

**TOR for INDIVIDUAL CONSULTANT**

**Project name**: Community Based Approach to Local Development, phase III

**Post title:** Program Assurance Expert (CBA III)

**Assignment Type:** International Consultant

**Country/Duty Station**: Ukraine, Kyiv

**Expected places of travel (if applicable)**: Within Ukraine

**Starting date of assignment**: November 2016

**Duration of assignment**: (indicative until) February/March 2017

**Supervisor’s name and functional post**: Primary Supervisor - Marcus Brand, Program Advisor, UNDP in Ukraine; Secondary Supervisor - Hendrik van Zyl, International Project Manager, CBA III )

**Payment arrangements**: Lump Sum (payments linked to deliverables)

**Administrative arrangements:**

The Program Assurance Expert (CBA III) is expected to provide services on a part time basis, during the contract period, and as per the working schedule agreed with the supervisor. He/she should arrange work facility, travel to duty station (Kyiv) and office equipment etc. that might be deemed essential for accomplishment of the tasks

**Evaluation method**: Desk review

1. **BACKGROUND**

The EU/UNDP project, “Community-Based Approach to Local Development Project” was launched in 2007 and was followed by Phase II (CBA II) in May 2011. The objective of both phases was to strengthen participatory governance and improve the quality of life of the Ukrainian population in selected rural areas. During its first phase, the project operated in all 25 regions in Ukraine and covered 209 districts (at the time, 42% of the total number of districts in the country), 1123 village/city councils (at the time 10% of the total number of local councils in the country) and 1145 local communities. Selection of all project partners were through a competitive process based on criteria of hardship such as poverty, availability of basic services (health, water, energy, waste management, school transportation) and level of commitment to share their resources.

Phase I of the project introduced a community-based methodology, promoting joint community planning and implementation of community-led projects aimed at improving living conditions and foster sustainable local development. A variety of capacity-building activities organized by the project enhanced the professional skills and knowledge of community organizations and local authorities. This put the “CBA methodology” of community based approach to local development into practice.

The project also carried out awareness-raising activities to inform local-, regional- and national-level stakeholders about the community-based approach to local development. The intent was to motivate policymakers to recognize the value of the methodology for national development. This dimension included documenting the experience of project implementation, disseminating reports and newsletters, conducting roundtables, ensuring media coverage, etc.

Phase I of CBA has been followed by a four-year Phase II, with duration from June 2011 until June 2015. The main outputs of the CBA II Project included;

Output 1. Enhanced relevant professional skills and knowledge of community organizations and local authorities to initiate and maintain participatory local process on social economic development and public services delivery.

Output 2. Energy efficiency at local level increased through promotion of innovative technologies implemented by collective action of local communities and local authorities

Output 3. Demonstrate effective participatory local governance and decentralised management mechanism throughout Ukraine for public service delivery

The second phase continued to operate in 25 (later 24) regions, 200 rayon’s and 900 village/city councils, with 40 percent of rayon’s and local councils being new partners. It expanded activities to a 100 new rayon’s, in addition to supporting activities in 100 previously covered rayon’s. The major focus of the second phase was methodology replication within a national framework. It also expanded its energy efficiency component. It supported selected regions to develop energy efficiency strategies and implement selected projects in line with the strategy.

In addition, the CBA II promoted cooperatives in rural areas and provided support to establish small rural businesses in the selected regions. It supported 712 standard community projects and 357 energy efficiency projects under the framework of standard cost-sharing and joint decision-making arrangements. The project also worked on establishing a knowledge management hub and curriculum development in more than 30 universities and national training institutes for civil servants and elected officials. This arrangement intended to support a further scale-up of the CBA methodology in the country.

The third phase of the CBA Project (CBA III – 2014-2017) continues supporting traditional areas such as energy efficiency, health, environment and water management in rural areas, as well as launched a new urban development component and innovative governance initiatives. The CBA further promotes small farm businesses in rural areas. It supports the Ukrainian Government in developing policies in the area of decentralization and shares innovative approaches and good practices on participatory governance and community-led local sustainable development through knowledge management hubs and the curriculums of 40 regional universities.

