



EUROPEAN UNION

DELEGATION OF THE EUROPEAN COMMISSION TO UKRAINE

Community Based Approach to Local Development Project Phase II

Description of the Action

Name of implementer:	The United Nations Development Programme in Ukraine
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LIST OF ABBREVIATIONS

CBA	Community Based Approach To Local Development Project
CC	City Council
CDP	Community Development Plan
CIDP	Crimea Integration and Development Programme
CO	Community Organisation
CO-MT	Community Organisation Management Team
CRC	Community Resource Centre
CRDP	Chernobyl Recovery and Development Programme
EC	European Commission
EU	European Union
HHs	Households
LDF	Local Development Forum
MGSDP	Municipal Governance And Sustainable Development Programme
RC	Regional Council
RCC	Regional Coordination Council
RIU	Regional Implementation Unit
RSA	Regional State Administration
PMU	Project Management Unit
RC	Rayon Council
RDF	Regional Development Fund
RSA	Rayon State Administration
VC	Village Council

THE ACTION

DESCRIPTION

1.1. Title

COMMUNITY BASED APPROACH TO LOCAL DEVELOPMENT (CBA) Phase II

1.2. Location(s)

Ukraine countrywide (24 Regions and Autonomous Republic of Crimea)

1.3. Cost of the action and amount requested from the Contracting Authority

Total eligible cost of the action	Amount requested from the Contracting Authority	% of total eligible cost for action
17,125,949 EUR	16,850,000 EUR	98.3%

1.4. Summary

Total duration of the action	48 months
Objectives of the action	<p><u>Overall objective:</u> To promote sustainable socio-economic development at local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine</p> <p><u>Specific objectives:</u> To promote community based approach to local governance and sustainable development by:</p> <ul style="list-style-type: none"> - strengthening the capacity of local communities, local authorities and universities in applying community led development; - integrating participatory mechanisms for local planning and public service delivery into the day-to-day practices of local governments; - supporting community-based initiatives for sustainable rehabilitation, management and operation of basic social and communal infrastructure; and - promoting small farm and non-farm business development in rural areas. <p>(2) To enhance energy efficiency at local level by:</p> <ul style="list-style-type: none"> - building capacity of local communities and local authorities in energy planning and efficient energy use; - supporting innovative community initiatives in efficient energy use; and - raising public awareness on energy efficiency based on grassroots level best practices <p>(3) To support the creation of the locally owned and managed repository and network of good practices and knowledge on community mobilization and participatory governance by:</p> <ul style="list-style-type: none"> - documenting and codifying lessons learnt and institutional arrangements established during the CBA implementation - establishing a network of knowledge hubs for the creation, analysis, and sharing of innovative approaches to community based development

	- supporting academia and other educational institutions in curriculum and capacity development for promoting community based approaches to local governance and development
Partner(s)	At local level - community organizations, village councils, city councils. At rayon level - rayon councils and rayon state administrations. At regional level - regional authorities (regional state administrations and regional councils), Autonomous Republic of Crimea Council of Ministers and regional universities. At national level : <ul style="list-style-type: none"> • Ministry of Economic Development and Trade, Secretariat of Cabinet of Ministers, relevant ministries (Ministry of Regional Development, Construction and Housing, Ministry of Health, Ministry of Agrarian Policy and Food of Ukraine) • Parliamentary Committee on State Building and Local Self-Governance • Foundation for Local Self-Governance of Ukraine under the President of Ukraine • Ukrainian Association of Local and Regional Authorities of Ukraine, Association of Cities of Ukraine, Association of Small Towns of Ukraine, Association of Village and Settlement Councils
Target group(s) ¹	The direct target group will comprise of 900 community organizations, 900 village/city councils, 200 rayon councils/administrations, 25 regional councils/administrations, and 10 regional universities/training institutions
Final beneficiaries ²	Citizens of at least 900 communities, local authorities in 200 rayons , Government of Ukraine
Estimated results	<ul style="list-style-type: none"> • 900 community organizations, 200 Local Development Forums and 25 Regional Coordination Councils created/strengthened to ensure appropriate platform for collective actions and joint decision-making on local level³ • Capacity of 200 community resource centres in community-based development strengthened • Curricula on community led development including the community-based development principles and methodology adopted by at least two regional universities/training institutions • At least 6,000 community members and 2,000 elected/state authorities trained on how to cooperate with community organisations and local authorities • At least 600 community micro-projects implemented to improve

¹ “Target groups” are the groups/entities who will be directly positively affected by the project at the Project Purpose level.

² “Final beneficiaries” are those who will benefit from the project in the long term at the level of the society or sector at large.

³

Number of beneficiaries was estimated on the basis of the following assumptions:

- Increased upper ceiling for the eligible cost for one community micro-project in CBA II (up to 16 000 EURO in comparison to 7 000 EURO in CBA I)
- Increased project’s share in the total cost of the community micro-project in CBA II (up to 70% of the total micro-project cost in comparison to 50% in CBA I)

	<p>the delivery of basic communal services and to support economic development in rural areas.</p> <ul style="list-style-type: none"> • At least 10,000 members of community organizations trained on energy efficiency to ensure increased public awareness at local level on energy saving options • At least 300 community projects on efficient use of energy implemented • Knowledge management hub established
Main activities	<ol style="list-style-type: none"> 1. Launch of CBA Phase II Project 2. Establishment of partnerships at local level 3. Formation/grafting of local support structures: local development forums, regional coordination councils and community resource centres 4. Implementation of community led micro-projects 5. Promotion of energy efficiency through innovative technology and renewable energy sources 6. Promotion of farm and non-farm micro and small business development 7. Establishment of knowledge management hub 8. Building capacities of local stakeholders (community members, civil servants and elected authorities) in community based local development 9. Conducting information campaign and raising public awareness 10. Evaluation of the Project implementation

1.5. Objectives

Overall objective:

To promote sustainable socio-economic development at local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine.

Specific objectives:

(1) To promote community based approach to local governance and sustainable development by:

- strengthening the capacity of local communities, local authorities and universities in applying community led development;
- integrating participatory mechanisms for local planning and public service delivery into the day-to-day practices of local governments;
- supporting community-based initiatives for sustainable rehabilitation, management and operation of basic social and communal infrastructure; and
- promoting small business development in rural areas.

(2) To enhance energy efficiency at local level by:

- building capacity of local communities and local authorities in energy planning and efficient energy use;
- supporting innovative community initiatives in efficient energy use; and
- raising public awareness on energy efficiency based on grassroots level best practices

(3) To support the creation of the locally owned and managed repository and network of good practices and knowledge on community mobilization and participatory governance by:

- documenting and codifying lessons learnt and institutional arrangements established during the CBA implementation
- establishing a network of knowledge hubs for the creation, analysis, and sharing of innovative approaches to community based development

- supporting academia and other educational institutions in curriculum and capacity development for promoting community based approaches to local governance and development

Project will support community led activities in the following priority areas:

- Health (local health posts network)
- Environment
- Water management
- Local economic development
- Energy efficiency

1.6. Project justification

1.6.1. Context of the proposed project

According to the national census of 2001, the share of population of Ukraine living in villages and small towns of less than 50,000 inhabitants constitutes 45% of the population of Ukraine. Over the past years, however, the Ukrainian Government has not paid much attention to the problems of rural Ukraine. Although Ukraine has managed to reduce the absolute poverty⁴ from 9% in 2005 to 4.5 % in 2009, poverty level in rural areas was more than double compared to large cities. Ukrainian rural areas are experiencing a systemic crisis which manifests itself in a variety of issues, such as:

Growing poverty and unemployment among the rural population

The current level of unemployment in villages and small towns is approximately 27%. Half of the entire rural population use their private gardens and household plots for subsistence. Due to a generally low level of rural development, small plot sizes, lack of financial assets, lack of mechanization, high unit costs for factor inputs (e.g. seeds, stock acquired in small quantities), poor quality of infrastructure and lack of market access, small holdings fail to generate surpluses and to enter a positive cycle of savings and investment. Where small surpluses are produced, the bulk of value added is appropriated by intermediaries, processors, wholesalers and retailers. Furthermore, 60% of the rural areas are mono-functional, where the economy is characterised only by one or two sectors (e.g. mining, metallurgy, military production).

Limited resources available on the local level

Ukraine's taxation system is overly centralized, with most taxes accumulated by the central government and then redistributed to local governments. The majority of cities and districts rely heavily upon financial transfers from the state budget. In fact, up to 90% of village council budgets are made of transfers from the central government. Local budgets are formed mainly out of national fees and taxes, such as personal income tax which are fully regulated by the state. Other than land taxes, local governments have few opportunities to influence the total volume of revenues from taxes and fees. As a result, the share of local budget revenues is critically small and there is little interest among local governments to raise tax revenues across the board. The allocated public funds are not sufficient to finance all public services that should be available to citizens, as defined by the Constitution and Ukrainian law.

Deteriorating living standards in rural areas, declining social services infrastructure, and reduced access to social services

According to the State Statistics Committee (2009), only 30 % of households in rural areas have access to centralized water supply and sanitation, compared to 83 % of urban households. Hot water is available to 30% in rural areas compared to 88% of urban households; gas supply is

⁴ People whose share of daily consumption is below US\$ 5 (in PPP)

accessible by 50 % of rural households versus 84% of urban households. More than 20% of the boilers at community heating facilities have been in use for more than 20 years, of which 38% are obsolete and extremely inefficient. About 32% of the pipes in heating networks and 30% of heating facilities need replacement. Overall, the quality of services provided in rural areas remains poor and inefficient (e.g. heating is provided at a very high cost due to the wasted energy, and water leakage).

Inefficient use of energy

The amount of energy consumption of the Ukrainian households is 3-7 times higher than the average in Europe. One of the key reasons is that most of the equipment in use is obsolete as it has been installed during the soviet times without any requirements for energy-efficiency. Since energy costs now constitute more than half of all residential service costs, any increase in energy prices will lead to a significant increase in the cost of providing these services.

The central level policy and legal frameworks do not provide clear mandates, resources and division of responsibilities of local governments in the area of public service delivery

Despite their major role in allocating financial resources, local governments have only a limited ability to determine spending structure and reallocate expenditures within sectors. Local civil servants lack capacities in designing local development strategies, planning allocation of resources and reporting to local communities.

One of the fundamental reasons for the slow local self-governance development in Ukraine is the dominant role of the central government. The government authorities at all levels are not used to engaging the society in local decision-making processes. Furthermore, neither local authorities nor local communities are sensitised on the importance of involving other stakeholders such as private sector, civil society and media into local development processes.

Although some public participation mechanisms are already part of the legislation, they are not being applied fully. Consequently, most community members cannot exercise their right to participate in decision making, in particular in the process of debating local policy issues.

CBA I – Key findings and Lessons Learnt

Community Based Approach to Local Development (CBA) Project (Phase I – 2007-2011) aimed to address the problem of low public engagement into decision-making processes on the local level and to promote effective participatory local governance and decentralized management mechanisms in rural areas.

By August 2010, the CBA Project partnered with 24 regional authorities, the Government of Autonomous Republic of Crimea (ARC), 209 rayon authorities and 1136 village/city councils with the population of less than 10,000 people. It mobilized 1,165 communities which got organized into 1,154 community organisations (COs). With the support provided by the CBA Project, COs and local authorities undertook a joint planning process thus enabling the COs to undertake initiatives addressing basic needs in the area of energy, water supply, public health, environment and school transportation.

A total of 1,324 community projects were supported with the total amount of \$ 24 million cost-shared between COs (7.2%), CBA Project (46.4), local authorities (45%) and the private sector (1.4%). It is estimated that 1.1 million people benefited from these projects and 12,000 community members and 3,500 local/regional officials received training in subjects related to institutional development, financial management, participatory planning, community project management, participatory assessment, and decentralization.

According to various assessment studies⁵, despite the financial crisis and political instability, in less than 3 years the CBA Project succeeded in the following aspects:

- Improved cooperation between local authorities and citizens, and changed their attitude towards recognition of the benefits of participatory governance and community based local development. According to a survey⁶ conducted in 2010, the number of respondents who estimated as effective the interaction with local governments in CBA communities was 34% higher than average in Ukraine. Similarly, 91% of local experts indicated an increased consideration of communities' opinion in local decision making, and 41% of respondents in CBA communities indicated an increased level of trust in local governments.
- Improved health services, access to clean water, education facilities and waste management through renovation of 276 health-posts, 191 drinking water systems, school heating systems and the establishment of 14 waste disposal systems.
- Reduced energy costs by average 45% through the implementation of 773 projects on heating systems repair, windows insulation, roofs repair, and installation of energy efficient street lighting.
- Developed community based support structures (local development forums, regional coordination councils, community resource centers, and community organisations) as a platform to engage local authorities and citizens in dialogue on local development issues across Ukraine. These structures were strengthened to further scale up the application of the community based local development methodology.
- Improved skills of about 4,000 community representatives and local authorities in community led local development.

The interventions of the first phase of CBA demonstrated other benefits from active engagement of citizens in local development. These included: i) better understanding of citizens' needs and priorities by local governments and subsequent improvement in the targeted distribution of resources; ii) better understanding and appreciation by the citizens of the work and challenges faced by local governments; iii) more responsible attitude and sense of ownership towards public goods and public facilities; and iv) transparency of the decision making process and reduction of costs for the implementation and maintenance of public projects.

The CBA Project created a strong demand for continuation of the support provided both to the communities and local authorities in order to:

- Institutionalize participatory planning practices within the local structures funded with local resources;
- Engage more communities into the community mobilization processes;
- Create community demand to support small scale farm and non-farm economic initiatives;
- Apply a more systemic approach to energy efficiency with stronger linkages to regional and national strategies;
- Offer the community based approach methodology to academicians, civil servants and students through the development of training courses;
- Share the lessons learnt from the CBA project implementation with the national government and
- Develop a network of partner communities and address cross-cutting developmental issues like gender, good governance, energy efficiency, etc.

⁵ EU Monitoring Missions Reports (2009 & 2010), UNDP HQ Evaluation Mission Report (2010) and 15 Regional Experience Documentations (2010)

⁶ "Estimation of the impact of implementation of Area-Based Development Approach" conducted by KIIS in 2010

1.6.2. Relevance of the proposed action

The second phase of the CBA Project (CBA-II – 2011-2014) will build on the experience of CBA-I and other successful area-based development projects in different parts of Ukraine. Through the implementation of social mobilization techniques it will empower the citizens of villages and small towns to assert themselves as drivers of local development. The Project will also help the local authorities to recognize communities' role in fostering local development.

The CBA II Project includes:

- Expansion and replication of community based approaches;
- Building institutional capacity of local communities and local and regional authorities;
- Sharing best practices and lessons learnt among local/regional/national level governance structures; and
- Involvement of educational institutions to utilize the knowledge generated by CBA I.

The intended actions are consistent with the EU priorities for Ukraine. For example, the National Indicative Programme (NIP) for Ukraine for the year 2011-13 among others recognizes 'Sustainable Development' as one of the three priority areas for EU support to Ukraine. It aims to ensure the social and environmental viability of growth strategies. It includes the following sub-priorities which are also relevant for the CBA II project:

- Energy, Environment and Climate Change and Transport (improvement of energy efficiency in industrial, energy and agricultural sector).
- Social Cohesion: Regional and Rural Development (enhanced accessibility to public services, transport infrastructure, rural development, e-governance, telecommunications, sanitation, water supply, energy supply, etc.)

The Eastern Partnership (EaP) emphasises governance and energy security as priority and particularly stresses energy efficiency. The CBA II Project is also aligned with the priorities laid down in the EU-Ukraine Association Agenda, namely:

- Training of central and local administrations on new models of rural development policies for further implementation of programmes for rural communities;
- Exchange best practices on the renewal and preservation of natural resources to ensure efficient, sustainable and quality agricultural production

Lastly, CBA II complements other EU activities in the energy efficiency area on the national level, such as:

Sector Policy support programme: CBA-II will complement the Sector Support with small-scale actions to improve energy efficiency on the local level and enhance capacity development of local communities and local authorities in energy planning and efficient energy use supporting community-based self-help initiatives for the implementation of innovative projects.

Swedish Initiative on Energy Efficiency: The CBA-II actions and grants on a grass-root community level will also complement larger scale investment grants foreseen under the Swedish Initiative on Energy Efficiency to improve energy efficiency in district heating systems.

Donors coordination

The recent EC funded donor mapping study, which included the CBA I project, offers a clear overview of activities undertaken by international partners in the area of local development. The

study also recognizes CBA's comparative advantage (large geographic coverage) and its advanced methodology (participation of citizens and authorities) which reduces duplication and builds synergies with other donors. CBA II will continue taking into consideration ongoing activities of bilateral and multilateral donors to ensure complementarity, to share information, and to support partnerships among international donor organizations and the Ukrainian Government.

1.6.3. Target group/beneficiaries

The groups and entities that will be directly affected by the project are:

- The community organisations established/strengthened under the project, that carry out self-help initiatives with support from the Project, local authorities and other stakeholders;
- The local authorities in 200 rayons and in 900 communities (village and rayon councils) involved in developing an effective system of decentralised and participatory planning, decision-making and implementation mechanism for improved living conditions and relations with citizens.

The beneficiaries, who will indirectly benefit from the project activities in the long-term, are the citizens of the villages and small towns where community organisations will be established and self-help initiatives will be implemented;

The number of beneficiaries is calculated on the basis of analysis of the CBA I implementation modality and the following assumptions:

- Upper ceiling for the eligible amount of grant for one community micro-project funded under CBA II is 16,000 EUR compared to 7,000 EUR under CBA I.
- Project's share in the total cost of the community micro-project in CBA II will increase up to 70% of the total micro-project cost in comparison to 50% in CBA I.

1.6.4 Reasons for the selection of the community based approach. How does the Action contribute to the needs of the target group(s) and final beneficiaries?

