



**Independent Evaluation of TradeMark East
Africa
PO 7024**

Terms of Reference

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A. Introduction

1. The TradeMark East Africa (TMEA) programme aims to improve trade competitiveness in East Africa by reducing transport time/costs and improving the trade environment. It targets an increase in trade of 10% (above trend 2010-2016), contributing to sustained economic growth and poverty reduction. The TMEA agency was officially launched in February 2011 as a specialist not-for-profit agency to implement the TMEA programme. TMEA is currently funded by the UK, Belgium, Canada, Denmark, Finland, Netherlands, Sweden and USA. TMEA's secured budget to date totals about £400 million (\$640m). The first phase of the programme officially runs to December 2016, but funding is likely to continue over a second phase up to 2020.
2. This is a large, high-profile programme in an area of great interest for continued development work, which calls for a robust and independent evaluation. DFID is commissioning this key evaluation as acting Evaluation Manager on behalf of all TMEA donors.

B. Purpose and Objectives

Purpose

3. The evaluation has 2 equally important purposes:
 - (a) To identify and feed lessons learnt into the management of the remainder of the current programme and the design of any potential continuation of the TMEA programme and/or future regional trade integration programmes (driver: improving trade development programmes and enhancing the global evidence basis);
 - (b) To account for progress at outcome and impact level in an internationally recognised independent and impartial manner (driver: oversight and accountability requirements).

Objectives

4. This is an evaluation to assess the impact of the TMEA programme on trade, inclusive economic growth, and poverty reduction, and understand causal pathways and the mechanisms at work. As an impact evaluation, it emphasises causality and where possible attribution or at least contribution to outcomes and impacts.
5. Growth and poverty reduction are high level goals. It may not be possible to measure an attributable impact of TMEA on these goals. However, the evaluation will need to analyse pathways and understand the way in which the TMEA programme has affected poor people, and the way in which it has contributed to growth.
6. The core objectives of the evaluation are:
 - 1) Test the **Theory of Change (TOC)**, assessing all causal links and the robustness of underlying assumptions (including links between trade, growth

and poverty reduction), and adjusting the TOC to serve as a reliable guide to interpret the programme and to make programme improvements.

- 2) Analyse and, to the extent possible measure: the regional integration programmes' **impact** on regional trade, growth and poverty (and on the various stakeholders, in particular on men and women separately, poor and vulnerable groups, as well as traders and consumers); and **sustainability**.
- 3) Assess the **effectiveness** of the TMEA programme, including organisational effectiveness, and whether the programme represents **Value For Money**.
- 4) Throughout, identify **lessons learnt relevant beyond TMEA**, i.e. insights on enabling and constraining factors, critical actions and gaps which would be generalizable to future programmes or to other contexts.

C. Recipients

7. The primary recipients of the services comprise TMEA's Programme Investment Committee (PIC) as well as the planned Council and Board¹ alongside the National Oversight Committees which exist in five of the six countries with active TMEA interventions.
8. The evaluation will provide evidence on trade and development of interest more widely. In particular, outputs of the evaluation are likely to attract significant attention from many actors, including the East African Community (EAC), regional governments, regional institutions such as the EAC Secretariat, multilateral and bilateral partners, business and civil society
9. The ultimate beneficiaries are the citizens of partner countries, whose lives should be improved through improved projects and programmes.

D. Background

Context

10. Despite significant growth, East Africa's share of world exports is below 0.1% - around half the global average on a per capita basis. It costs East African countries twice as much to trade than it does East Asian and developed countries. Transport costs are excessive and especially for landlocked countries – freight costs are more than 50% higher than in the United States and Europe and add nearly 75% to the price of exports from Uganda, Burundi and Rwanda. [Nathan Associates, 2011] The problem is not just one of distances – inefficient customs and port processes, excessive bureaucracy and poor infrastructure all impose substantial transport delays and significantly increase costs. These problems are both national and regional and advocate for a regional approach to solutions, focused on developing East Africa's transit corridors to open up its economic opportunities and reduce the high costs of doing business and trade.

¹ See Governance reforms outlined in Background section.

11. The East African Community (EAC) was re-established in 1999 by Kenya, Tanzania and Uganda. Burundi and Rwanda subsequently joined in 2007. The Customs Union formed in 2005 has led to a 67% increase in trade between EAC countries, but considerable work remains to make it fully effective, such as removing non-tariff barriers, implementing a first point of entry system for the clearance of goods and collection of import duties and implementation of a common trade policy. The Common Market is scheduled to be fully implemented by 2014, although this timing is likely to slip. The EAC is also part of the Tripartite (COMESA-EAC-SADC) initiative, which it chaired from July 2013 to June 2014. The EAC has made the most progress on economic integration of any of the regional economic communities in Africa, and represents a major opportunity for lesson learning across the broader Tripartite through creating a larger market; allowing producers and traders across the region to exploit economies of scale; increasing investment and accelerating the introduction of new technologies. EAC integration is also expected to increase political stability and provide a focus for shared legislative and regulatory reform.
12. Evidence from a range of studies points to improvements in the business environment associated with trade competitiveness leading to improved growth, jobs, incomes and social effects. While the relationship between trade, growth and poverty reduction is complex, very few countries have grown over long periods of time or secured a sustained reduction in poverty without a significant change in competitiveness and a large expansion of their trade. Poverty reduction in broad terms has followed as a consequence of increases in income, employment and government social expenditures. However, there are risks and opportunities in the short and longer term for particular poor groups (and regions) as increased trade transforms livelihood possibilities.

TMEA

13. TMEA is a multi-donor funded programme, which was officially launched in February 2011 as a specialist not-for-profit agency to implement programmes to promote trade growth in East Africa. TMEA aims to increase exports (by 10% above trend 2010-2016) through cutting the costs of trade, especially through reduced transport time (by 15%), and a focus on the national implementation of regional trade agreements. This national focus is innovative for a regional programme, and as a result, TMEA has presence in all EAC countries (plus South Sudan, which has applied to join the EAC) with its headquarters in Kenya. TMEA seeks to deploy a wide range of instruments quickly, including financial aid, output-based aid and technical assistance, to tailor interventions to the needs of partners, and to manage fiduciary risk.

Theory of Change (TOC)

14. Figure 1 illustrates the TOC for the TMEA programme. A detailed description is available in the business cases and a separate TOC document. There are several layers to TMEA's TOC. The TOC can be viewed as a hierarchy where various sub-theories link up and across the programme's focus areas.
15. At the higher end of the TOC it is proposed that three necessary key 'trade competitiveness' elements contribute to increasing trade. These elements are increased physical access to markets, enhanced trade environment and improved business competitiveness.

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16. Correspondingly, TMEA's 3 Strategic Objectives are articulated as follows:

- SO1 - Increased Physical Access to Markets (around 44% of the budget)
- SO2 - Enhanced Trade Environment (around 42% budget)
- SO3 - Improved Business Competitiveness (around 14% budget)

17. Increased trade is believed to contribute to increased economic growth and subsequently reduce poverty. Precise effects depend on the nature of trade reforms and how the poor make their living [Winters & Martuscelli, April 2014]. Thus examining localised situations and the pathways to growth and poverty is a key part of this evaluation. Economic growth and poverty reduction do not appear explicitly in TMEA's overarching TOC since they are very high in the logic hierarchy; however they are captured in some of the donor programme documents.

18. Each of the boxes in Figure 1 is expected to contribute to increased trade, but no one element is sufficient by itself. A number of assumptions underpin the relationship between the black boxes and each strategic objective.

19. These include, on the expected result of "increased trade", that:

- There are sufficient buyers who are willing to pay for East Africa's improved quality products and services;
- The private sector uses the opportunities of increased affordable market access to increase and/or expand the number and size of exporting firms;
- The private sector increases the sophistication of exports;
- The private sector has the capacity and will to utilise opportunities presented by an enhanced trade environment.