The CBA-III Project, as well as its previous phases, continues to operate in all 24 regions of Ukraine, in at least 200 rayon’s, 1000 rural communities, and in 25 cities in 12 regions. The overall objective of the CBA-III Project is to promote sustainable socio-economic development at local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine. Specifically the Project promotes principles such as a community-based approach to local governance and sustainable development, enhances energy efficiency at local level, support the creation of locally owned and managed repository and network of good practices and knowledge on community mobilization and participatory governance.

The Third phase of the CBA Project supports community led activities in the following priority areas:

* Health (local health posts network)
* Environment
* Water management
* Improved Management of Housing sector
* Innovative Governance
* Energy efficiency
* Local economic development

Through the replication of social mobilization techniques, it empowers citizens of villages and cities to assert themselves as drivers of local development. Citizens are empowered if their actions have an impact on local government, or any level above that in terms of policy and implementation. So citizens are empowered if there is a ‘space’ that government provides, one into which citizens are invited, or one that they ‘invent’ to secure leverage on government at local and/or higher levels. This is one of the core aspects of what CBA Phase 4 needs to work on and with.

The project also works on establishing knowledge management hubs and curriculum development in about 40 universities and national training institutes for civil servants and elected officials. This arrangement will support further scale-up of the CBA methodology in the country.

The CBA Project Phase III efforts also to promote community-led development in cities by additional support provided to municipal governance. Municipal councils and administrations will get an exposure to the best innovative governance practices and technologies. Social accountability mechanisms, forms of participatory decision-making, innovative ways to provide and monitor provision of public services to the population exercised by local governments will help to ensure the sustainability of community-led development, as well as PBGS, Annual assessments linked to Formula Funding, civil society accountability mechanism, budget tracking, public audits, etc.

Due to the conflict situation in the east of the country, the CBA Project also supports community renovation projects for temporary accommodation of internally displaced persons (IDPs). In partnership with local authorities and community organizations, the CBA Project restored 34 social infrastructure objects in 9 Oblasts.

At this stage of project implementation, the impact of the project needs to be assessed with a focus on collecting best practices and recommendations for final year right sizing, to ensure all planned project deliverables are reached. The Program Assurance Expert will report on specific project right sizing needs and potential upscaling recommendations to UNDP and the Government.

More details on the CBA Project can be viewed at <http://cba.org.ua>

1. **MAIN OBJECTIVES OF THE ASSIGNMENT**
* **Global objective**

1. The identification and evaluation of the Community Based Approach to Local Development Project (CBA) best practices with the aim to review and assess the relevance, effectiveness, efficiency, visibility and sustainability of the CBA Project initiatives and its development approach.

2. A comprehensive assessment of project results and best practices to date and search of future potential right sizing is required. Therefore, the assessment aims also at providing recommendations for the development of future initiatives to ensure sustainability based on the strengths, advantages and lessons learned of the currently applied CBA methodology.

* **Specific objectives:**

The main objectives of the assessment are as follows:

1. To assess the relevance, effectiveness, efficiency, visibility and sustainability of the CBA Project to date and its development approach and methodology.

2. To formulate recommendations for project right sizing during the last year of implementation and the development approaches, priorities, focus areas of intervention and design of future initiatives to ensure sustainability of the program and the continued relevance in the changing context of decentralization and local governance reform.

* **Requested services, including suggested methodology**

The assignment includes in total up to 18 days (12 days in regions) mission to Ukraine. (Indicative) The expert shall communicate with the CBA III office in Kiev, Primary Supervisor, Secondary Supervisor and Ukrainian stakeholders.