The community-based approach has been chosen as the most appropriate approach to achieve the identified objectives because it ensures civic participation and co-operation not only between the members of the concerned communities but also between them and the local authorities.

Methodology of social mobilisation employs established standards and checklists for assessing community participation and leadership. It ensures the inclusion of all segments of the community (men, women, youth and the elderly) and the sustainability based on local ownership of the development process. The social mobilisation process is integral in developing everyday practices of democratic self-governance in rural areas. It is also a multi-stage process of building local knowledge and capacity needed to improve living conditions. Within the Project, each participating community will be guided through the following steps:

- Informing community members;
- Conducting community self-assessment;
- Creation of community organisations;
- Community development planning process;
- Project identification, prioritisation and implementation;
- Establishment of follow-up mechanisms (community progress review to enable community members to codify past achievements and build upon them; training and support to ensure the implementation of community development plans; promotion of a dialogue between community organisations and local authorities to align development priorities of individuals and communities with regional development planning).

The evolving fiscal decentralisation and establishment of democratic local governance in Ukraine provide opportunities and warrants new patterns of co-operation between communities, elected councils, rayon administrations, local CSOs and private business. An important element of the Project methodology therefore is to help these local actors to clearly identify the benefits and modalities of effective partnerships. Community mobilisation is only effective if it links communities with other public and private actors in the local and regional context. The community based approach will thus contribute to forging local partnerships.

1.7. Description of activities and key results

1.7.1. Details of Project's Activities

Activity 1- Launching of the CBA Phase II project

Activity 1.1 - Launching of the Project at the national level

A national conference is organized to present the experience, achievements and lessons learnt of CBA-I and the implementation modality of CBA II to key governmental stakeholders (relevant ministries, regional state administrations, and the Secretariat of the Cabinet of Ministers), local government associations, local civil society organizations, academia and international donor community.

Time frame: Month 1-2 of the Project implementation

Activity 1.2 - Launching of the Project at the regional level

Regional conferences are organized in each region presenting the experience of CBA-I on regional level and the implementation modality of CBA-II to regional authorities, rayon authorities and civil society organisations in the region. Focus is placed on: (a) implementation methodology, (b) roles and responsibilities of regional and rayon authorities, and (c) selection criteria for rayons.

The responsibilities of regional authorities as project partners include ensuring a firm commitment to provide free of charge office premises for the Project Regional Implementation Unit (RIU), nomination of a senior and a junior staff for coordination and functional support to the CBA II Project implementation, cost-sharing of micro-projects and willingness to replicate the CBA methodology. The required commitments ensure ownership and institutionalization of community based methodology in the region.

Timeframe: Month 2-3 of the Project implementation

Activity 1.3 - Establishment of the CBA II Project Management Unit

Availability of sufficient human resources has been recognized as the key to success of the CBA I Project. Competent human resources from CBA I are retained and vacant positions are filled through standard UNDP recruitment procedures.

Existing project management unit (PMU) in Kyiv and 25 regional implementation units are strengthened with necessary logistics and facilities for efficient implementation of the Project. Under the partnership agreement, regional authorities provide office premises for RIUs free of charge while operational (utility & minor repairs) costs are covered by the Project. Kyiv-RIU is located at the PMU premises.

The total number of envisaged project personal is 95 and additional short term international and national experts are hired for provision of specific technical support if needed. PMU consists of

12 programme and 8 support staff led by an international project manager during three years of project implementation. In order to support the development of national ownership, national project manager takes over the responsibilities of day-to-day management of the project for the last 17 months of project implementation. Three months overlap of duties of national and international project managers ensures proper project handover.

Each RIU has two community development officers and a driver. Detailed ToRs of Project personnel are provided below in Annex I.

Existing operational manuals/guidelines developed during CBA I are updated and new manuals/guidelines are developed to meet the requirements of CBA II. The newly recruited Project personnel receive training on CBA methodology at the beginning of the project implementation.

Timeframe: Month 2-6 of the Project implementation

Activity2 - Establishing partnership with local governments

Activity 2.1 - Partnership with regional governments

Memorandums of understanding (MoU) are signed with each regional administration/council. MOUs could be either tripartite (Regional State Administrations, Regional Councils, UNDP/CBA) or bilateral (Regional Councils-UNDP/CBA or Regional State Administrations-CBA/UNDP) (see Annex VII).

Timeframe: Month 3-4 of the Project implementation

Activity 2.2 - Rayon selection and establishment of partnership with rayon authorities

A call for participation of rayons in CBA II is announced in each region of Ukraine. The set of application documents includes:

- 1) Letter of commitment signed by the Head of Rayon State Administration/Head of Rayon Council.
- 2) Application form (see Annex X), which includes official statistical information reflecting the level of rayons' development in the project priority areas (health, environment, water management, local economic development, energy efficiency)

The selection of participating rayons is made on the basis of the following criteria: a) level of socio-economic development and access to public services (in line with priority support areas of the Project); commitment to provide financial resources (cost sharing for micro-projects implementation), commitment to provide technical support for micro-projects; and b) performance of the rayon during CBA-I (only for re-applying rayons). The preference is given to the least developed rayons i. e. rayons which are facing the most severe problems within the project priority areas. The level of commitment demonstrated to support project implementation is also taken into consideration for the final selection of rayons.

The number of partner rayons varies in each region depending on the size of the region, performance during CBA-I and commitment of the region to cooperate during CBA-II.

The applications of the rayons received from each region are analysed and ranked by the Rayon Selection Committee comprising of representatives of regional authorities, UNDP and the PMU and headed by the UNDP senior programme manager. Basis for the ranking is the statistical information provided by rayons in their applications. The committee selects the partner rayons (equal to number of quota for the region) and reserve rayons (up to one third of the quota for the region). Results of the rayon selection are publically announced by the regional authorities in each region.

Seminars are conducted jointly by the regional partners and CBA-personnel in each of the selected rayon presenting the experience of CBA-I and implementation modality of CBA-II. Among intended participants are the rayon authorities, village/city councils, civil society organisations and business communities. Focus is placed on the implementation methodology, terms of partnership with the rayon authorities and local councils, and selection criteria for village/city councils.

Following the seminar, a tripartite or bilateral MoU are signed between UNDP and rayon authorities (see Annex VIII).

Timeframe: Month 4-6 of the Project implementation

Activity 2.3 - Selection of village/city councils and establishment of partnership

In each partner rayon 5 village/city councils with less than 10,000 people are selected to participate in the CBA II Project. The allocated number includes the CBA I partner village/city councils, as well as the new ones.

Interested village councils provide information, reflecting its socio-economic situation and quality of public services (see Annex XI). The applications of the potential village/city councils received from each rayon (in the region) are analysed and ranked by the CBA/RIU based on such criteria as the level of socio-economic development and access to basic public services (in line with the project priority areas), commitment of the village/city council to cooperate and performance of the village/city council during CBA-I (in case of re-applying village/city councils only).

The preference is given to the least developed villages, i. e. villages which are facing the most severe problems within the project priority areas. The level of commitment demonstrated to support project implementation is also taken into consideration for the final selection of villages.

Upon review of the ranking by CBA/PMU, the list of partner councils is approved by the village/city councils selection committee comprising of representatives of regional authorities, rayon authorities and CBA/RIU. The committee is headed by a representative of the regional government. The results of the selection are announced in each rayon by the rayon authorities.

Village/city council orientation meeting is conducted in each selected village/city council jointly by the rayon authorities, CBA/RIU and regional authorities (where possible) and with participation of members of village/city council, representatives of communal service entities (school, health post, water supply, etc), CSOs, businesses and pro-active citizens in the village/city council. Focus is placed on the CBA implementation methodology, terms of partnership with village/city council and local communities, and the selection criteria for local community.

Following the seminar, a bilateral MoU is signed between UNDP and the village/city council. The responsibilities of the village/city council as project partners include: support to the CBA II implementation, provision of financial resources, i.e cost sharing for micro-projects (as possible) and ownership over the micro-projects assets as applicable.

Timeframe: Month 5-7 of the Project implementation

Activity 3: Formation/grafting of Local Development Forum and Regional Coordination Council

In order to introduce participatory decision-making practices at rayon, regional and ARC level support structures have to be developed. At the rayon level, a local development forum (LDF) serves as a platform for the dialogue between local communities and rayon authorities. At the

regional level and the ARC level, a regional coordination council (RCC) fulfills this function. (See Annex IX for the detailed description of LDF). It is expected that in the long run the functions of LDF and RCC will become part of the regular meetings of rayon and regional councils. In case of “new” rayons, LDF is formed under the head of rayon administrations/regional councils with the participation of COs, village/city councils, local CSOs, local businesses and key rayon departments as members. In “old” rayons, the existing LDFs continue their functions with the new COs and the new village/city councils as members. Similarly, existing regional coordination councils and the ARC level, coordination council continue functioning, while representatives of newly established LDFs join the activities of respective RCC.

Timeframe: Month 6-10 of the Project implementation

Activity 4: Establishing/strengthening of community resource centres

To ensure effective implementation of CBA II at the rayon level, rayon community resource centres are established (the already established resource centers within the CBA I partner rayons are used under CBA II). Similarly, the established RIUs and ARC-IU under CBA I are expanded to serve as community resource centres at the regional level and necessary technical support is provided.

Timeframe: Month 6-10 of the Project implementation

Activity5: Community mobilisation, capacity building and micro-projects implementation⁷

Activity 5.1 - Selection of the target communities

With the support of village/city council officials and local active persons, the RIU team prepares profile of village/city councils including description of communities located on the territory, as well as basic infrastructure and public service delivery problems faced by the communities within the CBA II priority areas of interventions. A ranking of communities in term of hardship is made. A community selection committee comprising of village/city council head, rayon focal person and Community Development Officer/CBA review the ranking of the communities and select one of the communities to be supported along with one in reserve.

Activity 5.2 - Introduction of CBA II Project and preparation of community profile

CBA Community Development Officers visit each selected community and provide information to the people regarding the CBA II project, distribute project brochures, collect basic demographic information, study the service delivery system, the resource endowment and the level of poverty in the community. Based on primary as well secondary information, the Community Development Officers/CBA prepare a community profile.

The Community Development Officers hold the first formal dialogue with the local community in order to motivate citizens to get organised and to introduce concrete steps to be followed in solving community development problems.

Activity 5.3 - Formation of community organisation (CO)

After the first dialogue, community members take some time to reach consensus on the matter described during the first dialogue. Upon reaching consensus, they form a community organisation in order to ensure a successful implementation of community initiatives. The establishment of a community organization requires:

⁷ Details on this section given in operational manual

- Full participation: 80% or more of the households are represented in the CO, without excluding low income households. In case of large settlements, participation will be ensured through formation of informal CO at street level and then forming an association of all informal COs;
- Formation of CO-management team: 3-9 pro-active members will be selected on a consensus basis to serve as a chairperson, a secretary, a treasurer and representatives of each street;
- Gender balance: At least 40% of the members and the CO-management team are female;
- Accountability: The CO-members are accountable for all the decisions made by the CO and the CO-management team is accountable to the CO General Assembly;
- Commitment: CO-members are ready to pay a membership fee, a community development fee and other fees as needed to carry out activities for improvement of the living conditions. The CO-management team is committed to serve the community for several years;
- Transparency: CO-members agree to meet regularly and take decisions and implement CO initiatives in a transparent manner.

Activity 5.4 - Training of CO-management team

RIU organises a series of training sessions for the CO-management team to strengthen capacity in managing the CO, promoting participatory governance, accounting and financial management, legalisation of the CO, etc. Study tours to successfully functioning COs are conducted in order to ensure knowledge sharing.

Activity 5.5 - Legalisation of the CO

The CO-management team conducts a series of consultations with the CO-members and prepares a draft statute. The CO approves the draft statute with consensus and endorses the CO-management team. CO sends a copy of the statute to Rayon Community Resource Centre (RCRC) and RIU for their record and presents itself with the village/city council. The CO registers as one of the following legal forms – Body of Self-organisation of population (BSP), NGO, Association of Co-owners of Multi-Apartment Buildings, or a cooperative. RIU provides necessary backstopping to facilitate the registration.

Activity 5.6 - Institutional building of the COs

COs belonging to one rayon or region may find it necessary to combine their strengths and form an association/federation. The purpose of such an association/federation could be experience exchange, mobilization of resources, raising common concerns, undertaking economic environmental activities of a larger scale. Although the rationale for establishing an association is clear, the sustainability is often very challenging. CBA II will strengthen the capacities of such associations/federations to support their sustainability.

Timeframe: Month 6-9 of the Project implementation

Activity 5.7 -Training of community members and local/regional authorities

A series of trainings/ study tours are organized for CO-members, officials of partner village/city councils, rayon authorities, regional authorities and the ARC Government. The training modules are tailored to the needs of existing and new partners and focused on such areas as decentralization, sustainable local development, community based approach, strategic planning, participatory planning process, innovative technology for energy saving, micro-project implementation, and sustainable service delivery.

Timeframe: Month 6-18 of the Project implementation

Activity 5.8 - Participatory planning in target communities

The RIU holds a dialogue in each CO to facilitate participatory planning and helps them to identify social/economic/environmental challenges faced by the community and the resource required for addressing the needs are estimated.

The household level planning is followed by participatory planning which is facilitated by the RIU and local authorities at CO level to enable the CO-members to identify community level needs. Often, a community development plan emerges based on the individual needs expressed by the majority of the members. Community development plans usually include local priorities for improvement of basic services/physical infrastructures of social (health posts, drinking water etc.), economic (e.g. , micro and small farm and non-farm enterprises) and environmental (e.g drainage/sewerage, window insulation, heating system, street lighting, waste disposal) nature.

Activity 5.9 - Prioritisation of needs

The list of needs identified at household level and community level are debated at the CO level to establish their intensity, technical/social/ economic/environmental feasibility, sustainability and equity and are then prioritised according to the level of their importance. The issue of utmost priority for the CO is selected for implementation.

Activity 5.10 - Selection of community plans to be implemented

RIU facilitates a planning workshop at a council level with the participation of local authorities, COs, local level development agencies, CSOs, CBA representatives, and representatives of the private sector. Community development plans of the COs and plans of other stakeholders on the territory of the council are presented, debated and approved. This workshop serves as a forum to match the demand and supply of resources to implement prioritised plans. Local authorities and COs indicate their commitment to provide resources for the implementation of the prioritised plans. In case the available resources cannot meet the financial needs for implementation of the local plans, the local authorities take a justifiable lead to present the community plans for discussion at the LDF and get them incorporated into a rayon /regional plan for adequate support in the future.

Aggregated social/economic/environmental plans of all COs are presented at one of the LDF meetings. Village/city councils and other agencies may also present their own individual plans during this meeting. The plans are reviewed and agreed upon during the meeting. The rayon authorities incorporate the approved plans in their own plan for current/next year funding.

Timeframe: Month 8-30 of the Project implementation

Activity 5.11- Development of detail proposal

A CO, with the help of personnel of technical departments of rayon state administrations, municipality, consultants and RIU, prepares a community project proposal following the requirements such as:

- The necessary technical analysis and design is done with the full involvement of the beneficiaries, and ensuring that feasibility (CO should be able to implement), sustainability (beneficiaries should be able to maintain), equity (at least 80% of the CO-members benefit and the low income households are not left out), productivity (the project directly or

indirectly contributes to increase in households income/reduction in households expenditure) and environmental soundness are fully met.

- The project budget is prepared only when the design is endorsed by the CO by consensus;
- Cash and in-kind community contributions are clearly stated and the additional support required from outside agencies is identified in the proposal;
- Operation, maintenance and sustainability mechanism is part of the proposal

With the technical documents in hand, the CO prepares a grant proposal. The developed proposals of community projects are agreed at the CO level with relevant local authorities.

Activity 5.12 - Mobilising resources

The developed proposals of community projects are reviewed and agreed upon at the meetings of local development forums. Technical departments approve the documents if they meet formal requirements. The village/city councils, rayon authorities, CO, businesses, CBA/RIU and others present in the local development forums meeting commit an amount that they could make available to expedite the proposed micro-project. Once the needed resources are mobilised, the local and rayon authorities issue a commitment letter of support to the CBA Project.

CBA offers resources (grants) to COs for the implementation of micro-projects subject to the following considerations:

- For innovative project for energy saving - up to 70% of the cost is contributed by CBA II, up to 30% by local budget and 5% by a beneficiary CO;
- For communal infrastructural projects related to health protection, water supply, general energy saving, environment (waste management, sewage and sanitation) improvement, – 50% of the costs is contributed by CBA, 45% by local budget and 5% by the CO;
- For CO, which benefited from the CBA project in the past the CBA II contribution is less than 50%;
- Grant limit for communal infrastructure micro-projects is up to US \$ 16,000 and for energy efficiency innovative projects will be up to US \$ 20,000;

Timeframe: Month 8-36 of the Project implementation

Activity 5.13 - Approval of micro-project proposals, grant provision and micro-project implementation

The micro-project proposals submitted by COs through RIUs are reviewed by civil engineers and other relevant specialists of CBA/PMU and appraised by the CBA II project selection committee. The micro projects that meet the formal criteria are submitted to UNDP for approval. The COs that received a grant funding under the CBA I project and wish to apply under CBA II will have to prove the existence of a maintenance mechanism for already completed micro-projects and will have to act as a demonstration site for the rest of the project communities.

Timeframe: Month 8-36 of the Project implementation

Activity 5.14 - Promoting local economic development

On a limited scale, CBA II supports small economic initiatives of rural communities. The main focus is on promotion of collective actions that could lead to income generation and employment creation. The Project will assist small farmers to organize and form cooperatives or other forms of collective non-farm small business and bring value-added to local products through

processing, packaging and shared marketing. The support will be provided to communities that successfully participated in CBA I or CBA II and are willing to start economic activities. The support may include training, advisory service, and provision of small grants for joint economic activities. An operational manual will be developed based on experience of CIDP detailing the selection of territory and target members, formation of cooperatives, capacity building, and implementation of economic activities. At least 5 oblasts will be selected with 2 rayons per oblast will be selected on a competitive basis.

