



REQUEST FOR EXPRESSION OF INTEREST

SELECTION OF INDIVIDUAL CONSULTANTS

REFERENCE NUMBER: *SADC/PPRM/01/16*

REQUEST FOR SERVICES TITLE:

**INDIVIDUAL CONSULTANCIES TO CONDUCT STUDIES FOR THE
DEVELOPMENT OF A SADC RESOURCE MOBILISATION FRAMEWORK
(ALTERNATIVE SOURCES OF FUNDING SADC REGIONAL PROGRAMMES)**

APRIL 2016

1. **The Southern African Development Community (SADC) Secretariat** is inviting interested and eligible Individual Consultants to submit their CVs and Financial Proposal for the following services:

“DEVELOPMENT OF A SADC RESOURCE MOBILISATION FRAMEWORK (ALTERNATIVE SOURCES OF FUNDING SADC REGIONAL PROGRAMMES)”.

The individual consultants will be required to undertake **one of the following assignments** leading into the development of a SADC Resource Mobilization Framework: (Alternative Sources of Funding SADC Regional Programmes).

- a) Expert on curbing illicit financial flows to undertake consultancy on Curbing illicit financial flows and Creation of Fiscal Space to Enable SADC finance its Regional Programmes
- b) Expert on Lottery to undertake consultancy on Regional lottery and Creation of Fiscal Space to Enable SADC finance its Regional Programmes;
- c) Expert on Philanthropy to undertake consultancy on Philanthropy High network and Corporates and Creation of Fiscal Space to Enable SADC finance its Regional Programmes
- d) Expert on Import and Export tax levies to undertake consultancy on Import and Export Levies and Creation of Fiscal Space to Enable SADC finance its Regional Programmes
- e) Expert on Insurance Policies Tax to undertake consultancy on Insurance Levy and Creation of Fiscal Space to Enable SADC finance its Regional Programmes
- f) Expert of Regional Transport Levy (air and surface transport) to undertake consultancy on Regional Transport Levy and Creation of Fiscal Space to Enable SADC finance its Regional Programmes
- g) Expert on Tourism Levy to undertake consultancy on Tourism Levy and Creation of Fiscal Space to Enable SADC finance its Regional Programmes

Terms of Reference defining the minimum technical requirements for each of the required Expert are attached as **Annex 1a to 1g** to this Request for Expression of Interest.

2. **Individual Consultants are eligible for this assignment provided that they fulfil the following eligibility criteria:**

- a) *they are not bankrupt or being wound up, are having their affairs administered by the courts, have entered into arrangements with creditors, have suspended business activities, are being subject of proceedings concerning those matters, or are being in any similar situations arising from similar procedures provided for in the national legislation or regulations of the SADC member states;*
- b) *they have not been convicted of offences concerning their professional conduct by a judgment which has the force of res judicata; (i.e. against which no appeal is possible);*

- c) *they have not been declared guilty of grave professional misconduct proven by any means which SADC Secretariat can justify;*
- d) *they have fulfilled obligations related to the payments of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those countries where the contract is to be performed;*
- e) *they have not been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization or any other illegal activity detrimental to the SADC Secretariat' financial interests; or*
- f) *they are not being currently subject to an administrative penalty.*

3. The maximum budget for **each contract** is **US\$ 14,000 (Fees and reimbursables)**. Proposals exceeding this budget will not be accepted.
4. Your Expression of Interest must be presented as per Standard Expression of Interest Forms attached as Annex 2 to this REOI, in the English language and be accompanied by copies of all the indicated supporting documents. If the supporting documents are not in English, these shall be accompanied by a certified translation into English.
5. Your proposal clearly marked **“THE NAME OF THE CONSULTANCY BEING APPLIED FOR– REFERENCE NUMBER SADC/PPRM/01/16”** in a sealed envelope, should be submitted in our tender box located at the following address:
*SADC Secretariat
 Plot 54385 CBD
 Private Bag 0095
 Gaborone
 Botswana*
Attention: Mr. Gift Mike Gwaza MCIPS
6. Expressions of Interest submitted by E-mail *are* acceptable and **MUST** be sent to individualconsultants@sadc.int
7. The deadline for submission of your Expression of Interest to the address and email indicated in Paragraph 5 and 6 above is **27th MAY 2016 at 10:00 hours local time**
8. Your CV will be evaluated against the following criteria.

Criteria	Maximum points allocated
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

9. Your proposal should be submitted as per the following instructions and in accordance with the Terms and Conditions of the Standard Contract attached as Annex 3 to this REOI:

(i) **PRICES:**

The financial proposal shall be inclusive of all expenses deemed necessary by the Individual Consultant for the performance of the contract.

(ii) **EVALUATION AND AWARD OF THE CONTRACT:**

Expressions of Interest determined to be formally compliant to the requirements will be further evaluated technically.

An Expression of Interest is considered compliant to the requirements if:

- It fulfils the formal requirements (see Paragraphs 2,3,4,5,6 and 7 above),
- The financial proposal does not exceed the maximum available budget for the contract.
- The award will be made to the applicant who obtained the highest technical score. Expressions of Interest not obtaining a minimum score of 70% will be rejected.

(iii) **VALIDITY OF THE EXPRESSION OF INTEREST:**

Your Expression of Interest should be valid for a period of 90 days from the date of deadline for submission indicated in Paragraph 6 above.

10. The assignment is expected to commence within two (2) weeks from the signature of the contract.

11. Additional requests for information and clarifications can be made until 10 working days prior to deadline indicated in the paragraph 7 above, from:

The Procuring entity: *SADC Secretariat*

Contact person: *Gift Mike Gwaza/ Tracy Zinanga*

Telephone: *3951842*

Fax: *3972848*

E-mail: ggwaza@sadc.int

Copy: tzinanga@sadc.int ; aandoniaina@sadc.int

The answer on the questions received will be sent to the Consultant and all questions received as well as the answer(s) to them will be posted on the SADC Secretariat's website at the latest 7 working days before the deadline for submission of the proposals.