20. On the simplified logic on the relationship between "increased market access" and "trade", that:

- Current trade costs in East Africa are a deterrent for exporters and importers;
- Reducing trade costs will make a significant contribution to increasing market access for East African importers and exporters;
- Transport prices are a major contributor to trade costs;
- Indirect costs caused by delays are a major contributor to total transport prices;
- TMEA has greater ability to influence the reduction of indirect costs as opposed to direct costs, e.g. fuel, labour, truck operating costs;
- East African transport logistics service providers will pass on costs savings brought about by reducing delays to consumers of logistics services';
- The East African logistics industry is competitive;
- TMEA interventions will contribute to reducing transportation costs as will other organisations' interventions, i.e. World Bank, JICA, USAID;
- Increases in other costs will not be more than any reduced indirect costs.

21. A number of assumptions underpin the simplified logic on the relationship between "enhanced trade environment" and "trade":

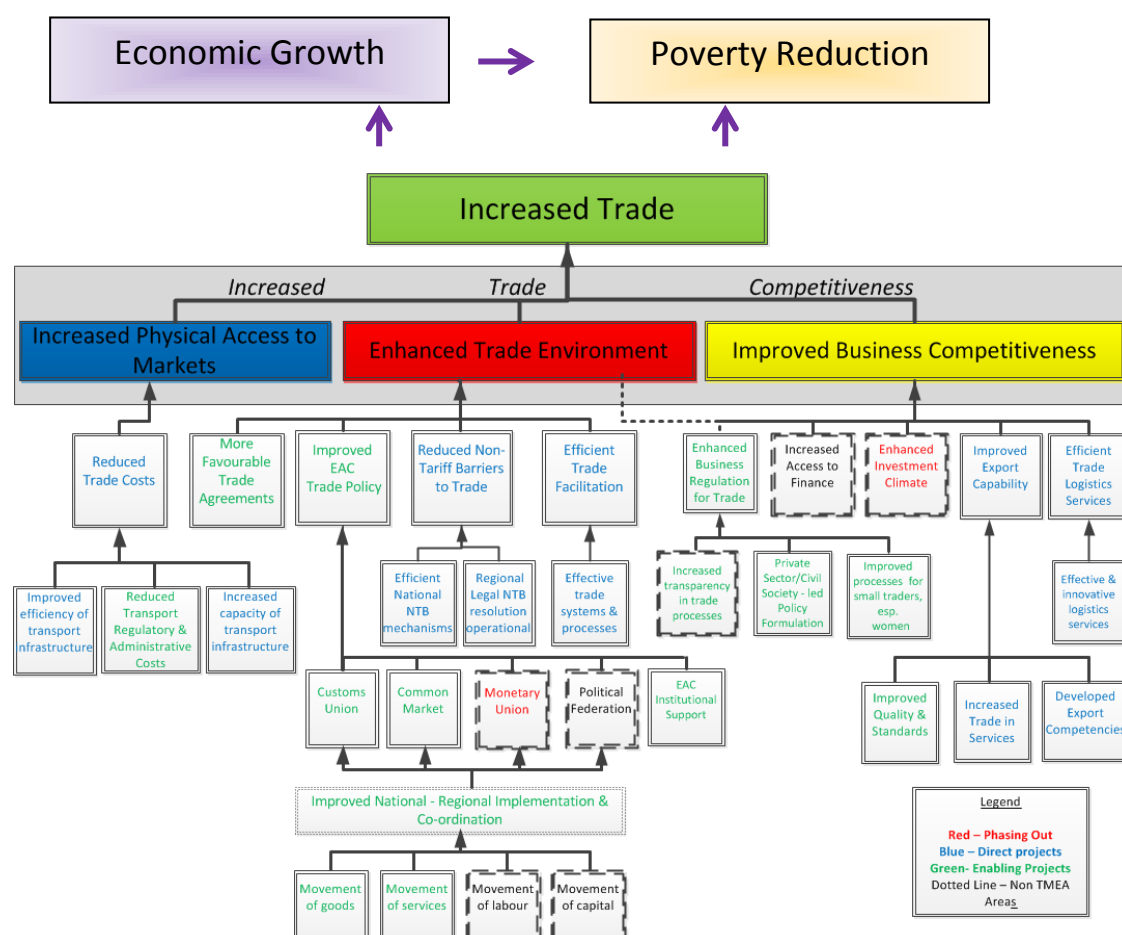
- Implementing the EAC regional trade agreements will contribute to enhancing the trade environment in the region;
- There is sufficient demand by partner state parliaments, public sector, private sector and civil society organisations to drive the regional economic community agenda forward;

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- Regional trade policies will be prioritised by partner states over national trade policies and priorities.

22. Within this complicated picture of factors that are necessary to achieve increased trade, TMEA has a more specific focus driven by practical reasons, as indicated through the colour coding (see legend at bottom right of Figure 1). All current projects now fall in either the 'direct' or 'enabling' category.

Figure 1



23. Each of the strategic objectives is unpacked a bit more in the TOC document, which describes the expected causality chains and key assumptions.

24. Just as one example, the cost of access is seen as a component of the cost of the goods. One key factor contributing to high transport costs is inadequate infrastructure that does not meet current and future traffic needs, resulting in congestion and delay. This delay has a cost. Even where the transport infrastructure is adequate, delay can result from inefficient use of assets. Key causes of unnecessary delay include low labour productivity, bureaucratic inefficiency, poor transport regulation, and corruption. For these reasons, most of TMEA's activities in this area are designed to reduce unnecessary delay. Yet for activities to have the intended outcome, certain assumptions must hold:

- The activities must actually result in time savings (delay reductions);

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- The value of those time savings must be greater than the cost required to achieve those savings;
- The net savings must be passed along from transport services providers to consumers via the price of transported goods;
- The resulting price reductions must induce additional trade in those goods (that is, the demand curve must be elastic).

Governance

25. Currently, a Programme Investment Committee (PIC) supervises the activities of TMEA and provides strategic direction to TMEA to ensure that it achieves its developmental goals. The PIC is supported by a regional (EAC) Programme Coordinating Committee (chaired by a Deputy Secretary General at the EAC Secretariat) and a National Oversight Committee (NOC) for each country² programme. The scope of authority of the PIC is set out in the PIC Constitution and is entrenched in the Articles of Association of TMEA. The PIC is the apex governing body and has primary responsibility for governing the affairs of TMEA. There is also a TMEA Board (required under Kenya company law), which handles financial management and human resource issues, but this is effectively a sub-committee of the PIC as all Board decisions require a “no objection” from the PIC.
26. However, it was recognised recently that there is a need to resolve and simplify the potential overlap between the Board (which has “de jure” liability for TMEA operations but is not the apex body for decision making) and the PIC (which has the decision making power, but not the legal responsibility, although a court is likely to determine that it has “de facto” liability). In November 2014, the PIC approved a new TMEA Constitution which will in due course establish a Council (mainly handling strategic direction) and a professional Board (mainly handling operational decisions). A recruitment process is now underway to contract Board members. This is expected to become effective by end August 2015, at which point the current PIC and Interim Board will be dissolved and replaced by the new Council and Board.
27. A unique feature of the TMEA governance structure is the delegation of oversight roles at the national level. Although these National Oversight Committees (NOCs) are mainly advisory bodies to the PIC, they play an immensely important role in supervising and monitoring the national level programmes. The NOCs are chaired by Permanent Secretaries (the Ministry of EAC) and membership includes all key donors, government agencies, private sector and civil society representatives.

Monitoring and evaluation architecture

28. In August 2013, a revised monitoring, evaluation, and learning (MEL) approach paper was reviewed by the TMEA PIC. It was agreed to incorporate plans for an independent external evaluation into the MEL to ensure complementarity of the internal and external evaluation work and to avoid duplication. A Joint Evaluation Group (chaired by DFID) was established as a sub-committee to the PIC to oversee the evaluation work. Terms of reference for the JEG are attached in the

² Processes for setting up a NOC in South Sudan are still underway.