Timeframe: Month 8-30 of the Project implementation

Activity 5.15 - Book keeping, monitoring and reporting

The CO management team maintains transparent books of all transactions (cash or kind) related to the micro-project implementation. It also presents the progress report to the CO on a regular basis. The CO conducts public audit upon completion of the works and reports to CBA II PMU for every tranche utilised by using the reporting template provided by the RIU.

Timeframe: Month 9-45 of the Project implementation

Activity 5.16 - Handover of completed micro-projects and ensuring sustainability

Completed micro-projects are handed over to the respective local structures (village/city councils, rayon departments) or to the COs (only when the legal structure allows them to own communal property, e.g. association of co-owners of a multi-apartments building, cooperative). To the extent possible, the Project encourages the legal owners to further manage and maintain the micro-projects.

Through a MoU, the local authority entrusts CO with operation and maintenance of the micro-project. CO explores options and makes a final arrangement for maintaining the micro-project. This can include community health funds for the regular maintenance of health posts, community-based enterprises for the management of water supply systems, and alike.

A CO in the legal form of association of co-owners of multi-apartment building (ACMB) or cooperative is eligible to own, maintain and use communal properties.

Timeframe: Month 15-47 of the Project implementation

Activity 5.17 - Commissioning of micro-project and public clearance/auditing

Upon completion of a micro-project, the CO management team presents the final progress report to the CO General Assembly meeting. The CO audits the physical and financial transactions and the quantity and quality of the works done under the project. Upon finding it satisfactory, the CO grants public clearance for the project. The clearance is reflected in the minutes of the CO meeting signed by the CO members. A summary of the progress report is displayed to the public on information board. The CO submits the final progress report along with a copy of the public clearance to the CBA II PMU for its records.

The partner organisations (village/city councils, rayon state administrations, etc.) ensure that different micro-project components (e.g. pipes, taps, water reservoirs, water quality at source, housing structures, etc) satisfy standard technical specifications. Upon finding the result satisfactory, the project is handed over to the concerned authorities (or retained by the CO, if it is eligible) to incorporate in its inventory and make arrangement for operation and maintenance.

Timeframe: Month 15-47 of the Project implementation

Activity – 6: Promoting energy efficiency on the local level

Activity 6.1 - Revision of regional strategies on efficient use of energy

Regional authorities are supported in revision/updating of regional energy efficiency strategy. The technical/advisory support is provided on cost sharing basis and co-financing from regional budgets. Up-to-date strategy serves as a basis for more comprehensive support to communities with the view of further replication/scaling up of successful models of energy saving on the local level. It also provides an opportunity to move from the support to the stand-alone community initiatives towards a more holistic approach in increasing efficiency of energy use at the regional level.

Activity 6.2 - Developing recommendations to improve energy efficiency in public infrastructure and housing sector.

Technical recommendations are developed to enable local authorities and local population to reduce energy consumption in public buildings and housing sector, with particular focus on rural context.

Activity 6.3 - Support to the development of technical documentation for energy efficiency measures.

In line with regional energy efficiency strategies, project provides support to the development of the technical documentation for the selected energy efficiency projects of the large scale. It allows local authorities to apply for State Funds financing.

Activity 6.4 - Awareness raising campaign on efficient usage of energy

On the basis of the developed recommendations, public awareness campaign on specific measures to reduce energy consumption and to raise energy efficiency in the public infrastructure and housing sector for the local authorities and communities is launched. Campaign serves as a model for national replication.

Activity 6.5 - Support to community micro-projects in efficient use of energy (including projects on renewable energy production and energy saving)

This activity is implemented in all regions of Ukraine following the standard procedures of community mobilization (see Activities 5.1-5.16). Activities 6.1, 6.3 and 6.4 are implemented in four regions of Ukraine selected on the basis of the following: a) decision of the regional authorities to update a regional strategy on energy efficiency; b) allocation of regional or/and national resources for the implementation of the strategy; c) highest per capita emission of CO₂; and d) diverse geographical representativeness.

Timeframe: Month 8-47 of the Project implementation

Activity 7 - Knowledge sharing and establishment of knowledge management hub

Activity 7.1 - Establishment of Knowledge Management Hub

A knowledge management hub will be established initially at CBA/PMU and to be placed later within the Ukrainian Association of Local and Regional Authorities (UALRA). A Local Governance and Development Knowledge Network linking practitioners, professionals and policy makers in the field of participatory governance and community based development will be established under this national level Hub. The Hub will facilitate virtual and face-to-face knowledge sharing between community members, community organisations, local/rayon/regional and central authorities, development organisations, civil societies, academia,

donors, etc. Regional level knowledge hub will be established at the regional community resource centre or/at regional branches of UALRA. These regional hubs will provide the national hub with information received from the grassroots level. Information, post queries, solutions and good practices will be exchanged between the network members. Discussions will be moderated, compiled, summarised and shared with network members and also retained for institutional memory. The CBA II project provides technical and financial support for smooth functioning of the Knowledge Hub.

Activity 7.2 - Documentation of good practices and lessons learned

Collection of documents on community based approach is prepared and maintained as an e-library. Initial supply of such documents will come from UNDP-led projects namely CBA I, the Municipal Governance and Sustainable Development Programme, the Chernobyl Recovery and Development Programme and the Crimea Integration and Development Programme. Documents are also collected from projects of other donors' and national agencies in Ukraine that have experience in applying community participation approaches in local development. The Global Knowledge hub of UNDP will also be used.

Regional and national documentation is collected throughout the CBA-II implementation to further advance practical standards and relevant procedures for community based local development, e.g. co-funding mechanisms between community (citizens' resources), public authorities (state budget resources) and donors (development aid resources).

Activity 7.3 - Knowledge sharing

To the extent possible, experiences and good practices will be disseminated electronically and in hard copies to network members, non-member target groups, and other interested parties. Publications in local and national media and seminars/conferences will be carried out. Through organized visits, regional and national level media will be familiarised with community based methodology and its actual contribution to improving living condition of the people.

Timeframe: Month 10-48 of the Project implementation

Activity 8 - Building capacities of central and local project stakeholders

Activity 8.1- Internalization of CBA methodology

Due to strong demand from communities and local authorities for the implementation of community based methodology, technical support is provided to those regional/rayon authorities that would like to apply the community based development methodology outside the CBA-covered territories. The support includes technical advice and consultations for the development of appropriate mechanism including a 'local development fund', trainings, and small grants. The condition for the support is that project's contribution to the community initiatives supported through local fund mechanism is not higher than 20% of small grants cost.

Timeframe: Month 14-42 of the Project implementation

Activity 8.2 - Development of policy recommendation

Two national roundtables are organized during the CBA-II implementation to prepare policy recommendations on community based development approach in Ukraine. Special visits will be organised for parliamentarians, senior civil servants and policy makers.

Timeframe: Month 10-46 of the Project implementation

Activity 8.3 - Teaching students, training civil servants and elected authorities

In order to streamline the CBA methodology into the national and local level governance policies, the Project needs to invest in building the capacities of civil servants working in the area of local and regional development. Equipping the graduate students with theoretical and practical aspect of decentralised local development and community led participation is also among the aims of the CBA II project. Support will be provided for conducting trainings and seminars, study tours, roundtables for universities and training institutes, and publications and technical/advisory support for curriculum development.

Timeframe: Month 6-46 of the Project implementation

Activity 9 - Conducting information campaign and raising public awareness on crosscutting issues

To ensure visibility of EU and UNDP, communication activities will be carried out under the framework of the 'joint visibility guidelines for EC-UNDP actions in the field'. The visibility and communications strategy, developed and applied during the CBA I project, will be re-visited and updated. Communication materials will be produced and disseminated among stakeholders at all level. Donors, media and partners will be provided with up to date information on project activities through periodic progress reports and newsletters. The CBA project website will be maintained to give partners an easy access to resource materials and information on the project activities. Additionally, information campaign will be undertaken to raise community awareness on cross-cutting issues like gender, climate change, and good governance.

Timeframe: Month 1-48 of the Project implementation

1.7.2. Expected results

The key results expected through the implementation of the proposed project are:

- 900 community organizations, 200 Local Development Forums and 25 Regional Coordination Councils created/strengthened to ensure appropriate platform for collective actions and joint decision-making at local level⁸
- The capacity of 200 community resource centres in community-based development strengthened
- The curriculum on community led development including the community-based development principles and methodology adopted by at least two regional universities/training centres
- At least 6,000 community members and 2,000 elected/state authorities trained on how to cooperate with community organisations and local authorities
- At least 600 community micro-projects implemented to improve the delivery of basic communal services and to support economic development in rural areas At least 10,000 members of community organizations trained on energy efficiency to ensure increased public awareness at local level on energy saving options
- At least 300 community projects on energy saving/renewable sources of energy supported to reduce energy loss and diversify energy sources.

⁸ Number of beneficiaries was estimated on the basis of the following assumptions:

- Increased upper ceiling for the eligible cost for one community micro-project in CBA II (up to 16 000 EURO in comparison to 7 000 EURO in CBA I)
- Increased project's share in the total cost of the community micro-project in CBA II (up to 70% of the total micro-project cost in comparison to 50% in CBA I)
-

1.8. Methodology

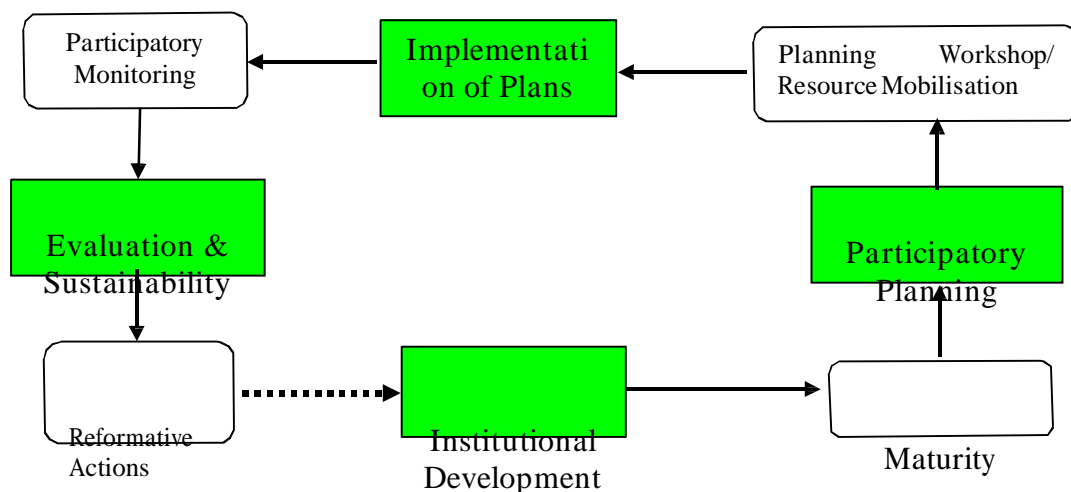
1.8.1. Method of implementation and reasons for choosing proposed methodology

Social mobilisation is a dynamic process which harnesses the people's potential for self-help initiatives. The underlying assumption is that people are willing and have potential to do many things themselves for their own wellbeing, their families and their community. They often need social/technical guidance in order to get motivated and organized. Such guidance includes help to:

- Identify genuine activists from among themselves;
- Identify and prioritise what people are willing to undertake in terms of opportunities and needs;
- Undertake a feasibility study of identified opportunities and needs in light of peoples' capacity, equity, sustainability and availability of resources from within and outside;
- Arrange, secure and facilitate the flow of required resources to the community, and
- Monitor, lobby, and establish linkages between communities, local authorities, CSOs, private sector and donors.

The above actions are accomplished in 4 stages: institutional development; bottom-up planning; implementation of plans; and operations/maintenance (flow chart – I). Each stage promotes/strengthens governance in one way or the other.

Flow-Chart – 1: Stages of Community Mobilisation Cycle



Central to the Project implementation strategy is the “Community-Based Approach” which applies bottom-up, participatory planning and community mobilisation process in order to encourage the formation of self-governing community organisations which undertake self-help initiatives in partnership with local authorities. Most commonly, the self-help initiatives include renovation of basic social and communal infrastructure and provision of better public service delivery with the ultimate goal to improve living conditions. The implementation of community led initiatives results in a critical mass of practical experiences of participatory local governance and improved relations between local authorities and citizens thus providing inputs for the

ongoing debate on administrative and fiscal decentralisation and further democratisation of society.

The CBA II project will be implemented by the United Nations Development Programme in Ukraine under the framework of a contribution agreement signed between EU and UNDP, following the procedures of the 'Joint Management with International Organization' and the Financial and Administrative Framework Agreement between the European Community and the United Nations. UNDP Ukraine will implement the CBA II project by utilising its established capacity and experience obtained in community-based approach development interventions.

The Project will be implemented through Direct Implementation Modality in accordance with the UNDP 'Programme and Operations Policy and Procedure' (POPP), the UNDP office in Ukraine will be responsible for project implementation, including for: provision of expertise in all areas related to the project, organising implementation of project activities, recruitment of project personnel and consultants, and contracting services for the procurement of equipment. UNDP Ukraine will build on its previous experience with relevant governmental and non-governmental partners and will tap into its global knowledge networks to mobilise complementary international expertise in order to achieve optimal results.

Tenders for procurement of equipment will follow the UNDP procurement rules according to Art. 6.1 of the Financial and Administrative Framework Agreement between the European Community and the United Nations.

UNDP Ukraine will closely cooperate with and inform the Delegation of European Union to Ukraine at all stages of project implementation. All reports will be submitted in hard copy and in electronic version.

Regular coordination and review meetings between UNDP and the EU Delegation will be conducted to monitor the project's progress and agree upon on the major issues related to the CBA project implementation.

The main project partner will be the Secretariat of Cabinet of Ministers. The Steering Committee of CBA I will be maintained with its further expansion as necessary. The Project Steering Committee provides advice and guidance on project implementation. The CBA II Project Manager is in charge of the daily management of the project and facilitates a proper functioning of the Steering Committee. Terms of Reference (ToR) of the Steering Committee is provided in Annex II.

1.8.2. Extension of previous actions

The proposed action is an extension of CBA I and therefore, it builds upon the work carried out by CBA I in terms of utilising the manuals/guidelines, services of project staff, established partnerships and the lessons learned.

1.8.3. Procedures for follow up and internal/external evaluation

The Action will be subject to standard monitoring and evaluation procedures of UNDP. Evaluation of the project implementation will be commissioned by EU. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and achievement of project objectives. Using the internal monitoring system developed during CBA I, quarterly reports will be produced by the Project focused on analysis of progress against planned activities. Annual reports will be drafted and submitted to UNDP and EU no later than two months following the end of year. These reports will contain an in-depth analysis of the results and outcomes achieved during the year. In addition, annual presentations to present the Project key deliverables to the Steering Committee will be carried out.

1.8.4. Audit

The project shall be subject exclusively to the internal and external auditing procedures laid down in the Financial Regulations, Rules and Directives of UNDP. A copy of the audited financial statements of UNDP issued by its external auditors shall be submitted to the European Union by UNDP.

1.8.5. The role and participation in the action of various actors (local partner, target groups, local authorities, etc.)

At Central Level, the main focal agency for the project will be the Secretariat of the Cabinet of Ministers of Ukraine. As the main counterpart of the project, it will:

- Coordinate and facilitate the involvement and participation of line ministries and other relevant government agencies;
- Ensure that regional and local authorities are duly informed about the project and fully authorised to participate; and
- Provide recommendations and support for project implementation

At Regional Level, the main counterparts are the regional state administrations and Regional Councils (in case of ARC, the Office of the Chairperson of the Council of Ministers of the ARC.) They will:

- Facilitate the function of the Regional Implementation Unit and its expansion into a resource centre;
- Provide office space for RIU/resource centre;
- Appoint regional state administration staff to join CBA team in project implementation and to coordinate with oblast/local authorities;
- Facilitate the work of project regional coordination council;
- Assist in the selection of target rayons and village/city councils;
- Review and integrate rayon development plans (based on community development plans) into the regional development plans; and
- Make available budgetary resources to the extent possible

At Rayon Level, the main counterparts are the rayon state administrations and rayon councils. They will:

- Appoint focal persons for working closely with the RIU/oblast focal persons;
- Assist in the selection of village/city councils and target communities;
- Establish and chair the Local Development Forum (LDF) and represent LDF in regional coordination council and coordinate with oblast authorities for effective implementation of the project;
- Establish a rayon community resource centre/ and maintain the existing rayon community resource centre to support CBA as well as non-CBA communities;
- Integrate community development plans approved at LDF into the rayon development plan;
- Provide technical expertise and other support to COs in designing of community led micro-projects;
- Allocate resources for community initiatives approved by local development forum;
- Support implementation of community projects by observing tenders and by participating in the supervision of micro-project implementation;
- Facilitate hand over and support establishment of sustainability mechanisms for completed micro-projects

At Local Level, the main partners are local authorities (village/city councils). They will, among other:

- Support RIU in establishing and strengthening self-governing COs;

- Review community development plans, recommend approved plans at local development forum meetings;
- Participate in the design and implementation of micro-projects and mobilise internal resources;
- Participate in the design and establishment of effective sustainability mechanisms for completed sub-projects;
- Coordinate with rayon authorities for effective implementation of CBA activities

At Community Level, the selected target communities are the main partners at community level. They, among other:

- Form and maintain an inclusive self-governing CO founded on the principles of good governance;
- Select active persons and CO-MT to carry out the functions of COs;
- Prepare community development plans and debate/approve them at local level planning workshops;
- Contribute in cash/kind to maintain the CO and implement micro-projects;
- Serve as a watch-dog to ensure accountability of CO-management team and the CO-members;
- Support sustainability of micro-projects and the services derived from them.

