



## PROCEDURES FOR REQUESTING TECHNICAL ASSISTANCE (TA) UNDER THE TRIPARTITE TRANSPORT AND TRANSIT FACILITATION PROGRAMME (TTTFP)

### 1. Background

The TTTFP will be implemented with support by four long-term experts of the Contractor, G Fischer Consulting (Pty) Ltd (GF), comprising the Team Leader based at SADC Secretariat and three Transport Coordinators at SADC, COMESA and EAC Secretariats, assisted by short-term expertise of up to 4,500 work days. The team will work with the Tripartite REC Secretariats, Corridor Management Institutions, Tripartite Member/Partner States and other eligible stakeholders. Of these 4,500 work days, 2,500 will be for Senior Experts and 2,000 for Experts who will provide support or complimentary services necessary for the various technical assistance areas. Implementation of the TTTFP by the Contractor is under the direct coordination and direction of the Programme Management Unit (PMU)<sup>1</sup> based at SADC as Contracting Authority. All the three RECs will exercise joint oversight to the TTTFP and PMU through the established programme governance structures.

Active involvement of all stakeholders in each Tripartite country<sup>2</sup> and corridor in the implementation of the TTTFP is necessary and this will be supervised by the RECs with the overall guidance of the Project Steering Committee. Any of the key stakeholders such as the PMU, RECs, Member States or Corridor Management Institutions and eligible regional transport and transit facilitation bodies may request TA through the TTTFP and may also suggest the nature and level of expertise required for the TA to support the implementation of the programme according to the procedures contained in this document.

However, in accordance with the contractual responsibility that the General Conditions of Contract (GCC) places on GF, who remains responsible for the acts, defaults and negligence of any appointed STE notwithstanding the approval of such STEs by the Contracting Authority (CA), GF must be satisfied that the STEs have the required expertise and experience before proposing such STE to undertake any project activities. Finally, the EUD in Botswana has to be satisfied with the capacity for the TA by any STE suggested by stakeholders such as countries, corridor or REC.

### 2. Purpose

The purpose of this document is to provide a streamlined and systematic procedure for managing the requesting, selection, and management of the TA under the TTTFP to all stakeholders with the view of expediting the implementation of this programme.

<sup>1</sup> PMU is comprised of the staff assigned by the SADC Secretariat as Contracting Authority and the GF consultant team.

<sup>2</sup> **COMESA:** Djibouti, DRC, Eritrea, Ethiopia, Malawi, Sudan, Zambia, Dar es Salaam Corridor, Djibouti Corridor

**EAC:** Burundi, Kenya, Rwanda, Tanzania, Uganda, South Sudan, Northern Corridor, Central Corridor

**SADC:** Angola, Botswana, Lesotho, Mozambique, Namibia, Swaziland, Zimbabwe, South Africa, Beira Corridor, Lobito Corridor, Maputo Corridor, Nacala Corridor

### 3. Objectives

The objectives of these procedures are:

- 3.1 To ensure that the TA requested contributes to the overall achievement of the TTTFP objectives/results in an effective and efficient manner to ensure the best possible value for the available funding.
- 3.2 To prioritise TA to stakeholders who are committed to the domestication and implementation of the entire spectrum of the TTTFP activities to achieve its objectives/results in the shortest possible time frame relative to stakeholders who pursue selective implementation of “islands or patches” of the TTTFP.
- 3.3 To monitor the domestication and implementation of TA deliverables with the view of limiting subsequent TA to stakeholders who fail to domesticate and implement same.
- 3.4 To achieve a balanced TA expenditure amongst the TTTFP key result areas, regions (RECs) and countries satisfying these objectives.
- 3.5 To ensure transparency in the recruitment of STEs based on pre-defined criteria, including professional qualifications, language skills and work experience so that the best available STEs are engaged timeously to undertake the programme activities.

### 4. Key Guiding Principles for Requesting TA

The key principles in determining the merit of the requested TA are:

- 4.1 TA requested by any stakeholder must be assessed for consistency with the TTTFP objectives and must contribute to the achievement of the programme results.
- 4.2 The TOR envisages pilot implementation in targeted corridors and although high intensity TA (in terms of duration and cost) has been earmarked for such pilot corridor countries in the Work Plan, high intensity TA requested by stakeholders who are not participating in a pilot corridor will be conditional that they undertake to sign the MCBRTA and VLM MOU and demonstrably prioritise domestication of the model laws.
- 4.3 TA will be provided with preference to domestication/implementation of the following:
  - 4.3.1 model laws/ standardized components or an amendment of existing laws/components in each of the member countries whichever is the more efficient in terms of time and cost, and
  - 4.3.2 proven compliant systems in the Tripartite region instead of amending existing non-compliant systems on a country by country or corridor by corridor basis.
- 4.4 Requests for TA must be directed to addressing gaps in specific baseline requirements as identified in respective country report of the Baseline Survey which the stakeholder intends to comply with and include the commitment to domesticate/implement the TA deliverables.
- 4.5 Progress with the domestication and implementation of previous TA deliverables will be taken into account when considering subsequent TA requests from a stakeholder.

