



**CALLDOWN CONTRACT**

**Framework Agreement with: Oxford Policy Management (OPML)**

**Framework Agreement for: Global Evaluation Framework Agreement (GEFA)**

**Framework Agreement Purchase Order Number: PO 7448**

**Call-down Contract For: Process Evaluation of the South Asia Regional Trade and Integration Programme**

**Contract Purchase Order Number: PO 8138**

I refer to the following:

1. The above mentioned Framework Agreement dated **12 September 2016**
2. Your proposal of **11<sup>th</sup> December 2017**

and I confirm that DFID requires you to provide the Services (Annex A), under the Terms and Conditions of the Framework Agreement which shall apply to this Call-down Contract as if expressly incorporated herein.

**1. Commencement and Duration of the Services**

1.1 The Supplier shall start the Services no later than **01 February 2018** (“the Start Date”) and the Services shall be completed by 31<sup>st</sup> July 2018 (“the End Date”) unless the Call-down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement.

**2. Recipient**

2.1 DFID requires the Supplier to provide the Services to **DFID India** (“the Recipient”).

**3. Financial Limit**

3.1 Payments under this Call-down Contract shall not, exceed **£138,430** (“the Financial Limit”) and is exclusive of any government tax, if applicable as detailed in Annex B.

When Payments shall be made on a 'Milestone Payment Basis' the following Clause 28.1 shall be substituted for Clause 28.1 -of the Framework Agreement.

**28. Milestone Payment Basis**

28.1 Where the applicable payment mechanism is "Milestone Payment", invoice(s) shall be submitted for the amount(s) indicated in Annex B and payments will be made on satisfactory performance of the services, at the payment points defined as per schedule of payments. At each payment point set criteria will be defined as part of the payments. Payment will be made if the criteria are met to the satisfaction of DFID.



When the relevant milestone is achieved in its final form by the Supplier or following completion of the Services, as the case may be, indicating both the amount or amounts due at the time and cumulatively. Payments pursuant to clause 28.1 are subject to the satisfaction of the Project Officer in relation to the performance by the Supplier of its obligations under the Call-down Contract and to verification by the Project Officer that all prior payments made to the Supplier under this Call-down Contract were properly due.

### 3.2 Expenses

Expenses, as detailed in Annex B, pro forma 3, are indicative and will not exceed the maximum costs detailed against each line of expense. For the clarification of doubt expenses will be paid on receipted actuals at each Milestone payment.

## 4. DFID Officials

4.1 The Project Officer is: **REDACTED**  
DFID India

4.2 The Contract Officer is: **REDACTED**  
Procurement and Commercial Dept

## 5. Key Personnel

The following of the Supplier's Personnel cannot be substituted by the Supplier without DFID's prior written consent:

<b>REDACTED</b>	Team Leader and Senior Trade Economist
<b>REDACTED</b>	Project Manager and Evaluation Specialist
<b>REDACTED</b>	Trade and Investment Expert
<b>REDACTED</b>	Trade and Investment Expert
<b>REDACTED</b>	Quality Assurance/ Adviser - Evaluation
<b>REDACTED</b>	Quality Assurance/Adviser – Trade and Regional Integration

## 6. Reports

6.1 The Supplier shall submit project reports in accordance with the Terms of Reference/Scope of Work at Annex A.



## 7. Duty of Care

All Supplier Personnel (as defined in Section 2 of the Agreement) engaged under this Call-down Contract will come under the duty of care of the Supplier:

- I. The Supplier will be responsible for all security arrangements and Her Majesty's Government accepts no responsibility for the health, safety and security of individuals or property whilst travelling.
- II. The Supplier will be responsible for taking out insurance in respect of death or personal injury, damage to or loss of property, and will indemnify and keep indemnified DFID in respect of:
  - II.1. Any loss, damage or claim, howsoever arising out of, or relating to negligence by the Supplier, the Supplier's Personnel, or by any person employed or otherwise engaged by the Supplier, in connection with the performance of the Call-down Contract;
  - II.2. Any claim, howsoever arising, by the Supplier's Personnel or any person employed or otherwise engaged by the Supplier, in connection with their performance under this Call-down Contract.
- III. The Supplier will ensure that such insurance arrangements as are made in respect of the Supplier's Personnel, or any person employed or otherwise engaged by the Supplier are reasonable and prudent in all circumstances, including in respect of death, injury or disablement, and emergency medical expenses.
- IV. The costs of any insurance specifically taken out by the Supplier to support the performance of this Call-down Contract in relation to Duty of Care may be included as part of the management costs of the project, and must be separately identified in all financial reporting relating to the project.
- V. Where DFID is providing any specific security arrangements for Suppliers in relation to the Call-down Contract, these will be detailed in the Terms of Reference.

## 8. Call-down Contract Signature

- 8.1 If the original Form of Call-down Contract is not returned to the Contract Officer (as identified at clause 4 above) duly completed, signed and dated on behalf of the Supplier within 15 working days of the date of signature on behalf of DFID, DFID will be entitled, at its sole discretion, to declare this Call-down Contract void.