ANNEXES:

ANNEX 1: Terms of Reference defining the minimum technical requirements for each of the required Expert

ANNEX 2: Expression of Interest Forms

ANNEX 3: Standard Contract for Individual Consultants

Sincerely,

Name: *Gift Mike Gwaza MCIPS*

Title: *Procurement Officer*

Date: *6th May 2016*

Annex 1

TERMS OF REFERENCE



DEVELOPMENT OF A SADC RESOURCE MOBILISATION FRAMEWORK: (ALTERNATIVE SOURCES OF FUNDING SADC REGIONAL PROGRAMMES)

Terms of reference for the group of individual consultants (experts) to carry out research on various options of alternative sources:

Annex 1a: Expert on curbing illicit financial flows

Annex 1 b: Expert on Lottery

Annex 1c: Expert on Philanthropy

Annex 1d: Import and export tax levies

Annex 1e: Insurance policies tax

Annex 1f: Regional transport levy (i.e., air and surface transport)

Annex 1g: Tourism levy

Annex 1a:

Terms of Reference for Consultancy on Curbing illicit financial flows and Creation of Fiscal Space to Enable SADC Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
- iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will assist in the selection of the consultant on curbing illicit financial flows (CIFFs).

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on CIFFs as a sources of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse illicit cross-border financial flows as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Analyse how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse the technical and legal feasibility conditions for this option;
- Analyse the required conditions for agreement that could be implemented by the Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies at national level that could be involved in scoping the feasibility of such a mechanism, e.g., do we need to draw on the cross-border expertise from Eastern and Southern Africa 'Anti-Money' Laundering Group (ESAAMLG)?
- Analyse the economic and financial impact of this option on the various industries directly affected by illicit financial flows and show how the effect can be minimised;
- Analyse how the illicit financial flows can be minimised, given lack of reliable data, accurate measurement of illicit financial flows, and legal framework for combating the cross-border transfers of illicit money;
- Assess how much of the income will be curbed from this option and how much of the resources can be mobilised using innovative financial instruments;
- Show which parties of the society would benefit more from this option; and
- Illustrate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on illicit financial flows as a source of alternative income, consolidate national knowledge on status and potentials for boosting financial resources and create fiscal space to finance SADC regional projects. In this regard, the expert is expected to review the trends of illicit financial flows (IFFs) as a source of revenue for Member States;
- Review and analyse trends in IFFs at least over the last 10 years and to the extent possible show how curbing flows using this option could impact the overall resource mobilisation for SADC;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using this option and analyse fiscal resources that the country has committed to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director PPRM and assistance from Working Group, the consultant will:

- a) Develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake a literature review of existing studies on IFFs as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using IFFs to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such a levy on the fiscus of Member States, feasibility and sustainability of recommended options;
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using IFFs to enable SADC Member States contribute financial resources to support regional programmes; and
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timeframe for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced degree in business law, accountancy, finance, economics or professional qualification in an area related to tax or any other relevant field in relation to the assignment,

Specific Experience:

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of anti-money laundering, and tax related matters. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with the Working Group.

8. Responsibilities**8.1 The SADC Secretariat and Working Group**

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat; and
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with the Working Group, particularly the one assigned to this project.

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1b:
Terms of Reference for
Consultancy on Regional Lottery and Creation of Fiscal Space to Enable SADC
Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and

- benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
 - iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on regional lottery.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on regional lottery as a source of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse regional lottery as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Review how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse technical and legal feasibility conditions for this option;
- Analyse conditions required for agreement that could be implemented by Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies that could be involved in scoping the feasibility of such a mechanism; e.g. the need to draw on the cross-border expertise from state lottery bodies;
- Analyse the economic and financial impact of this option on SADC regional initiatives;
- Analyse how the option could be implemented, given lack of a regional policy framework for such an option;
- Analyse the indicative levels of income that Member States can expect to generate from this option;
- Analyse the financial burden of the regional lottery option on the lottery industry (national level); and
- Indicate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on regional lottery, consolidate knowledge on status and potential for boosting alternative sources of income using this option and create

fiscal space to finance regional projects. In this regard, the expert is expected to review the trends of regional lottery as a source of revenue for Member States.

- Review and analyse trends in regional lottery at least over the last 10 years and to the extent possible show how mobilising resources for regional projects could impact the domestic resource mobilisation;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using lottery resources and analyse fiscal resources that the country has committed to regional projects. Based on this analysis the expert is expected to establish the percentage contribution to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director PPRM and assistance from the Working Group, the consultant will:

- a) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake a literature review of existing studies on regional lottery as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using insurance levy to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such resources on the fiscus of Member States, feasibility and sustainability of recommended options;
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using the levies and fiscal spaces to enable SADC Member States contribute financial resources to support regional programmes; and
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timeframe for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced university degree in finance, business administration or professional qualification in an area related to development economics or any other relevant field in relation to the assignment,

Specific Experience

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of lottery and responsible for the implementation of fiscal policies. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position

requires in-depth knowledge of domestic resource mobilization, public finance, and gaming.

General Skills

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with the Working Group.

8. Responsibilities

8.1 The SADC Secretariat and Working Group

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat; and
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with the Working Group, particularly the one assigned to this project.

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1c:
Terms of Reference for
Consultancy on Philanthropy- High-network and Corporates and Creation of
Fiscal Space to Enable SADC Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and

- benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
 - iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on philanthropy.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special focus on philanthropic sources of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse the scale and nature of philanthropic resources as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Analyse how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse the technical and legal feasibility conditions for this option;
- Analyse the required conditions for agreement that could be implemented by the Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies at national level that could be involved in scoping the feasibility of such a mechanism, e.g., do we need to draw on the cross-border expertise from private sector and NGOs?
- Analyse the economic and financial impact of this option on the various SADC regional projects and show how these can be facilitated and scaled up;
- Analyse how the philanthropic resources can be identified, mapped, mobilised given lack of reliable data;
- Analyse how much of the income can be mobilised using this option;
- Show which parties of the society would benefit more from this option; and
- Illustrate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review the literature on philanthropy as a source of alternative income, consolidate national knowledge on status and potential for boosting financial resources and create fiscal space to finance SADC regional projects. In this regard, the expert is expected to review the trends of philanthropy as a source of revenue for Member States;

- Review and analyse trends in philanthropy at least over the last 10 years and to the extent possible show how mobilising philanthropic resources using this option could impact the overall resource mobilisation for SADC;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using this option and analyse fiscal resources that the country has committed to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director PPRM and assistance from Working Group, the consultant will:

- f) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- g) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- h) Undertake literature review of existing studies on philanthropy as alternative sources of income, and consolidate this into concrete evidence;
- i) Present the study report to the validation workshop; and
- j) Present the revised and final draft report on the feasibility of alternative resources using philanthropy to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such a levy on the fiscus of Member States, feasibility and sustainability of recommended options.
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using philanthropy to enable SADC Member States contribute financial resources to support regional programmes; and
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timeframe for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced degree in economics, business, finance or professional qualification in an area related to philanthropy or any other relevant field in relation to the assignment,

Specific Experience:

The Consultant is required to have five to ten years of relevant professional experience relating to the culture of philanthropy. This would most likely be obtained from working in a sub-regional economic community, in the area of philanthropy, and tax incentives for philanthropy. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with the Working Group.