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Annexes. The revised MEL approach paper was approved at the PIC meeting in May 2014 and is attached in the Annexes.

29. As set out in the MEL, TMEA's monitoring and evaluation system is comprised of the following components:
- Overall results framework, a sub-set of outputs from individual project monitoring plan, which serves as an important accountability tool for TMEA donors;
 - Individual project monitoring plans;
 - Quarterly external progress reports;
 - Quarterly internal programme performance review meetings (QuORTs);
 - A Management Information System (MIS) that requires TMEA project managers to input and update project work plans and monitoring plans;
 - A "Results Meter" has been developed to serve as an aggregate score card to show progress towards targets in the results framework (this Results Meter is likely to be subject to an external quality assurance early 2015);
 - An Annual Review commissioned by investors to assess progress against the TMEA results framework;
 - An evaluation plan, outlining the division of labour between internal TMEA evaluation work (mainly formative evaluations) and the independent external evaluation work (commissioned here).
30. TMEA also has a research programme (previously involving a call down contract with the Institute of Development Studies (IDS). This has examined the literature on linkages between trade, growth and poverty reduction, as well as simulated modelling on the impact of the EAC customs union. However, it has not conducted any primary data collection on TMEA projects.
31. TMEA organises its information management on the basis of around 200+ project budget lines, of which around 165 were active at August 2014. In some instances, several project budget lines could be seen as sub-components of one 'intervention' (eg. support to the revenue authority in Burundi is broken down by categories of expenditure).

Key stakeholders

32. Key stakeholders for the evaluation include:
- TMEA donors, who are represented on the Programme Investment Committee (PIC);
 - The East African Community Secretariat (the Secretary General sits on the PIC as "Patron"; and a Programme Coordinating Committee in Arusha manages the TMEA-EAC partnership);
 - National Oversight Committee (NOC) members (including government, private sector, civil society and donor representatives at the national level);
 - Staff involved in oversight and implementation of TMEA projects;
 - Implementing partners at regional and national level;
 - Ultimate beneficiaries (producers, transporters, clearing and forwarding agents, consumers) of TMEA's programme support.

E. Key questions

33. The key evaluation questions below reflect the 4 core objectives of the evaluation (see section B), which can be summarised as: test the Theory of Change; impact and sustainability; value for money and effectiveness; and lessons learnt relevant beyond TMEA. These are outlined below.
34. In addition, for each of the key evaluation questions, an indicative set of sub-questions is provided in Annex 1.

Question 1. How robust and verified are the causal links and assumptions in the Theory of Change (TOC) and does the TOC provide a reliable guide for programme interventions?

As a premise for the evaluation, the full TOC will need to be re-examined. This question will require an analysis of constraints to trade/growth/poverty reduction, an assessment of the robustness of the assumptions underpinning the TOC, and an assessment of whether the logframes, targets and milestones are appropriate and realistic.

This will need to consider carefully the political economy around the programme and trade in the region, economic contextual changes, policy changes, and TMEA's relationship with related initiatives (both government and private sector). It will also need to consider the relevance of the instruments and mechanisms used.

Question 2. What is the likely impact on trade, growth and poor people, and what is critical in order to ensure sustainability of positive impacts?

This question covers the key issue of TMEA's current and likely impact on regional trade, the links to growth and poverty reduction, and the sustainability of their interventions. Of particular interest will be to understand the *mechanisms* at work, to identify why and how things worked, who benefited and how, and any potential negative impact. There is a specific interest in understanding how TMEA activities to reduce transport time have impacted on poor people, and how the programme has benefited or harmed women and girls. Of particular interest also is the issue of sustainability, and of identifying the essential components of a future exit strategy.

Analysing and understanding the pathways through which the TMEA programme is likely to have affected poor people (positive and negative, intended and unintended impacts) is a crucial question for the evaluation. As noted above however, measuring TMEA's impact on regional poverty as a whole programme is not expected to be possible. However, analyses of pathways and measuring localised impact for selected interventions, should be feasible. On the other hand impact on trade is expected to be quantifiable with reasonable attribution, and the evaluation should also verify the programme's claims to impact on trade.

Question 3. Where has the programme been effective and achieved good Value For Money and how could this be improved?

This question will assess effectiveness, economy and efficiency, including whether TMEA activities have produced the outputs anticipated in the results framework, organisational effectiveness whether and where the TMEA programme has provided value for money. This will also require an assessment of the operational model and of the M&E system

Question 4. What are the lessons learnt that are relevant beyond TMEA?

All sections above should contribute to this question. Throughout the evaluation, lessons learnt should be identified that may be relevant beyond TMEA in order to inform future programming as well as contribute evidence towards comparative effectiveness of regional programming. This question is separated out to emphasize the importance of generating learning that is transferable to other programmes (by TMEA donors and others) and which contributes to the global evidence basis, and of capturing this in a way which promotes uptake.

35. OECD-DAC evaluation criteria map onto the questions structure presented in the Annex to a large extent, but are not of equal interest and the evaluation will focus on **effectiveness**, **efficiency** and **impact** criteria.
36. The set of sub-questions in the Annex is indicative. Sub-questions of particularly high importance to the primary recipients (i.e. PIC and NOCs) are marked with an asterix. Not all questions will apply in equal depth at all evaluation stages. Some questions are for consideration early with more of a formative angle, others only at the end but the evidence needs gathering from the outset. Note also that the indicative sub-questions in the Annex may contribute to more than one objective.
37. The Evaluator will need to review and adjust the set of sub-questions, and consider any other questions required to meet the 4 objectives – while remaining very focused on these objectives and avoiding unnecessary inquiries. The Evaluator will need to consult with stakeholders more widely to refine the evaluation sub-questions during the inception phase, for agreement by PIC.

F. Scope

38. The independent evaluation commissioned through these TORS consists of one single evaluation. This will include a Theory Based approach located within the TMEA TOC and which includes the pathways to trade and growth and to poverty reduction for the whole portfolio, as well as similar documentation (sub-theories) for individual projects (projects of particular importance would be large investments, those of a catalytic nature, and those targeted to provide livelihood gains to particular groups e.g. small holder farmers and traders).
39. Nonetheless, it is expected that to meet its objectives the evaluation will need to be carefully structured, and comprise various components. As an indication, the evaluation is expected to require the following components, though bidders are free to select whatever structure and approach they feel most appropriate to address the objectives and key questions:
 - *A study of impact on poverty*, examining the pathways to poverty across the programme, who is benefiting and who is losing out, and providing a sense of the likely scale of benefits or losses where feasible for example in selected localised areas/interventions.

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- *A study of impact on trade*, establishing how trade changed as a result of the TMEA programme, how an increase in trade resulted (if confirmed by the evaluation) or why it did not, key enabling factors and constraints - contextual and programmatic.
 - *An institutional assessment of TMEA as an organisation* covering organisational capacity, organisational effectiveness and delivery performance, factors in the wider enabling environment, and partnership analysis across the different partners.
 - *A formal evidence synthesis* approach covering the work of the Evaluator, the monitoring, internal evaluations and learning conducted by TMEA, and evidence from other research activities around trade and poverty reduction in East Africa.
40. The following interventions are of particular interest: Mombasa port, Dar es Salaam port, and the One Stop Border Posts (OSBPs). In particular, the evaluation should look at pathways to poverty on the Mombasa port and at least 3 of the OSBPs, and set out baselines and design for looking at impact of work on the Dar port in due time.
41. The evaluation will need to balance of breadth (e.g. to deliver a programme, portfolio level evaluation) and depth (e.g. to understand pathways to poverty impact).
42. Given the project timelines it is expected that the first reports will encompass a substantial formative element.
43. TMEA comprises a number of infrastructure projects. As per key questions, this evaluation examines the effect of the projects, and would exclude engineering inspection type of activities.