For and on behalf of  
The Secretary of State for  
International Development

Name:

Position:

Signature:

Date:

For and on behalf of

Name:



Department  
for International  
Development



Oxford Policy Management

Position:

Signature:

Date:



## TERMS OF REFERENCE FOR A PROCESS EVALUATION OF THE SOUTH ASIA REGIONAL TRADE AND INTEGRATION PROGRAMME

### Introduction

1. The South Asia Regional Trade Integration Programme (SARTIP) is for six years<sup>1</sup>, 2012 to 2018 (23 March 2012- 31 July 2018), designed as a single coordinated initiative to support three multilateral organisations working to promote trade and integration in South Asia<sup>2</sup>. It provides UK grant funding (see annex 1) to the World Bank (WB), the Asian Development Bank (ADB) and the International Finance Corporation (IFC) to help with preparatory studies for projects to:

- improve electricity connectivity,
- improve trade and transport processes across all sub-regions,
- improve the investment policy environment for regional investments,
- strengthen the evidence base on the links between regional economic integration and poverty reduction
- improve communication and coordination among SARTIP members and enhance programme management efficiency.

2. This was a first generation DFID project on innovative approaches to regional coordination in South Asia working across trade, investment and regional energy and water development.

3. These components overlap across two broad South Asian regions and three sectors. The figure shows how the two regions can be thought of Western and Eastern trade corridors, with the India-Pakistan border as the vital link between the two. At the time when SARTIP was launched, improvements in relations between these two countries were seen as a critical factor supporting the case for the programme.

4. SARTIP focusses on the northern belt of South Asia, the arc running above and below the Himalayas through Central Asia, Afghanistan, northern Pakistan and India, Nepal, Bhutan and Bangladesh linking to South East Asia (into Burma). These poorest parts of the region are also the most remote and cut off from international trade. In 2016, additional funding was approved and the programme period was extended.

5. The three sectors in which SARTIP is working are: a) inter-regional trade in goods; b) inter-regional trade in electricity; c) inter-regional foreign direct investment (FDI).

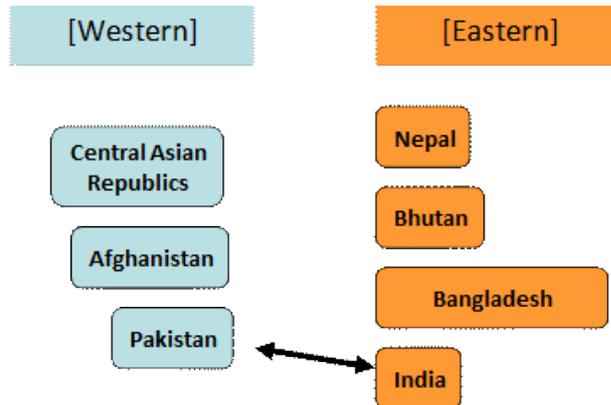
---

<sup>1</sup> In October 2016, the programme was extended from 2017 to July 2018 and the financial allocation was increased by £4.8 million to £26.6 million

<sup>2</sup> The eleven countries included in the programme are Afghanistan, Bangladesh, Bhutan, Burma, India, Kazakhstan, Kyrgyz Republic, Nepal, Pakistan, Tajikistan and Uzbekistan.



## The 'corridors' of South Asia



6. A new phase of SARTIP programme, the Asia Regional Trade and Connectivity Programme (ARTCP), was approved by the Ministers. It is expected to start implementation on March 2018. Under ARTCP, the UK will provide up to £38.5million, principally through the World Bank and Asia Development Bank, over 4 years to significantly increase trade, investment and job creation across Central and South Asia. Technical Assistance will be used to help identify and design projects which improve cross-border transport, energy, and IT infrastructure as well as tackling red tape and regulatory bottlenecks. It also aims to help WB and ADB address: the financing gap for regional projects, increased poverty reduction and gender impact of their loans; and enhanced coordination with other International Finance Institutions (IFIs). The evaluation findings are expected to feed into the implementation of ARTCP.

### Background

7. The SARTIP Project Design is fully described in the Business Case (see annex 1). The following sections briefly review the Theory of Change (ToC) and the Logical Framework (LF).

8. When economies open up to trade, countries are able to exploit their comparative advantage, enabling re-allocation of resources to more productive uses – again spurring economic growth. It is generally accepted that causality runs both ways, i.e., *Trade*  $\Leftrightarrow$  *Growth* hence a virtuous cycle of increasing trade and growth can evolve.

9. Economic growth, other things being equal, will lead to growth in average incomes, which will, on average, lead to reductions in the level of poverty. If the headcount measure of poverty is used then one study has found poverty levels attributable to economic growth is 70% in the short-term and 97% in the long-run. Rising average incomes, stimulated by economic growth is key to sustainable poverty reduction. China is the most powerful example of growth-led reduction in poverty levels, elevating some 600 million people out of poverty between 1981 and 2004.



10. At the micro level, the relationship between trade, growth and poverty reduction is complex. Generally, the poor are impacted by trade reform through one or more of the following mechanisms:

- The prices of goods and services that the poor consume and produce, benefiting those who are net consumers of goods and services that become cheaper as a result of trade liberalisation, as well as those who can obtain higher prices for their products in international markets;
- The demand for, and returns to, factors of production that poor people and poor households have to offer, notably unskilled labour;
- Government revenue and the resources available to promote growth and poverty reduction, which can be at risk during trade liberalisation in poor countries; and
- Risks and volatility, which can tend to increase as economies become more exposed to global forces and markets.