1.8.6 Team proposed for the implementation of the action

The CBA-II will maintain two levels of project teams set up during CBA-I to carry out the functions as follows:

At Central Level the current project management unit (PMU) tasks will be:

- Overall management of Project implementation;
- Coordination with stakeholders and project partners;
- Strategic, technical and methodological backstopping to Regional Implementation Units;
- Final endorsement of community projects for grant award;
- Monitoring of project implementation and quality assurance; and
- Knowledge management, reporting and visibility

The PMU will consist of:

- International Project Manager (to provide leadership and overall management support) – for the three years of project implementation;
- National Project Manager – for the last 17 months of project implementation;
- 2 Community Development Specialists (to supervise project implementation in up to 13 regions each);
- 4 Engineers (each one support community project related activities in up to 7 regions each);
- Cooperative/Small Business Development Officer;
- Energy and Environment Specialist;
- Monitoring and Communications Specialist;
- Administration Officer;
- Finance Specialist;
- 8 project assistants (4 finance, 2 community development, 1 monitoring, 1 administration); and
- Driver

At Regional Level the main tasks of the RIU will be:

- Overall management of field component of the Project;
- Community mobilization;

- Creation/strengthening of support structures at rayon/regional level;
- Creation/strengthening of community resource centres;
- Human resource development at local/rayon/regional level;
- Establishment/continuation of bottom-up participatory planning process;
- Implementation and sustainability of community projects; and
- Experienced documentation, dissemination and visibility

In each region, the CBA II project will have up to three project staff (2 community development officers and 1 driver). Selection and recruitment of project staff (see Annex - I for TOR of staff members) will be done by UNDP in framework of its standard policy and procedures.

1.9. Main means proposed for implementation of the action

- Office premises, office furniture and equipment for PMU and 25 RIUs. Furniture and equipment of CBAI will be utilised during CBAAII as well. Replacement or addition will be made as necessary to ensure effective implementation.
- 1 vehicle for the PMU and 1 vehicle for each RIU. Current vehicles will be checked for their suitability for CBA-II period and replacement will be made for those which will prove unsuitable. The rejected vehicles will be disposed

1.10. Duration and indicative action plan for implementing the action

The duration of the action will be 48 months.

Activity #	Key Activity	Year - 1												Responsible Body
		Semester 1						Semester 2						
		1	2	3	4	5	6	7	8	9	10	11	12	
1	Launch of CBA Phase II Project	■	■	■	■	■	■							UNDP, EU, CBA Team
2	Establishment of partnerships on local level			■	■	■	■	■						UNDP, CBA Team
3	Formation/grafting of local support structures: local development forums, regional coordination councils. Establishing/strengthening community resource centres						■	■	■	■	■			CBA/OIU, RSA/RC, OSA/OC
4	Community mobilization , capacity building and micro-projects implementation						■	■	■	■	■	■	■	RSA/RC, CBA/OIU
5	Promotion of energy efficiency on local level								■	■	■	■	■	COs, local authorities, CBA Team, UNDP
6	Promotion of farm and non-farm micro and small business development								■	■	■	■	■	COs, local authorities, CBA Team, UNDP
8	Establishment of knowledge management hub										■	■	■	CBA Team
10	Building capacities of local stakeholders (community members, civil servants and						■	■	■	■	■	■	■	CBA Team, academia

	elected authorities) in community based local development																								
11	Conducting information campaign and raising public awareness on crosscutting issues																								CBA team
Activity #	Key Activity	Year - 2												Responsible Body											
		Semester 3						Semester 4																	
		13	14	15	16	17	18	19	20	21	22	23	24												
5	Community mobilization and micro-projects implementation																								COs, local authorities, CBA Team, UNDP
6	Promoting energy efficiency on the local level																								COs, local authorities, CBA Team, UNDP
7	Promotion of farm and non-farm micro and small business development																								CBA Team,
8	Establishment of knowledge management system																								CBA Team
9	Methodology internalisation																								COs, OIU, local/regional authorities
10	Teaching students, training civil servants and elected authorities																								CBA team; academia
11	Conducting information campaign and raising public awareness on crosscutting issues																								CBA team
12	Evaluation of the Project implementation																								UNDP
Activity #	Key Activity	Year - 3												Responsible Body											
		Semester 5						Semester 6																	
		25	26	27	28	29	30	31	32	33	34	35	36												
5	Community mobilisation, capacity building and micro-projects implementation																								COs, local authorities, CBA Team,
6	Promotion of energy efficiency on local level																								COs, local authorities, CBA Team,
7	Promotion of farm and non-farm micro and small business development																								CBA Team
8	Knowledge sharing and establishment of knowledge management hub																								CBA Team
9	Building capacities of central and local project stakeholders																								COs, OIU, local/regional authorities
10	Conducting information campaign and raising public awareness on crosscutting issues																								CBA team
11	Evaluation of Project implementation																								UNDP
Activity #	Key Activity	Year - 4												Responsible Body											
		Semester 7						Semester 8																	
		37	38	39	40	41	42	43	44	45	46	47	48												
5	Community mobilisation, capacity building and micro-projects implementation																								COs, local authorities, CBA Team,
6	Promotion of energy efficiency on local level																								COs, local authorities, CBA Team,

7	Knowledge sharing and establishment of knowledge management hub																CBA Team
8	Building capacities of central and local project stakeholders																COs, OIU, local/regional authorities
9	Conducting information campaign and raising public awareness on crosscutting issues																CBA team
10	Evaluation of Project implementation																UNDP

A detailed Gantt chart of the project implementation is presented in Annex - III.

1.11. Sustainability

1.11.1. Risks analysis and assumptions

In view of the trust established with CBA-I partners, the demonstration of CBA methodology during CBA-I, and the completed national elections in 2010 no major risks are foreseen for CBA-II. However, there risks and assumptions listed below should be taken into consideration:

Assumptions:

Ukraine pursues its development objective in line with the spirit of the European Charter on Local Self-government;
The Government continues cooperation with the European Union in order to improve energy efficiency

Risks:

Changed elected/government officials are not open to adopt CBA methodologies and are inclined toward greater centralization;

Regional strategies on energy efficiency are considered by local partners as a formality, hence with actual low interest and limited resources to implement relevant measures;

Recovery from national or global financial crisis affects the revenue collection of budgets at all levels, thus limiting local co-financing possibilities

Risks can be mitigated through:

- Share success stories of CBA I, promotion of direct contacts between communities (highlighting the CBA I best practices, peer-to-peer learning, effective functioning of LDFs and OCCs);
- Intensify cooperation with local authorities on regional level as well as involve members of the Steering Committee representing central structures at national level;
- Conduct public awareness campaigns on importance of energy-saving measures;
- Review co-financing arrangements for micro-grants, if necessary

1.11.2 Financial and institutional sustainability of the action

The financial aspect (how will activities be financed when the Project ends?)

Financial sustainability mechanisms, established during CBA I, will be further enhanced during the implementation of CBA-II. Moreover, at the request of four CBA I partner regions, standard TOR for the establishment of Local Development Fund was developed as a long-term sustainability mechanism to support community led initiatives. Managed by local councils, the Fund is expected to collect resources from state and local budgets as well as other sources to cover operational and seed grant costs to support community projects. CBA II will support pilot implementation of the Local Development Fund which will be used as a model for replication. Coordination with establishment of national level Regional Development Fund will be ensured.

The micro-projects to be implemented through seed-grants will be designed with a clear and realistic management, operation and maintenance plan. Cost sharing contributions and participation in all stages of the sub-project cycle by the COs and local authorities, will help develop a sense of “ownership” of results and ensure sustainability. Some regional and rayon

authorities are expected to replicate the CBA-methodology in additional territories using the support structures in place.

Institutional aspect (Will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of action outcomes?)

The Regional Implementation Units are established in each region of Ukraine with an understanding that the RIUs will be converted into Regional Community Resource Centre. The focal person from the regional government, the operational guidelines and project documentation will provide institutional memory to continue the functioning of the centre. The established Regional Coordination Councils and the linkages with the network members under the Knowledge Management Hub will further support the continuity of resource centres.

The rayon resource centres established by rayon authorities and managed by the focal person (delegated) from the regional state administration will continue functioning at the cost of rayon and will keep supporting local communities. The logistical support (furniture, equipment) provided by the Project to the resource centres will become property of the regional state administrations/councils allocated to the resource centres.

The establishment of inclusive self-governing community organisations, local development forums, oblast coordination councils and Resource Centres will provide an institutional framework and platform at the grass-roots level. These structures will facilitate and further expand participatory planning, decision-making and implementation of activities addressing local development needs and priorities, as well as promote improved dialogue and effective partnerships between local authorities and citizens, even after CBA II ends. Moreover, community leaders who were involved in CBA projects are increasingly elected into the village/rayon councils, thereby replicating the bottom-up community-based approach in the system of public administration and civil society.

Furthermore, the introduction of CBA methodology into university curricula and development of training modules for civil servants and elected authorities will contribute to building capacity in participatory governance and community based approach to local development. This will also contribute to continuity of methodology implementation after the project ends.

Policy level where applicable (What structural impact will the action have - e.g. will it lead to improved legislation, codes of conduct, methods, etc?)

The Project will help to create practical experiences in participatory local governance that can subsequently contribute to on-going debates and reforms on administrative and fiscal decentralisation and lead to further democratisation of society.

As mentioned in Section 1.7 under Activity 10, during the entire process of project implementation, good practices and lessons learned will be documented and discussed at the local development forums for sharing information and knowledge among all stakeholders. These policy recommendations will be further analysed and compiled by the Local Governance and Development Knowledge Network – the Hub (section – 8) and brought to the attention of policy makers.

1.12. Logical framework

The Logical Framework for the Project is presented in Annex-IV.

BUDGET FOR THE ACTION

Annex-V (A) of this document details the Project's operational and activity costs.

EXPECTED SOURCES OF FUNDING

Annex-V (B) indicates the expected Sources of Funding of the Action.

Annex - I Terms of Reference of CBA II Staff

1) International Project Manager (PM)

The Project Manager shall be responsible for the overall management of CBA project activities, developing and implementing a results-based work plan for the project. He/she shall be responsible for all substantive, managerial and financial reports from the project. He/she will provide overall supervision for all CBA staff in field stations and in the project management unit in Kyiv as well as guiding and supervising all policy-based relations between the project and the Government of Ukraine. The Project Manager will have the following specific duties:

Policy Analysis and Advisory Services:

- Monitor and analyze key economic, social and political developments in the country which affect regional / local or national development; through this process, identify development needs and potential solutions relevant to project activities;
- Analyze Ukrainian policy in the area of local / community development. Identify challenges and recommend policy changes that will facilitate community development and expansion of the model of effective cooperation between local citizens and authorities.
- Contribute to policy dialogue on the issues of communities engagement in the decision-making process on the local level with the Government, donors, civil society, private sector.
- Create platforms for dialogue at regional (oblast) and district (rayon) level, between local authorities and community organizations. Support creation of local development forums and provide assistance to their functioning.
- Advocate, promote awareness and understanding of local sustainable development issues in the context of MDGs, climate change and European integration processes.
- Engage with senior government officials at the national, regional and local level to promote expansion of community-based development programming.
- Establish and maintain dialogue with government officials, both local and national, NGOs, partners, donors and communities to provide knowledge and understanding, ensuring accurate interpretation of the program's mission;
- Engage with senior EU and UN officials to demonstrate effectiveness of technical assistance to local communities in Ukraine.
- Lead and effectively manage the CBA project team comprising of up to 90 individuals. Ensure proper training, guidance and coaching opportunities for all CBA personnel and local leaders assisted by the project.

Programme Services:

- Manage the CBA project financial and human resources
- Create systems for effective financial, administrative and logistical processes to facilitate community-level work
- Ensure proper operational, financial and administrative management in the project, as well as adherence to all UNDP rules and procedures;
- Ensure full transparency and access to information about activities of CBA for local and national stakeholders;
- Ensure effective monitoring of community component of the CBA
- Facilitate learning for local CBA community development officers, provide guidance and coaching opportunities to ensure high efficiency of project support by CBA offices in oblast centres.
- Ensure that CBA objectives and activities are well coordinated with plans and activities of local partners;
- Ensure proper monitoring and evaluation procedures are instituted in all project activities;
- Co-ordinate and oversee the preparation of the substantive and operational reports from the Programme;
- Prepare and oversee the development of Terms of Reference for consultants and contractors;
- Monitor project inventory, attendance records, filling system. Assure correct personnel management and procurement of goods/services;

- Participate in communication (PR) and media activities. Ensure project web-site updates. Coordinate distribution of the project related information. Ensure visibility of the Donor and Implementing Partner in all project outputs.
- Implement the project in accordance with UNDP Financial Rules and Regulations and the Internal Control Framework for UNDP Ukraine.
- Prepare input to official project implementation reports to the EC
- Participate in preparation of budgets and workplans for the extension of the CBA project

Knowledge Management and Experience Sharing:

- Implement the Social Mobilization concept throughout all components of CBA;
- Prepare knowledge products, document the community-based development methodology.
- Facilitate learning and experience sharing for government officials, local community leaders and experts
- Create an electronic platform for the exchange of information, best practices and experience within CBA
- Contribute to national and global knowledge networks and contribute to policy discussions in UNDP and the EU systems, for proper inclusion of the CBA experience in institutional best practices and policies
- Maintain relationships with donors and present a clear analysis of how their financial support has contributed to the results they had requested and promote the programme to new donors;
- Participate in regional and global meetings of development practitioners working in the area of social mobilization and local development
- Contribute articles and analytical work to be published in specialized media
- Perform other duties as required

Skills and Experience Required:

- Master's degree in Business Administration, Economics, Finance or equivalent disciplines
- 7 years of relevant experience in development in a governmental, multilateral or civil society organization in a multi-cultural setting
- 3 or more years of senior-level management responsibilities of similar size and complexity.
- At least five years experience at a senior project management level;
- Mature judgment combined with a proactive, energetic approach to problem solving; excellent interpersonal and communication skills; strong organizational and time management skills,
- Ability to work with a wide cross-section of partners: Government, NGO's, communities, media and international donors;
- Experience in planning and managing international technical assistance programs, including direct responsibilities for administering of project's budget;
- Excellent knowledge of English, knowledge of Ukrainian and/or Russian would be an asset ;
- Knowledge of and complete comfort with computer applications is essential (including organization of public presentations on PowerPoint).

2) National Project Manager (PM)

The Project Manager shall be responsible for the overall management of CBA project activities, developing and implementing a results-based work plan for the project. He/she shall be responsible for all substantive, managerial and financial reports from the project. He/she will provide overall supervision for all CBA staff in field stations and in the project management unit in Kyiv as well as guiding and supervising all policy-based relations between the project and the Government of Ukraine. The Project Manager will have the following specific duties:

Policy Analysis and Advisory Services:

- Monitor and analyze key economic, social and political developments in the country which affect regional / local or national development; through this process, identify development needs and potential solutions relevant to project activities;

- Analyze Ukrainian policy in the area of local / community development. Identify challenges and recommend policy changes that will facilitate community development and expansion of the model of effective cooperation between local citizens and authorities.
- Contribute to policy dialogue on the issues of communities engagement in the decision-making process on the local level with the Government, donors, civil society, private sector.
- Create platforms for dialogue at regional (oblast) and district (rayon) level, between local authorities and community organizations. Support creation of local development forums and provide assistance to their functioning.
- Advocate, promote awareness and understanding of local sustainable development issues in the context of MDGs, climate change and European integration processes.
- Engage with senior government officials at the national, regional and local level to promote expansion of community-based development programming.
- Establish and maintain dialogue with government officials, both local and national, NGOs, partners, donors and communities to provide knowledge and understanding, ensuring accurate interpretation of the program's mission;
- Engage with senior EU and UN officials to demonstrate effectiveness of technical assistance to local communities in Ukraine.
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Programme Services:

- Manage the CBA project financial and human resources
- Create systems for effective financial, administrative and logistical processes to facilitate community-level work
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- Ensure proper monitoring and evaluation procedures are instituted in all project activities;
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- Contribute to national and global knowledge networks and contribute to policy discussions in UNDP and the EU systems, for proper inclusion of the CBA experience in institutional best practices and policies
- Maintain relationships with donors and present a clear analysis of how their financial support has contributed to the results they had requested and promote the programme to new donors;
- Participate in regional and global meetings of development practitioners working in the area of social mobilization and local development
- Contribute articles and analytical work to be published in specialized media
- Perform other duties as required

Skills and Experience Required:

- Master's degree in Business Administration, Economics, Finance or equivalent disciplines
- 7 years of relevant experience in development in a governmental, multilateral or civil society organization in a multi-cultural setting
- 3 or more years of senior-level management responsibilities of similar size and complexity.
- At least five years experience at a senior project management level;
- Mature judgment combined with a proactive, energetic approach to problem solving; excellent interpersonal and communication skills; strong organizational and time management skills,
- Ability to work with a wide cross-section of partners: Government, NGO's, communities, media and international donors;
- Experience in planning and managing international technical assistance programs, including direct responsibilities for administering of project's budget;
- Excellent knowledge of English, fluency in Ukrainian and/or Russian;
- Knowledge of and complete comfort with computer applications is essential (including organization of public presentations on PowerPoint);

3) Community Development Specialist

Under the direct supervision of Project Manager, the incumbent will perform the following functions:

- Contribute towards strengthening of participatory governance in the Project area by introducing and nurturing the mechanism of wide citizens' participation in decision-making process;
- Implement social mobilization to demonstrate effectiveness of community based approach to sustainable local development in Project area in line with the framework of the Project;
- Work to expand partnership and cooperation between COs and levels of government for the implementation of community level micro projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region;
- Initiate local level strategic planning in the Project area;
- Provide professional mentorship, training and support to community development officers and local authorities.
- Work to establish networking of CBA-partners at local, rayon and regional level;
- Support experimentation on energy saving technologies and alternative energy sources
- Supervise and monitor the work of Community Development Officers in half of the regions covered by Project;
- Support in internalization/replication of the successful practices by the local authorities;
- Develop/support in development of necessary training materials and implementation guidelines for local communities and local authorities;
- Support in development/strengthening of resource centres and demonstration sites relevant to the Project approach
- Report on progress in the areas of responsibility and, advise for effective project policies and procedures
- Undertake measures required for timely achievement of Project results
- Ensure that profiles of local/regional partners and information related with activities of the unit are maintained and updated on website

Skills and Experience Required:

- Masters degree in science, sociology, economics, engineering, or related field with five years of working experience with local communities for development activities;
- Experience in working with all level of governments and non-government organizations
- Sound knowledge on concept of social mobilisation, decentralisation and sustainable development
- Excellent interpersonal/communication skill with sound knowledge of English;
- Sound knowledge on computer application

3. Monitoring and Communication Specialist

Under the direct supervision of project management the incumbent will be responsible for monitoring, reporting, experience dissemination and public relations on activities of the Project. Specifically, he/she will:

- Design, agree and implement communication/information strategy for the Project, ensuring sound visibility of EU and UNDP;
- Develop and maintain system of monitoring and reporting of Project activities;
- Maintain project media relations for reaching main donors, partners and general public audiences.
- Liaise with governmental/non-governmental institutions, academia, and communication officials of EU, UNDP and their projects;
- Develop, produce and disseminate project experience/promotional materials such as leaflets, brochures, articles, audio-video, success stories, etc. or manage/support such activities;
- Organize events including donor/partner visits and support field offices in holding such visits;
- Ensure regular updating of CBA Project website and submit regular updates on the project for EU and UNDP Ukraine web-site;
- Manage activities of Communications and Monitoring Unit of PMU, supervise activities of junior staffs in the Unit and ensure security of inventory related with the Unit
- Co-supervise Community Development Officers in 25 regions to ensure smooth implementation of monitoring, communication and visibility related activities;
- Serve as resource person at trainings for CBA stakeholders on communication, monitoring and visibility;
- Support research, documentation and assessment studies on CBA Project;
- Assist academia in introducing CBA experience in optional courses in higher education institutions;
- Prepare ad hoc information materials about the Project;
- Bring out periodicals based on field experiences and study reports;

Skills and Experience Required:

- Masters degree in communications, journalism or social science
- Four year experience in the field of communication, monitoring and reporting;
- Excellent writing, communication and organization skills;
- Professional fluency in English (spoken and written), Ukrainian and Russian;
- Excellent computer skills (including Adobe Acrobat, PhotoShop)
- Knowledge about conducting/managing research in social science would be an asset
- Strong knowledge/use of modern information technologies including photography, video-making and website.