8. Responsibilities

8.1 The SADC Secretariat and Working Group

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat; and
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with the Working Group, particularly the one assigned to this project.

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1d:
Terms of Reference for
Consultancy on Import and Export Levies and Creation of Fiscal Space to Enable
SADC Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and

- benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
 - iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on import and export levies.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on the import and export levies as a source of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse import and export levies as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Analyse how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse the technical and legal feasibility conditions for this option;
- Analyse the required conditions for agreement that could be implemented by the Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies at national level that could be involved in scoping the feasibility of such a mechanism, e.g., do we need to draw on the cross-border expertise customs, trade, and treasury officials?
- Analyse the economic and financial impact of this option on the various industries directly linked with these levies and show how the impact can be minimised;
- Analyse how the contributions from this option can be levied, given the territoriality principle when it comes to taxes;
- Analyse how much of the income will be generated from this option, given the territoriality principle when it comes to levies;
- Show which parties of the society would bear the financial burden of the regional import and export levies; and
- Illustrate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on import and export levies as a source of alternative income, consolidate national knowledge on status and potential for boosting financial resources and create fiscal space to finance SADC regional projects. In this

regard, the expert is expected to review the trends of import and export levies as a source of revenue for Member States;

- Review and analyse trends in import and export levies at least over the last 10 years and to the extent possible show how a small proportion increase in the % rate on these levies could impact the domestic resource mobilisation;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using import and export levies and analyse fiscal resources that the country has committed to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director PPRM and assistance from Working Group, the consultant will:

- a) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake literature review of existing studies on import and export levies as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using import and export levies to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such a levy on the fiscus of Member States, feasibility and sustainability of recommended options.
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using levies and fiscal spaces to enable SADC Member States contribute financial resources to support regional programmes.
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timetable for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced university degree in economics, trade, finance, or a related field,

Specific Skills:

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of trade and customs, with responsibility for the implementation of customs policy. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with the Working Group.

8. Responsibilities

8.1 The SADC Secretariat and Working Group

SADC Secretariat and SAT shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat;
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the PPRM Director and work closely with the Working Group, particularly the one assigned to this project.

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1e:
Terms of Reference for
Consultancy on Insurance Levy and Creation of Fiscal Space to Enable SADC
Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and

- benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
 - iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on insurance levy.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on insurance levy as a source of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse insurance levy as an alternative measure to boost resource mobilization in SADC region for financing regional programmes. In particular, the study will seek to:

- Review how this option can be narrowed down to a feasible proposal for operationalisation;
- analyse technical and legal feasibility conditions for this option;
- analyse conditions required for agreement that could be implemented by Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies that could be involved in scoping the feasibility of such a mechanism; E.g. do we need to draw on the cross-border expertise from other non-banking finance regulatory bodies;
- Analyse the economic and financial impact of this option be on the insurance industry and how it can be limited;
- Analyse how the contributions could be levied in the insurance industry, given the territoriality principle when it comes to taxes;
- Analyse the indicative levels of income that Member States can expect to generate from this option;
- Analyse the financial burden of the insurance levy; and
- Indicate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on insurance levy, consolidate national knowledge on status and potential for boosting alternative sources of income using this levy and create fiscal space to finance regional projects. In this regard, the expert is expected to review the trends of insurance levy as a source of revenue for Member States.

- Review and analyse trends in insurance levy at least over the last 10 years and to the extent possible show how a small proportion increase in the % rate on this levy could impact the domestic resource mobilisation on this sources.
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using insurance levy and analyse fiscal resources that the country has committed to regional projects. Based on this analysis the expert is expected to establish the percentage contribution to regional projects.
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director of PPRM and assistance from Working Group, the consultant will:

- a) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake literature review of existing studies on insurance levy as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using insurance levy to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such levies on the fiscus of Member States, feasibility and sustainability of recommended options.
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using the levies and fiscal spaces to enable SADC Member States contribute financial resources to support regional programmes.
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timetable for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced university degree in economics, finance, actuarial science or a related field,

Specific Experience:

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of insurance and responsible for the implementation of non-bank financial policy. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and also expected to work closely with the Working Group.

8. Responsibilities

8.1 The SADC Secretariat and Working Group

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat;
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent personnel and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with SAT and Working Group, particularly the one assigned to this project.

9. Documents to be included when submitting the proposals.

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1f:
**Terms of Reference for Consultancy on Regional Transport Levy and Creation of
Fiscal Space to Enable SADC Finance its Regional Programmes**

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;

- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
- iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on regional transport levy.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on regional transport levy as a source of income to finance SADC regional programs.

2. Objective and Scope of Study

The main objective of the study is to analyse regional transport levy as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Analyse how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse the technical and legal feasibility conditions for this option;
- Analyse the required conditions for agreement that could be implemented by the Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies at national level that could be involved in scoping the feasibility of such a mechanism, e.g., do we need to draw on the cross-border expertise from transport ministries, associations of transport, and treasury?
- Analyse the economic and financial impact of this option on the various industries directly linked with fossil fuels and show how the impact can be minimised;
- Analyse how the contributions from this option can be levied in the transport industry, given the territoriality principle when it comes to taxes;
- Analyse how much of the income will be generated from this option, given the territoriality principle when it comes to levies?
- Show which parties of the society would bear the financial burden of the regional transport levy; and
- Illustrate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on regional transport levy as a source of alternative income, consolidate national knowledge on status and potentials for boosting financial resources and create fiscal space to finance SADC regional projects. In this regard, the expert is expected to review the trends of transport levy as a source of revenue for Member States;

- Review and analyse trends in regional transport levy at least over the last 10 years and to the extent possible show how a small proportion increase in the % rate on this levy could impact the domestic resource mobilisation on this option;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using regional transport levy and analyse fiscal resources that the country has committed to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director of PPRM and assistance from Working Group, the consultant will:

- a) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake literature review of existing studies on transport levy as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using transport levy to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such a levy on the fiscus of Member States, feasibility and sustainability of recommended options.
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using levies and fiscal spaces to enable SADC Member States contribute financial resources to support regional programmes.
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timetable for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced university degree in transport economics, finance, or a related field,

Specific Experience:

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of resource mobilisation, transport, and responsible for the implementation of transport policies. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with the Working Group.