11. There can therefore be positive and negative effects on poor people from trade liberalisation – particularly tariff reductions. This calls for an approach that takes development concerns explicitly into account, and monitors the impacts of reform. Trade facilitation interventions are in fact one way to address these concerns through building infrastructure (better roads, faster ports) which help lagging regions and poorer areas to exploit the gains from international trade.

12. Overall Theory of change is presented in Figure 1 in the Business Case, and overall TOC is given in brief as follows:

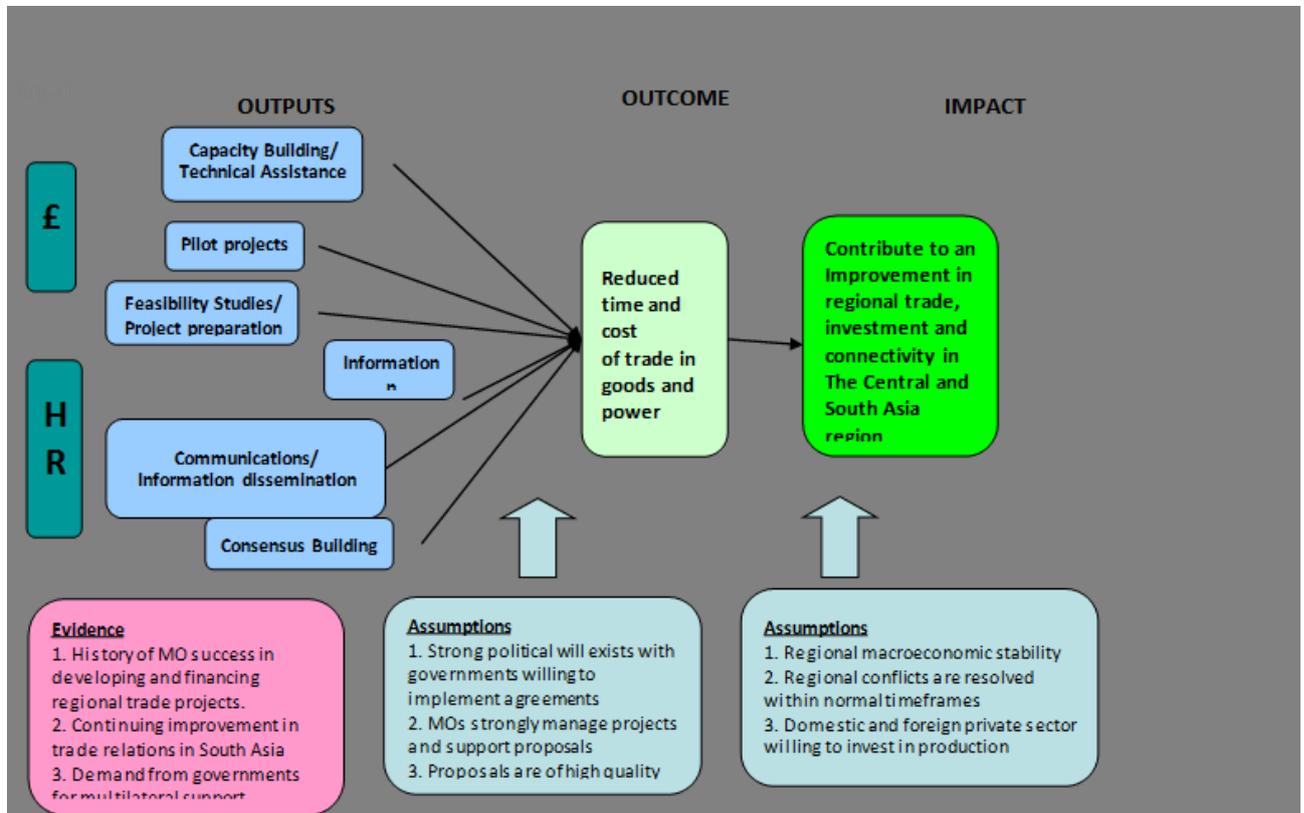
“The theory is that the multilaterals will produce high quality trade proposals (outputs), valued and backed by regional governments and businesses. The multilaterals will use their established relationships under the current (relatively conducive) political climate to ensure that governments ‘sign-off’ on these proposals and investments flow, stimulating regional trade and integration and economic growth. This economic and income growth will play an important part in reducing poverty across the region.”

13. SARTIP is a large programme covering 11 countries, across Central and South Asia, and three major sectors: energy connectivity; trade in goods and services; and regional FDI. Programme activities fall into two principal areas: investment preparation and policy reform. Feasibility studies and other more technical activities are directed towards the first, while communications and consensus building are mainly in support of policy reform.

14. The diagram below is the overall TOC. Two important aspects do not show clearly in the Theory of Change figure. First, as the Business Case makes clear, SARTIP was designed at a time when cross border relations in South Asia seemed rather better than in the past, especially between India and Pakistan. This détente still remains fragile. The second point concerns SARTIP’s focus on the northern belt of Central and South Asia, running north and south of the Himalayas from Afghanistan to Bangladesh. These poorer, more remote areas have been most cut off from international markets and are, hence, most likely to benefit from improved trade flows.



