plans for disaggregated data sets; and how these will be developed during the inception phase;
- A track record of designing, delivering or successfully influencing operational interventions; and
- A track record of significant research output to the highest international standards.

It is expected that the majority of the research will be primary level research and therefore institutions must be able to demonstrate capacity to be able to undertake such research in Somalia. The ability to link the primary level research with understanding of these issues at the global level will also be key.

There are clearly synergies between each element and there would be substantial cost savings if institutions and consortia are able to pool resources and expertise in this area. As such, while each proposal will be evaluated on its individual merits, evidence of synergies and cost savings between the research elements will be welcomed, for example, ability to share costs and personnel. All elements must be prepared to work under the research leadership of the PERD.

Sub-Annex 3 (A)

IAAAP Element 2: Draft Terms of Reference:

Financial Flows Mapping and Analysis Expertise (FFMA)

Background: The purpose of undertaking extensive analysis of the role of finances and financial flows in Somalia is to better understand how "money" supports and/or subverts power and issues related to authority, legitimacy and accountability of state actors and what options may be available for action and intervention. This again links closely to the concepts of "power" but also to the "equity" and "justice" (and corruption) of resource distribution in Somalia.

The non-transparent handling of public finances has had direct consequences for Somali administrations in Mogadishu. This work, however, is intended to go far beyond an understanding of financial flows around the Somali Federal Government, although that will be an element of research and investigation. Understanding Somalia's regional and global links through the business and other interests represented in the country will be critical to building an appropriate picture of how finances, politics and accountability actually interact in the country.

Given the sensitivities of this area of investigation, it is anticipated that the IAAAP may consider a classification level of the research outputs. Some research may only be suitable for consumption within DFID, while the rest should be purely open source.

Scope of Work: This work is intended to cover all parts of Somalia (including Somaliland and regional states). The work is intended to cover a wide variety of issues related to financial flows into and out of Somalia. The following areas are expected to be included in any work that is undertaken by the IAAAP but the work may not be limited to these areas and the tender process expects to elicit an innovative and wider set of areas of analysis than are set out below. ;

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- Analysis of where the main financial resources are in Somalia (for example, telecoms, livestock, international aid, remittances and other financial services, international trade);
- Analysis of Somali international sources of revenue generation (key assets in Somalia);
- Analysis of the exercise of control over these resources – who is able to exert influence, why and how;
- Linkages between different groups and the control of financial resources – in particular the various administrations at all levels in Somalia;
- Financial linkages and flows with the Somali diaspora;
- Financial linkages and flows in the regions (particularly the horn of Africa and to the

gulf);
- Financial linkages to the wider world (e.g. USA, South America, Australia, Europe etc...)

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Determine whether the area of research is still relevant in the context of Somalia and improving accountability and if so develop a research strategy for the further investigation of these areas as part of the IAAAP together with a potential classification system for the sharing of information; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings;
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Sub-Annex 3 (B)

IAAAP Element 3: Draft Terms of Reference:

Extractive Industries in Fragile States Analysis Expertise (EIFG)

Background: The purpose of this research strand is very similar to that being undertaken for the overall financial flows. The work of the EIFG is intended to link closely therefore with the work of the EFMA and further identify what options there may be available for action. The key issue of analysis around extractives in Somalia is intended to be the accountability of the control (or not) of extractive industries. This again links closely to the concepts of "power" but also to the "equity" and "justice" (and corruption) of resource distribution in Somalia.

While a focus on powerful individuals and institutional arrangements will be critical to this research, a community based focus will also be extremely important. Community mechanisms for the accountable handling of resources (either potential or existing) should form a close element of these research strands, particularly in conjunction with the SPE element of the programme and the EASE element.