Roles and responsibilities of the independent Evaluator vs TMEA

44. During inception the Evaluator will need to work with TMEA to determine respective responsibilities monitoring and evaluation activities, particularly for collecting data, for agreement with the PIC (and Council once established). Bids should provide a clear initial approach of how they propose to manage the interface with the TMEA organisation and its work and how they will refine this during inception.
45. Broadly speaking, TMEA is responsible for monitoring against the results framework (including outcome level and impact on trade), for project monitoring, and for internal evaluations as indicated in the Joint Evaluation Plan (JEP). The Evaluator is responsible for quality assuring monitoring data, for quality assuring and triangulating any evidence they use, providing recommendations and guidance to strengthen data quality, and identify and carry out new data collection required specifically for the purposes of the independent evaluation.

On monitoring data:

46. Data for monitoring the results framework is the responsibility of TMEA, including both underlying and aggregate data. The Evaluator is expected to review periodically the monitoring data gathered by TMEA (result framework data and

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other data to be used in the evaluation) and to make prompt recommendations to improve the quality of these data and ensure their suitability for evaluation, and where appropriate to propose complementary data collection measures.

47. The Evaluator will be responsible for the identification and provision of any new primary data needed for the purposes of the independent evaluation – whether as an area not covered by the existing M&E or for triangulation purposes. The Evaluator will need to determine which arrangements would be most cost-effective overall and least burdensome on beneficiaries or programme implementers. If additional data needs to be added to existing TMEA monitoring processes for the purposes of the evaluation, the Evaluator will provide support on methodological development for indicators and data collection.

On evaluations:

48. A Joint Evaluation Plan (JEP) has been agreed by the PIC . Proposed evaluation work has been divided between “internal” (TMEA’s internal evaluation programme, based on learning priorities) and “external” (this independent evaluation).
49. Aside from the overall independent evaluation, the JEP identifies selected key projects under each of TMEA’s three strategic objective (SO) pillars. This independent evaluation will encompass the overall impact evaluation, summative evaluation reports of all three pillars, Mombasa port, Dar es Salaam port, and OSBPs. TMEA will manage internal formative evaluations of selected projects under SO2 and SO3, plus two ex-ante evaluations and summative evaluations needed urgently.
50. For effective learning and consistency of approach, the independent Evaluator and TMEA will need to discuss the internal formative evaluations, to ensure that pertinent issues relevant to the independent evaluation are taken into account such as agreement on indicators, issues to be covered, or exploring relevant challenges.

Links to other programme evaluations

51. The Evaluator will need to consider other evaluations underway in the region, by the TMEA donors or by others, for any substantial overlap or synergies or lesson learning. In particular, the evaluation should consider risks and opportunities faced by the TMEA programme, by learning from evaluative exercises of other trade or integration programmes, such as any IMF or WB regional programme in Africa, DFID’s TMSA, DFID’s AgDevCo, or others.
52. There is also a higher-level evidence question related to the comparative effectiveness of regional programming, which DFID in particular aims to investigate across DFID-funded wealth creation programmes in East Africa. The TMEA evaluation will contribute to this thematic evidence basis (see evaluation questions in Annex 1). This will require flexibility to use a common framework appropriate for future synthesis, while preserving the integrity of the TMEA programme evaluation.

Extensions

53. It is possible that the scope may be extended to some of the internal evaluation work. This will be reviewed during the inception phase.

54. Should there be a new programming phase beyond 2016, it is possible that this Evaluation contract may be extended to cover part or all of the new phase. It is likely that any extension would be for up to 30 months.

G. Methodology

Evaluation approach and methods

55. Bids should provide a clear description of the design and methodology they will use to answer the key questions, including recognised evaluation methods to be used, proposed counterfactuals if/where appropriate, proposed data collection methods, analytical methods, and approach to synthesis. Ideally this would be supported by an illustrative evaluation matrix.
56. This is a complex programme, with multiple countries, multiple multi-layered projects with different stakeholders and beneficiaries. It is critical for bids to explain how the complexity of the programme and of the evaluation will be managed.
57. In particular, careful attention will need to be given to how the evaluation is approached and designed as a coherent whole, anchored on the overarching TOC. It is expected that a range of quantitative and qualitative methods might be necessary. Bids should take care to articulate clearly how the overall design and specific methods and tools fit together. Bids should explain how a potentially large range of elements will fit together to answer the overarching questions, how the synthesis will manage disparate data sources with variable quality and availability, and where and/or how information might be aggregated.
58. Bids should pay particular attention to demonstrating how rigour and credibility will be upheld at all stages throughout the evaluation.
59. In 2012 TMEA commissioned Upper Quartile to undertake a review of options for evaluating the Impact and Value for Money of its activities, to help TMEA decide on options on structuring and implementing its evaluation activity. This identified a selection of projects, which is different from the more recent selection in the JEP. Bidders should note that the context has evolved and the scale of TMEA has increased since the 2012 paper, and that the approach to the independent evaluation is expected to present major differences.
60. Secondary data, including TMEA's own monitoring and evaluation data, should be quality assured. More generally, triangulation of data and/or findings is essential.
61. Bids should set out clearly the extent to which the proposed approach will answer the questions, and limitations.
62. Bids are strongly encouraged to be as specific as possible in their proposals, including in terms of coverage of any method to be used, the quality level that would be achieved, number of projects covered, sample sizes, etc.

Principles and standards

63. As per DFID evaluation policy, the evaluation should adhere to international best practice standards in evaluation, including the OECD DAC International Quality Standards for Development Evaluation, the OECD DAC principles Standards for Development Evaluation, and DFID's Ethics Principles for Research and Evaluation. Bids should demonstrate how they will achieve this.
64. In line with Paris Declaration principles, the Evaluator - and TMEA M&E approaches - should take account of national M&E systems, draw on existing data where available, ensure new data collection is complementary to existing systems and that new data are made available to national stakeholders as far as possible.
65. Care should be taken to avoid duplication with TMEA's own monitoring and evaluation work, while also ensuring the independence and impartiality of the overall independent evaluation.
66. Given the importance both of the relationship with TMEA, and of the need for independence, bids should take particular care to explain how they propose to manage relationships, and propose suitable management approaches to ensure the success of the evaluation.
67. Disaggregation of data, including by sex, geographical location and income status will be important throughout the evaluation.
68. The Evaluator will need to comply with DFID's policies on fraud and anti-corruption and cooperate with any checks required from them for the duration of the evaluation e.g. annual audited statements, policies on management of funds, etc.

Lesson learning and adaptive management

69. To meet the evaluation's purpose of identifying and feeding lessons learnt into the programme, it is critical that the Evaluator works with stakeholders to cycle ongoing evaluation results back into the evolution of the programme, through regular feedback and reflective activities. This should include building linkages with the programme management.
70. In particular, to facilitate this, specific points for reflection and decision-making may be identified in addition to programme annual reviews. An element of flexibility from the Evaluator will be essential to maximise evaluation utility and use of the evaluation findings.
71. Bids should demonstrate a good understanding and experience of maximising evaluation utility, and outline a convincing approach.

Stakeholders

72. More generally, bids should demonstrate robust thinking as to how stakeholders would be engaged throughout the evaluation.

H. Existing information sources

73. Data are expected to become available in line with TMEA's Monitoring, Evaluation and Learning (MEL) strategy.

Results frameworks

74. The TMEA results framework indicates key data collected for monitoring purposes. The mapping of the theory of change in the first section of the Results Framework allows the overall programme logic to be scrutinised. The Results Framework contains (or could contain) all necessary information to track all relevant programme results. The TMEA Knowledge and Results team has been working with project teams to set up project level results chains and monitoring plans.
75. Further improvements are in progress. The line of sight between project and the programme TOC is being strengthened. Where missing, appropriate measurable indicators are being designed at impact and Strategic Outcome level and at lower levels, together with targets and collated baseline data. The results framework is also currently being updated to show progress against expected results. This work is expected to be completed by early 2015. The Evaluator will need to assess the sufficiency and quality of the results framework data.
76. TMEA prioritises monitoring efforts according to the importance of different projects (following an A/B/C classification where for A projects the target is to ensure that monitoring is in line the DCED guidelines and C only attempts to monitor at output level), and also within projects.