Figure 1 The SARTIP Theory of Change



15. The SARTIP Logical Framework directly reflects the ToC as follows:

- **IMPACT** – “Increased rates of poverty reduction through improved intra-regional trade, connectivity and investment in South and Central Asia.” This is measured against three indicators: Giga Watt hours (GWh) of cross border electricity; \$ million of intra-regional trade in goods; and, \$ million of intra-regional FDI.
- **OUTCOME** – “Improved intra-regional trade and investment through increased electricity connectivity, reduction in border transit times, streamlined cross border investment regulations, and broader policy and institutional development.” There are five outcome indicators: cross border energy connectivity; cross border trade in goods; cross border FDI policy reform; cross-border FDI deals; and, ‘broader policy and institutional development’.
- **OUTPUTS** – SARTIP’s principal outputs are studies, meetings and events leading to investments in improved inter-regional infrastructure, policy reform and institutional development.



16. To date DFID Annual Reviews show that SARTIP has met and exceeded its targets in terms of the number of studies and other outputs produced, the investment programmes directly linked to project preparation work and the level of potential FDI generated by programmed events. The one exception concerns an Indo-Pak electricity connector where political factors have led to its removal from the SARTIP programme. For fuller details, bidders should refer to the documents listed in the annex.

17. The key linkages of the SARTIP programme are with the Central Asia Energy and Water Development Programme (CAEWDP) (£3million) managed under the SARTIP portfolio and the new ARTCP programme. SARTIP was a stand-alone project along with other regional projects. SARTIP Partners meeting brought together advisors from bilateral programmes for greater coherence on the regional with the bilateral infrastructure and economic development programmes. The other projects that may be relevant in terms of linkages are:

- Central Asia South Asia (CASA) 1000 electricity trade project managed by regional team
- programmes to facilitate regional collaboration over shared rivers, South Asia Water Governance Programme (SAWGP) (£23.5million).
- bilateral Asia Caribbean & Overseas Territories (AsCOT) programmes on infrastructure and economic development particularly in Afghanistan and Pakistan. The Afghanistan Infrastructure Trust Fund (AITF) focuses on national infrastructure such as feeder roads and electricity to poor communities; while the Pakistan Economic Corridor Programme (PECP) has regional components linking Pakistan to Afghanistan and Central Asia.

## **Purpose and Objectives**

18. These Terms of Reference are for a Performance Evaluation of SARTIP. The Purpose is both to demonstrate accountability of whether the programme is on track to meet its outcome and to generate learning regarding for supporting this programme and subsequent programmes. Learning will focus on whether the causal links and assumptions hold; and whether there are early lessons and insights that might contribute to programme implementation and to the development of future regional trade initiatives.

19. DFID may consider follow-on programming and the evaluation will contribute to that process and benefit implementers and other stakeholders in any programme which may be decided. DFID approved an extension to the current programme; an evaluation update may be required and provision is made within these ToR for that activity to be commissioned as follow-on work.

20. To support accountability:

- to assess what progress is being made against the output indicators as stated in the log frame and whether policies and practices are changing as intended;
- to assess whether the programme is on track and if not, why not. If progress is lagging to identify the reasons why and what further support or corrective measures are required to get the programme back on track.



#### To support learning

- To interrogate the theory of change and logframe, their underlying causal links, logic and assumptions and to identify any key data sets that might be missing or that could be usefully augmented.
- To assess whether the programme is effective, efficient and remains relevant.
- To assess DFID's own performance in providing support to the programme for coordination and outreach- what is working well/less well and what improvements to bring about in this area.
- To involve stakeholders in assessing their own performance and in identifying lessons. To assess the quality of implementation.
- To provide methodologies for assessing value for money and to enable an assessment of quality, relevance and usefulness of the outputs for policy-making purposes.
- To assess how best to measure impact the programme on cross cutting issues and provide methodology to measure these including impacts on women and girls, climate and environment, political economy issues (corruption, power relations between countries) human rights and modern day slavery and its impact on the poor.

#### Target Audience, dissemination plans and uptake of lessons

21. This evaluation is being commissioned by the DFID Asia Regional Team. They, and Country Liaison and Policy team, other DFID country offices in the region, are the primary audience. Other key audiences include:

- SARTIP Managers. Programme components are managed independently by the three International Financial Institution (IFI) partners. Although there is no central steering committee, the partners report to a common framework. The Business Plan envisages four coordination posts to 'anchor and coordinate points of intersection between interventions and with broader platforms of engagement.' The evaluators will be expected to identify which of these coordination groups and broader platforms will provide effective channels through which to present the evaluations findings to SARTIP managers.
- Regional Stakeholders. As part of the evaluation, those regional stakeholders who have a direct interest in and knowledge of SARTIP will be identified. The evaluators will consult with DFID over which of these should be included in the target audience and how the evaluation results should be presented. SARTIP has a presence at a range of regional events such as the World Bank (WB) regional champions network which meets twice a year. The evaluators will also consult on how far it will be appropriate to present findings in these more open fora.
- HMG stakeholders, including those involved in economic and trade relations with South Asian partner countries and those with a broader interest in trade development such as the DFID/BIS Trade Policy Unit.
- The UK Taxpayer. In line with DFID's commitment to evaluation and transparency, the final evaluation report will be made public.



The consultants will identify key principle lessons that can be transferred across a range of programmes, while also providing time to share knowledge and experience with wider DFID/development community.