Scope of Work This work is intended to cover all parts of Somalia (including Somaliland and regional states). To this end, the work is intended to cover:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- Continued analysis of the political economy of the extractives industry sector, in close coordination with work on-going under other DFID pillars;
- In particular an analysis of the power and control of the extractives sector and what this means in terms of accountability for the resources to the population of Somalia;
- Developing an understanding of community interests and concerns around the exploitation of extractive resources and (working closely with the EASE element of the IAAAP) how these concerns could be appropriately handled within the Somali social and community contexts;
- Explore the efficacy of "international" instruments such as the Extractive Industry Transparency Index (EITI), integrity pacts, codes of conduct and so on, for increasing the accountability in this area of Somali administrations and private sector interests;
- Analyse channels of "voice" for citizens in Somalia to determine the main barriers to their voices being heard by policy makers (both Somalis and the international community) on these issues;
- Increase understanding of the environmental impact of extractive industries, particularly on local communities, and assess how communities may be empowered to better advocate, demand and achieve the more environmentally friendly extraction of resources; and
- Provide detailed inputs to design of the implementation/intervention mechanism to ensure that these issues are appropriately captured – for example through the

development of community consultation mechanisms, grievance redress mechanism, increased transparency and so on.

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Determine whether the area of research is still relevant in the context of Somalia and improving accountability and if so develop a research strategy for the further investigation of these areas as part of the IAAAP together with a potential classification system for the sharing of information; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings.
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Sub-Annex 3 (c)

IAAAP Element 4: Draft Terms of Reference

Somali Logistics (SL)

Background: Again, closely linked to understanding power dynamics in Somalia and the accountability of how goods, services and aid are delivered throughout the country, the SL section of the IAAAP will be expected to work closely with the other elements of the IAAAP, especially the SPE and EFMA portions in order to identify operational interventions and options for action.

Effective provision of goods and services by public authorities are often considered to be a key element in building a government's legitimacy and authority. Diversion of goods and services through the logistics supply chain therefore has a diminishing effect on the overall ability of the state to provide accountable services. Additionally, unaccountable logistics chains and services diminish overall citizen engagement with the state as citizens may choose to opt out of the provision of government led services as being too inconsistent.

Scope of Work: This work is intended to cover all parts of Somalia (including Somaliland and regional states). The scope of work of the SL is again to understand the power, influence and accountability dynamics behind logistics chains into and out of Somalia. To this end the SL is expected to:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- Map the logistics supply chains (covering land, air and sea) for importing and exporting goods into Somalia;
- Map the logistics and supply chains particularly affecting the provision of aid (both humanitarian and development aid (notably pharmaceuticals))
- Understand the control, power dynamics, political economy and social drivers behind the control and management of such supply chains;
- Working with other members of the IAAAP determine what charges, fees, taxes, permits or other levies may be associated with the logistics chain in Somalia and what opportunities for action exist in order to alleviate problems associated with them.

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Determine whether the area of research is still relevant in the context of Somalia and improving accountability and if so develop a research strategy for the further investigation of these areas as part of the IAAAP together with a potential classification system for the sharing of information; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings;
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Sub-Annex 3 (D)

IAAAP Element 5: Draft Terms of Reference

Ethnographic, Anthropologic, Sociological Expertise (EASE)

Background: The ability to conduct in depth ethnographic and anthropological research in Somalia since 1989 has been severely hampered due to the conflict. While there is a recognition that "clans" are in some manner important in Somalia, understanding how those clan structures operate and how or why they might be important is not well or deeply known. In particular, it is often unclear the extent to which clans and sub-clans may or may not be permanent features of Somali society or reference points around which opportunistic individuals coalesce in order to further more limited aims.

While a political economy perspective of issues in Somalia is without doubt an important element for the overall success of this programme, understanding the social issues and drivers, what underpins behaviours and decision making in Somalia, and how groups (particularly women, youth and other marginalised groups) relate (or not) to each other, will be critical for the longer term success of interventions.

The IAAAP will therefore provide a platform in order to encourage the rebuilding and re-understanding of the ethnography of Somalia. It is recognised that this will be a long term and on-going effort. Results from the analysis, are, however, expected to directly influence how interventions under the project are developed.