8. Responsibilities

8.1 The SADC Secretariat and Working Group

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat;
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with the Working Group, particularly the one assigned to this project.

9. Documents to be included when submitting the proposals.

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

Annex 1g:
Terms of Reference for
Consultancy on Tourism Levy and Creation of Fiscal Space to Enable SADC
Finance its Regional Programmes

1. Background

Since its inception, most of the activities of the Southern African Development Community (SADC) have been implemented using resources from SADC Member States and from Development Partners. This model of funding has not worked well for SADC as it has contributed to most of the activities not being implemented. This situation has worsened over time with the increase of regional activities. For instance in the next five years it is expected that SADC will require approximately US\$260 million to fund its regional projects (i.e., coordination of activities, studies, capacity building initiatives as well as consensus meetings). The community will also need US\$64 billion to fund regional infrastructure projects. From the total amount of US\$64.3 billion required to fund SADC regional projects and activities, only US\$43.2 million is currently committed to this budget and this translates to a financing gap of 99.3%. Furthermore, commitments from Member States and from Development Partners indicate a huge disparity, with only 9.2% of regional projects being funded by Member States while the balance of 90.8% is funded by Development Partners. This situation is not sustainable and if meaningful regional integration is to be achieved, this dependence on donor resources needs to be reversed urgently so that the bulk of regional activities are funded by SADC Member States.

To address the growing need for resources alluded to in the preceding section, SADC and its Development Partners adopted the Windhoek Declaration in 2006 to guide cooperation between SADC and Development Partners for the achievement of the SADC socio-economic development agenda (as outlined in the Regional Indicative Strategic Development Plan RISDP) and the overarching objective of poverty eradication.

As part of implementing the Windhoek Declaration, in August 2008 the SADC Council of Ministers directed the SADC Secretariat to explore sustainable alternative sources of income to minimise the inherent risks of relying heavily on the support from Development Partners (Council Decision of August 2008). This directive was further reiterated in March 2015 while considering the revised RISDP 2015-2020 and Industrialization Strategy, when Council directed that a concept note on alternative sources of income be developed. The note was developed with the assistance of Southern African Trust and presented to the Committee of Ministers of Finance and Investment at their meeting in August 2015 in Bulawayo, Zimbabwe.

The Council of Ministers endorsed the recommendations made by the Committee of Ministers of Finance and Investment. It was recommended, among others, that the Secretariat constitutes a working group comprising experts from Member States to coordinate work on the development of a SADC Regional Resource Mobilisation Framework and in particular to:

- i) conduct detailed research into the various options of alternative sources of income, including consultations with relevant structures in Member States, and

- benchmarking with relevant organisations such as the African Union and other regional economic communities. The research will also include case studies;
- ii) build consensus on the implementable options for alternative sources of income to support regional integration; and
 - iii) develop a comprehensive proposal on the SADC Regional Resource Mobilisation Framework and submit it to the Ministers for consideration and recommendation to Council in August 2016.

To advance the work on the alternative sources of income and development of a Regional Resource Mobilisation Framework that would support and catalyse regional integration through provision of viable options to alternative and existing mechanisms for addressing structural, economic and development needs, the SADC Secretariat has decided to develop the terms of reference which will facilitate the selection of the consultant on tourism levy.

The consultant will facilitate the study and development of the regional resource mobilisation framework on potential alternative sources of income with special emphasis on tourism levy as a source of income to finance SADC regional programmes.

2. Objective and Scope of Study

The main objective of the study is to analyse tourism levy as an alternative measure to boost resource mobilization in the SADC region for financing regional programmes. In particular, the study will seek to:

- Review how this option can be narrowed down to a feasible proposal for operationalisation;
- Analyse the technical and legal feasibility conditions for this option;
- Analyse the required conditions for agreement that could be implemented by the Member States;
- Analyse the conditions needed to implement such a mechanism;
- Identify bodies at national level that could be involved in scoping the feasibility of such a mechanism, e.g., do we need to draw on the cross-border expertise from tourism association from Member States?
- Analyse the economic and financial impact of this option on the various industries directly linked with tourism and show how the impact can be minimised;
- Analyse how the contributions from this option can be levied in the various industries dealing with tourism, given the territoriality principle when it comes to taxes;
- Analyse how much income will be generated from this option, given the territoriality principle when it comes to levies?
- Show which parties of the society would bear the financial burden of the tourism levy; and
- Illustrate the process and timeframe for the implementation of such mechanisms.

In undertaking these objects, the short term expert is expected to:

- Review literature on tourism levy as a source of alternative income, consolidate national knowledge on status and potentials for boosting financial resources and

create fiscal space to finance SADC regional projects. In this regard, the expert is expected to review the trends of tourism levy as a source of revenue for Member States;

- Review and analyse trends in tourism levy at least over the last 10 years and to the extent possible show how a small proportion increase in the % rate on this levy could impact the domestic resource mobilisation on this option;
- Review the regional programmes each member country of SADC has undertaken to finance in the last 10 years using tourism levy and analyse fiscal resources that the country has committed to regional projects; and
- Recommend overall regional resource mobilization strategy and how this can be adopted in the country's development plans, strategies and options for promoting or incentivising to contribute financial resources to finance SADC regional programmes on a sustainable basis.

3. Major tasks, required outputs

Under the direct supervision of the Director of PPRM and assistance from Working Group, the consultant will:

- a) develop and present an inception report to the Director PPRM highlighting the methods and approaches, including data collection, that will be used to conduct the study;
- b) Develop and implement effective methodologies and tools for data collection including interviews with key policy makers and other informants which will ensure that all the necessary information is captured for analysis;
- c) Undertake literature review of existing studies on tourism levy as alternative sources of income, and consolidate this into concrete evidence;
- d) Present the study report to the validation workshop; and
- e) Present the revised and final draft report on the feasibility of alternative resources using tourism levy to SADC Secretariat.

The main outputs expected from the consultant are:

- Detailed Inception Report highlighting the study design, data collection and methods of analysis (maximum 10 pages without annexes), and validation of results;
- Draft report with evidence based analyses of existing policies and practices, trends, recommendations and stakeholders comment and inputs with due consideration of the impact of such levies on the fiscus of Member States, feasibility and sustainability of recommended options;
- The draft report should also capture recommendations for policy, strategies and practical options for boosting alternative sources of income using this option of tax and fiscal spaces to enable SADC Member States contribute financial resources which will be used to support regional programmes; and
- A final report incorporating comments from national consultations presented in soft copies and hard copies (maximum 40 pages without annexes).