## The Evaluation Questions

22. There is a long list evaluation questions which will need to be prioritised at the inception stage. The core questions are as follows:

1. What are the key lessons for programme TOC, design and delivery of the next phase of support under Asia Regional Trade and Connectivity Programme (ARTCP)? Can ARTCP deliver wider economic transformation and achieve proportionately larger outcomes/impacts based on identified lessons or outcomes from SARTIP? What were the most effective interventions under SARTIP and why?

### INPUTS to OUTPUTS – Economy/Efficiency

2. What support was provided to the multilaterals and what was the quality of the resulting outputs?
3. What evidence is there to demonstrate that the chosen delivery model utilising IFI Trust Funds<sup>3</sup> provided Value for Money, (including for the recipient executed window)?

### OUTPUTS to OUTCOMES – Effectiveness/Relevance

4. Were the outputs achieved? What were the most effective interventions? What helped and hindered in the achievement of outputs?
5. What was the contribution of the project to the SARTIP outcomes? Which elements were most effective and why?
6. Did the causal chain from outputs to outcomes hold? Where is the evidence strong and where was it not as strong? Did the assumptions from output to outcome hold? How comprehensive were the assumptions in the TOC? Could additional assumptions have been included and how may they have helped implementation? Did assumptions come to fruition and could they have been mitigated better?
7. Are there likely to be any changes in policy/major processes contributed to by SARTIP?
8. What evidence is there that investments have flowed or are likely to start flowing as a result of governments signing off on these multilateral proposals?
9. What evidence is there that the time and cost of trade in goods has been or is likely to be reduced as a direct or indirect result of the SARTIP?
10. What evidence is there that cross-border electricity trade has increased or likely to be increased as direct or indirect result of SARTIP?
11. What tangible improvements have DFID's inputs in terms of coordination and outreach made to the implementation of the programme?

In addition to the core questions additional supplementary questions may be considered.

---

<sup>3</sup> Note that apart from CAEWDP, the Trust Funds are not multi-donor



## SUPPLEMENTARY QUESTIONS

12. Were there any unintended outcomes and impacts?
  13. How relevant was the support from the programme to implementing partners?
  14. How coordinated is SARTIP, particularly with regard to similar development interventions?
  15. What information have partners collected to measure how increased trade may have impacted on household consumption amongst the lowest income quintiles and by gender and to what extent has this been incorporated in programme design?
  16. How could value for money be improved in the programme and costs be contained without affecting delivery?
  17. How pro-poor the programme has been?
  18. What has been the impact on cross cutting issues including women and girls, climate and environment, political economy issues (corruption, power relations between countries) human rights and modern day slavery
23. The key questions will be prioritised in consultation with DFID at the time of the Inception reporting.
24. The SARTIP impact statement reads as follows:
- “Increased rates of poverty reduction through improved intra-regional trade, connectivity, and investment in South and Central Asia”*
25. This evaluation is not expected to include a comprehensive review of the extensive literature and evidence on these higher level relationships. Evaluators are, however, asked to review studies generated under SARTIP and any other material which is immediately available, for example systematic reviews of trade programme evaluations, and to report any evidence which bears on actual or potential programme impacts on poverty and on women and other vulnerable groups.

## Recipient

26. DFID’s Asia Regional Team will be the recipient for the Evaluation Report.

## Scope

27. The evaluation questions set out above seek to address the relevance of SARTIP’s strategy, and the efficiency and effectiveness of its operations. These issues are to be addressed across the causal chain. The list of questions is indicative and bidders are encouraged to develop and expand it.
28. As shown in the structuring of the evaluation questions, the evaluation will follow the standard Organisation for Economic Cooperation and Development (OECD) Development Advisory Committee (DAC) evaluation framework, looking at the following evaluation criteria:



Relevance and Ownership: The evaluation will assess whether the SARTIP strategy addresses the programme's fundamental objectives – increased trade leading to economic growth and poverty reduction - in the right way, both in terms of the strategic work areas and the allocation of resources to each area. As well as available evidence on the impact of trade facilitation programmes, the evaluation is also expected to address the extent to which SARTIP has met the priority concerns of South Asian country policy makers and civil society. How SARTIP has contributed to a political environment which shows greater willingness to authorise trade investments and trade policy reforms will need particular attention.

Using DFID framework of Value for Money (VfM), assess Economy, Efficiency and Effectiveness: The evaluation will review SARTIP's operational efficiency. To the extent that data is available it will benchmark input costs against market equivalents. Technical Assistance is a major cost element and consultant and staff fee rates will be a key indicator. Proposers will need to set out how they expect to analyse the relative value for money of different categories of output: research studies; conferences/workshops; training courses etc. The evaluation will also review SARTIP's monitoring systems, both at the programme level and, to the extent possible, for each IFI partner and component.

SARTIP's IFI partners commission programme outputs through three modes: competitive contract; grant; and recipient execution. Each IFI has its own procedures and applies its own overhead costs as actuals, percentage fees or both. The evaluation will review the economy and efficiency of these different management models.

Effectiveness: The evaluation will follow the effectiveness of SARTIP's work along the causal chain from outputs to outcomes. The quality of SARTIP outputs is expected to be the key indicator. The evaluators will be expected to make their own independent QA assessment of a substantial sample of outputs. They will also review the strength of the implementing partners' own QA arrangements.