Baseline data at outcome level

77. Primary data collection on baseline data on outcomes at project level undertaken by TMEA includes: time and traffic surveys for one stop border posts (OSBPs), on cost and time savings for Single Window Information for Trade (SWIFT) programmes, and baselines for ports.
78. OSBP time and traffic surveys have been undertaken to establish both queuing time and time taken to clear customs at the border post, as well as the number of vehicles passing through the border post. Baseline surveys were undertaken before the start of the construction of each border post, and end-line surveys are planned to be undertaken on a consistent basis three months after completion of construction at each border and six months after the initial survey is undertaken. Surveys are undertaken for a period of seven days, including day and night time traffic, and provide an estimate of average time for (a) customs processing and (b) queuing for trucks (either specific types of trucks, or all trucks, on a consistent basis for each border).. A timetable is available on request.
79. Cost and time savings surveys are planned for all SWIFTs. Intermediate outcome indicators include average processing time for applications, transactions volume rates (per day), average processing costs, and average compliance costs incurred by traders to submit applications. Output level indicators include the number of trade agencies integrated within the SWIFT system and/or other agencies as well as percentages of training and communications plans implemented. Data collection will vary dependent on when the system goes live.

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Baseline data should be completed by the end of October 2014. Time data will then be collected on a quarterly basis while cost data will be collected bi-annually. A timetable is available on request.

80. Both ports annually (June/July) publish usage and performance statistics that include most or all of TMEA's top-line indicators. Currently Kenya Airports Authority (KPA) publishes an "Annual Review and Bulletin of Statistics" which includes ship turnaround time, ship waiting time, and berth occupancy, all of which are in TMEA's monitoring plan. The port monitoring plans also include many smaller-scope operational indicators. TMEA has just launched a consultancy at Mombasa port that will (among other things) determine which of these detailed indicators is most important to understanding the overall performance of the port, and assessing the port's capacity to collect this data. Based on the outcome of this work (first phase due by February 2015) TMEA will consider any revisions of its monitoring plans.

TMEA Management Information System (TMIS)

81. TMEA's on-line Management Information System captures data on financial management, and results performance, while the contracts management system has the detailed information on procurement. TMIS is a programme management tool that requires TMEA project managers to input and update project work plans and monitoring plans. Other functionality includes: summary project descriptions, with key contact details of partners; contact reports e.g. recording discussions; attaching key documentation; developing and maintaining project risk matrices; quarterly reporting; list of upcoming planned outputs and outcomes to assist the communications team plan communication activities. TMIS assists TMEA to analyse progress against plans across the portfolio of projects and disaggregate according to such categories as strategic outcomes, type of partners and location. TMIS also includes a results page with all the outcomes and outputs that are to set be achieved within different calendar days, and an outcomes page which lists all the outcomes and how they contribute to the TMEA Theory of Change.
82. TMIS Project data is to a great extent already available in TMIS, and by end Dec-14, 90% of all information including monitoring plans and risk plans for all projects should be available on the MIS, populated with targets/milestones, baselines and actual progress data. By June 2015, all projects will have their monitoring plans completed. The Annexes provide an illustrative snapshot of a project monitoring plan as per TMIS. The Evaluator will need to assess the sufficiency and quality of the TMIS data to be used for evaluation purposes.
83. Monitoring procedures are defined in the manual 'TMEA Monitoring, Evaluation and Learning Procedures: how to measure what you are doing, and whether it is working'.

Progress reports

84. Quarterly progress reports for projects and responsibility centres have been produced through the MIS, as well as annual project performance reports. While quarterly reports include expenditure versus budget and actual progress against planned progress traffic lights, annual project performance reports require implementers to reflect on changes in assumptions, articulate lessons and outline

how future implementation may change as a result. The PIC has since agreed that TMEA will present progress reports every six months from July 2014.

Results meter

85. TMEA has developed a results-meter which aggregates project performance results for key projects to estimate programme results.

Research on poverty impact

86. TMEA has recently commissioned a research paper which explores and maps out direct and indirect linkages between TMEA activities and poverty, together with an analytical framework linking the programme TOC to poverty. The research is expected to be completed by Dec-14.

87. TMEA's toolkit on mainstreaming poverty outlines how poverty issues will be explored throughout projects and baseline studies. To date this has fed into 3 studies, related to: women cross-border traders, SWIFT, standards and non-tariff barriers. In the first instance the tool kit will be applied to priority projects in 6 key areas: OSBPs, ports, railways, standards, customs modernization and ICTs, private sector and civil society / advocacy.

I. Deliverables and timeframe

88. This contract is expected to run from August 2015 and end in March 2019. There is a possibility of a 30 month extension depending on supplier performance, on-going programme needs and availability of funds. The scheduling of deliverables takes into account 'critical moments'. These however may change and new ones may arise. It is possible that this schedule will be reviewed during inception, timing the trade and poverty impact reports and final synthesis for a later date so as to allow for a longer reference period. In order to maximise usefulness of the findings, the evaluator will need to be flexible to ensure that the evaluation reports come in time to feed into key decision or knowledge sharing opportunities.

Critical moments

89. At present it is anticipated that evaluation findings may feed in the following:

- Annual Reviews: yearly by mid-Nov.
- Design of any phase 2 programming: early 2016.
- Project Completion Report: (date depending on phase 1 completion date, but likely to be due in 2017).

Overview of deliverables

90. The supplier will need to provide the following key outputs, outlined here under and further detailed thereafter:

(a) Inception, design and evaluation reports

- Initial Inception Plan: 6 weeks after contract start

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- Inception Report to include QA of existing data and baseline: draft 5 months after contract start, approved report 6 weeks later.
- Impact Evaluation Report 1 to include formative evaluations of Mombasa port, Dar es Salaam port, and One Stop Border Posts (OSBPs): draft by April 2016, approved report 6 weeks later.
- Impact Evaluation Report 2: will include: summative evaluations of Mombasa port, Dar es Salaam port and the OSBPs (approx. Q2 2017), the Trade impact study (approx. Q4 2017); the poverty impact study (Q2 2018) and then the final formal evidence synthesis draft by Q4 2018, approved report 6 weeks later.
- Five interim reports, with contents to be specified during the inception phase:
 - Institutional assessment of TMEA (approx. April 2016)
 - Preliminary poverty assessment (approx. April 2016)
 - Summative output level evaluations of SO1, SO2 and SO3 (approx. Q2 2017)
 - Summative output level evaluation of overall TMEA programme (approx. Q3 2017)
 - VfM study (approx. Q4 2017)

(b) Support to TMEA on specific M&E issues

- Fully developed indicators methodology manual or guidance notes for data that are needed to undertake the independent evaluation but are not yet collected through TMEA's own monitoring and evaluation systems.
- Quality Assurance of TMEA data as required for evaluation purposes, and implementable guidance on any improvements required.

(c) Communication products

These will need to be defined in the communications plans and would include at a minimum, for each Impact Evaluation Report:

- A workshop for the key stakeholders, including the Joint Evaluation Group, explaining the recommendations and agreeing how they can be implemented.
- A 'key findings' communication product presenting evidence relevant to development actors beyond the TMEA programme.
- Separate reports on selected interventions or issues (notably Dar, Mombasa, OSBPs)

(d) Instruments and data

- An electronic copy of all the instruments used, including research protocols, questionnaires, guidance notes, etc.
- Database(s) with all the qualitative and quantitative data in a commonly used format, together with clear metadata, and which is anonymised and safeguards confidentiality. Copies should be provided at least yearly.