Scope of Work This work is intended to cover all parts of Somalia (including Somaliland and regional states). To this end the work is expected to:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- Develop and implement field research for creating a new ethnography of Somali society with a focus on understanding accountable relationships in Somalia;
- Conduct in-depth anthropological research in selected communities in Somalia
- In particular investigate contemporary social order and normative orders (including kinship and other types of alliances, and norms underpinning different transactions in society), and demonstrate how they impacts social and political developments at different levels in the country
- Ensure that gender and generational aspects are covered
- Determine how findings relate to current and planned programme activities and make recommendations on how to better adjust programming to reality in order to identify specific programmes it can inform such as the Joint Programme on Local Governance (JPLG).

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Determine whether the area of research is still relevant in the context of Somalia and improving accountability and if so develop a research strategy for the further investigation of these areas as part of the IAAAP together with a potential classification system for the sharing of information; and (iii) Demonstrate how the work will

link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings;
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Sub-Annex 3 (E)

IAAAP Element 6: Draft Terms of Reference

Civil Society Analysis, Capacity Building and Development Expertise (CSA)

Background: Civil Society has now firmly established itself in the development agenda as a core mechanism for potentially improving accountability of government institutions and raising the voice of disempower citizens. From participatory budget, to social audits and advocacy campaigns, civil society can play a key role in driving change in a country.

The nature of civil society in Somalia is, however, poorly understood. It is unclear who it represents, what its interests are and what elements of it are sustainable. While there is a vibrant media sector in Somalia, the independence of its and the objectivity of its reporting, for example, is often called into question.

The purpose of this work, therefore, is to gain a better understanding of the dynamics of civil society in Somali before engaging in interventions through it. In addition to understanding the political and social dynamics that civil society groups play in Somalia, an analysis of the sustainability and capacity of different groups will also be critical in determining the nature of any support that might be provided through civil society as a mechanism for improving accountability in Somalia.

Scope of Work This work is intended to cover all parts of Somalia (including Somaliland and regional states). To this end the work will cover:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- An analysis of what "civil society" is in Somalia. The definition of "civil society" should be broadly construed (for example to include NGOs, trade groups, business interests, the media and so on);
- An analysis of who it may or may not represent;
- What the financial incentives behind civil society are;
- Who civil society is accountable to;
- What civil society's capacity to influence policy is in Somalia and its capacity to undertake "accountability" type interventions is;
- How civil society may be supported or developed in Somalia for it to play a more active and influential role on improving accountability;

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Determine whether the area of research is still relevant in the context of Somalia and improving accountability and if so develop a research strategy for the further investigation of these areas as part of the IAAAP together with a potential classification system for the sharing of information; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

This aspect of the work will also have particular implications for the design of the

implementation/intervention mechanism and as such it should be clearly demonstrated how the research from this work will inform the design and on-going functioning of the mechanism.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings;
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Sub-Annex 3 (F)

IAAAP Element 7: Draft Terms of Reference

International Research Expertise on State/ Peace Building Accountability Issues and International Development (IRE)

Background: The last decade has seen a profusion and increase in understanding of how states develop. Academic research centres around the world have often been at the forefront of developing new models and concepts that have changed and shaped the international agenda and approach to developmental programming.

While the driver of the IAAAP is rightly centred in the SPE in order to ensure that the programme as a whole is cognizant and responsive to the current political situation in Somalia, it is recognised that the SPE could benefit from cutting edge research and thinking about developmental issues in Somalia. This could have the effect of shifting paradigms, identifying new modalities of interventions and providing an international network of academic expertise through which to test hypothesis.