4. Duration of the work

This assignment is expected to be undertaken over a period of 35 working days after the recruitment of the consultant and signing of the contract.

To this end the total number of days allocated for this assignment is two months. The location of the assignment is home-based for finalising (addressing comments on) the draft final report. The allocation for finalising the report is 5 working days. The following table provides an indicative timetable for the assignment.

Please note that it is expected that the consultants will work 5 days per week including days designated as public holidays.

Indicative Timetable:

Activity	Expert
Inception-briefings, desk review of the existing documents, preparation and submission of the Inception report	4
Collection and analysis of data	15
Drafting of the reports	9
Validation of the reports	2
Finalization and submission of the Final report	5
TOTAL	35

Note that the Stakeholders will have 2 weeks to submit written comments on the draft Final Report. These will be in addition to the verbal comments given in the Stakeholders Validation Workshop.

5. Duty Station

SADC Secretariat, Gaborone, Botswana with the possibility of travelling to SADC Member States

6. Qualifications and Experience of the Expert

Education and Training:

The successful candidate should have an advanced university degree in development economics, finance, or a related field,

Specific Experience:

The Consultant is required to have five to ten years of relevant professional experience. This would most likely be obtained from working in a sub-regional economic community, in the area of development finance, with responsibility for the implementation of economic development policy. The candidate should also have demonstrated sound policy judgment; analytical and quantitative skills; excellent oral and written communication skills; and a capacity to meet tight deadlines. Strong interpersonal abilities and team spirit are required. The position requires in-depth knowledge of domestic resource mobilization and public finance.

General Skills:

In addition to English, working knowledge of French or Portuguese would be highly desirable.

7. Reporting

For contractual purposes, the Consultant shall work under the direct supervision of the Director PPRM and is also expected to work closely with Working Group.

8. Responsibilities**8.1 The SADC Secretariat and Working Group**

SADC Secretariat and Working Group shall be responsible for the following:

- Providing all necessary documents related to the assignment and available at the SADC Secretariat;
- Assisting in providing all formal and informal contact details with key stakeholders as may be required.

8.2 Consultants

- The Consultant shall exercise diligence in the execution of the assignment, be professionally competent personnel and ensure the delivery of the required outputs on time. The reporting requirements, work program and schedule shall be respected; and
- The Consultant shall formally report to the Director PPRM and work closely with the Working Group, particularly the one assigned to this project.

9.0 Maximum Budget

The maximum budget for this contract is US \$ 14,000 for expert service/consultants fees only. Proposals exceeding this budget will not be accepted.

10.0 Evaluation Criteria

The following evaluation criteria will be used to assess the application. An application that scores above 70% will be accepted.

Category	Points
Education and Training	30
Specific Experience	60
General Skills	10
Total	100

ANNEX 2:

Expression of Interest Forms

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B. CURRICULUM VITAE	44
C. FINANCIAL PROPOSAL	48

A. COVER LETTER FOR THE EXPRESSION OF INTEREST FOR THE PROJECT

[insert name and reference number]

[Location, Date]

To: [Name and address of Procuring Entity]

Dear Sirs:

I, the undersigned, offer to provide the consulting services for [insert title of assignment] in accordance with your Request for Expression of Interests number [insert the number], dated [insert date] and my Financial Proposal for the sum of [Insert amount(s) in words and figures¹]. This amount inclusive of all expenses deemed necessary for the performance of the contract in accordance with the Terms of Reference requirements, and [*“does” or “does not” delete as applicable*] include any of the following taxes in Procuring Entity's country: value added tax and social charges or/and income taxes on fees and benefits.

I hereby declare that all the information and statements made in CV are true and accept that any misinterpretation contained in it may lead to my disqualification.

I take note that under the provisions of the SADC Procurement Policy applicable to this Request For Expression of Interest, a contract cannot be awarded to applicants who are in any of the following situations:

- a) they are being bankrupt or wound up, are having their affairs administered by the courts, have entered into arrangements with creditors, have suspended business activities, are being subject of proceedings concerning those matters, or are being in any similar situations arising from a similar procedures provided for in the national legislation or regulations of the SADC member states;*
- b) they have been convicted of offences concerning their professional conduct by a judgment which has the force of res judicata; (i.e. against which no appeal is possible);*
- c) they have been declared guilty of grave professional misconduct proven by any means which SADC Secretariat can justify;*
- d) they have not fulfilled obligations related to the payments of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those countries where the contract is to be performed;*
- e) they have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the SADC Secretariat' financial interests; or*
- f) they are being currently subject to an administrative penalty.*

I confirm that I am not in any of the situations described above, and I hereby declare that at any point in time, at the SADC Secretariat request, I will provide certified copies of documents to prove that I do not follow in any of the situation described above.

I am aware that the penalties set out in the Procurement Policy may be applied in the case of a false declaration, should the contract be awarded to me.

My proposal is binding upon me for the period indicated in the Paragraph 9(iii) of the Request for Expression of Interest.

¹ Amounts must coincide with the ones indicated under Total Cost of Financial proposal in Form FIN-2.

I undertake, if our Proposal is accepted, to initiate the consulting services related to the assignment not later than the date indicated in Paragraph 10 of the Request for Expression of Interest, and to be available for the entire duration the contract as specified in the Terms of Reference.

I understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

B. CURRICULUM VITAE

[insert the full name]

1. **Family name:** *[insert the name]*
2. **First names:** *[insert the names in full]*
3. **Date of birth:** *[insert the date]*
4. **Nationality:** *[insert the country or countries of citizenship]*
5. **Civil status:** *[insert: married/ divorced/single/ widower]*
6. **Purchase Order details:** **Address:***[insert the physical address]*
Phone: *[insert the phone and mobile no.]*
E-mail: *[insert the email]*
8. **Education:**

Institution: [Date from – Date to]	Degree(s) or Diploma(s) obtained:
<i>[indicate the month and the year]</i>	<i>[insert the name of the diploma and the specialty/major]</i>
<i>[indicate the month and the year]</i>	<i>[insert the name of the diploma and the specialty/major]</i>

7. **Language skills:** (Indicate competence on a scale of 1 to 5) (1 – excellent; 5 – basic)

Language	Reading	Speaking	Writing
<i>[insert the language]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>
<i>[insert the no.]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>
<i>[insert the no.]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>	<i>[insert the no.]</i>