29. The second key indicator of effectiveness is the value stakeholders put on the outputs. The evaluation will canvass stakeholder responses to individual SARTIP outputs and to the programme as a whole in order to present a statement of how effective different stakeholder groups consider the programme has been.

30. SARTIP has three principal categories of outcome: infrastructure investment; policy reform; and the capacity of customs and other institutions managing the flow of trade. While final outcomes may still be some way off, the evaluation will establish a clear line of sight between each set of outputs and the outcome they are expected to deliver. For each output this will be used to assess the actual or likely contribution made.

31. Impact and Sustainability: SARTIP's impacts and the sustainability of those impacts will only become evident in the longer term. This evaluation is not expected to deliver any quantified estimate of impacts attributable to the programme. It is, however, expected to review how likely it is that the intervention will work, ie to make an assessment of the potential impact.



## Research Approach

32. The SARTIP Evaluation assignment Supplier will be expected to set out a full description of the evaluation design and the methodologies they propose to use to answer the evaluation questions. They will use the Inception Phase to develop this methodology and present a fully specified evaluation design, including a prioritised list of evaluation questions, for DFID approval.

33. The evaluation is expected to take a theory-based approach analysing each link in the causal chain underlying the SARTIP Theory of Change (ToC). It will start with a review of the project design set out in the Business Case: the ToC and the associated logical framework (LF). This will be used to set the framework for the evaluation identifying the principal causal chains leading from DFID-funded inputs through outputs to outcomes. Cross-cutting issues should be explored by the evaluation. These should include gender, poverty, human rights, HIV/AIDS, environment, anti-corruption, capacity building, and power relations. If there are any other cross-cutting issues that would be relevant these should be identified during the Inception period

34. While some primary data will need to be collected in the form of surveys and from interviews with stakeholders, the evaluation will also rely on evidence prepared by SARTIP partners: reports, management records and, above all, the programme outputs. As it is independently managed by the IFIs, there is no central database for this material. The Supplier will take account of the need to bring it together and collate it. The evaluators will also need to create a master list of stakeholders to be consulted as part of the evaluation. The IFI partners will be the primary source for this as well.

35. DFID will facilitate contact with the relevant offices in the three IFIs.

36. The Supplier is required to manage possible ethical issues, in particular with regard to the confidentiality of survey and interview data, and to set out their Evaluation Code of Conduct. Ethical guidelines are attached at Annex 5.

37. SARTIP has a very broad scope, across 11 countries and three major sectors. An accurate mapping of the different primary and secondary stakeholders will be fundamental to the evaluation.

38. Beneficiaries - Primary stakeholders. There are three groups who can be expected to feel the impact of increased trade:

- Consumer households
- Small producers, predominantly in primary agriculture
- Industrial producers

39. The gains from trade will not be evenly distributed between these groups. Consumer gains from lower prices may be offset by producer losses, or vice versa. Small producers may find it more difficult to face international competition than larger enterprises. Since all households have an interest in both consumption and, through their earnings, in production, the ways greater trade affects livelihoods may be subtle and complex.



40. Equally complex will be the way the interests of these groups are represented by civil society and political parties.

41. It is not expected that these primary stakeholders will be directly involved in the current evaluation. Even if it were possible to attempt this across a programme with the technical and geographic scope of SARTIP, it would not be appropriate for an evaluation at a point when SARTIP impacts will not be evident for some years to come. The evaluators will, however, be expected to review available evidence on how increased trade may affect the different groups, especially the smaller, poorer producers and consuming households. Evidence on current attitudes to trade reform and foreign investment among groups representing the primary stakeholders will also be important.

42. Recipient Country Governments. As the IFIs' direct partners, in policy reform as well as in infrastructure investments, recipient country governments, especially those agencies directly involved in trade, are key SARTIP stakeholders.

43. Utilising the Champions group and Energy Secretaries group as proxies, and working with the WB to identify other stakeholders on the recipient executed window, evaluators will be expected to seek views on the efficiency, effectiveness and relevance of what SARTIP is doing. DFID's IFI partners will be asked to identify their main interlocutors in the context of specific projects chosen to be reviewed in depth.

44. Implementers. SARTIP is a large, multi-implementer programme and the work is being carried out under various arrangements: direct IFI implementation; sub-contract; grants to Civil Society Organisations; and recipient execution.

45. Both when it comes to assessing their performance, and getting their feedback on the programme as whole, the different categories of implementer will be important contributors to the evaluation.

46. Technical assistance in the form of studies, policy reviews, and capacity building has been SARTIP's principal output. It will be important to map the partners providing this resource, often acting as sub-implementers to SARTIP's major implementing partners.

47. IFI Partners. The three IFIs are both beneficiaries, in that UK funding is supporting their programmes, and implementers of SARTIP. The same partners are also likely to be involved in any follow-on programme.

48. For all these reasons, the IFIs are particularly critical stakeholders, ones to which the evaluation will give close attention.

49. HMG Stakeholders. It is an objective for SARTIP that it should build on the UK's established relationships with South Asian countries, not just through DFID country offices but also through the United Kingdom's Foreign and Commonwealth Office (FCO) missions. In some of those countries, the UK has wider strategic interests which also need to be taken into consideration, as do the UK's important economic interests in trade with South Asia. For all these reasons, the views of other DFID offices and cross-government stakeholders will be a part of the evaluation.