Scope of Work: This work is intended to cover all parts of Somalia (including Somaliland and regional states). The work expected from the IRE would include:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD;
- Advice and guidance to the IAAAP (and the SPE and M&E element of the IAAAP) in particular about emerging trends, insights and issues in terms of state and peace-building related issues of accountability, political settlements, contextual interventions of "complex interventions", development and raising of "social capital" in fragile states, and how these might be applied to the Somalia context;
- Provision of analytical research skills (at all levels including potentially graduate and post-graduate resources), capacities and methodologies, both in the field in Somalia and remotely, in close coordination with the SPE, in order to better analyse key issues in Somalia;
- Lead the analysis (in coordination with the SPE) as to how effective "upward" accountability mechanisms may be in the Somali context, notably the "New Deal" the "Somalia and Eritrea Monitoring Group" (SEMG) and potential the "Financial Governance Committee" (FGC);
- Provide on-going "check points" to the overall work in order to sense check the overall approach of the programme and work in Somalia and suggest when and how key changes to the programme might be made in coordination with the SPE and M&E elements of the IAAAP; and
- Communicate and expand the work of the programme through academic journals and networks in order to increase attention and understanding of the activities, outputs and outcomes of the programme.

The inception phase of the programme is intended to (i) Map out the current global understanding of these issues and how they would be applicable to Somalia; (ii) Develop a research strategy for the further investigation of these areas as part of the IAAAP; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A research plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a research strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings;
- During the inception phase and thereafter (to be included in the "Research and Implementation Report") specific roles and responsibilities for how this element will influence the design of operational interventions to pilot, their analysis, revision and potentially scaling up.

Annex 4 – Monitoring and Evaluation

IAAAP Element 8: Draft Terms of Reference

M&E, Theory of Change Development, Log Frame Development Expertise (M&E)

Background: While it is important to be able to adequately measure the effects of a programme through its output, outcome and impact indicator log frame, actually measuring and understanding all the impacts that a programme may or may not be having, and the actual reasons for those impacts is critical to actually understanding why a programme had the effect that it did.

In this regard, the IAAAP M&E framework should develop a set of mixed methodologies in order to appropriately capture the effect that the programme and its interventions is having. Given the time lag of impact of most governance programmes, the M&E programme should be cognizant of attempting to develop rigorous mechanisms to potentially track the "trajectory" that interventions are having.

Learning from failure is increasingly high on the developmental agenda and as such it is expected that the M&E element of the IAAAP will develop a framework for measuring and capturing the reasons for the failure of any set of interventions. However, as with the private sector, for failure to be really learned from, it must have consequences. As such a transparent and robust process M&E process that stops or intervenes to redesign interventions that are failing/on the wrong track will have to be developed as part of the interventions programme.

Overall, the M&E element of the IAAAP is expected to contribute substantially, in coordination with the SPE, to revising and developing the theory of change for the Accountability Programme as a whole. This should be reviewed regularly in line with the results that are coming out of the programme.

Scope of Work This work is intended to cover all parts of Somalia (including Somaliland and regional states). To this end the work is expected to:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD and CEO;
- Review the log frame and theory of change for the programme and finalise any missing pieces of data or information;
- **Design a mechanism, in coordination with other elements of the IAAAP, to develop a process for "real time" monitoring and evaluation of interventions. The mechanism should be able to judge the totality of the impact of the interventions (including capturing unforeseen impacts) using mixed methodologies. This mechanism will be critical for the effective design of the intervention/implementation mechanism and the ability to scale up or drop interventions. As such the mechanism needs to be robust in order to be able to capture and understand "failure" as well as "success" in order to be able to inform**

the design of future interventions;