4) Energy and Environment Specialist

Under the supervision of Project Manager, the incumbent will ensure appropriate information on alternative energy, innovative energy saving technologies and environment to the stakeholders and assist in experimentation in the area of energy saving and environment improvement. Specially, he/she will –

- Collect/update information on the area of innovative technologies, alternative energy sources and on-going experimentations in the area of energy saving and environment improvement in rural Ukraine;
- Develop manuals and guidelines suitable for target communities on the subject
- Support in human resource development in the areas of energy and environment

- Provide technical backstopping to the experiments supported by CBA on the subject
- Liaise with the relevant agencies working in the areas of alternative energy and environment
- Assist local authorities in developing strategic energy plans
- Maintain project related information on energy & environment and update on website for stakeholders

Skills and Experience Required:

- Masters in environmental science, engineering or equivalent
- Proven four year experience in the field of energy/environment
- Knowledge of Ukrainian and Russian. Professional fluency in English (spoken and written) would be an asset;
- Excellent computer skills
- Experience in conducting/managing research in energy/environment sector
- Experienced in working with the local/regional/national authorities.

5) Business Development Officer

Under the supervision of Project Manager, the incumbent will support in promotion of cooperatives, agro-processing, SME and marketing in rural Ukraine. Specifically, he/she will –

- Collect/update information related with SME development, agro-processing/marketing, cooperative development and rural credit in Ukraine
- Develop appropriate manual/training materials on cooperatives, agro-processing, SME and marketing in rural Ukraine
- Contribute to human resource development in the subject
- Mobilise community organizations and support them in developing cooperatives
- Provide technical backstopping to mobilized communities in undertaking SME/processing/marketing related activities
- Liaise with micro-credit agencies and support in credit flow to SMEs
- Maintain project related information on small business promotion and update on website for stakeholders

Skills and Experience Required:

- Masters in business administration, social/economic sciences or related
- Proven four year experience in the field of SME development ,or related fields
- Professional fluency in English, Ukrainian and Russian (spoken and written);
- Excellent computer skills
- Experience in conducting/managing research in SME, agro-processing, cooperative development and micro-credit would be an asset
- Experienced in working with the local/regional/national authorities.

6) Engineer

Under the direct supervision of Community Development Specialist the incumbent should be responsible for:

- Providing technical and methodological backstopping to community projects
- Appraising micro-project proposals received from regional offices from technical perspective including working drawings and cost estimates etc.;
- Monitoring of technical aspects of implementation of community projects
- Supporting hand-over of completed micro-projects
- Serving as a trainer/resource person in the training on community planning, micro-project proposal development, community project implementation etc. organized by the Project at local/regional level involving communities and local authorities;
- Build capacity of the local partners for efficient implementation of the projects under standard technical norms/specifications and standard practices of budget expenditures as established by UNDP;
- Assist beneficiary communities in developing appropriate mechanism for operation and maintenance of completed projects;

- Document the process and develop quality standards and practical guidelines based on the lessons learned from the Programme activities;
- Maintain files and electronic data related with community projects

Skills and Experience Required:

- University degree in civil engineering or equivalent
- 4 years experience in engineering, planning, designing, construction, operation and maintenance of standard public works in the context of communal infrastructures and construction supervision
- Experience in working with local government and non-government organizations
- Knowledge of Ukrainian construction standards; mature judgment; excellent interpersonal and communication skills;
- Strong organizational and time management skills; ability to work under pressure.
- Knowledge of Ukrainian and Russian. Knowledge of English is an asset

7) Finance Specialist

Under the supervision of Project Manager, the incumbent will ensure execution of transparent and efficient financial and procurement services and processes, undertaken during project implementation. He/she will work in close collaboration with other project staff for resolving complex financial and procurement-related issues and ensures full compliance of CBA procurement activities with UNDP rules and regulations. More specifically, the Finance Specialist will be responsible for:

- Liaising with UNDP Kiev on procurement and finance related issues.
- Supervising finance/procurement assistants of the project
- Updating regularly the IPM and project staffs with financial progress and payment process
- Developing, establishing and updating proper financial MIS from field to PMU level
- Preparing financial reports to EU and UNDP management
- Reviewing regularly community organizations procurement and finance practices and processes and making recommendations for improving their effectiveness and efficiency
- Developing/updating finance/procurement related guidelines for community organisations and building capacity of the project staffs to serve as resource persons in this subject
- Keeping abreast of UNDP corporate rules and regulations as well as best practices in the area of procurement and finance
- Assisting PM in preparing workplan, budgeting and making budget revisions and monitoring of budget utilization
- Establishing and ensuring maintenance of proper filing of documents from audit point of view; facilitating project audit
- Ensuring that finance related processing and payment information are updated on website for stakeholders
- Co-supervise Community Development Officers in 25 regions to ensure smooth implementation of finance related activities;

Skills and Experience Required:

- Masters degree in accounting/auditing/finance, economics or equivalent
- 5 years of proven experience in finance management
- Experience in technical assistance projects would be an asset
- Experience in the usage of computers, office software packages (MS Word, Excel, etc) and finance related software packages. Knowledge in internet-based financial management will be a strong asset
- Fluency in English and Ukrainian
- Excellent interpersonal and task management skills and a client-oriented service orientation; ability to work under pressure, with strong delivery orientation.

8) Administration Officer

Under the supervision of International Project Manager (IPM), the incumbent will ensure execution of transparent and efficient administration system undertaken during project implementation. The Administration Officer will work in close collaboration with other project staff for resolving administration-related issues and ensures full compliance of CBA administration with UNDP rules and regulations. More specifically, the Administrative Officer will:

- Carry out activities related with human resources (recruitment process, contractual arrangement, salary and allowances, skill development, attendance etc.)
- Liaise with UNDP Kiev on administration related issues. Regularly report IPM on such matters
- Ensure proper safety and maintenance of the inventory. Carry out regular verification and reporting on this matter
- Supervise project assistants (admin) and project drivers and co-supervise Community Development Officers in 25 regions to ensure smooth implementation of administration related activities;
- Ensure quality vehicle use and maintenance
- Ensure optimal working environment in the project office in terms of logistics, supplies, hospitalities etc.
- Serve as the security focal point for CBA. Ensure office security as per the UNDP guidelines. Familiarize the project staffs with rules and regulations on this subject
- Establish and ensure maintenance of proper filing (storage) of documents from audit point of view. Facilitate auditing of the Project
- Assist IPM in preparing workplan, budgeting and making budget revisions
- Keep abreast of UNDP corporate rules and regulations as well as best practices in the area of administration
- Familiarize project staffs about UNDP corporate rules and regulations as well as best practices in the area of project administration

Skills and Experience Required:

- Master degree in management, social science or equivalent; specialized training in administration/management would be an asset.
- 5 years of progressively responsible administration experience
- Experience in technical assistance projects would be an asset
- Experience in the usage of computers, office software packages (MS Word, Excel, etc)
- Fluency in English and Ukrainian
- Excellent interpersonal and task management skills and a client-oriented service orientation; ability to work under pressure, with strong delivery orientation.

9) Community Development Officer

Under the supervision of Community Development Specialist and overall supervision of project management team the incumbent will perform the following functions:

- Co-manage regional implementation unit (community resource centre) and coordinate with local and regional stakeholders for achieving objective of the Project.
- Work directly with communities of the region to promote community led development including preparation and prioritization of community development plans for local improvement.
- Work directly with community organisation (CO) members to facilitate the implementation of community projects and design of sustainable strategies for operation and maintenance of resulting object and/or services.
- Work to expand partnerships and cooperation between COs and levels of government of the region for the implementation of local community projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region.
- Work on conducting community based experimentation in the areas of alternative energy, energy efficiency, environment improvement and SME development in the Project area;
- Work with CO-members to initiate social and economic/environmental development strategies in community sites of the region.
- Work as a trainer and resource person in the training organized for the communities and other partners in the region.
- Support establishment/strengthening of rayon/regional level networks in the CBA project area.
- Prepare progress reports, and other reports as per required by the organization.
- Promote project through stories, articles and other PR activities, ensure implementation of EU visibility strategy;
- Organize special events based on key UN days or UN/UNDP themes in particular region;

- Assist with donor visits, provides services of donor guide during donor visits and events;

Skills and Experience Required:

- University degree in social science, environmental science or equivalent
- Three years working experience with communities for development activities
- Experience in working with government and non-government organizations
- Excellent interpersonal and conceptual skills for promotion of economic and social development
- Knowledge of English is an asset

10) Finance Assistant

Under the direct supervision of Finance Specialist, the incumbent ensures execution of transparent and efficient financial and procurement services and processes, undertaken during project implementation.

More specifically, the Finance Assistant will be responsible for:

- Monitoring and reviewing reporting documents from community organizations of 12 selected oblasts of Ukraine
- Maintaining and regularly updating the procurement and finance filing system, related to the project activities in 12 selected oblasts
- Creating vendors, requisitions and purchase orders; budget checking, dispatching and closing purchase orders for CBA in compliance with UNDP procurement and financial procedures and taking timely corrective actions on purchase orders with budget check errors and other problems
- Maintaining data on processing and payments and assisting in web-based information dissemination

Skills and Experience Required:

- University degree in accounting, auditing, financial management, economics or equivalent; specialized training in finance and procurement would be an asset.
- 3 years of experience in finance .
- Experience in the usage of computers and office software packages (MS Word, Excel, etc) related to accounting and finance. Experience in internet-based financial management systems will be a strong asset
- Experience with international technical assistance projects would be an asset
- Fluency in Ukrainian, Russian and English is a must
- Excellent interpersonal and task management skills and a client-oriented service orientation; ability to work under pressure, with strong delivery orientation.

11) Travel Assistant (Finance)

Under the supervision of Finance Specialist and overall supervision of project management, the incumbent will perform the following functions:

- Preparing e-requisitions, monitoring and reviewing reporting travel documents from CBA-personnel from all regions of Ukraine, ensuring compliance with UNDP/CBA rules and procedures and processing payments of travel related expenses;
- Maintaining and regularly updating travel and finance filing system related to the project activities in all regions of Ukraine;
- Monitoring and reviewing reporting documents on Petty Cash expenditures from 24 Oblast Implementation Units and processing payments;
- Liaising with UNDP Finance/Admin Unit on travel and Petty Cash related issues;
- Maintaining data on processing and payments and assisting in web-based information dissemination

Skills and Experience Required:

- University degree in accounting, auditing, financial management, economics or equivalent
- 3 years of experience in finance or travel administration ;
- Experience in working with international technical assistance projects would be an asset;
- Sound experience in the usage of computers and office software packages (MS Word, Excel, etc). Knowledge in internet-based financial management will be a strong asset;
- Excellent interpersonal and task management skills.

- Fluency in Ukrainian, Russian and English.

12) Procurement Assistant (Finance)

Under the supervision of Finance Specialist and overall supervision of project management, the incumbent will perform the following functions:

- Liaising with UNDP Procurement Unit on procurement related issues;
- Preparation of Purchase orders and Requisitions in the Atlas system, preparation of Recurring Purchase orders for contracting of services, vendor creation in Atlas, maintenance of the filing system;
- Implementation of the internal control system which ensures that Purchase orders are duly prepared and dispatched;
- Timely corrective actions on POs with budget check errors and other problems;
- Support to organization of procurement processes including preparation of RFPs documents;
- Maintain data on processing and payments and assist in web-based information dissemination

Skills and Experience Required:

- University degree in the area of accounting/finance/auditing or related field;
- 3 years of procurement/finance experience;
- Experience in working with government and non-government organizations;
- Sound experience in the usage of computers and office software packages (MS Word, Excel, etc). Knowledge in internet-based financial management will be a strong asset;
- Excellent interpersonal and task management skills.
- Fluency in Ukrainian, Russian and English is a must.

13) Community Development Assistant

Under the supervision of Head of Community Development Unit the incumbent will perform the following functions:

- Prepare documents related with partnership agreement and small grant agreement;
- Maintain files and folders related with activities of the community development unit;
- Assist in preparing appraisal and documentation of community project proposals;
- Support in oral and written translation of documents;
- Maintain correspondence related with field activities of the Project;
- Assist in preparation of documents for disbursement of community project tranches;
- Provide support in organizing and conducting of official events and visits;
- Maintain data on profile of partners, communities and community related activities and assist in web-based information dissemination
- Provide other administrative support to Community Development Unit.

Skills and Experience Required:

- University degree in social science or equivalent;
- Knowledgeable about local development in participation of local communities;
- Experience in working with government and non-government organizations;
- Sound experience in the usage of computers and office software packages (MS Word, Excel, etc);
- Excellent interpersonal and task management skills.
- Fluency in Ukrainian, Russian and English is a must.

14) Monitoring Assistant

Under overall supervision of Communication and Monitoring Specialist, the incumbent should perform the following functions:

- Assist in improving the monitoring and evaluation system for the Project activities;
- Collect and maintain core data and relevant information related with monitoring and evaluation of the Project activities. Liaise with relevant stakeholders for this purpose;
- Assist in processing and analysis of data/information received from various sources;
- Support preparation of periodic and ad hoc reports on the project progress;

- Ensure proper documentation and filing of the information received/sent;
- Contribute to effective e-documentation by maintaining quality 'project server';
- Assist in designing assessment tools, conducting assessment surveys, information processing and analysis. Support in preparation of assessment report;
- Serve as resource person during training of community members, project staffs and other stakeholders on subject of monitoring and evaluation;
- Support activities related with communication and visibility;
- Advise project manager in the context of monitoring of project activities;

Skills and Experience Required:

- University degree in statistics or mathematics or social science with statistics/econometrics as one of the major courses;
- Three years of practical experience in the field of project monitoring and/or analytical research;
- Excellent knowledge of computer applications (including Microsoft words, XLs, PowerPoint and statistical packages)
- Strong organizational and time management skills;
- Fluency in Ukrainian, Russian and English is a must;
- Excellent communication and report writing skills;

15)Admin Clerk

Under the guidance and supervision of Administrative Officer, Administrative Assistant provides administrative support to Project Management Unit (central office) and Regional Implementation Units (field offices) for efficient and consistent service delivery. More specifically, Administrative Assistant will be responsible for:

- Provision of front-desk service and telephone communications services;
- Receive, register and transmit official correspondence;
- Update and maintain administration related information in well organized and user friendly manner;
- Provide oral and written translations from English into Ukrainian or Russian and vice versa as required by the project;
- Assist during monitoring, evaluation and auditing of the project;
- Receive visitors and provide them direction, information and hospitality;
- Assist in missions of project staff and external experts through providing necessary logistic support;
- Assist in procurement and delivery of goods and services;
- Assist in recruitment and personnel management (including attendance records);
- Keep updated project inventory adhering UNDP regulations on use, storage and proper maintenance (including vehicle log);
- Facilitate project related training/visit activities;
- Maintain consolidated activity/event plans of the project on website
- Support updating of project related information on CBA website
- Perform other appropriate functions/tasks assigned by the Administrative Officer.

Skills and Experience Required:

- University degree in foreign languages, management or economics
- At least 3 years of experience in administration or related
- Excellent interpersonal and task management skills and a client-oriented service orientation
- Ability to work under pressure, with strong delivery and deadline orientation
- Ability to work in multi-cultural, multi-gender, multi-religion, multi-race and international environment
- Strong oral and written communication skills
- field
- Excellent fluency (both oral and written) in the English, Russian and Ukrainian languages
- Experience with technical assistance projects is an asset
- Proficient user of computers and office software packages (MS Word, Excel, etc.).