8. **Membership of professional bodies:** *[indicate the name of the professional body]*
9. **Other skills:** *[insert the skills]*
10. **Present position:** *[insert the name]*
11. **Years of experience:** *[insert the no]*
12. **Key qualifications:** (Relevant to the assignment)
[insert the key qualifications]
13. **Specific experience in the region:**

Country	Date from - Date to
<i>[insert the country]</i>	<i>[indicate the month and the year]</i>
.....
<i>[insert the country]</i>	<i>[indicate the month and the year]</i>

14. Professional experience:

Date from – Date to	Location of the assignment	Company & reference person (name & contact details)	Position	Description
<i>[indicate the month and the year]</i>	<i>[indicate the country and the city]</i>	Name of the Company: Address of the company: Phone: Fax: Email: Name and title of the reference person from the company:	<i>[indicate the exact name and title and if it was a short term or a long term position]</i>	Name of the Purchase Order: Beneficiary of the Purchase Order: Brief description of the Purchase Order: Responsibilities:
<i>[indicate the month and the year]</i>	<i>[indicate the country and the city]</i>	Name of the Company: Address of the company: Phone: Fax: Email: Name and title of the reference person from the company:	<i>[indicate the exact name and title and if it was a short term or a long term position]</i>	Name of the Purchase Order: Beneficiary of the Purchase Order: Brief description of the Purchase Order: Responsibilities:
<i>[indicate the month and the year]</i>	<i>[indicate the country and the city]</i>	Name of the Company: Address of the company: Phone: Fax: Email: Name and title of the reference person from the company:	<i>[indicate the exact name and title and if it was a short term or a long term position]</i>	Name of the Purchase Order: Beneficiary of the Purchase Order: Brief description of the Purchase Order: Responsibilities:
.....
<i>[indicate the month and the year]</i>	<i>[indicate the country and the city]</i>	Name of the Company: Address of the company: Phone:	<i>[indicate the exact name and title and if it was a short</i>	Name of the Purchase Order: Beneficiary of the Purchase Order: Brief description of the Purchase Order: Responsibilities:

Date from – Date to	Location of the assignment	Company & reference person (name & contact details)	Position	Description
		Phone: Fax: Email: Name and title of the reference person from the company:	<i>term or a long term position]</i>	

15. **Other relevant information:** (e.g. Publications)

[insert the details]

16. Statement:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.

I hereby declare that at any point in time, at the SADC Secretariat request, I will provide certified copies of all documents to prove that I have the qualifications and the professional experience and indicated at points 8 and 14 above¹, documents which are attached to this CV as photocopies.

By signing this statement, I also authorized the SADC Secretariat to contact my previous or current employers indicated at point 14 above, to obtain directly reference about my professional conduct and achievements.

Date: 6 May 2016

ATTACHMENTS: **1) Proof of qualifications indicated at point 8**
 2) Proof of working experience indicated at point 14

¹ *The proof of stated qualifications shall be in the form of the copies of the degrees and diploma obtained, while for the professional experience the proof shall be either acknowledgement letters from the previous employers or copies of the Purchase Order signed with them.*

C. FINANCIAL PROPOSAL
[insert name and reference number]

N°	Description ¹	Unit ²	No. of Units	Unit Cost (in US\$)	Total (in US\$)
Fees		Day			
Reimbursable expenses, out of which		<i>Total</i>			
1	Per diem allowances	Day			
2	Flights ³	Trip			
3	Miscellaneous travel expenses ⁴	Trip			
4	Insurances cost, out of which:	Lump sum			
	i) Life insurance (including repatriation)	Lump sum			
	ii) Health insurance	Lump sum			
	iii) Third party liability insurance	Lump sum			
	iv) Professional liability insurance	Lump sum			
5	Drafting, reproduction of reports	Lump sum			
6	Office rent	Per month			
7	Others ⁴	TBD			
TOTAL FINANCIAL OFFER (Fees + Reimbursable expenses)					

Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

¹ Delete items that are not applicable or add other items as the case may be.

² Indicate unit cost..

³ Indicate route of each flight, and if the trip is one- or two-ways

⁴ Provide clear description of what is their exact nature

ANNEX 3: STANDARD CONTRACT FOR INDIVIDUAL CONSULTANT

STANDARD TERMS OF CONTRACT (Individual Consultant) Contract Name *[insert the name]* Contract Number *[insert the number]*

THIS Contract (“Contract”) is made on *[day]* day of the month of *[month]*, *[year]*, between, **on the one hand,**

[name of Procuring Entity] (hereinafter called the “Procuring Entity”) with the registered business in ***[insert the name address, phone, fax and email of the procurement entity]***

and, on the other hand,

[insert the full name of the individual] (hereinafter called the “Individual Consultant”), with the residence in ***[insert the Individual Consultant’ address, phone, fax, email]***, citizen of ***[insert the Individual Consultant’s citizenship]*** owner of the ID/Passport Number ***[insert the number]*** issued on ***[insert the date]*** by ***[insert the name of the issuance authority]***,

WHEREAS, the Procuring Entity wishes to have the Individual Consultant perform the services hereinafter referred to, and WHEREAS, the Individual Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. Definitions

For the purpose of this contract the following definitions shall be used:

- 1.1 **Procuring Entity** means the legally entity, namely ***[insert the name]*** who purchase the Services described in Annex 1 to this contract.
- 1.2 **Contract** means the agreement covered by these Terms including the Annexes and documents incorporated and/or referred to therein, and attachments thereto.
- 1.3 **Contract value** means the total price of the Financial Proposal included in the Individual Consultant’s Expression of Interests dated ***[insert the date]*** for

the project *[insert the name]* and reflected as such in the Annex 2 of this contract.

- 1.4 **Individual Consultant** means the individual to whom the Procuring Entity has awarded this contract following the Request for Expression of Interest *[insert the number]* for the project *[insert the name]*.
- 1.5 **Services** means the Services to be performed by the Individual Consultant as more particularly described in Annex 1; for the avoidance of doubt the Services to be performed include all obligations referred to in this Contract (as defined above).

2. The Services

The Individual Consultant will undertake the performance of the Services in accordance with the provisions of the Annex 1 of this Contract and shall in the performance of the Services exercise all the reasonable skill, care and diligence to be expected of an Individual Consultant carrying out such services.