- As part of the above, develop a mixed method mechanism in order to test all hypotheses being advanced under the programme and test any "external validities" being brought to the programme;
- As part of this, review the log frame and theory of change generally and assess whether or not either needs to be updated;
- Finalise elements related to undertaking "Value for Money" assessments of the IAAAP;
- Develop an effective "activity and impact tracker" in coordination with the communications element of the IAAAP in order to be able to capture and disseminate all the effects of the IAAAP;
- Review the theory of change on an on-going basis and suggest amendments, in coordination with other members of the IAAAP and IRE in order to better capture, understand and map the "complexity" of the changes under the programme;
- Provide advice and inputs to the IAAAP in the design of the intervention/implementation mechanism to ensure that all interventions can be evaluated through appropriate methodologies;
- As part of this, develop an "open source" data house in order to collect and house all the data elements produced by the programme to be used by other researchers;
- Work closely with the SPE element of the IAAAP and also with DFID's "Monitoring Programme" in terms of evaluating DFID's support through the UNDP for the Parliaments in Somalia;
- The M&E element of the IAAAP will also be responsible for:
    - Working with DFID staff to finalise Annual Reviews for the programme. The IAAAP is expected to fund at least 3 independent annual reviews, with the expectation that the rest will be undertaken by DFID;
    - As noted above, the IAAAP will also be expected to work with the IRE in particular in order to fund rigorous and independent evaluations of the overall impact of the programme on a regular basis. DFID will, however, also independently fund its own evaluations of the IAAAP as a whole at the mid - term and end of the project.
- Establish a mechanism for effective monitoring of interventions that would include third party monitoring of projects;

The inception phase of the IAAAP is therefore intended to (i) Finalise the current log-frame and theory of change for the Accountability Programme as a whole; (ii); (ii) Develop a strategy for the further investigation and integration of the M&E strategy as part of the IAAAP; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

This aspect of the work will also have particular implications for the design of the implementation/intervention mechanism and as such it should be clearly demonstrated how the research from this work will inform the design and on-going functioning of the mechanism.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

***Key Personnel**:* As noted, it will be a requirement for each element of the IAAAP to appoint a "Project Director/Lead" to represent the element and sit on the PLB. The Project Director/Lead need not necessarily be a deep subject matter expert in the element itself but should be able to sufficiently represent the element, guide discussions about its findings, its area of research and analysis and how it fits into the IAAAP as a whole.

Outputs: Through the tender process the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- Finalised log frames, theory of change, value for money approach;
- As part of the inception phase report produced by the IAAAP an M&E strategy for the IAAAP;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings***.***

Annex 5: Project Communications

IAAAP Element 9: Draft Terms of Reference

Communication Strategy, Research Uptake and Influence Expertise (CSRU)

Background: As noted elsewhere, research is not undertaken purely for the sake of research. Ensuring effective uptake of research is critical for its overall success.

Communications: Getting The Research and Programme Pilots into Use:

It is essential that the IAAAP maximise the potential policy and practice impact of its research and pilot interventions. While much has been written about Somalia, it appears to often have little uptake or affect overall policy making in the country.

Given this the IAAAP will have to produce high quality pilot and research evidence that is accessible to policy. To achieve this IAAAP will need to build partnerships within the relevant policy spheres (both in Somalia and internationally) in order to understand it and take advantage of opportunities arising from the processes of policy making, which are generally highly politicised with competing priorities and limited resources adding to the complexities. DFID therefore expects the PC to place an extremely high value on the ability of prospective suppliers and institutions forming elements of the IAAAP to demonstrate the potential for getting research and pilots into policy and practice. Getting research into use, particularly by our development partners and also actors within Somalia, is a key DFID priority. DFID expects to be able to use the results of the research it funds and also fully expects others to be able to do so.

Amongst the most effective ways to support the uptake of research knowledge are strengthening demand for knowledge and improving access to information which can be easily consumed by different groups, building capacity to do and use research, and engaging with key user stakeholders, especially policy makers.

Research communication is much more than dissemination of publications. It is a continuous process, that is about understanding and engaging with different audiences, especially users of research results, and in particular policy advisers, analysts and decision makers including DFID. Effective communication requires an understanding of, and support to an enabling environment for uptake[4.] Therefore a key requirement for the IAAAP is the involvement of authoritative and influential constituencies engaged in the generation and/or communication of knowledge about Somalia. This involvement should aim to maximise the opportunities of exerting influence on policy for example through the PSG Working Groups. The nature of these constituencies will vary widely according to target audience.

[4] Consult Research Communications Working Paper published as background to the Research Strategy for more information

For this reason, the research should involve genuine collaboration with a variety of stakeholders (local, national and international, including donors, government and civil society organisations). Stakeholder involvement at all of these levels will be crucial in terms of getting research results into use. DFID expects all research programmes to have an integrated communications strategy that is reviewed and adapted at regular intervals throughout the research programme.