50. Data sources for the evaluation will include:

- a) The common reporting framework against which the SARTIP IFI partners report to DFID
- b) DFID's Annual Reviews
- c) IFI partner 6-monthly progress submissions to DFID (the common reporting format)
- d) IFI partner management information systems and audit statements
- e) MoUs between DFID and the IFIs for each SARTIP component
- f) IFI archives of SARTIP outputs

51. The evaluators will need to augment this information by collecting primary data and using other sources of secondary data (e.g. published statistics) as part of the evaluation.



## Evaluation quality standards

The suppliers will use the following quality standards for evaluations which are in line with the OECD Quality Standards for Development Evaluations:

- Independence and neutrality of the evaluation team. The evaluation team should not be biased regarding the evaluation content and outcomes, nor have a conflict of interest due to a prior involvement with SARTIP.
- Validity of findings. Evaluation findings should be precise and valid; and it should be clear how the evaluation team came to their conclusions.
- Participation of partners. Active participation and engagement of relevant partners is ensured through key informant interviews and focus group discussions, which will be reflected in the evaluation and, inter alia, capture the perspectives and perceptions of partners. To assure that the evaluation is informative and responsive to learning and information needs, key stakeholders will be involved.
- Usefulness of the evaluation and its findings. Evaluation findings should be useful for the following:
  - Providing more in-depth information of the selected area of work for an evaluation of the overall programme.
  - Assessing the potential for up-scaling and replication under the next phase of programme.
  - Contributing to a systematic learning process among stakeholders, in particular addressing learning and information needs of IFIs and DFID.
- Gender sensitivity. The evaluation will adopt a gender-sensitive approach in the design of its methodology, conduct of the evaluation and analysis of findings.

Suppliers will also be expected to adhere to DFID's Ethics Principles for Research and Evaluation and Paris Declaration principles.

## Requirements

This section sets out the detailed requirements for the SARTIP Evaluation.

### Outputs

The evaluation outputs will include:

1. Inception Report (IR)– The report should present the methodology for the evaluation as well as a time-based work plan and budget. The methodology should include metrics for evaluating the quality/utility/relevance of the studies, events, networks etc., produced by each partner to reach each output. Evaluation questions should tease out how specific outputs contribute on their own terms but also in synergy with each other to affect policy and practice change – and ultimately poverty reduction. The IR will also present a preliminary stakeholder mapping for discussion with DFID and key partners, and dissemination and uptake plan. (See Annex 2 for the full IR requirement.)
2. Stakeholder mapping.
3. Surveys/key informant Interviews.
4. An inventory of SARTIP outputs, with detail of key providers for the different categories of studies, assessments & capacity building.



5. Draft final report to include findings of the evaluation as well as key lessons for specific audiences.
6. Presentation of the evaluation findings. This is expected to include a Workshop for DFID and partners and an internal DFID seminar. A synthesis note for non-experts will also be needed.
7. A draft project evaluation report and a presentation to DFID and other partners in India or one of the country locations
8. An end of project evaluation report delivered before SARTIP completes Project Completion report (April 2018).
9. VFM framework including VFM metrics. Case studies as agreed with DFID showing how value for money was achieved in SARTIP in comparison with similar work on transboundary trade and integration projects.

#### Access

DFID will have unlimited access to all the material produced by the supplier.

#### Timeframe

The following are the suggested evaluation reports timelines of deliverables/outputs:

#### Timeframe

The following are the suggested evaluation reports timelines of deliverables/outputs:

Start date and kick off meeting: week commencing 29 Jan 2018

- Inception report: 16 February 2018
- Preliminary findings report: 16 April 2018
- Draft final report: 27 April 2018
- Final report: 25 May 2018

The Log frame proposed by supplier attached as Annex 4 to this TOR.

#### Expertise and Experience

The Suppliers team (which should include regional and local consultants where appropriate) must have high level experience and the capabilities required for:

- managing evaluations to recognised standards
- the use of theory-based and qualitative, mixed-methods evaluation techniques
- review of implementation processes in large, multi-country, multi-implementer programmes
- analysis of economic growth, poverty reduction and trade facilitation programmes
- synthesising the latest evidence on the relationships between trade, poverty and growth
- review of interventions in electricity inter-connection and water infrastructure; trade facilitation and policy reform; and, foreign direct investment promotion.

#### DFID Co-ordination and Reporting

This evaluation is commissioned by DFID SARTIP Senior Responsible Officer, Duncan Overfield and by Senior Programme Manager Jaya Singh Verma.



DFID will establish an Evaluation Steering Group (SG) responsible for:

- Reviewing and approving the evaluation budget and time-based delivery plan, the Inception Report and all other evaluation outputs before release.
- Acting as the evaluation team's primary point of contact. No other stakeholders will be contacted without its clearance.
- Coordinating the review of all evaluation outputs.
- Facilitating the evaluators' initial contacts with the IFI partners and supporting the evaluators' requests for data, interviews etc.
- Ensuring lessons are shared within DFID country offices and policy division

Apart from the delivery of principle outputs, the evaluators will be required to interact with the commissioning team around the mid-point of the Inception phase and at the mid-point of the main evaluation.