(e) Management reports

- Brief quarterly reports on the ongoing evaluation process including any support provided to TMEA. Submission of these reports will be aligned to PIC meetings as far as possible.

Specific requirements

91. The **Inception Plan** serves as an intermediate product no longer than 20 pages and should include:

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- a. an initial review, validation and adjustment of the Theory of Change;
- b. an initial stakeholders engagement approach;
- c. revised evaluation questions;
- d. discussion of design issues and approach to completion of the inception phase, particularly to assessing data quality and developing the full evaluation framework:
 - i. Including a recommendation whether a single design will be presented that provides confidence all key questions and issues will be addressed, or whether two options will be proposed for consideration.

92. **The Inception Report** should be no longer than 30 pages excluding annexes and include:

- a. a review, validation and/or adjustment of the Theory of Change (including links to growth and poverty reduction);
 - i. If revisions to the TOC were necessary This should clearly present a revised TOC, and indicate the changes (which should have largely been agreed with the implementer before submission of the report, with any area of contention clearly marked, and which will need to be endorsed by the JEG and the Board on the basis of the report)
 - ii. clearly mark for each linkage and each assumption, whether it is already strongly evidenced (with supporting references), whether it will be investigated through the independent evaluation (cross-referencing to the relevant questions), whether evidence is likely to arise from other sources, or whether it will remain unsupported by evidence.
- b. a stakeholders engagement approach, supported by a stakeholders mapping;
 - i. a communication and dissemination plan;
 - ii. this should list stakeholders, their specific interest in the evaluation, proposed means and timing of communication (which should be considered both ways)
- c. an agreed set of finalised questions and evaluation framework - based on evidence gaps in the Theory of Change, stock-take on the programme to date and requirements of stakeholders of the evaluation;
 - i. the inception report should list people consulted and in what form, as well as their affiliation
- d. the refined evaluation design or design options, a detailed explanation of evaluation methods to be used, exploration and justification of methodological issues, project selection, proposed counterfactuals where appropriate, and proposed data collection methods;
 - i. any selection process should be fully transparent, with a list of criteria and a mapping of how all the units (selected and non-selected) against these criteria
 - ii. in the case of more than one option, related scope of findings, costs and risks (points 11, 13, 14)
 - iii. a framework for synthesis should be provided and particular care taken to demonstrate how the information will be brought together
 - iv. an articulation of other designs that have been considered but rejected, and why
 - v. a discussion of potential ethical issues arising and how they will be addressed
- e. an evaluation matrix, which maps the proposed evaluation design, methods and analytical plan against the evaluation questions;

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- i. the evaluation matrix should provide clearly the following details (which could be thought of as column headings):
 - 1. Evaluation stage or report
 - 2. Evaluation question to be answered
 - 3. Methodology
 - 4. Indicators or analytical plan
 - 5. Data required to answer the question using the proposed method
 - 6. Data source, including quality (robustness) assessment
 - 7. Type of data source: including whether to be collected by the Evaluator, available from TMEA monitoring systems, TMEA internal evaluations, or available from other sources (which should be specified)
 - 8. Report to be included
 - 9. When it will be received
- f. identification of programme monitoring data required from the PMU to meet evaluation needs and timings for this, particularly baseline data;
 - i. identification should be down at indicator level and indicative coverage
 - ii. including a timeline for the preparation of guidance and any other support
- g. full quality assurance of all data to be used from TMEA's own monitoring and evaluation;
 - i. appropriateness of the overall TMEA monitoring and evaluation system for the purposes of the independent evaluation;
 - ii. for each full dataset or indicator, a definitive statement of the quality of the data, of what the data can be used for and what they cannot be used for;
 - iii. the conclusion should be fully supported by evidence in the quality assurance review against the DQAF or other recognised quality assurance framework as agreed with DFID (including in depth assessment of specific components and of at least 15 projects; ground truthing project level data; and triangulation and/or replication of estimates);
- h. proposal on collection of new primary data – including new baseline data and triangulation data;
 - i. proposals should clearly delineate the scope of the data collection, including in particular but not exclusively the proposed coverage (e.g. sectoral, geographical, demographic if relevant, frequency), and sample size
- i. an agreed division of labour between TMEA and the Evaluator, specific and detailed, down to activity level;
 - i. for each M&E activity, the description of the division of labour needs to detail the responsibilities of TMEA, of the evaluator, and of any other party such as the JEG.
- j. a description of the scope of findings to be available in the reports, particularly the first report, and a clear delineation of the depth of information to be provided in each of the impact evaluation reports;
 - i. an overarching table or narrative which provides, against each purpose and key question, a clear sense of the type of answers which the evaluation will provided at specific reporting times.
 - ii. Ideally this would be accompanied (in inception discussion or in report annexes) by made-up conclusions to ensure key users have a clear understanding of what the evaluation will and will not provide.

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- iii. in particular but not exclusively: whether the findings would provide a tentative, plausible or definite answer to each of the relevant questions, the level of disaggregation;
- iv. a detailed specification of the contents of each report.
- k. a detailed workplan;
 - i. including an output specification for all deliverables including evaluation reports
 - ii. detailing the activities that will take place under each output, the inputs for each activity and budget by month.
- l. a final costing for the implementation phase;
 - i. This should provide estimated costs broken down at activity level, for example in particular:
 - 1. for a specific new data collection, to provide breakdown by data collection exercise (e.g. baseline/mid-term/end-term) by country, cost of sub-contractor (enumeration, data entry, analysis), cost of supervision, of translation, etc.
 - 2. of Quality Assuring TMEA data, and of providing guidance
 - 3. of each field visit by international staff
- m. a review of challenges and risks, mitigating actions and fall-back options.
 - i. A comprehensive risk matrix assessing the likelihood and impact of each risk.
 - ii. Covering all areas of risk to the programme, including but not limited to: stakeholder, political economy, data quality, complexity, attribution, synthesis, security etc.
 - iii. Thoughtful mitigation and a residual risk rating applied.
- n. Initial baseline assessment:
 - i. description of the methodology;
 - ii. baseline for all indicators using secondary data (TMEA monitoring data and other data);
 - iii. highlighting where the gaps are;
 - iv. methodologies, instruments and protocols for data collection;
 - v. summary of the analysis, focusing on what is considered to be of direct relevance to adjust the programme or to decisions on future funding, including in particular results to date, impact to date and expected impact, efficiency and effectiveness (details can be annexed);
 - vi. confirmation of the extent for all primary data collection (including the freight forwarding survey) and when this baseline data will be presented.
 - vii. evaluation findings to date.

The draft report should also be have been assessed against the SEQAS checklist prior to submission.

93. The Impact Evaluation Reports should be no longer than 40 pages for the overall evaluation and 20 pages for pillar or project evaluation, excluding annexes and include: an executive summary, description of the methodology, a full analysis of findings and recommendations tailored to the evaluation questions, and a set of actionable recommendations.

94. Reports should communicate overall approach findings in an accessible way for non-technical readers, including presentation of data in visually appealing ways, highly structured and rigorous summaries of findings and robust and accessible syntheses of key lessons. Recommendations should be timely, realistic,

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prioritised, evidenced-based, targeted, accessible and clear, in accordance with OECD-DAC and UN guidelines.

95. Annexes should include: terms of reference, list of people consulted and interviewed at different stages of the evaluation, list of documents reviewed, any analyses and supporting evidence that is considered to be too detailed for the core section.
96. Draft reports will be subject to an external quality review, managed in accordance with standard DFID procedures for Quality Assurance. Bidders should note this is subject to a 2-week turnaround once submitted by DFID for review.

Break clauses

97. In line with the unknowns associated with development programming, break clauses will be put in place related to continuation and scope of the programme as well as satisfactory delivery and value for money of future workplans.
98. The break clauses will be at the end of the inception phase, after deliverables 2B, 3A and 5A in 2016; after 2C, 2D, 2E, 3B, 3C and 3D in 2017; and after 5B in 2018.