A Communication Strategy should be developed by the IAAAP, led by the "Communications Element" in consultation with all the elements under the IAAAP, during the inception phase. The strategy should be developed and implemented as appropriate by all partners. (See DFID guidance http://www.dfid.gov.uk/research/communication-research.pdf.) The Communications Strategy must be an adequately budgeted percentage of the IAAAP total budget. The PC should ensure though its procurement of the elements of the IAAAP that has a good network with knowledge centres, multi-disciplinary professional journals and associations.

Importantly the Communications Strategy should seek to learn from influences outside of the usual development modalities of how information is produced and disseminated in order to better support its impact. As such it should seek to work with communications work from the private sector, marketing, social media, psychology, public relations, brand management, "big data/data mining", crowd sourcing and so on.

Open Access

As is noted above, the IAAAP will explore the utilisation of a cloud based project management portal that would be open to the public. This would allow all members of the public – whether in Somalia, the UK or elsewhere – to be able to immediately track the activities and results of the programme.

DFID is committed to strengthening demand for knowledge and improving access to research information. To this end DFID will develop an Open Access policy[5]. DFID funded research programmes will be expected to comply with this policy in due course. In the meantime, IAAAPs should illustrate their own plans for Open Access of research outputs and access to IAAAP data sets. With regard to author pays publishing, DFID expects the IAAAP to collaborate with researchers/authors in choosing where to place their research, and it is expected that Open Access fees will be paid for either by the IAAAP (most likely through the communication budget) or through arrangements that the IAAAP host institution has on Open Access. It will be the research programme's responsibility to monitor the percentage of research outputs that are available under Open Access and to inform DFID of the details and the percentage in the programme's Annual Reports.

DFID also encourages its research programmes to archive anonymised quantitative and qualitative data sets, resulting from the research it funds, with appropriate data archiving repositories.

[5] It can be anticipated that the full text of any articles and technical reports resulting from funding that are published in journals, conference proceedings or as RPC working papers, whether during or after the period of funding, should be deposited, at the earliest opportunity, in an appropriate Open Access repository, and also with DFID's R4D, subject to compliance with publisher's copyright and licensing policies. Wherever possible, the article deposited should be the published version.

DFID Branding

The public has an expectation and a right to know what is funded with public money. It is expected that all research outputs will acknowledge DFID support in a way that is clear and explicit and which comply with DFID Branding Guidance. This will include ensuring that publications acknowledge DFID support. It is also expected that, as far as possible, all outputs are forwarded to DFID for inclusion on the R4D website. DFID expects to receive at least 10 hard copies of each article that cannot be put onto the website e.g. books published; articles in non-open access journals and so on. Guidance on compliance with the Government's policy on setting-up and running websites (funded with public money) is being developed.

If press releases on work which arises wholly or mainly from the RPC are planned this should be in collaboration with DFID Somalia.

In the Somali context, however, it is recognised that some research and associated branding may be particularly conflict sensitive. The IAAAP is expected to devise a mechanism to determine whether or not a particular branding activity may do harm and determine how best to brand and attribute such work.

Indeed, there has been much written in academic journals about Somalia, its people, institutions and development interventions. Yet it is unclear the extent to which these publications have truly influenced *how* development happens in Somalia.

Additionally, it is unclear at the moment what the key communication channels for consumption of information in Somalia are. This is in part because of the diffuse nature of Somali society and the influence of the diaspora and also in part because of the conflict which inhibits more in depth understanding of communications and influence channels in Somalia. Similarly, communications and influence channels amongst the international community are also not well known. In particular, how policy makers consume emerging information and insights and how (or whether) those insights are translated into effective decision making are not well understood.

The communications strategy will therefore go beyond a simple branding or highlighting exercise of the success and products of its own work and will seek to delve in depth in greater detail – particularly in partnership with the SPE and EASE elements of the programme, to understand what communication channels and what types of communication have the greatest policy impact and influence.