- 4.6 TA requests from stakeholders must be **completed on the designated Template<sup>3</sup>** to be endorsed by the relevant REC, with the concurrence of the PMU, as well as the EUD to Botswana and SADC.
- 4.7 For the Tripartite-wide TA envisaged in the TOR and where provision has been made in the Draft Work Plan, the proposed STE will be submitted and approved concurrently with the approval of the Draft Inception Report and Draft Work Plan.
- 4.8 Subsequent STE required for Tripartite-wide TA, STE will be approved by SADC and EUD to Botswana and SADC.

## 5. Key Guiding Principles for Procedures for Selecting STEs

The key principles in determining the suitability of the proposed/available STEs are:

- 5.1 All experts hired under this contract must be independent and free of from conflicts of interest in the responsibilities they take on.
- 5.2 The Contractor must pre-select and hire STEs as required by the Contract TORs and the selection procedures must be transparent.
- 5.3 The selection must be based on pre-defined criteria which includes professional qualifications, work experience and language skills.
- 5.4 Contractor, normally shall submit a list of 3<sup>4</sup> STEs ranked according to own evaluation to a representative of the relevant REC to liaise with the Requisitioning Entity (stakeholder, country, corridor management institutions or regional transport and transit facilitation bodies or EUD in question), to select the STE and to submit a record of the decision to the PMU for future reference.
- 5.5 STEs shall be in two categories, Senior Experts with outstanding and relevant experience, together with at least 15 (fifteen) years professional experience and Experts, with at least 7 (seven) years professional experience.
- 5.6 For STEs proposed by any stakeholder, GF is entitled to require sample work by the proposed STEs and to conduct reference checks before accepting the STE due to its contractual liability for the performance of all subcontractors.
- 5.7 Selected STE for requested TA will have to sign a contract with GF, be briefed by the GF Team Leader and/or the assigned Transport Coordinator and the STE deliverables are subject to approval by GF.
- 5.8 Civil servants and other staff of the public administration of the partner/member country or of international/regional organizations based in the country are in principle not eligible to be considered as STEs.

## 6. Key Stakeholders

The key stakeholders under the TTTFP are the following entities (both public and private) within the Tripartite:

- 6.1 Member/Partner States,

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<sup>3</sup> Template prepared in Microsoft Word entitled "REQUEST FOR TECHNICAL ASSISTANCE (TA) FROM TRIPARTITE TRANSPORT AND TRANSIT FACILITATION PROGRAMME (TTTFP)".

<sup>4</sup> 2 CVs will only be accepted in exceptional cases where 3 CVs are not available.

- 6.2 RECs,
- 6.3 Corridor Management Institutions,
- 6.4 Regional transport and transit facilitation bodies and operator associations recognised by the Tripartite RECs,
- 6.5 EUD Botswana (and other EUD in Member Countries), and
- 6.6 Project Management Unit (PMU i.e. Project Coordinator, Contractor/GF).

## 7. Procedures for TA Approval

#	TASK	TTTFP PMU	REC	MS/CM/EUD (with agreement of the country)	STE
1	Stakeholders (as defined) submit request for TA with draft TORs <b>by completion of designated Template<sup>5</sup></b> that links request to TTTFP results /TORs and the Baseline Survey Country Report		X	X	
2	Review and/or assist in development of TORs	X	X		
3	Agreement on TORs between PMU and Requisitioning Entity	X	X	X	
4	Assesses availability of STE in pre-approved database	X			
5	Advertises if no suitable available in database	X			
6	Select and submits 3 CVs to REC and Requisitioning Entity	X			
7	Requisitioning Entity selects one STE		X	X	
8	Selected STE signs contract with Contractor (GF)	X			X
9	STE is briefed by Team Leader (TL)/ appropriate Transport Coordinator (TC)	X			X
10	STE is issued written instruction to start assignment with detailed reporting requirements	X	X	X	X
11	The PMU with assistance from REC and/or requisitioning entity will supervise STE and the REC and requisitioning entity will provide support where necessary	X	X	X	X
12	STE executes assignment				X
13	STE submits Report/ Deliverables to TL/appropriate TC	X			X
14	TL/TC Reviews Report/ Deliverables	X			
15	TL/TC submits Report/ Deliverables to Requisitioning Entity	X			
16	REC and Requisitioning Entity submit comments on the Report/ Deliverables		X	X	
17	STE incorporates comments in Final Report/ Deliverables				
18	REC and Requisitioning Entity approve Final Report/ Deliverables				
19	TL/TC and STE signs off or corrects Report/ Deliverables as necessary	X			X
20	STE submits invoice, is paid fees and contract is concluded	X			X
21	Requisitioning Entity implements		X	X	
22	Monitor implementation and update dashboard accordingly	X	X	X	