3. Payment

- 3.1 The Individual Consultant shall be paid for the Services at the rates and upon the terms set out in Annex 2.
- 3.2 Payment shall be made to the Individual Consultant in US \$ unless otherwise provided by this contract and where applicable VAT shall be payable on such sums at the applicable rate. The Individual Consultant must, in all cases, provide their VAT registration number on all invoices.
- 3.3 Unless otherwise provided in this Contract, invoices shall be delivered to and made out to Procuring Entity and shall be paid within 30 days of receipt by Project Director, subject to the Individual Consultant having complied with its obligations hereunder in full as stated in the Annex II to this Contract. Procuring Entity reserves the right to delay and/or withhold, fully or partially, payments that have not been supported by full and appropriate supporting evidence that the services provided were delivered and accepted by the Procuring Entity.

4. Status of the Individual Consultant

- 4.1 For the duration of the Contract the Individual Consultant will have a status similar to the Procuring Entity's employees with regards to their legal obligations, privileges and indemnities in the Procuring Entity's country.
- 4.2 The Procuring Entity will be responsible for ensuring all visas, work permits and other legal requirements to enable The Individual Consultant and live and work in the countries of the assignment as per the duties under the contract.
- 4.3 The Individual Consultant shall be responsible for paying any tax and social security contributions in its country of residence, for any activity deriving from this contract. Such costs shall be assumed included in the Individual Consultant's fees.
- 4.4 The Procuring Entity shall be responsible for paying any taxes resulting from the activities performed under this contract imposed to the Individual in the

country(ies) of the assignment with the exception of the ones set out in paragraph 5.3 above.

5. Supervision of the Services

The Individual Consultant undertakes to deliver the Services in compliance with a system of quality assurance acceptable to Procuring Entity which shall include any steps to comply with the standards operated by Procuring Entity. The Individual Consultant shall be informed of the specific requirements in relation to this, and at the request of Procuring Entity shall afford such access to its information, records and other materials during normal office working hours as Procuring Entity may require in order to confirm that the work in progress is in accordance with these quality procedures.

6. Compliance with this contract

Procuring Entity will be entitled to seek confirmation from the Individual Consultant, at any time during the delivery of this contract, and for a period of 1 year after its completion, that the Individual Consultant has complied with the terms of this contract. Procuring Entity may also request the provision of reasonable documentary evidence to support this. As stated in article 2.3 of this Contract, Procuring Entity may delay or withhold payments in the event of non-compliance.

7. Assignment and Subcontracting

- 7.1 The Individual Consultant shall under no circumstances sub-contract, sublet, assign or transfer the Contract or any part share or interest in it. Where the Individual Consultant considers it necessary to use the services of a third party the Individual Consultant shall inform the Procuring Entity the Project Director in writing, and only once written approval is provided can the Individual Consultant proceed to use a third party.
- 7.2 When the Project Director agrees that the activities under the contract can be performed by third party, the third party involved in the delivery of services in this contract, will be under the direct control of Individual Consultant. Procuring Entity will not be responsible for the third party performance of duties or Services assigned to third party, and neither for ensuring conditions of employment are met nor for any other employment obligations relating to that person including, but not restricted to, taxation and insurance including professional indemnity insurance, employer's liability insurance and public liability insurance.

8. Breach of the Terms

In the event of a breach of any Terms of the Contract the party not in breach may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice, not normally being longer than 30 days. If the breach has not been remedied before the expiry of the specified period, the party not in breach may then terminate the Contract in writing and may take appropriate steps to remedy the breach.

9. Liability of the Individual Consultant

- 9.1 Procuring Entity will be relying on the Individual Consultant's skills, expertise and experience in relation to the performance of the Services in accordance

with this contract and also upon the accuracy of all representations and statements made and the advice given by the Individual Consultant in connection with the provision of the Services.

- 9.2 In view of the reliance by Procuring Entity set out in 10.1 above the Individual Consultant agrees at its own expense to indemnify, protect and defend Procuring Entity, its agents and employees, from and against all actions, claims, losses or damages arising out of the Individual Consultant's performance of this contract provided that:
- a) the Individual Consultant is notified of such actions, claims, losses or damages not later than 30 days after Procuring Entity becomes aware of them;
 - b) the ceiling on the Individual Consultant's liability to Procuring Entity shall be limited to an amount equal to the contract value, and such ceiling shall not apply to any losses or damages caused to third parties by the Individual Consultant or by the Individual Consultant's willful misconduct; and
 - c) the Individual Consultant's liability shall be limited to actions, claims, losses or damages directly caused by such failure to perform its obligations under the contract and shall not include liability arising from unforeseeable occurrences incidental or indirectly consequential to such failure.
- 9.3 At its own expense, the Individual Consultant shall, upon request of Procuring Entity, remedy any defect in the performance of the services in the event of the Individual Consultant's failure to perform its obligations under the contract.
- 9.4 The Individual Consultant shall have no liability whatsoever for actions, claims, losses or damages occasioned by Procuring Entity omitting to act on any recommendation, or overriding any act, decision or recommendation, of the Individual Consultant, or requiring the Individual Consultant to implement a decision or recommendation with which the Individual Consultant disagrees or on which it expresses a serious reservation.

10. Insurance

- 10.1 The Individual Consultant must ensure that full and appropriate professional indemnity insurance, third party liability insurance, life/travel and health insurance is in place for all Services provided. The Individual Consultant is obliged to provide full copies of such insurance within 45 days from the signature of this Contract.
- 10.2 The cost of such insurances will be covered from reimbursable expenses of the contract.
- 10.3 Where national requirements or practices provide for different regulations/practices concerning insurance, the Individual Consultant may provide written confirmation of all insurances held and a signed declaration that these are in line with regulations/practices in their country of operation. Only if such confirmation has been provided, and written confirmation of its acceptance provided to the Individual Consultant by Procuring Entity, will this

remove the obligation to meet the requirements of clause 11.1 of this Contract in full.

- 10.4 All insurances effected by the Individual Consultant shall be effected with an insurer of good repute and the Individual Consultant agrees to maintain such insurances for a period of 1 year from the completion of the Services under this Contract so long as such insurance continues to be available upon reasonable terms at reasonable commercial rates failing which Procuring Entity shall be entitled to take out insurance itself to cover any potential liability to its own Procuring Entity in relation to the performance of the Services under this contract. The cost of such insurance shall be a debt immediately due from the Individual Consultant.
- 10.5 The provisions of this clause shall remain in full force and effect notwithstanding the completion of the performance of the Services hereunder and the satisfaction of all other provisions of this contract.