16) Driver

Under the guidance Administration Officer, the driver will be responsible for -

- Timely and safe driving of project employees, consultants, project guests, project visitors, UNDP staff in the project official vehicles at the authorization from the project management;
- Performing tasks related to the daily maintenance of the vehicle;
- Maintaining daily vehicle logs (mileage, fuel consumption, travel routs) and submitting logs to the project administrative assistant on a timely basis;
- Ensuring that repair and maintenance services are done on project vehicles in time;
- Ensuring that all instructions regulating safe driving behavior and Rules of the Road are in hand and strictly followed;
- Ensuring that the vehicle has valid insurance;
- Driving the project's vehicle for delivery and collection of mails, documents, pouches, equipment and other administrative tasks as required under the project
- Performing other duties as required

Skills and Experience Required:

- Secondary education
- At least 3 years of professional driving experience;
- Valid Ukrainian driving license (minimum category B, preferable - all);
- Technical proficiency in vehicle maintenance;
- Excellent knowledge of the Ukrainian Rules of the Road;
- Fluency in Ukrainian/Russian language, knowledge of English would be an asset;
- Good interpersonal skills,
- Punctuality

17) Short Term Consultants

a) Energy Expert

Under the supervision of Project Manager and in close coordination with community development specialist, the incumbent will develop energy efficiency strategy for the use of regional and local authorities of Ukraine. Specially, he/she will –

- Carry out literature review on experience and policy related with energy efficiency and on-going strategies in Ukraine and Europe;
- Make assessment of on-going practice on energy efficiency strategy and effectiveness of such strategies at regional and local level in Ukraine;
- Develop manuals/guidelines suitable for regional/local level strategy development in the area of energy efficiency
- Provide technical backstopping to selected regional/local authorities in developing/updating their energy efficiency strategy

Skills and Experience Required:

- Masters in environmental science, engineering or equivalent with proven experience in the field of energy planning and production
- Professionally sound in English (spoken and written);
- Excellent computer skills
- Knowledge about conducting/managing research in energy sector would be an asset
- Experienced in working with the local/regional/national authorities and community based development approach would be an asset.

Outputs: Review report, Assessment report, manual/guidelines, new/updated strategy documents

18) Agro-Business Expert

Reporting to project manager and working in close coordination with community development specialist, the Agro-Business Expert will be responsible for strengthening the capacity of agricultural service cooperatives

and their association in selected regions of Ukraine; increasing their bargaining power; upgrading the skills of cooperative members and management; advising them on diversifying and broadening services and products with the aim to raise economic level of rural citizens. Specifically, the tasks include -

- Assessing the capacity of and updating information on existing ASCs in Ukraine related to rural economic development with a focus on CIDP experiment on this subject;
- Developing strategy to address priorities related to income generation, employment creation, micro-businesses and small & medium enterprise, micro-finance in rural Ukrainian context;
- Promoting concept and methodology of cooperative-based processing and marketing of agricultural products (through seminars, workshops) at different levels of governments (regional, districts and village/city councils) and within the rural community;
- Assessing training needs of ASCs and developing training modules/materials;
- Consulting national/regional association of ASCs on agrarian, technological, and marketing issues;
- Working out the concept of developing agricultural marketing cooperatives;
- Assisting in establishing pilot projects of agricultural marketing cooperatives;
- Providing technical backstopping to project staffs in managing project interventions on the subject;
- Monitoring agricultural service cooperatives' projects and preparing set of recommendations for effective implementation

Skills and Experience Required:

- Master's degree in cooperative development, agriculture, (rural) economics, finance and/or other related fields.
- At least three years of practical experience in the sphere of cooperatives development and agricultural business, creation of income generation activities, preferably at the community level.
- Capacity to introduce cooperative principles, motivate people and build relationships with partners, authorities and other stakeholders
- Familiar with the concept of social mobilisation, participatory planning and "bottom-up" approaches.
- Sound analytical and management skills on conducting training and workshops/seminars.
- Good command of Ukrainian and Russian (English is an asset) languages and of word processing, spreadsheet and other computer programmes.
- Good communication skills and ability to work effectively in a multi-cultural team

Outputs: Review report, strategy paper, Manual/guidelines, training assessment report, monitoring report

19) Legal Expert (Cooperative Development)

Reporting to project manager and working in close coordination with community development specialist, the Legal Expert will be responsible for preparation of 'cooperative statute' that could be utilized by the Ukrainian rural communities for establishing and managing various form of agricultural service cooperatives founded on CBA-supported communities. Specifically, the tasks include -

- Assessing on going practices on ASCs and their statutes in the country with a focus on CIDP-led experiments in Crimea;
- Assess existing legal provisions on development and management of service cooperatives in Ukraine;
- Preparing standard document on 'agriculture service cooperative' founded on community based organisations detailing establishment and management of ASCs

Skills and Experience Required:

- University degree or equivalent in the field of Ukrainian law
- Three years working experience with cooperative development field
- Experienced in working with government, local government and non-government organizations
- Familiar with community based development efforts in Ukraine
- Excellent interpersonal and conceptual skills for promotion of economic and social development
- Knowledge of English is an asset

Outputs: A document on ‘agricultural service cooperative’ in English and Ukrainian versions

20) Cooperative Development Expert

Reporting to project manager and working in close coordination with community development specialist, the Cooperative Development Expert will be responsible for preparation of development of manuals/guidelines on establishment and management of agricultural service cooperative in rural communities of Ukraine.

Specifically, the tasks include -

- Reviewing on going practices on ASCs (especially the ones introduced by CIDP in Crimea), related documents and statutes developed by legal expert of CBA;
- Elaborating a manual entitled “Developing Agricultural Service Cooperatives” in CBA-supported regions;
- Promoting concept and methodology of cooperative development (through seminars, workshops) at different levels of governments (regional, districts and village/city councils) and within the rural community;
- Assessing training needs of ASCs and developing training modules/materials;
- Providing technical backstopping to project staffs in managing project interventions on the subject;

Skills and Experience Required:

- PhD or Master’s degree in Economics, Sociology or other relative fields.
- A minimum of 5 year (national/international) experience in cooperatives development/management
- Experienced in developing manuals/guidelines and training materials
- Experience in cooperation with governmental structures, international agencies, NGOs.
- Knowledgeable in Ukrainian/Russian and English languages

Outputs: A manual on ‘agricultural service cooperative’ in English and Ukrainian versions; training hand-outs

Terms of Reference for Steering Committee

The Steering Committee of the CBA Project is established in accordance with the “Project Document for CBA-II” as per Agreement between European Union and UNDP.

1. The Committee will be formed by representatives of the following institutions:
 - The Ministry of Economic Development and Trade of Ukraine
 - Secretariat of Cabinet of Ministers of Ukraine
 - The Ministry of Regional Development, Construction and Housing of Ukraine
 - The Ministry of Social Policy of Ukraine
 - The Ministry of Agrarian Policy and Food of Ukraine (Department of Rural Development)
 - The Ministry of Transport and Communications of Ukraine
 - The Ministry of Health of Ukraine
 - The Ministry of Environment and Natural Resources of Ukraine
 - The Ministry of Education, Youth and Sport of Ukraine
 - The Ministry of Energy and Coal Industry of Ukraine
 - The State Fund of Local Self-Governance of Ukraine
 - The Ukrainian Association of Local and Regional Authorities of Ukraine
 - The Association of Cities of Ukraine
 - The Association of Small Towns of Ukraine
 - The Association of Village and Settlement Councils
 - Parliamentary Committee on State Building and Local Self-Governance
 - United Nations Development Programme, Ukraine
 - European Union Delegation Office, Ukraine

Should the need arise, representatives of other institutions, organizations and enterprises can be invited to participate in the CBA Steering Committee.

2. In compliance with main goal of CBA II, the Steering Committee will:
 - Advise and provide guidance on project implementation;
 - Provide advice on ways to correlate Project activities with relevant state policies so as to tackle local development challenges;
 - Review Project progress and ensure consistency and coordination of measures supported under the Project
 - Endorse Annual Work Plans of the Project;
 - Coordinate and facilitate the participation of line ministries, relevant government and non-government agencies
 - Ensure that regional and local authorities are duly informed about the Project and fully authorized to participate.
 - Assist in elaboration of draft legislation and other documents related to Project implementation and its coordination with relevant state programmes; preliminarily reviews such documents.
3. The Steering Committee is entitled to:
 - Review regular reports on Project implementation;
 - Give endorsement to Annual Work Plans of the Project;
 - Provide recommendations for improvement of Project implementation;
 - Charge its members with assignments related to drafting of relevant legislation;
 - Involve experts from governmental agencies and local authorities, upon consent of their superiors;
 - Issue recommendations to local executive and elected institution as per implementation of the Project.
4. The Steering Committee is co-chaired by a Chairperson who is appointed by the Delegation of the European Union and UNDP in Ukraine on a rotation basis.
5. Regular meetings of Steering Committee are held as frequently as needed and at least once a year.
6. Meetings are chaired by Chairperson.
7. Decisions of Steering Committee taken within the limits of its competences have a nature of a recommendation and are obligatory for the review by local governments, as well as other enterprises, institutions and organizations.
8. Organizational, information, technical and financial support to the activities of Project Steering Committee is provided by the CBA Project. Project Management Unit acts as Secretariat of the Steering Committee.

Annex – III Detailed Gantt Chart of the CBA II Project Implementation

Year / Month	Year - I									Year - 2									Year - 3									Year - 4																																					
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48																	
Key Activity																																																																	
1. Launching of phase II of Project																																																																	
1.1 National launching of Project																																																																	
• Meeting with Ukrainian Government to ensure understanding of the Project																																																																	
• Organising launching conference																																																																	
1.2 Regional launching of Project																																																																	
• Preparing materials & scheduling dates with regional authorities																																																																	
• Organising seminar in 25 regions																																																																	
1.3 Finalising operational set up for the CBA II																																																																	
• Vacancy announcement/recruitment																																																																	
• Preparation & updating of operational manuals and guidelines																																																																	
• Organise trainings & exposure visits for CBA team																																																																	
2. Establishing partnership with local governments																																																																	
2.1 Partnership with regional authorities																																																																	
• Hold meeting with 25 regional authorities on MoU																																																																	

Year / Month	Year - I												Year - 2												Year - 3												Year - 4																																									
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48																														
<ul style="list-style-type: none"> Get MoUs signed by UNDP & regional authorities 					■																																																																									
2.2 Rayon selection and establishment of partnership with rayon authorities																																																																														
<ul style="list-style-type: none"> Competition announcement and collection of applications 					■																																																																									
<ul style="list-style-type: none"> Ranking of rayons and joint selection 					■																																																																									
<ul style="list-style-type: none"> Selection information and MoU clearance 					■	■																																																																								
<ul style="list-style-type: none"> Holding of (200) rayon seminars and signing of MoUs 					■	■																																																																								
2.3 Selection of village/city councils and establishment of partnership																																																																														
<ul style="list-style-type: none"> Competition announcement and collection of applications 					■																																																																									
<ul style="list-style-type: none"> Ranking of VCs/CCs and making joint selection 					■	■																																																																								
<ul style="list-style-type: none"> Selection information and MoU clearance 					■	■																																																																								
<ul style="list-style-type: none"> Holding of (900) village/city council seminars and signing of MoUs 					■	■																																																																								
3 Formation/grafting of LDF & OCC																																																																														
<ul style="list-style-type: none"> Form LDF in new rayons 																																																																														

Year / Month	Year - I										Year - 2										Year - 3										Year - 4																		
Key Activity	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	
• Redefine membership & initiate old LDFs and OCCs						■	■	■																																									
4 Establishing/strengthening of CRCs						■	■	■																																									
• Establish RCRCs in new rayons						■	■	■																																									
• Conduct competition & identify eligible CRCs						■	■	■	■	■																																							
• Provide technical support to RCRCs						■	■	■	■	■																																							
5 Community mobilization, capacity building and micro-project implementation						■	■	■																																									
5.1 Selection of the target communities						■	■	■																																									
5.2 Introduction of CBA and community profile preparation						■	■	■																																									
5.3 Formation /grafting of community organisation						■	■	■																																									
5.4 Organising formal training for CO						■	■	■	■	■																																							
5.5 Formalisation of CO						■	■	■	■	■																																							
5.6 Gaining maturity & institutional growth						■	■	■	■	■																																							
5.7 Training of community executives and local/regional authorities						■	■	■																																									
• Conduct training need assessment						■	■	■																																									
• Develop training materials						■	■	■	■	■																																							
• Organise trainings						■	■	■	■	■	■	■																																					

Year / Month	Year - 1								Year - 2								Year - 3								Year - 4												
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8					
5.8 Participatory planning in each target community																																					
• Conduct dialogue in each community for participatory planning																																					
5.9 Prioritisation of needs																																					
5.10 Mainstreaming of community plans																																					
• CDPs are discussed in village/city council planning workshop																																					
• CDPs are discussed at LDFs and incorporated in rayon's plan																																					
5.11 Developing detail proposal																																					
• Formation and training of functional group																																					
• Development of detail proposal																																					
5.12 Resource mobilization for MPPs																																					
5.13 Micro-project approval and implementation																																					
• Appraisal & approval of MPPs																																					
• Grant agreement & tranche release																																					
• Micro-project implementation,																																					
5.14 Promoting small business development																																					
• Conduct feasibility study																																					
• Develop CO-based cooperatives																																					

Logical Framework of CBA- II

	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objectives	What are the overall broader objectives to which the action will contribute?	What are the key indicators related to the overall objectives?	What are the sources of information for these indicators?	
	To promote sustainable socio-economic development at local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine.	<ul style="list-style-type: none"> - Policy framework on community based approach to local sustainable development adopted in the number of selected oblasts, general policy framework is presented to and discussed among national stakeholders by 2013 	<ul style="list-style-type: none"> - National policy reports - Proceedings/resolutions of the workshops/roundtables organised by the project 	
Specific objective (Purpose)	What specific objective is the action intended to achieve to contribute to the overall objectives?	Which indicators clearly show that the objective of the action has been achieved?	What are the sources of information that exist or can be collected? What are the methods required to get this information?	Which factors and conditions outside the Beneficiary's responsibility are necessary to achieve that objective? (external conditions) Which risks should be taken into consideration?
1	To promote community based approach to local governance and sustainable development by – Strengthening the capacity of local communities, local authorities and universities in applying community led development	<ul style="list-style-type: none"> • By 2012, local development forums (LDFs) for participatory and decentralized local development management are functioning in 200 rayons; • Incorporation of community plans in the local development plans at least in 600 village/city councils of 200 rayons by 2013; • Local authorities and local communities together cover at least 40% of the costs 	<ul style="list-style-type: none"> § Protocols of LDF meetings in each of targeted rayons § Resolutions of village/city/rayon councils on incorporation of communities' plans and/or allocation of budget for such plans § Administrative and financial documents of the COs § Annual reports of village/city/ rayon councils; § CBA project reports 	<ul style="list-style-type: none"> § Adequate budget available with local authorities to meet cost sharing § Funding/procurement procedures of the concerned agency of the government remains stable § Political will/openness of local authorities for discussions with the project team and local population
	Integrating participatory mechanisms for local planning and public services delivery into the day-to-day practices of local governments		<ul style="list-style-type: none"> • Memorandums of Understanding signed with universities/training institutes § Training reports of CBA Project § Progress reports of CBA Project 	<ul style="list-style-type: none"> § Deputed staff from oblasts and rayon authorities work with CRCs, without turn over.