The main stakeholders of the evaluation are:

On central level:

• Ministry of Regional Development, Construction, Municipal Economy of Ukraine

• Ministry of Economic Development and Trade

• Association of Local and Regional Authorities

On local level:

• Regional Administrations and Regional Councils

• Rayon administrations and Rayon councils

• Cities

• Village councils

• Community organizations – project sites

It is envisaged that the experts should make short term visits to at least 6 regions of Ukraine selected on the basis of

1. level of performance of the region in CBA activities (low-medium- high)
2. geographical distribution (west- east (Government-controlled area) or non-conflict- conflict)
3. thematic distribution of projects (Urban and Rural economic development)[[1]](#footnote-1)

The list of selected regions must be discussed with the CBA project staff and finalized by the UNDP project manager.

The mission should include visits to local stakeholders and CBA regional implementation units, rayon resource centres and community-project cites.

1. **DESCRIPTION OF RESPONSIBILITIES / SCOPE OF WORK**

The scope of the mission includes review, analysis and provision of findings/conclusions and production of a comprehensive evaluation report. The report should be based on results of findings and interviews with stakeholders composed according to five groups of issues listed below (but not limited to):

1. Project design (relevance, coherence):
* Is the project overall objective clear to national and local counterparts and relevant to Ukraine development priorities?
* Is the project’s methodology clear to/understood by project’s target groups and accepted as valid to Ukraine’s context by national and local counterparts?
* Is the project’s methodology implemented as planned (i.e. without any variations)? If not, explain what has changed and why.
* How relevant are the Project’s outputs to its outcome/main objective?
* Are implementation targets clear to project’s staff and its counterparts?
1. Project effectiveness (and efficiency):
* Are project management and implementation arrangements effective?
* How well the project is known and perceived?
* Are project activities performed as planned (on track)?
* Are resources spent as planned?
* Is the project reaching the intended target population?
* How satisﬁed are the target groups with their involvement in the project?
* What and how much progress has been made towards the achievement of outputs (and output targets) and objectives?
* Compare the cost effectiveness of the project ($ invested / people reached = unit cost) with similar local development projects in other countries.
1. Project’s sustainability
* What is the level of institutionalization of the project’s methodology at the national/regional level?
* Can the project’s actions be implemented without continued intervention and financing?
* What are the key constraints, if any?
1. Project's visibility.
* How well the project is known and perceived?
* How is the roles of the EU and UNDP perceived in the project?
* Are visibility guidelines respected and to which extent?

The Expert should offer all stakeholders a questionnaire on visibility containing the following questions:

* do they know the sources of funding?
* do they know what is the EU role in the project?
* have they seen/placed EU visibility signs in the project offices and community project sites?

Summary of the questionnaire findings should be presented in the report

1. Lessons learnt/recommendations for potential follow up work
* What lessons can we learn from the way in which the project is unfolding?
* What could have been done differently in CBA III (from a methodology and/or activity, or resource usage point of view) to complete the project more effectively?
* What is the level of readiness for implementation of each component of a potential follow up phase of the project? What are external factors, risks and risk mitigation approaches?
* What in the development approach and in the implementation arrangements of CBA III that can improve in order to sharpen the focus (during the last year) of the CBA III strategy and to better address the most salient issues surrounding local development?

**(This list is indicative and is not exhaustive)**

The Program Assurance Expert (CBA III) shall draft the evaluation report and submit it to the Project Manager of CBA III. The final evaluation report should be finalised taking into account the comments of the Project Manager.

* **Required outputs**

The final output should be a comprehensive assessment report containing a mid-term assessment of CBA III based on the guidance above with a separate chapter containing practical recommendations which can be used in capturing best practices and designing future follow up initiatives if so recommended.

* **Content**

The Expert shall provide an assessment report of the CBA project. The report should contain a mid-term assessment of CBA III based on the guidance above with a separate chapter containing preliminary practical recommendations which can be used in capturing best practices and designing future follow up initiatives if so recommended and submit it for comments of the UNDP Project Manager.

* **Language**

The final report should be submitted in English.

1. **DELIVERABLES AND ACTIVITY PLAN**
* **Planning**

The Consultant is expected to start his/her assignment with a briefing with the Supervisor in Kiev. The tentative mission plan shall be discussed with the Supervisor during the briefing in Kiev.