Scope of Work

This work is intended to cover all parts of Somalia (including Somaliland and regional states). To this end the CSRU will:

- Appoint a lead individual to be the main point of contact for this element and work closely with the PERD and CEO;
- Develop a coherent communication and research uptake strategy for the IAAAP;

- Undertake analyses of how information is best consumed both by Somalis and also by the international community;
- Utilise this research to inform the nature of the outputs produced by all the research elements of the IAAAP in order to ensure maximum uptake, impact and influence of their findings;
- The CSRU is expected to explore a range of new types of communication products beyond social media, the internet and academic journals. While all of these could be important communication channels, the CSRU will be encouraged to experiment with the types of information "pushed" to the main consumers of information from this programme (for example, increased use of data visualization tools, use of "apps", cartoons, podcasts, regular forums, films and so forth). Additionally exploring emerging lessons in communication from other "non-traditional" sources such as the private sector, marketing, social media, psychology, public relations, brand management, "big data/data mining", crowd sourcing and so on will be important; and
- Work closely in the design of the implementation/intervention mechanism to ensure that it has an appropriate communications strategy in place.

The inception phase of the programme is intended to (i) Map out the current understanding of these issues in Somalia; (ii) Develop a research strategy for the further investigation of these areas as part of the IAAAP; and (iii) Demonstrate how the work will link closely with the other aspects of the IAAAP, particularly the political economy analysis and communications work.

This aspect of the work will also have particular implications for the design of the implementation/intervention mechanism and as such it should be clearly demonstrated how the research from this work will inform the design and on-going functioning of the mechanism.

Demonstrating the ability to work closely in an integrated fashion with other members of the IAAAP will be particularly important.

Key Personnel:

The **CSRU** is expected to appoint a **Communications Manager (CM)**. The CM will act as the "Project Director/Lead" for this element of the IAAAP. The CM will develop and implement a coherent communications strategy, in consultation with research and management staff. This will include

- Undertaking a communications assessment for the entire programme, including the capacity and needs of the IAAAP partners to collaborate and delivery communications components;
- Undertaking stakeholder analyses, in collaboration with research staff, to identify key audiences for research findings at different stages of research
- Liaising with stakeholders to provide feedback on the results of research and its impact on policies
- Coordinating the monitoring and evaluation of the communications

strategy throughout the IAAAP.

The Communications Manager will contribute to the production of a range of communications outputs that will be accessible to policy makers at national and international levels. This will include:

- Proactively working with research staff to produce communications products that are designed for the programmes' different audiences.
- Proactively working with research staff to identify the most appropriate communication channel for different products (for example, through the media, television, radio, workshops, etc.).
- Proactively work with target audiences to find ways of meeting their needs. This might involve an assessment of the communications context in which the research is being targeted or demanded.
- Designing and maintaining the IAAAP presence on the internet, including monitoring use and establishing subscription mechanisms for interested parties where appropriate.
- Developing internal communication processes for the IAAAP.
- Identifying ways of engaging with those directly involved with or interested in the research (e.g. newsletters, blogs).

The Communications manager will support the capacity of IAAAP partners to communicate research findings to relevant audiences. This will include:

- Developing generic communications tools that can be used by communications focal people in IAAAP partner institutions.
- Identifying training needs for communication among partner institutions and appropriate means of addressing these, including, if appropriate, short training courses.
- Sharing good practice with RPC partners (and other RPC and DFID funded research programmes) in order to maximize the impact of communication activities.
- Identifying and developing case studies and news stories for the IAAAP itself but also for sharing with DFID.
- Developing a process to track and communicate case studies and news stories.
- Supporting researchers to determine where the research has potential for use, and how to make it accessible to different types of research user.