J. Challenges and Risks

99. Bids should clearly identify challenges, risks, and propose mitigating actions.
100. Key risks and challenges are likely to relate to:

- Complexity of the programme, including conceptual complexity, scale of the programme across multiple countries and multi-layered projects, complex strategic context;
- Reconciling the need for programme-level conclusion with the fact that causal relationships are typically more easily 'proved' at the lower level of the causal chain;
- Managing trade-offs between breadth and causal identification in order to secure both feasibility and credibility/rigour/usefulness of the evaluation;
- Examining impact – pathways to poverty reduction and the difficulties in attributing impact to TMEA;
- Uncertainty about the availability and quality of monitoring data;
- The programme and some projects having already started, without collecting all the baseline data that would ideally be used for evaluation;
- The full impact of certain programme components is likely to occur after the current programme end date and even after the current evaluation reporting dates;
- Differences in the interests of stakeholders;
- Changing political economy.

K. Abilities & Expertise to Deliver This Requirement

101. The team will require a broad set of skills to design and manage a complex evaluation of the TMEA programme. For example, private sector development

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and advocacy assessments will be very different to infrastructure assessments so a diverse range of expertise will be required.

102. Consortia are strongly encouraged as it is expected that this would be necessary to provide the relevant expertise and presence. They may encompass a range of actors including private companies and/or research organisations and/or evaluation institutes, at local or international level.
103. It is also expected that local expertise, knowledge and access will be essential.
104. Bidders will need to complete a conflict of interest declaration. It is expected that organisations or individuals which have had a major involvement with TMEA would be conflicted out for this independent evaluation. However, given the wide scope and size of work to date on the TMEA programme, it is also expected that a large number of organisations well qualified to contribute to this evaluation assignment may have had prior involvement. Therefore minor implementation involvement or impartial engagement in the area of evaluation or monitoring is unlikely to conflict out a bidder. Bidders should state clearly how they will manage any potential conflict of interest. Potential bidders are welcome to seek informal views from DFID early on.
105. Regarding future TMEA activities it is expected that the successful bidder would be conflicted out of future direct implementation activities that could sway the programme during the lifetime of the evaluation. It is unlikely they would be conflicted out of future monitoring or evaluation TMEA contracts, though it will be important to put in place procedures in case of any potential conflict of interest.
106. The Evaluator should combine the following expertise and experience:

Management expertise

Strong understanding and demonstrated experience of:

- designing and undertaking large and complex evaluations, at portfolio level with expertise of rigorous impact evaluations at intervention level; using mixed methods approaches that meet recognised standards for credibility and rigor;
- stakeholders management skills and ability to work flexibly with donors, partner countries, private sector entities; demonstrated ability to manage sensitive relationships tactfully and productively;
- communication skills - being strategic as well as able to communicate complex studies and findings in an accessible way for non-technical people;
- using evaluations as a tool for lesson-learning both during programme implementation and beyond;
- Knowledge management expertise.

Evaluation expertise

Strong understanding and demonstrated experience of:

- the strengths and limitations of different designs and how to interpret and present findings accurately to both researchers and non-researchers;
- various quantitative and qualitative evaluation methodologies for demonstrating impact;

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- undertaking VfM analysis of complex multi-level programmes, combining quantitative and qualitative techniques;

Sectoral expertise

Strong understanding and demonstrated experience of:

- trade issues, including political economy particularly in East Africa, and experience of working on evaluations of trade policies and programmes;
- regional integration and political economy issues in the region, particularly those related to trade, familiarity with public/private dialogue and policy advocacy issues in East Africa, and understanding of social inclusion and gender issues in programming in East Africa;
- the possible impact of trade interventions in a range of areas (e.g. revenues, poverty, vulnerability) on different segments of the population, and ability to generate data to analyse programme effects for these (e.g. women vs. men, low income vs. middle income, rural vs. urban, etc.);

L. Logistics and procedures

107. The Evaluator will be responsible for all logistic arrangements required to conduct the evaluation work. TMEA will facilitate convening of meetings and site visits where necessary. All relevant expenses should be covered by the evaluation contract budget.

M. Reporting and contracting arrangements

Contact points

108. The Evaluator will report to DFID Management Group which consists of: Senior Evaluation Adviser, Senior Growth Adviser and the Wealth Creation Deputy Programme Manager in DFID's Africa Regional Department.

Governance

109. A Joint Evaluation Group (JEG) is in place to steer and advise the monitoring and evaluation of the TMEA programme at key strategic points. It provides strategic direction on the independent evaluation, and has a strong coordination and facilitation role across the evaluative exercises and to ensure lessons learnt are taken forward. The JEG comprises three PIC members, three senior staff from TMEA (to include the CEO, Strategic Results Director and one other), and one member from the wider stakeholder constituency.
110. The JEG is an advisory sub-committee of the PIC, TMEA's oversight body. For the independent evaluation, the Evaluation Manager (i.e. the person responsible for managing the contract for the independent evaluation) receives advice from the JEG but formally reports to the PIC, in order to preserve a minimum level of independence.
111. Once the new TMEA constitution is implemented (see Background section) the JEG will report to the new Council. It has already been agreed that membership of the JEG will also be revised at that time to comprise two Council

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members, one TMEA Board member, one senior TMEA staff member, and one member from the wider stakeholder constituency.

Governance and quality assurance is further strengthened by 2 to 3 Independent Peer Reviewers and a Donor Reference Group comprising 5 to 6 relevant DFID or other donor evaluation and growth advisers. The role of the Reference Group and Independent Peer Reviewers is to review the scientific and technical quality of the independent evaluation; to ensure that the design and implementation of the evaluation is robust and credible and that the evaluation is independent and stands up to external scrutiny. The Donor Reference Group will be coordinated by the Evaluation Manager within the donor agency (DFID) responsible for contracting the independent evaluation on behalf of the PIC.

112. Further details about the governance structure for the evaluation can be found in the TORs for the governance of the evaluation.

Meetings

113. Meetings between DFID (acting as Evaluation Manager) and the Evaluator will be held monthly during the inception phase and then as required., .
114. The frequency and broad timing of meetings between the Evaluator, the Evaluation Manager, the JEG, the PIC, and Reference Group will be agreed between DFID and the Evaluator during the Inception Phase. As an indication, we expect the RG and the PIC to engage at the key report stages ie inception, baseline, some interim findings reports, impact 1 and impact 2. The JEG in its facilitation role might meet more frequently.

Management

115. The costed workplan should be shared with DFID's Deputy Programme Manager by the 25th of every month, confirming actual work undertaken that month and updating forecasts for future periods.

N. Budget

116. The budget for this evaluation is £2,516,674. If a phase 2 TMEA programme is agreed this contract could be extended to evaluate phase 2 to a maximum total value of £3.5m. Bidders are not required to submit a proposal including the maximum £3.5m but for the budget described above.
117. Bidders are strongly encouraged to compete on the basis of their commercial proposal, demonstrating value for money, as well as technical proposal.
118. Bidders should set out a separate budget for each of the activities outlined above along with an approach and methodology for each. In addition, bidders are requested to be very clear about methodology providing a detailed breakdown of costs for the different significant activities to be undertaken during the evaluation.
119. Bids should provide fully detailed costing for the inception phase, and as detailed as possible for the implementation phase. Parameters used for costing

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both phases should be very clear, and any assumption used for costing the implementation phase should be verifiable during the inception phase.

120. It is expected that some adjustment and refinement to budget allocation for the implementation phase may be required based on the inception work. Although the budget allocation across components of evaluation will be flexible to a reasonable extent, it will not be possible to increase the total envelope agreed for the contract (other than to extend the scope beyond the current phase, as indicated above).
121. Key Performance Indicators (KPIs) are included in the Contract Management Plan. Bidders are encouraged to make provisions in their commercial tenders to ensure that their fees are linked and subject to performance.