* **Location(s) of assignment**

The location of the assignment will be Ukraine. Some of the stakeholders reside in Kiev. Travel around the country is however needed to visit the regions as described in section 2 of the ToR. The project will help arrange and cover the direct cost of intra-city travels as well as other local travel around the country. Travel to and from Ukraine are considered to be included in the global budget submitted by the Consultant/s.

* **Timing for submission and comments and, when relevant, for approval**

The Consultant shall provide the UNDP with the draft Action Plan with the detailed Time Schedule of the assignment according to the expected deliverables

Revised draft report with comments of the Primary Supervisor and Secondary Supervisor included should be provided within 3 days upon the receipt of comments.

Thus, the Consultant is expected to deliver:

1. Action plan of the assignment (in English);
2. Electronic version and 2 hard copies of interim report (in English only);
3. Electronic version and 5 copies of the final report (in English only). Indicatively, the report should be at least 50 pages but not more than 100 pages.
4. **SCHEDULE OF THE ASSIGNMENT**
* Tentative commencement period is November 2016.
* Within 5 days after Contract enters into force, the Consultant shall inform the Supervisor about the planned date of the expert's arrival to Ukraine. The project should last no longer than 75 calendar days from the signature of the Contract.

Indicative detail of the estimated activity schedule is given hereunder:

|  |  |  |
| --- | --- | --- |
|  | **Activities** | **Number of working days** |
| **1)** | **Mission to Ukraine:** 1. **Briefing** with the UNDP Project Manager, Composition of a team and action plan development;
2. **Briefing** with UNDP representatives;
3. **Meeting** with major Stakeholders at the national level
4. **Mission** to the selected regions of Ukraine. Visit to six selected pilot regions
 | **6** days including first international travel**12** days including local travel |
| **2)** | **Drafting** of the evaluation Report  | **5** days |
| **3)** | **Revision of** the draft evaluation report on the basis of the UNDP project managers comments (to be provided within 15 days) | **3** days |
| **4)** | **Final Evaluation Report** prepared taking into account discussion during 2nd mission to Ukraine and submitted | **2** days |
|  | **Total** | **28 days** |

**6. monitoring/REPORTING requirements**

* Fortnightly status report on tasks carried out;
* A final report on the task completion

**7. EXPERIENCE AND QUALIFICATIONS REQUIREMENTS**

* Master’s/Specialist degree in social and political science, regional development, humanities, law, economics;
* At least 8 years of professional experience and proven track record in conducting evaluations and development of large-scale programs in the area of local development/governance;
* At least 8 years of professional experience and proven track record in local social and economic development field, policy advice, development, formulation and implementation in these areas, preferably at international level, including field experience in CIS region;
* At least one proven research/report in the area of programme evaluation and development in the area of local development/governance (top-quality, cogent, well-articulated research/report written in the past, conveyed artfully without mistakes);
* Fluent in English (oral and in writing). Knowledge of Ukrainian or Russian would be an asset.

**Other Competencies:**

* Knowledge about CBA methodology will be an asset;
* Strong analytical and organizational skills;
* Full commitment to undertake the assignment and deliver quality outputs within established timelines is absolutely necessary.

**Corporate Competencies**

* Demonstrates integrity by modeling the UN’s values and ethical standards;
* Promotes the vision, mission, and strategic goals of UNDP;
* Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
* Treats all people fairly without favoritism;
* Fulfills all obligations to gender sensitivity and zero tolerance for sexual harassment

**8. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSAL**

Applicants shall submit the following documents:

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| --- | --- |
| **Required** |  |
| [x]  | Personal CV, including information about past experience in similar projects / assignments and contact details for referees. |
| [x]  | Links to previous researches/ reports. |
| [x]  | Financial proposal. |
| [x]  | Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP. |

**9. REMUNERATION**

Lump sum remuneration amount agreed upon with the selected expert will be disbursed in three tranches as follows upon satisfactory delivery of agreed deliverables (products and services) as specified in the TOR:

20% of the total amount upon satisfactory submission of the action plan of the assignment– deliverable 1(November 2016/December 2017);

40% of the total amount upon satisfactory submission of the interim report – deliverable 2(January 2017);

40% of the total amount upon satisfactory submission of final report - deliverable 3 (February/March2017).