	<p>Supporting community-based self-help initiatives for sustainable rehabilitation, management and operation of basic social and communal infrastructure</p> <p>Promoting small farm and non-farm business development in rural areas</p>	<ul style="list-style-type: none"> • By 2013, sustainable management and operation of basic social and communal infrastructure and services demonstrated by 300 community organisations 	<p>§ Independent Assessment Report on change in quality of service delivery and living condition of beneficiaries (assessment commissioned jointly by EU and UNDP)</p> <p>§ Media reports reflecting experience and opinions of the stakeholders (collected by media search technique)</p> <p>§ Financial reports from COs;</p> <p>§ Post project completion reports from COs/local authorities</p>	<p>§ Local authorities are supportive to community-based public service delivery</p>
2	<p>To enhance energy efficiency at local level by -</p> <p>Building capacity of local communities and local authorities in energy planning and efficient energy use;</p> <p>Supporting innovative community initiatives in efficient energy use</p> <p>Raising public awareness on energy efficiency based on grassroots level best practices</p>	<p>§ At least 1/3rd of the total number of community initiatives supported are related to the improved energy efficiency, including innovative approaches toward energy use/renewable energy sources</p> <p>§ Incorporation of community plans in the local plans on the improving of energy efficiency at least in 300 village/city councils of 60 rayons by mid2013</p> <p>§ Policy recommendations on efficient energy use and participatory approach are developed and discussed with the major local and national stakeholders</p> <p>§ 50 events/trainings on public awareness on energy saving options are conducted</p> <p>§ 100 media events and 300 media coverage recorded related to the effective usage of energy</p>	<p>§ Protocols of LDF meetings in each of targeted rayons</p> <p>§ Resolutions of village/city/rayon councils on incorporation of communities' plans and/or allocation of budget for such plans</p> <p>§ Administrative and financial documents of the COs</p> <p>§ Annual reports of village/city/rayon councils; CBA project reports</p> <p>§ Reports from the round-tables/seminars</p> <p>§ Media-reports</p> <p>§ Reports from the training events</p>	<p>§ Adequate budget available with local authorities to meet cost sharing</p> <p>§ Funding/procurement procedures of the concerned agency of the government remains stable</p> <p>§ Political will/openness of local authorities for discussions with the project team and local population</p>
	<p>(3) To support the creation of the locally owned and managed repository and network of good practices and knowledge on community mobilization and participatory governance by:</p>	<ul style="list-style-type: none"> • At least 4 universities/training institutes start teaching courses on CBA methodology • By 2014 a national level 	<ul style="list-style-type: none"> • Memorandums of Understanding signed with universities/training institutes <p>§ CBA project reports</p>	<p>§ Openness of training institutions for the introduction of new training courses related to community led development</p>

	<p>Documenting and codifying lessons learnt and institutional arrangements established during the CBA implementation</p> <p>Establishing a network of knowledge hubs for the creation, analysis, and sharing of innovative approaches to community based development</p> <p>Supporting academia and other educational institutions in curriculum and capacity development for promoting community based approaches to local governance and development</p>	<p>knowledge management hub established linked with regional level hubs</p> <ul style="list-style-type: none"> By 2013 at least 2000 officials of COs and 200 officials of local/regional authorities and 6000 community members are trained in various aspects of community-based approach 	<p>§ Reports from the training events</p>	<p>§ Interest from local partners to exchange the views and best practices on community-led development</p> <p>§ Availability of adequate resources</p>
Expected results	The results are the outputs envisaged to achieve the specific objective. What are the expected results? (enumerate them)	What are the indicators to measure whether and to what extent the action achieves the expected results?	What are the sources of information for these indicators	What external conditions must be met to obtain the expected results on schedule?
1	Support structures created/strengthened for collective action and joint decision-making	<p>§ 600 new COs developed and 300 CBA I COs strengthened; 80 LDFs established and 120 CBA I LDFs strengthened; 24 Oblast Coordination Councils (OCCs) taken over from CBA I</p>	<p>§ Reports of the CRCs/CBA;</p> <p>§ CBA website</p>	<p>Oblast authorities supportive and committed to:</p> <p>§ provide office premises with utilities and operational support;</p> <p>§ depute full time staff to support day to day activity of the CRC</p> <p>§ institutionalise the CRC within its structure, after the CBA project completion</p>
2	Enhanced skill and capacity among (community-based) civil society organisations and local authorities	<p>§ 200 community resource centres strengthened; knowledge management centre established; at least two academia/training centres adopt curriculum</p> <p>§ 6,000 CO-executives and 2000 elected/state authorities trained</p>	<p>§ CO-registration certificates</p> <p>§ Progress reports of CRC/CBA</p>	<p>§ Legal form COs, appropriate for sustainable management and operation of completed project is available and acceptable to all stakeholders (unclear statement)</p> <p>§ Registration process is short and simple</p>
3	Improved delivery of basic communal services at local level including in the area of health, water supply and environment.	<p>§ At least 900 community projects implemented by end of 2013</p> <p>§ At least 200,000 inhabitants get benefit from improved public service delivery</p> <p>§</p> <p>§</p>	<p>§ Reports of CRCs/CBA on activities of LDFs</p> <p>§ Resolutions of the councils/ roundtables</p>	<p>§ Council members and officials of local authorities demonstrate open mind set to adopt the participatory approach within the framework of their policies and procedures</p>

4	Increased public awareness at local level on energy saving options	<p>§ 10,000 CO-members trained on efficient energy use and various crosscutting issues</p> <p>§ 50 events/trainings on public awareness on energy saving options are conducted</p> <p>§ 100 media events and 300 media coverage recorded related to the effective usage of energy</p>	<p>§ Reports from the training/seminars</p> <p>§ Media-reports</p>	§ Local authorities and community members demonstrate an interest in energy efficiency agenda
	Reduced energy loss and expanded source of energy ensured	§ 300 community projects on energy saving/renewable energy sources	<p>§ Project completion/handover reports from COs</p> <p>§ Reports from CRCs/CBA</p> <p>§ Reports from local authorities</p>	<p>§ Availability of competent contractors at local level</p> <p>§ Tendering process and regulations remains stable</p> <p>§ Market forces for supply of goods and services remain stable (i.e. inflation is within tolerable level)</p> <p>§ CO-members are committed to pay full charge for the services they receive</p>
	Policy recommendations on efficient energy use and participatory governance based on practical experience at the grassroots	§ At least one set of policy recommendations developed and discussed with local and national stakeholders	<p>§ Policy document</p> <p>§ Report from the seminar-presentation</p>	§ Energy efficiency issues are among priorities in a national policy agenda
Activities	What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by result)	Means: What are the means required to implement these activities, e. g. personnel, equipment, training, studies, supplies, operational facilities, etc.	What are the sources of information about action progress? Costs What are the action costs? How are they classified? (breakdown in the Budget for the Action)	What pre-conditions are required before the action starts? What conditions outside the Beneficiary's direct control have to be met for the implementation of the planned activities?
	Result – 1: Formation/strengthening of support structures			
1	- Conduct pre-launching discussion on CBA Project Phase II among donors and government bodies	Conference hall, support staff, stationary, visibility materials	Source - Minute of the meeting Cost – external	No pre-condition

2	- Roundtables at regional and local level to familiarise with CBA II, its modality and terms of partnership;	Conference hall, support staff, stationary, visibility materials	§ Source – a) Conference proceeding; (b) Conference resolution. § Cost – Internal	Pre-launching discussion
	Result – 2: Selection of target areas (rayon, village/city councils, communities)			
7	- Select target rayons and sign Partnership Agreements with rayon authorities;	Announcing competition; Analysis of information; consultations with project stakeholders	§ Source – (a) minute of rayon selection; Progres report of the Project; § Cost – Travel, Seminar facilities, Visibility-	§ Signing of partnership agreement with oblast authorities; § General interest among the local authorities for the Project and timely response from them
8	- Select target communities	Announcing competition; Analysis of information; consultations with project stakeholders	§ Source – (a) minute of community selection; Progress report of the Project; § Cost – Travel, Seminar facilities, Visibility	§ Signing of partnership with rayon authorities; § General interest among the local councils and local population for objectives and activities of the Project
9	- Carry out community mobilisation process to organise local communities	Project team (PMU, OIU) and focal persons from oblast/rayon offices and village/city councils, local transport	§ Source – (a) minute of CO formation; (b) Progree report of the Project; § Cost – Travel, brochures	Willingness of the local population to adopt objectives and activities of the project
10	- Organise trainings for building capacity of community organisations	Project team (PMU, OIU), trainers, local transport, exposure visits; CO registration	§ Source – (a) Data from OIU; (b) Progress report of the Project; § Cost – Travel, Legal services, Brochures	
	Result – 3: Establish mechanism for public private partnership			
11	- Establish Local Development Forums (LDF) in 80 new rayons and strengthen 120 old LDFs	Project management team (PMU, OIU), with the support of local administrations, local councils and COs	§ Source – (a) minute of LDF meetings; (b) Progress report of the Project; § Cost – Travel, Seminar cost	Commitment of local authorities and local communities are interested to work together on solving local problems,
12	- Assist COs in preparation of community development plans outlining local needs and priorities	Project management team (PMU, OIUs); local transport and vehicles	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training -	§ Commitment of community members to work jointly

13	- Develop mechanism for joint review/approval of community development plans and priority projects and define implementation arrangements and local contributions	Project management team (PMU, OIUs); COs, target councils, rayon authorities. local transport and vehicles	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training -	§ Local authorities carry general interest to adopt the mechanism of community based development
Result – 4: Living Condition Improved				
14	- Assist COs in making detailed technical design of selected priority projects, including sustainable mechanisms for management, operation and maintenance	Project management team (PMU, OIUs); local transport and vehicles; support from technical departments	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training -	§ Availability of competent technical personnel from the local authorities; § Availability of competent private companies in the area
15	- Support COs in implementation of priority projects and joint monitoring by community organisations, local authorities and CBA staff	Support to local communities is provided by Project management team (PMU, OIUs); technical departments/ local authorities; seed grants to community projects; local trips	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training, Seed grant	§ Timely availability of cost sharing from all partners; § Competent contractors/vendors § Commitment of local authorities; § Commitment of CO-members
16	- Assist COs in handing over of completed projects and establishing of sustainable management, operation and maintenance mechanisms	Support is provided by project team: (PMU,OIUs) and local authorities (including technical departments); local transportation; legal advice	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training –	§ Commitment of communities § Commitment of local authorities
17	- Conduct evaluation/documentation of lessons learned	Project team: PMU and OIUs; assessment studies; policy studies	§ Source – (a) Progress report of the Project; (b) Assessment report; (c) policy paper § Cost – Travel, Consultancy cost –	§ Availability of competent consultants
18	- Disseminate the findings of the assessment/policies study through publication, roundtables, etc.	Project team: PMU; media events; roundtables	§ Source – (a) Progress report of the Project; (b) Data from OIUs; (c) Reports from local authorities; (d) Resolutions of the roundtables § Cost – Travel, Media, Roundtables/ Workshops	- General interest of the national partners/stakeholders
Result 5: Reduced energy loss ensured				
19.	-Support revision of regional strategies on efficient use of energy	Project team (PMU, OIU), national/international experts	§ Source – (a) Data from OIU; (b) Progress report of the Project; § Cost – Travel, expert services	<ul style="list-style-type: none"> • Regional strategies developed and adopted • Regional authorities are allocating resources to the implementation of the

				strategies
20	Develop recommendations for energy saving measures in housing sector and public infrastructure	Project team (PMU, OIU), national/international experts	§ Source – (a) Data from OIU; (b) Progress report of the Project; § Cost – Travel, expert services,	• Commitment of the local authorities to apply recommendations
21	Providing support to the development of technical documentation for energy efficiency measures	Project team (PMU, OIU), national/international experts	§ Source – (a) Data from OIU; (b) Progress report of the Project; § Cost – Travel, expert services,	§ Availability of competent technical personnel from the local authorities; § Availability of competent private companies in the area
22	- Organise trainings for building capacity of relevant local authorities and community organisations on the issues of efficient energy use	Project team (PMU, OIU), trainers, local transport, exposure visits; CO registration	§ Source – (a) Data from OIU; (b) Progress report of the Project; § Cost – Travel, Legal services, Brochures	§ Availability of competent technical personnel from the local authorities; – Availability of competent private companies in the area
23	- Assist COs in making detailed technical design of energy efficient projects and implementation of innovative initiatives in the area of energy efficiency, including sustainable mechanisms for management, operation and maintenance	Project management team (PMU, OIUs); local transport and vehicles; support from technical departments	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training -	§ Availability of competent technical personnel from the local authorities; § Availability of competent private companies in the area
24	- Support COs in implementation of projects aimed on energy efficiency improvement and joint monitoring by community organisations, local authorities and CBA staff	Support to local communities is provided by Project management team (PMU, OIUs); technical departments/ local authorities; seed grants to community projects; local trips	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training, Seed grant	§ Timely availability of cost sharing from all partners; § Competent contractors/vendors § Commitment of local authorities; § Commitment of CO-members
25	- Assist COs in handing over of completed projects and establishing of sustainable management, operation and maintenance mechanisms	Support is provided by project team: (PMU, OIUs) and local authorities (including technical departments); local transportation; legal advice	§ Source – (a) Data from OIUs; (b) Progress report of the Project; § Cost – Travel, Training –	§ Commitment of communities § Commitment of local authorities
26	- Conduct evaluation/documentation of lessons learned	Project team: PMU and OIUs; assessment studies; policy studies	§ Source – (a) Progress report of the Project; (b) Assessment report; (c) policy paper § Cost – Travel, Consultancy cost –	§ Availability of competent consultants
27	- Disseminate the findings of the assessment/policies study through publication, roundtables, etc.	Project team: PMU; media events; roundtables	§ Source – (a) Progress report of the Project; (b) Data from OIUs; (c) Reports from local authorities; (d) Resolutions of the roundtables	– General interest of the national partners/stakeholders

			§ Cost – Travel, Media, Roundtables/ Workshops	
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Annex-V (B)
Source of Funding

		Amount EUR	Percentage of total (%)
Applicant's financial contribution			
- UNDP Ukraine		275,948.00	1.7%
Commission/EDF contribution sought in this application		16,850,000.00	98.3%
Contribution(s) from other European Institutions or EU Member States			
Name	Conditions		
Contributions from other organizations:			
Name	Conditions		
TOTAL CONTRIBUTIONS		17,125,948.00	100.00%
Direct revenue from the Action			
(to be inserted if allowed by the guidelines: in kind contribution)			
OVERALL TOTAL		17,125,948.00	100.00%

Annex VI

PARTNERSHIP AGREEMENT

between

XXXX
XXXX

XXXX Oblast State Administration, XXXXX
Oblast Council And United Nations
Development Programme

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XXXXXX.,
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) ,
« , XXXXX
XXXXXX.,
() ,
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» ,
, /
,
,
6.10.92
18.06.93,
, XXXXX () .

This Agreement (hereinafter referred to as the "Agreement") has been made between XXXXX Oblast State Administration, represented by Mrs./Mr. XXXXX., the Head of the Oblast State Administration (hereinafter referred to as Oblast State Administration), which based on the Law of Ukraine "About local state administrations", XXXX Oblast Council represented by Mrs./Mr XXXXX., the Head of the Oblast Council (hereinafter referred to as Oblast Council), which based on the Law of Ukraine "About local self-government" and the United Nations Development Programme, represented by Mr. Olivier Adam, UN Resident Coordinator/ UNDP Resident Representative in Ukraine, acting in line with agreement between UN and the Government of Ukraine on Establishment of UNDP Representative Office of 06.10.92, in line with agreement between UNDP and the Government of Ukraine of 18.06.93, as well as in line with the European Union Contribution Agreement with the United Nations Development Programme dated XXXXX (hereinafter referred to as "UNDP") and in line with the joint declaration letter signed by representatives of EU, UNDP and Ministry of Economic Development and Trade onfor implementation of second phase of CBA Project.

WHEREAS Oblast State Administration, Oblast Council and UNDP agree that difficulties are encountered in the process of sustainable social, economic and environmental development of oblast.

XXXXXX

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«Tacis»
() :

, NOW the Oblast State Administration, Oblast Council and UNDP (Partners) hereby express their desire and willingness to cooperate within the project "Community Based Approach to Local Development" funded by the European Union for Ukraine and co-financed and implemented by UNDP (hereinafter referred as "CBA Project") for the purpose of:

- , ;
- W sustainable social, environmental and economic development;
- W elaborating the mechanisms for participatory decision making;

W

- mobilizing resources to finance specific programmes and projects aimed at sustainable development.

NOW, therefore, the Partners hereto agree as follows:

1. Responsibilities of the Oblast State Administration:
 - 1.1. To assist in development of self-governing community organizations in the rural/urban settlements and to encourage them to participate in the decision-making process on the development problems that affects their life
 - 1.2. To mobilize the elected authorities, rayon state administrations, non-government organization, government agencies and others to support community based local sustainable development initiatives in the oblast.
 - 1.3. To facilitate effective functioning of the Project's 'Oblast Co-ordination Council', Chaired by the Deputy Head of Oblast State Administration/Oblast Council, for monitoring of CBA project implementation and achieving goals outlined in third paragraph of introduction section above.
 - 1.4. To facilitate the formation of the Local Development Forums in pilot rayons for designing, implementation and monitoring of community projects.
 - 1.5. To identify priorities for the regional development together with the local communities.
 - 1.6. To prepare and provide, when necessary, technical documentation and information for the projects implemented in the region according to the law of Ukraine.
 - 1.7.. To ensure availability of office premises for community resource centre needed for housing the project staffs and operational loistics
 - 1.8. To ensure that the structures constructed/ rehabilitated in the framework of CBA Project will be transferred to the relevant territorial communities / community based organizations for the ownership, operation and maintenance, according to the legislation in force.

1.9.

, 1.9. To incorporate community based development

- initiatives to programs of the oblast and facilitate adoption of CBA methodology in its rayons.
- 1.10. () 1.10. To provide staff(s) of the oblast state administration, to coordinate and work closely with the Community Resource Center (CRC) staffs appointed by UNDP.
2. : 2. Responsibilities of the Oblast Council:
- 2.1. - 2.1. To foresee in social-economic-environmental programs of oblast development realization of the joint initiatives in the framework of priorities of the Project.
- 2.2. - 2.2 To consider programs on social-economic-environmental development of the region with involvement of local communities in bottom-up planning process.
- 2.3. () 2.3. To allocate office space for the Community Resource Centre (CRC) to carry out the activities that enhances community-based development in the region.
3. : 3. Obligations of UNDP:
- 3.1. , 3.1. To provide support in mobilizing and organizing members of the target communities in the selected local councils to plan, manage and implement development initiatives within the scope of CBA project.
- 3.2. , 3.2. To provide advisory and technical assistance in support of activities of Oblast State Administration aimed to achieve sustainable development in the region.
- 3.3. , 3.3. To provide support to the members of the target communities, the elected authorities and the rayon administrations in mobilizing local resources and external support for implementation of sustainable development initiatives.
- 3.4. 3.4 To provide relevant institutional support to the oblast and rayon state administrations in for promotion of sustainable development.
- 3.5. / 3.5 To provide institutional capacity building at the community, village/city council, rayon and oblast levels, through training and organizational development.
- 3.6. 3.6 To provide support to development of the region through participatory and decentralized planning process.
- 3.7 3.7 To encourage the involvement of civil society into the development process and technical assistance

3.8. /

projects.
3.8 To facilitate promotion of community based micro-level renewable/alternative energy sources and small businesses in pilot rayons of the oblast.

3.9. ,

3.9 To appoint CBA staff members for CRC to work together with relevant staff members of oblast state administration and oblast council, specifically nominated for the purpose to implement development initiatives in the oblast.

4. :

4. Duration:

4.1 2014 .

31 4.1 This Agreement is valid from the moment of its signing up and up to 31 December 2014.

5. :

5. Correspondence:

5.1. :

5.1 All further correspondence regarding the implementation of this Agreement should be addressed to:

:
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

For the Oblast State Administration and Oblast Council:
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

:
, 01024,
, 1

For UNDP:
1 Klovsy Uzviz, Kyiv,
01024, Ukraine

6. :

6. General Conditions:

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6.5 - 30 ()

(UNCITRAL).