11. Copyright

- 11.1 Unless otherwise specified in the Contract, the title of the copyright and any other intellectual property rights arising out of the performance of this Contract shall be vested in Procuring Entity which shall have the unfettered right to assign and grant sub-licences in respect of the same. Except as permitted by the Terms of this Contract, the said materials shall not be reproduced or disseminated without proper consultation with, and written permission from, the Procuring Entity. This provision shall apply to the title to rights arising from the performance under this contract but shall not apply to the internal systems or rights in relation to the Individual Consultant's own systems not created specifically for this purpose and where the same are an important part of the Services the Individual Consultant shall grant a free and irrevocable licence to Procuring Entity and its assigns for the use of the same in that connection.
- 11.2 The Individual Consultant warrants that it is free of any duties or obligations to third parties which may conflict with this contract and, without prejudice to the generality of Term 9 above, agrees to indemnify Procuring Entity against any and all actions, costs damages, direct, indirect or consequential, and other expenses of any nature whatsoever which Procuring Entity may incur or suffer as a result of the breach by the Individual Consultant of this warranty.

12. Non Disclosure & Confidentiality

- 12.1 The Individual Consultant will treat as confidential all information and results obtained in discharging the Services under this Contract and will not disclose by any means whatsoever such results or material to any third party without the prior written consent of the Procuring Entity and will only use such information for the purposes of this Contract. In addition the Individual Consultant shall not make any communication to the press or any broadcast (including, but not limited to, inclusion of information on a website) about the Services without the prior agreement in writing of the Project Director.
- 12.2 If the Individual Consultant violates clause 13.1, then it will automatically and legally be held to pay the amount estimated as the minimum reasonable damages resulting from a breach of confidentiality. This is without prejudice to the right of Procuring Entity to demonstrate that a higher amount of loss

has or may be incurred as a result of liabilities held by Procuring Entity in relation to the Procuring Entity.

13. Suspension or Termination

- 13.1 In response to any factors outwith the control of Procuring Entity and/or to breaches of contract, Procuring Entity may at any time, by giving 30 days notice in writing, terminate in whole or in part the Individual Consultant's appointment hereunder but in the event of Procuring Entity doing so then the Individual Consultant shall be entitled to payment as set out in sub-clause 14.4 below.
- 13.2 In response to any factors outwith the control of Procuring Entity and/or to breaches of contract, Procuring Entity may at any time, by giving 30 days notice in writing, forthwith require the Individual Consultant to suspend the performance of the Services and in such event the Individual Consultant shall be entitled to payment pursuant to sub-clause 13.4 below and provided that if such suspension continues for a period in excess of twelve months then either party may terminate this appointment forthwith by written notice to the other.
- 13.3 The Individual Consultant may also terminate the contract unilaterally, without providing any reasons for such decision, if she/he gives a 30 days prior written notice to the Project Director.
- 13.4 In the event of early termination of the Contract under sub-clauses 14.1, 14.2 and 14.3 of this clause then the Individual Consultant shall be entitled to a fair and reasonable proportion of the fees payable for that part of the Services carried out up to the date of such termination or suspension but this shall not include any loss of profit or contracts or any other expenses, losses or claims arising out of such termination or suspension or consequential thereupon.

14. No Waiver

No forbearance shown or granted to the Individual Consultant unless in writing by an authorised officer of Procuring Entity shall in any way affect or prejudice the rights of Procuring Entity or be taken as a waiver of any of these Terms.

15. Variations

Any variation to these terms or the provisions of the Annexes shall be subject to written Addendum and be signed by duly authorised signatories on behalf of the Individual Consultant and Procuring Entity respectively.

16. Jurisdiction

This contract shall be governed by and shall be construed in accordance with Botswana law and each party agrees to submit to the exclusive jurisdiction of the Botswana courts as regards any claim or matter arising under this contract.

The following Annexes are integral part of this Contract:

Annex 1: Terms of Reference

Annex 2: Payment Schedule and Requirements

Signed today ***[insert the date]*** in four (4) originals in English language by:

For the Procuring Entity	Signature		For the Individual Consultant	Signature
Name: <i>[insert full name]</i>			Name: <i>[insert full name]</i>	
Title: <i>[insert the title]</i>			Title: <i>[insert the title]</i>	
Palace: <i>[insert the city and country]</i>			Palace: <i>[insert the city and country]</i>	
Date: <i>[insert the date]</i>			Date: <i>[insert the date]</i>	

Annex 2:

Payment Schedule and Requirements

1. For Services rendered pursuant to Annex 1, the Procuring Entity shall pay the Individual Consultant an amount not to exceed a ceiling of US Dollars ***[insert ceiling amount]***, which shall be considered the contract value. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Individual Consultant in its country of residence.
2. The breakdown of prices is: ***[fill in the table as per the Individual Consultant' Financial Proposal presented in the Expression of Interest]***

N°	Description ¹	Unit	No. of Units	Unit Cost ² (in US\$)	Total (in US\$)
Fees		Day			
Reimbursable expenses, out of which		Total			
1	Per diem allowances	Day			
2	Flights ³	Trip			
3	Miscellaneous travel expenses ⁴	Trip			
4	Insurances cost, out of which:	Lump sum			
	i) Life insurance (including repatriation)	Lump sum			
	ii) Health insurance	Lump sum			
	iii) Third party liability insurance	Lump sum			
	iv) Professional liability insurance	Lump sum			
5	Drafting, reproduction of reports	Lump sum			
6	Office rent	Per month			
7	Others ⁴	TBD			
TOTAL FINANCIAL OFFER (Fees + Reimbursable expenses)					

¹ Delete items that are not applicable or add other items as the case may be.

² Indicate route of each flight, and if the trip is one- or two-ways.

³ Indicate unit cost.

⁴ Provide clear description of what is their exact nature

3. The payment shall be made in accordance with the following schedule:

35% of the contract value upon the Procuring Entity's receipt of the ***inception report*** acceptable to the Procuring Entity;

35% of the contract value upon the Procuring Entity's receipt of the ***draft report*** acceptable to the Procuring Entity; and

30% of the contract value upon the Purchaser's receipt of the final report, acceptable to the Procuring Entity.

4. **Payment Conditions:** Payment shall be made in US Dollars not later than 30 days following submission by the Individual Consultant of original invoice, in duplicate, accompanied by the requested supporting documents, to the Procuring Entity. All payments under the contract shall be made by bank transfer into the bank account indicated by the Individual Consultant in her/his invoices.