O. Duty of care

122. The Supplier is responsible for the safety and well-being of their Personnel (as defined in Section 2 of the Contract) and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.
123. DFID will share available information with the Supplier on security status and developments in-country where appropriate. DFID will provide the following: A copy of the DFID visitor notes (and a further copy each time these are updated), which the Supplier may use to brief their Personnel on arrival.
124. 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 (such as working in dangerous, fragile and hostile environments etc.). The Supplier must ensure their Personnel receive the required level of training and complete a UK government approved hostile environment training course (SAFE)³ or safety in the field training prior to deployment.
125. 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.
126. Tenderers must develop their 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. They must confirm in their tender response that:
 - a. They fully accept responsibility for Security and Duty of Care.
 - b. They understand the potential risk and have the knowledge and experience to develop an effective risk plan.

³ UK Government approved hostile environment training course is known as SAFE (Security Awareness in Fragile Environments). The course should be booked through DFID and factored into the commercial tender.

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- c. They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.

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

128. 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 the ITT Volume 2.

P. References

Indicative sub-questions for Key Questions in Section E
Duty of Care risk assessment

Programme information

TMEA strategy 2013-2016

Propositions underpinning TMEA's strategy, May 2014 [TMEA Theory of Change & explanatory note]

TMEA constitution

TMEA Business Plan 2014/15

Programme monitoring and evaluation information

JEG TORS * Paragraphs 113 and 114 above reflect the updated position on JEG membership and Reference Group (previously Peer Reviewers)

MEL approach paper

TMEA Joint Evaluation Plan

TMEA Results Framework

Annual Review 2013

TMEA quarter 1 2014-2015 (Jul-Sep) progress report

2012 Upper Quartile report

Project list

TMEA Poverty research

Briefing paper; TMEA's approach to mainstreaming the poverty issue

Research concept paper

Evaluation policies

DFID Evaluation Policy ([on web](#))

DFID Ethics principles for evaluation and research ([on web](#))

Further supportive documents for information

DFID Business cases ([on web](#))

DFID Elliot Stern paper ([on web](#))

TMEA Business Plan 2013/14

TMEA quarterly progress reports

OSBP survey timetable

SWIFT surveys timetable

TMIS Overview note

Snapshot of a project monitoring plan as per TMIS

Dar Project Appraisal report

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Dar MIS quarterly report

Dar monitoring plan

Mombasa Project Appraisal report

Mombasa MIS quarterly report

Mombasa monitoring plan

OSBPs – sample Project Appraisal report (Kagitumba/Mirama)

OSBPs MIS quarterly report

OSBPs monitoring plan

ANNEX 1 – Indicative sub-questions for Key Questions in Section E

Question 1. How robust and verified are the causal links and assumptions in the Theory of Change (TOC) and does the TOC provide a reliable guide for programme interventions?

- To what extent are the assumptions underpinning the TOC evidence-based or verified?
- Are the logframe targets and milestones appropriate and realistic?
- To what extent does the programme support EAC regional trade development priorities and address the right set of issues?
- Are the assumptions underpinning the TOC results and links being verified?
- How have changes in policy and in the political economy in the region impacted on the programme or on its relevance?
- Do TMEA interventions complement other ongoing initiatives (both government and private sector)?

Question 2. What is the likely impact on trade, growth and poor people, and what is critical in order to ensure sustainability of positive impacts?

Impact on trade [*very important]

- What is the impact of achieved trade cost reductions on increased trade (both intra-regional and extra-regional)?
- To what extent have transport time and cost reductions led to transport price reduction?
- To what extent have the removal of NTBs contributed to an enhanced trade environment and to increased trade?
- To what extent have standards harmonisation, and standards testing, impacted on the trade environment and trade flows?
- How has improved trade policy environment led to increased trade?

Impact on poverty [*very important]

- What is the nature and where possible scale of the likely impact of the overall programme and of key TMEA projects in the portfolio on the poor - direct and indirect? Who is affected by potential short or long-term impact, both positive and negative, how, and how is the causality working?
- In particular, who has benefited from reduced trade costs? How are the benefits in reduced transport time and cost being passed on to poor people through lower prices or lower price increases?
- To what extent does the programme benefit from robust analyses of the link between trade and poverty?
- Are complementary policies being adopted to translate the benefits of increased trade into poverty reduction?
- Are measures being taken and successful in mitigating potential negative impacts on any sub-groups, in particular poor people in localised areas?

Impact on crosscutting issues

- To what extent has the programme benefited women and girls (noting that the programme design did not purport to benefit them equally)? Have there been any negative consequences on women and girls? Has the programme had an impact on relations including power and influence between girls/women and boys/men?

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How could the programme increase benefits to women and girls within its trade focus? **[*important]**

- What has the impact been on corruption across the various components, notably at border crossings?
- What impact has the programme had on other issues, such as gender, extractives and environment/climate?

Sustainability

- What benefits (both social and financial) of the programme are likely to be sustainable and would continue with or without TMEA (staffing and funding)?
- What should be the essential components of a future exit strategy in order to sustain impact? **[* important]**
- Have individual results and overall impact sustained after existing donors stopped funding, and is there a lasting positive impact on the poor?
- How are stakeholders engaged through the programme and beyond its life and how do they take TMEA lessons learnt into account?

Question 3. Where has the programme been effective and achieved good Value For Money and how could this be improved?

Effectiveness

- To what extent have TMEA activities led to reduction in transport time?
- Where appropriate, to what extent have TMEA activities led to reduction in trade costs (reduced transport costs, reduced regulatory and operating costs, non-tariff barriers)?
- Is the reduction in time leading to increased physical access to markets?
- To what extent have TMEA activities led to greater standards harmonisation and compliance?
- To what extent has TMEA contributed to improved harmonised policies and programmes of key regional and national actors?
- To what extent have TMEA activities led to increased capacity of key national and regional agencies to implement regional integration commitments?
- Where relevant, how have TMEA activities (including revenue authority reforms as well as activities to promote trade flows) led to increased national revenues?
- To what extent have TMEA activities led to the civil society exercising a positive influence on regional integration, including on policy changes?
- To what extent have TMEA activities led to the private sector exercising a positive or negative influence on regional integration?

Value for Money (VFM)

- Is the programme providing VFM?
- In which activities/components and countries does the programme achieve higher VFM than others and what are the lessons learnt for driving greater VFM across the board?
- What is the value added (effectiveness) of the regional dimension of the programme? (Contributes to evidence towards a regional thematic evaluation question)

Operational model: national and regional levels [*very important]

- What are the strengths and weaknesses of the working model observed to date?
- Is the complementarity and coordination between national and regional levels optimal throughout all programme components and activities? What is the effect of constraining factors?

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- To what extent does the TMEA model bring greater results than the sum of its parts? How could this be strengthened?

Operational model: Programme set-up

- To what extent are the Programme's institutional mechanisms efficient and effective in delivering programme outputs and regional integration objectives?
- Is using one organisation, a not-for-profit company, the best vehicle for impact on trade, and on poverty reduction through trade? What are the strengths and weaknesses of this approach?
- To what extent are the programme's governance arrangements, together with its financial (including procurement), human resource and risk management processes, leading to delivery of high quality and timely outputs in ways which represent value for money?
- Is the operational model at donor level the most appropriate and efficient for delivering TMEA? What are the key enablers which need to be preserved, and what are the remaining constraints arising from donors' systems?

Coherence and coordination

- viii. Did TMEA align with country systems and agencies in the most effective manner for ownership, and for impact? How could this be strengthened?
- ix. Are the focus and activities of TMEA consistent with, and additional to, those of others' development programmes in the region? To what extent has the programme facilitated improved coordination?
- x. What sort of approaches have been more successful in working with regional institutions in Africa?

M&E arrangements

- Provide independent Quality Assurance of TMEA's monitoring reports.
- Are the monitoring and evaluation tools and processes in place appropriate, both on results and on finances? How could they be strengthened?