#### Duty of Care

Apart from visiting New Delhi (end February/early March 2017), no field visits are expected. If any field visits are planned, it should be clearly identified in the methodology, and duty of care will be required. 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. Annex 3 sets this requirement out in more detail.

#### Quality Standards/Performance Requirements

DFID adheres to the DAC Quality Standards for Development Evaluation the Supplier is required to demonstrate that their approach matches these standards. The evaluation will be subject to DFID's standard Quality Assurance procedures and the Final Report will not be accepted until receipt of a satisfactory QA report.

#### Constraints and Dependencies

Several factors make SARTIP a challenging programme. It deals with a politically sensitive issue (the management of international trade and connectivity in a region already subject to complex political relationships), it is looking to influence change to build regional trust rather than simply build 'infrastructure', and it is administratively complex as several components to the project. All bids will have to demonstrate their ability to deliver the evaluation despite these constraints.

*Politically sensitive.* With increasing demand for trade and investment with poor management of borders, competitive national policies impels governments to become more protectionist. This is particularly problematic for infrastructure shared by two or more countries and for or trade and other policies causing and interdependency between them. In South Asia, tensions arising from historical relations add another layer of complication.

*Influencing change.* Programmes that build national infrastructure or deliver distinct services such as maternal health projects are easier to attribute change to. But changing how decision-makers and other stakeholders view international trade and cross-border investments or policies and modify their policies or projects accordingly is harder to attribute to particular programmes.



*Complex range of stakeholders.* Through SARTIP, DFID works with multiple stakeholders implementing different components of the programme, and it also co-finances the World Bank Multi-Donor Trust Fund under SARTI and CAEWDP. The government of Australia, the USA, Switzerland and EU are the key partners. It also works with other stakeholders on regional trade and connectivity, and on energy and hydro-power projects. The number of players means multiple and differing institutional timelines for each project with different reporting cycles and financial years, and regional coverage varies for different project. Six monthly Partners meetings were an effort to coordinate the interventions, but they remain as separately implemented projects and components. In addition, the components under the project started at different times. The finance Table illustrates some of the administrative complexities of key partners and contribution of DFID under the project component.

Implementing partners such as the World Bank and IFC are collecting data to track progress vis-à-vis their results frameworks, they did not anticipate evaluating their activities. Therefore, the consultants are expected to work with such implementing partners to review their reports against SARTIP's logframe and results needs where possible.



## Annex 2

### Inception Report

The Inception Report will be no more than 30 pages long. It is expected to include:

1. Design Review – A detailed review of the SARTIP Theory of Change (ToC) and logical framework, setting how the latter will be adjusted to establish clear causal chains against which to test the ToC.
2. Evaluation Questions – review and prioritisation of the questions with recommendations on any changes to be made.
3. Research Approach, Methodology and Risks – specifying how the evidence will be collected to test each question and measure SARTIP results against the evaluation criteria. The methodology should state what proportion of each dataset is to be reviewed and how the analysis for each one will be structured. The consultant should also identify potential Risks and proposed actions to anticipate and mitigate such risks.
4. Stakeholder Mapping and Engagement Plan – setting out how the evaluation team will seek stakeholders' participation in the evaluation.
5. Data Sources and Collation - describing what secondary data will be collected and how it will be archived and managed.
6. Surveys – plans for surveys of stakeholder opinion and other primary data setting out the objectives, target audiences, and methodology for each.
7. M&E Framework – a review of SARTIP partners' systems for collecting and managing data to monitor progress.
8. Supporting Studies and context – setting out how the evaluation will address the broader evaluation questions concerning the relationships between trade, connectivity, economic growth, and poverty reduction in South Asia taking into account contemporary economic policy reform country programmes (to be identified by the consultant) that may be relevant for the evaluation and have a bearing on the project results.

The above will be summed up in a fully detailed work programme setting out the timings and level of effort required for each evaluation task and showing how the work will be allocated between the evaluation team. Lead accountability for each task will be clearly assigned to individual team members.



## Annex 3

### Duty of Care Statement

1. 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.
2. DFID will share available information with the Supplier on security status and developments in-country where appropriate: All Supplier Personnel will be offered a security briefing by the relevant British Embassies on arrival. All such Personnel must register with their respective Embassies to ensure that they are included in emergency procedures.
3. 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.
4. This Procurement may require the Supplier to operate in conflict-affected areas. Travel to many zones within the region will be subject to travel clearance from the UK government in advance. 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 in order to deliver the Contract (subject to travel clearance being granted).
5. 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 safety in the field training prior to deployment.



### Annex 3 Duty of Care

Project Intervention: **South Asia Regional Trade and Integration Programme (SARTIP)**

Location: Travel not identified as yet.

Date of Assessment: 30.10.2017

Assessing Official: **REDACTED**, (Asia Regional Team) with inputs from **REDACTED**, for some of the indicators.

Overall rating is 2 or low risk for travel to India.

Theme	DFID Risk Score
	India
Overall Rating	2
FCO travel advise	2
Host nation travel advise	NA
Transportation	2
Security	2
Civil unrest	2
Violence Crime	2
Terrorism	3
War	1
Hurricane	1
Earthquake	2
Flood	2
Medical Services	2
Nature of project/Intervention	2

1 Very Low Risk	2 Low Risk	3 Medium Risk	4 High Risk	5 Very High Risk
Low		Medium	High Risk	