**Travel costs**

Logistical arrangements for travel to join the duty station and visa etc. are the responsibility of the Consultant and appropriate budget allocations shall be made for this.

All necessary arrangements as to visa, shall be done by the Consultant directly and in advance manner. The project will provide support regarding an interpreter where needed and the setting up of meetings with the Ukrainian stakeholders. The staff of CBA project may assist with organisation of meetings in Kiev and regions.

**10. EVALUATION**

* University degree in social and political science, regional development, humanities, law, economics or equivalent professional experience- **10 points max** (10 – PhD, 5 – Master’s/Specialist degree);
* Professional experience and proven track record in conducting evaluations and development of large-scale programs in the area of local development/governance - **20 points max** (20 points for more than 12 years; 15 points for 10-12 years of experience, 10 points for 8-9 years);
* Professional experience and proven track record in local social and economic development field, policy advice, development, formulation and implementation in these areas, preferably at international level, including field experience in CIS region - **10 points max** (10 points for more than 12 years; 7 points for 10-12 years of experience, 5 points for 8-9 years);
* At least one proven research/report in the area of program evaluation and development – **20 points max** (20 points for two or more top-quality reports; 5 points for one top-quality report/research paper).
* Language Skills - 10 points max (10 points –fluent English and working knowledge of Ukrainian or Russian; 5 points – fluent English).

Maximum available technical score – 70 points.

**Evaluation method:**

[x]  **Cumulative analysis**

Contract award shall be made to the incumbent whose offer has been evaluated and determined as:

1. responsive/compliant/acceptable, and
2. having received the cumulative highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

\* Technical Criteria weight: 70%

\* Financial Criteria weight: 30%

Only candidates obtaining a minimum 70% from the maximum available technical score would be considered for the Financial Evaluation

The maximum number of points assigned to the financial proposal is allocated to the lowest price proposal and will equal to 30. All other price proposals will be evaluated and assigned points, as per below formula:

30 points [max points available for financial part] x [lowest of all evaluated offered prices among responsive offers] / [evaluated price].

The proposal obtaining the overall cumulatively highest score after adding the score of the technical proposal and the financial proposal will be considered as the most compliant offer and will be awarded a contract.

[x]  **Lump sum contract**

The financial proposal shall specify a total lump sum amount for the total duration of the contract and should imply all costs (professional fees, travel costs to join the duty station (Kyiv), etc.). Payment terms should be indicated around specific and measurable deliverables as provided in the Section 4 of this Terms of Reference. Payments are based upon output, i.e. upon delivery of the services specified in the TOR. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount.

**Travel**

Travel within Ukraine (if needed to deliver expected results) will be paid in addition to this payment for service in accordance with the UNDP rules and procedures. Consultations regarding travel options will be held with the Project Manager prior to planning of the trips and relevant logistics.

In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and the Consultant, prior to travel and will be reimbursed. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.

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| --- | --- | --- |
| **Prepared by:** | **Approved by:** |  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Svitlana Slabinska, MCS/CBA  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Hendrik van Zyl, IPM/CBA |  |

1. A classic issue looked to elsewhere has been the distribution of benefits i.e. who in the community has received. E.g. it might only be a group defined by the occupation or particular assets and resources they hold, or a particular social identity. It is important to know this – particularly with respect to the role of government (representing all) and the sustainability and ownership of the projects implemented. Target populations are mentioned below under 2, but on what basis are they targeted, how is the targeting undertaken, and what about non-targeted groups- their perceptions etc.? If we are talking about governance and social mobilization within a broader decentralization and governance approach, then these questions are critical. [↑](#footnote-ref-1)