<sup>5</sup> Template prepared in Microsoft Word entitled "REQUEST FOR TECHNICAL ASSISTANCE (TA) FROM TRIPARTITE TRANSPORT AND TRANSIT FACILITATION PROGRAMME (TTTFP)".

## 8. TORs for TA

The starting point for requesting TA is the identification of the scope of work needed and the identification of the professional qualifications and experience as well as language skills required of the STE to undertake the work. The first major step in the procedures is to prepare the Terms of Reference (TORs) for the TA. Some stakeholders might prepare the TORs on their own but others might require assistance from the PMU/Contractor to prepare the TORs, and should not hesitate to seek such assistance.

The TORs for TA shall contain an initial explanation of the TTTFP under this contract. Furthermore, the TOR will contain a summary of the background information for the assignment to be undertaken. The TORs must further contain the following information:

- a) Scope of the work.
- b) Results to be achieved.
- c) Specific tasks to be undertaken.
- d) Participation in meetings, consultations and workshops (if any)
- e) Expected outputs/deliverables.
- f) Expected start date, completion date and duration of assignment in months.
- g) Number of work days.
- h) Expert Position(s), for example, Transport Economist.
- i) Category: Senior Expert/Expert.
- j) Minimum requirements of academic and/or professional qualifications, general professional experience and specific experience.
- k) Location for work, stating the number of working days at RECs and Member States location or home based.

## 9. Procedures for Selection of STEs

The procedures for selection of that designated STE are:

- 9.1 Identify the scope of work needed.
- 9.2 Prepare TORs for the TA (details of TORs and some stakeholders may require assistance from Transport Coordinators/PMU in preparation).
- 9.3 Identify the qualifications and experience as well as language skills required of the STE to undertake the work.
- 9.4 Based on the qualifications and experience required in the TORs to undertake the work the Contractor submits the best 3 STEs from the database of STEs to the relevant REC for selection of the STE.
- 9.5 If no suitable STE can be identified in the database of STEs, the Contractor is requested to advertise for STEs based on the TORs, and upload to the REC websites for a period of one week. The Contractor evaluates the responses to the advertisement based on the TORs requirements on qualifications and submits the best 3 STEs to the relevant REC for selection of the STE.

- 9.6 The relevant REC liaises with the Requisitioning Entity (stakeholder, country or EUD in question), to select the STE and submits a record of the decision to the PMU for future reference.

## 10. Procedures for Supervision of STEs

The STEs are the direct responsibility of GF in respect of coordination and alignment of the work with the project activities and deliverables as well as coordination and interaction with the project members and teams. The tasks assigned to the STEs are aligned to the project programme through the TORs that describes the required services, expected output/deliverables with deadlines and the quality review and reporting requirements. The frequency of reporting is determined by the scope of the complexity of the assignment, however, in general the reporting is required monthly or every second month. The format and manner of reporting are also prescribed in the TORs.

Through the GF Team (TL and TCs), the services of the STEs are monitored and supervised in respect of the following:

- 10.1 Coordination of work with related and dependent activities.
- 10.2 Progress made and the achievement of outputs with implications in respect of project programme timelines and dependencies.
- 10.3 Identification of risk factors, problems experienced and facilitation required for direction in respect of solutions and alternatives to be considered.
- 10.4 Coordination of the continuous quality control and reporting process.
- 10.5 The TL reviews and audits the work performed and monitor the overall project programme performance in respect of key results and deliverables with coordination with the TCs.
- 10.6 Should the STE be unable to produce the deliverables of the expected quality, the TL assigns appropriate backstopping resources to review the quality of work in relation to the project deliverables in conjunction with the TCs.
- 10.7 The inputs received from the backstopping review are considered and applied for corrective action or alignment of STE work through the TL and TCs.