The Communications Manager will be responsible for working with the PERD in identifying mechanisms to synthesise the research findings into short (especially infographic style), relevant briefs for policy makers and especially DFID. They will also be responsible for developing appropriate communication products as part of the exit strategy for the programme. The Communications Manager must demonstrate an understanding and practical application of (i) policy and research cycles and (ii) processes for research accessibility and use.

Outputs. Through the tender process that the PC will undertake, DFID expects respondents to suggest the type of outputs that will be produced, however, at a minimum it is expected that there will be produced:

- A plan as to how to undertake a baseline analysis of these issues during the inception phase;
- As part of the inception phase report produced by the IAAAP a strategy for the continued research into these areas;
- Also as part of the inception phase report produced by the IAAAP a clear demonstration as to how this work integrates with the rest of the IAAAP's work and how products of the research will be appropriately communicated in order to ensure maximum impact and uptake of findings; and
- A clear, concise and stand-alone communications strategy for the IAAAP

Annex 6: DFID Risk Assessment Somalia

DFID Overall Project/Intervention / Summary Risk Assessment matrix

Project/intervention title:

Location: **Mogadishu/South Central Somalia**

Date of assessment: **21 March 2014**

Assessing official:

Theme	**DFID Risk score**	**DFID Risk score**		**DFID Risk score**	**DFID Risk score**	**DFID Risk score**
	Mogadishu Airport	**Mogadishu**	**Kismayo Airport**	**Kismaayo**	**Dollow**	**Other Parts of South Central Somalia**
OVERALL RATING	4	4	4	4	4	4
FCO travel advice	4	4	4	4	4	4
Host nation travel advice	Not available	Not available	Not available	Not available	Not available	Not available
Transportation	3	4	4	4	4	5
Security	3	4	3	4	3	4
Civil unrest	2	4	2	4	4	4
Violence/crime	3	4	2	4	4	4
Terrorism	3	4	3	4	4	4
War	2	2	2	2	2	2
Hurricane	1	1	1	1	1	1
Earthquake	1	1	1	1	1	1
Flood	1	1	1	1	1	1
Medical Services	2	4	3	4	5	5
Nature of Project/						

Intervention						

1 Very Low risk	2 Low risk	3 Med risk	4 **High risk**	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

DFID Overall Project/Intervention
Summary Risk Assessment matrix

Project/intervention title:

Location: **SOMALILAND**

Date of assessment: **21 March 2014**

Assessing official:

Theme	**DFID Risk score**	**DFID Risk score**	**DFID Risk score**
	Hargeisa, Berbera	**Borama, Burao**	**Other Parts of Somaliland**
OVERALL RATING	4	4	4
FCO travel advice	5	5	5
Host nation travel advice	Not available	Not available	Not available
Transportation	4	4	4
Security	5	5	5
Civil unrest	4	3	3
Violence/crime	3	3	3
Terrorism	5	5	5

War	3	3	3
Hurricane	1	1	1
Earthquake	1	1	1
Flood	3	1	3
Medical Services	4	5	5
Nature of Project/ Intervention			

1 Very Low risk	2 Low risk	3 Med risk	**4** **High risk**	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

DFID Overall Project/Intervention
Summary Risk Assessment matrix

Project/intervention title:

Location: **PUNTLAND**

Date of assessment: **21 March 2014**

Assessing official:

Theme	**DFID Risk score**	**DFID Risk Score**	**DFID Risk score**	**DFID Risk score**
	Garowe	**Bossaso**	**Galkacyo**	**Other Parts of Puntland**
OVERALL RATING	4	4	4	5
FCO travel advice	4	4	4	4
Host nation travel advice	Not available	Not available	Not available	Not available

Transportation	4	4	5	5
Security	4	4	5	4
Civil unrest	3	4	3	4
Violence/crime	3	3	5	4
Terrorism	4	4	5	5
War	2	3	3	3
Hurricane	2	2	1	1
Earthquake	1	1	1	1
Flood	2	2	1	1
Medical Services	4	5	5	5
Nature of Project/ Intervention				

1 Very Low risk	2 Low risk	3 Med risk	**4** **High risk**	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	