- 6.1 List of priorities and technical assistance projects will be developed and approved jointly by the Partners in the form of the working cooperation plan.
- 6.2 Any amendments or additions to the present Terms, elimination of any of its articles or addition of new ones can be agreed upon by the Partners in written form and comes into action after they had been signed by the authorized representatives of the Partners.
- 6.3 The Partners agree to attract the other parties to the implementation of joint technical assistance projects.
- 6.4 Either Party before completion of the Agreement may terminate this Agreement by giving thirty (30) days written notice to the other party.
- 6.5 Any controversy or claim arising out of, or in accordance with this Agreement or any breach thereof, shall unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force.
- 6.6 The present Agreement is signed in three copies each being equally authentic in English and Ukrainian language. In

case of discrepancies in translation, priority is given to English language version.

, IN WITNESS WHEREOF, the undersigned, duly appointed representatives of the Parties have in person signed the present Agreement on the dates indicated below their respective signatures.

On behalf of UNDP:
UNDP Resident Representative,
and Resident Coordinator of the UN
system in Ukraine
Olivier Adam

On behalf of
Oblast State Administration:
XXXXXX of the XXXX Oblast State
Administration
XXXXXX X.X.

On behalf of Oblast Council:
XXXXXX of the XXXXXX Oblast
Council
XXXXXX X.X

:

XXXXXX XXXXXX

XXXXXX X.X.

:

XXXXXX XXXXXX

XXXXXX X.X

:

(signature/)

(signature/)

(signature/)

Date/ XXXXXXXXXXXXXXX 2011

Date/ XXXXXXXXXXXXXXX 2011

Date/ XXXXXXXXXXXXXXX 2011

Annex VII

PARTNERSHIP AGREEMENT
between

United Nations Development Programme And XXXX
Rayon State Administration
And XXXX Rayon Council of XXXX Oblast

XXXXXX
XXXXXX XXXXX

This Agreement (hereinafter referred to as the "Agreement") has been made between the United Nations Development Programme, represented by Mr. Olivier Adam, UN Resident Coordinator, UNDP Resident Representative, acting in line with

- agreement between UN and the Government of Ukraine of 06.10.1992;
- agreement between UNDP and the Government of Ukraine of 18.06.1993;
- the European Union Contribution Agreement with the United Nations Development Programme dated XXXXXX (hereinafter referred to as "UNDP");
- agreement between UNDP and XXXX Oblast State Administration and XXXXX Oblast Council dated XX XXXX 2011

06.10.1992;

18.06.1993;

4.09.2007 ();

And XXXX Rayon State Administration, represented by Mr./Ms. . . . , the XXXX of the Rayon State Administration (hereinafter referred to as Rayon State Administration) and XXXX Rayon Council of XXXXX oblast represented by Mr./Ms. . . . , the XXXX of the Rayon Council (hereinafter referred to as Rayon Council).

XXXXXX
XXXXXX . . . , XXXX
() XXXXX
. . . , XXXX (

WHEREAS UNDP and Rayon Administration and Rayon Council desire to support implementation of community initiatives, in context of the project "Community Based Approach to Local Development" (hereinafter referred as "CBA Project"), funded by the European Union for Ukraine and to engage the services of the community organizations (COs) by contracting them for realization of community-based projects,

and
WHEREAS the Rayon State Administration and Rayon Council (partners) agree that UNDP signs the contract with the COs for the engagement of their services to implement the community projects.

NOW, therefore, the parties hereto agree as follows:

Objectives of Agreement

- The overall objective of agreement on the level of Rayon Administration is assistance in improving basic services delivery.
- Assisting residents to form Community Organizations for development and resolving socio-economic

challenges in communities.

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-

- Enhancement of local governance at local self-governing bodies, creation of effective decentralized institutional system, which would allow residents to participate in resolving socio-economic problems in communities where they reside.
- Improvement of the local budgeting system, mobilizing financial resources for implementing programs and projects, aimed at establishment of social equality and partnership in communities.
- Encouraging the community organizations (COs) to participate in the decision-making process, implementation, and operation and maintenance of the projects that affects their life.

NOW, therefore, the partners hereto agree as follows:

- | | | |
|-----|---|-----|
| 1 | Responsibilities of Rayon Administration | 1 |
| 1.1 | In collaboration with the Oblast State Administration, Rayon Administration will provide assistance in creation/development and registration of Community Organizations in the Programme's target areas. | 1.1 |
| 1.2 | Assist in development of decentralized planning and governance. | 1.2 |
| 1.3 | Include development plans proposed by Community Organizations into the local development plan with support of rayon council. | 1.3 |
| 1.4 | To set up a community resource centre and provide a staff-member, funded by the rayon administration, to serve as a focal point, to manage the resource centre and to work on a day to day basis with the oblast implementation unit (community resource centre) to carry out the activities that enhance community-based development in the rayon as per Annex - I | 1.4 |
| 1.5 | Contribute UAH XXXXX (XXXXXXXXXXXXXXXX XXX hryvnas) from the budget of the Rayon for realization of community-based projects through community organizations. | 1.5 |
| 1.6 | Facilitate creation and functioning of the Local Development Forum in the rayon for designing, monitoring and sustainability of community projects. | 1.6 |
| 1.7 | Provide necessary administrative and technical assistance to community organizations to design and implement the joint projects ensuring their sustainability. | 1.7 |
| 1.8 | To ensure that the structures constructed/rehabilitated in the framework of the CBA project will be included into the inventory of a relevant maintenance & operation organization, according to the legislation in | 1.8 |

	force.			
1.9	To facilitate capacity building of small entrepreneurs in the pilot communities of the rayon for economic activities.	1.9		/
2	Responsibilities of the Rayon Council:	2		:
2.1	To facilitate allocation of land and communal objects, used for benefits of the local communities, for implementation of the technical assistance projects.	2.1		,
2.2	To approve rayon budget with allocation of funds for local communities' technical assistance projects implementation.	2.2		,
2.3	To consider programs on social-economic-environmental development of the rayon in participation of local communities through participatory planning process and community-based implementation.	2.3		-
3	Responsibilities of UNDP: UNDP agrees to -	3		:
3.1	provide technical and financial support to community organizations to implement community initiatives within the framework of the CBA project.	3.1		.
3.2	assist, in cooperation with Rayon Administration, village/city councils and community residents, in creating Community Organizations with the purpose of resolving socio-economic-environmental problems.	3.2		,
3.3	provide consultative services of national and international experts to the Rayon Administration.	3.3		,
3.4	organize trainings on planning, programming and local governance for deputies of Rayon Council, local councils and members of community organizations.	3.4		,
3.5	attract resources from the international community for realization of joint projects, aimed at resolving socio-economic-environmental problems in communities, provided that corresponding contributions are provided from the Rayon Administration and village/city council.	3.5		,
4	Duration	4		:
4.1	The Present Agreement will come into force from the moment it is signed until 31 December 2014. It can be extended, if necessary, by an amendment signed by both parties.	4.1	31	2010.
5	Correspondence	5		:

5.1 All further correspondence regarding the implementation of this Agreement should be addressed to:

For UNDP:
1 Klovsky Uzviz, Kyiv,
01024, Ukraine

:
,01024,
,1

For the Rayon Administration:
XXXX XXXX XXXX XXXX st.,
XXXX XXXX XXXX XXXX City,
XXXX XXXX XXXX XXXX Rayon,
XXXX XXXX XXXX XXXX Oblast,
Ukraine

. XXXX XXXX XXXX XXXX.
XXXX XXXX XXXX XX
XXXX XXXX XXXX XXXX
XXXX XXXX XXXX XXXX

For the Rayon Council:
XXXX, XXXXXXXXXXXXXXXXXXXX St.,
XXXX XXXX XXXX XXXX XXXX ,
XXXX XXXX XXXX XXXX XXXX Oblast
Ukraine

:
. XXXX XXXX XXXX XXXX
XXXX XXXX XXXX XXXX
XXXX XXXX XXXX XXXX.

6 General Provisions

6

6.1 Partners (Rayon Administration, Rayon Council and UNDP) agree to enter into agreement with community organizations (COs) for implementation of community-based projects on the territory of the Rayon.

6.1

6.2 The agreements signed between UNDP and the COs will be the integral part of this Agreement.

6.2

6.3 Partners agree to attract other parties for realization of joint projects through competitive bidding process.

6.3

6.4 The Rayon Administration and Rayon Council acknowledges that UNDP and its representatives have made no actual or implied promise of funding except for the amounts specified in the contracts signed with COs for implementation of agreed community-based projects.

6.4

6.5 No modification of or change in this Agreement, waiver of any of its provisions or additional contractual provisions shall be valid or enforced unless previously approved in writing and duly signed by the Partners herein.

6.5

6.6 Either Party before completion of the Agreement may terminate this Agreement by giving thirty (30) days written notice to the other party.

6.6

6.7 Any controversy or claim arising out of, or in accordance with this Agreement or any breach thereof, shall unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force.

6.7

6.8 The present Agreement is signed in three copies each being equally authentic in English and Ukrainian language. In case of discrepancies in translation,

6.8

(UNCITRAL).

priority is given to English language version

IN WITNESS WHEREOF, the undersigned, duly appointed representatives of the parties have in person signed the present Agreement on the dates indicated below their respective signatures.

On behalf of UNDP:
UN Resident Coordinator, UNDP
Resident Representative
Olivier Adam

On behalf of
Rayon State Administration:
XXXX of the XXXX Rayon State
Administration
XXXX X.X.

On behalf of Rayon Council:
XXXX of the XXXX Rayon Council
XXXX X.X.

:

XXXX

XXXX X.X.

XXXX

XXXX X.X.

:

Date/ XXXX XXXX XXXX 2011

Date/ XXXX XXXX XXXX 2011

Date/ XXXX XXXX XXXX 2011

Focal Point in Rayon Administration

With a view to ensure institutional memory of the Oblast Implementation Units/Community Resource Centres (OIU/CRC) into the Regional Administration in due course, public servant appointed by rayon state administration, will work on a day to day basis with the OIU/CRC staff members appointed by UNDP to carry out the activities that enhance integration and development in the region.

Under the supervision of Rayons State Administration and Community Development Officers and overall supervision of project management team the Focal Person will perform the following functions:

- Work to expand partnerships and cooperation between COs and levels of government of particular region (i.e. village/city council; rayon council; rayon state administration) for the implementation of community projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region;
- Work with CO-members to initiate social/economic/environmental development strategies in community sites of the rayon;
- Assist in establishment Local Development Forum and in its effective functioning.
Manage rayon community resource centre, established by the rayon authorities, to provide support to CBA-communities as well as other communities in the rayon
- Assist in organizing special events on UN days and key EU/UNDP thematic events applicable to the rayon;
- Assist in organizing visits in the rayon for donors and partners of CBA Project;
- Liaise between the Project and rayon council/state administration;
- Participate in training and knowledge exchange exercises;
- Perform other functions and duties as required for effective implementation of CBA Project in the rayon.

The main spheres of the supervision of the Focal Point

- Selection of target communities
- Functioning of Local Development Forums
- Community development plans and their integration into district/municipal development plans
- Technical expertise, coordination and other support in the designing of community projects
- Resource mobilization for community initiatives
- The community initiatives implementation in terms of ensuring full adherence to process involving tender, work quality, compliance with regulations, etc.
- Handover and sustainability of the completed community-based projects

Annex – IX
Local Development Forum (LDF)

A Local Development Forum (LDF) is set up at the Rayon State Administrations to facilitate dialogue, coordination, planning and decision-making at local level between the oblast and rayon authorities and communities for promoting integration and development.

CBA, through the CRC, provides technical assistance to the LDFs and functions as its secretariat. Rayon State Administration provides office space for CRC and for meeting of the Forum. Normally, the meeting of LDF is held once in every two months.

Objectives of establishing the LDF are –

- (1) To promote social, environmental and economic development at local level through participatory consensus-based planning and decision-making and a more effective allocation of financial resources,
- (2) To promote decentralized planning and democratic governance at regional level, and

Tasks of the LDF are to –

- (1) Review Community and Village/city Council Development Plans and synchronize these plans with regional and sector plans and strategies;
- (2) Determine financial and technical resources available at community, village council and oblast level to support community development initiatives;
- (3) Prepare plans for mobilizing technical and financial resources in support of community development initiatives from relevant national and international organizations;
- (4) Coordinate for community development initiatives and post-implementation management and maintenance between communities, oblast state administration, village/city councils, technical departments and other actors involved (i.e. local NGOs, banks, national and international funding organizations, etc.);
- (5) Resolve bottlenecks in implementation of community development initiatives, including provision of necessary permits and approvals from relevant technical departments and other structures in the oblast for design and construction works and for future technical and financial management and maintenance of facilities;
- (6) Discuss relevant issues and topics related to sustainable social and economic development of the oblast and agree on plans and actions to address these issues, if required;
- (7) Share information on new laws and policies relevant to communities, social and economic development, etc;

MEMBERS OF THE LDF INCLUDE –

Head of the Rayon State Administration
Head of the Rayon Council
Heads of the partner Village/City Councils
Chief of line units in rayon administration
Representatives of oblast authority
Chairpersons of Community Organizations formed by CBA
Ad-hoc members (to be invited if and when required)
Representative of Commercial Banks
Representative of local NGOs
Representative of public utilities companies
Local businesses
Other organizations

Annex - X

APPLICATION FOR PARTICIPATION IN
COMMUNITY BASED APPROACH TO LOCAL DEVELOPMENT PROJECT - II

A) Explanatory Note

Application from (Part - B) should be signed by Head of Rayon State Administration and Head of Rayon Council.

A cover letter that accompanies the application should be signed by Head of Rayon State Administration and have exit number on it. Copy of the letter with the application should be sent to Rayon Council for its record.

Please send the application at the following address:

Community Based Approach to Local Development Project
20 Esplanadna str, 7 floor, office 14-18

⋮

Focal person: Anastasiya Oliynyk, Tetyana Lavryk
Tel.: (044) 584 34 67, (044)
5843469

B) APPLICATION FORM

Registration Number _____

Date of application receipt “_” “_” 20_

APPLICATION FOR RAYON PARTICIPATION IN CBA PROJECT

1. APPLICANT'S PROFILE

Oblast	
Rayon	
Postal Address	
Telephone (dialling code + number)	
Fax (dialling code + number)	
WEB-site	
-mail	
Focal Point	
Position	
Postal Address	
Telephone (dialling code + number)	
Cellphone	
Fax (dialling code + number)	
-mail	
Previous Partnership	(Give period of partnership with CBA)

2. RAYON PROFILE

§ Provide general information about the rayon including:

- Number of population;
- Name of village| city councils with less than 10 000 people;
- Names of cities of oblast subjugation with less than 10 000 people;
- Distance between oblast capital and rayon capital.

§ Provide brief description of existing social, economic, environmental problems and access to public services in the rayon (as far as possible, point sources of information/ data mentioned in the application) and provide following statistical information for rayon/ settlements (for the period of two years):

A. LEVEL OF SOCIO-ECONOMIC DEVELOPMENT

- o index of socio-economic development of the rayon (official rayon's ranking among other rayons in the oblast based on the officially approved set of social and economic indicators)

- o budget revenue per capita
- o budget expenditures per capita
- o level of unemployment

B. ACCESS TO WATER SUPPLY

Number of settlements in the rayon (percentage wise) and households (percentage wise) that:

- o have a water supply system
- o have a water supply system in disrepair
- o have access to well water only
- o have no access to drinking water

C. QUALITY OF HEALTHCARE INFRASTRUCTURE

- o Number of local health posts (LHP) and local outpatient’s clinics in the rayon
- o Number of people (percentage wise) / settlements in the rayon that have access to LHP/ local outpatient’s clinic
- o Number of LHPs / local outpatient’s clinics in disrepair
- o Number of LHPs / local outpatient’s clinics to renovate/ improve medical equipment in line with minimal healthcare quality standards

D. ENVIRONMENT

- o Number of settlements (percentage wise) with solid waste collection and utilization system
- o Number of settlements (percentage wise) without sewerage system
- o Point some factors that negatively affects environmental situation in the rayon

E. ENERGY EFFICIENCY

- o Practice of introducing energy saving technologies in the rayon (provide examples, if any)
- o Point if there is potential to introduce energy saving technologies (involving alternative and/or renewable energy sources) in remote communities of the rayon (describe examples, if any)

3. MOTIVATION TO PARTICIPATE IN THE PROJECT

3.1. Reasons of your interest to the CBA Project

3.2. Expectations from participation in the CBA Project

3.3. Experience in the use of community based approach (if any)

3.4. Participation in similar projects/ programmes (name of the project, data, donor, cost estimate)

3.5. Other respective information

4. WILLINGNESS TO MEET OBLIGATIONS IN FRAMES OF THE CBA PROJECT

4.1. Deputing officials to support the project realization

4.2. Allocation of resources to realize community projects (write approximate sum)

4.3. Incorporation of community plans to local development plans

4.4. Providing organizational, monitoring and technical services

4.5. Providing institutional mechanism for sustainability of community project

4.6. Allocating premises for establishment of community resource centre

4.6. Willingness to replicate CBA methodology in non-CBA communities

5. OTHER JUSTIFICATIONS IN PREFERENCE OF THE RAYON

Date „ ” _ 20_

Head of Rayon Council _____ (_____)
(signature)

Head of Rayon State Administration _____ (_____)
(signature)

Annex - XI

APPLICATION FOR VILLAGE/CITY COUNCIL TO JOIN CBA PROJECT

PART – I: EXPLANATORY NOTE

- This form is applicable for only those village/city councils which belong to the rayon already selected for partnership with the Project
- Only those village/city councils which have population 10,000 or less will be eligible for partnership with CBA Project. Village/city councils with more than 10,000 population should not apply
- Completed Application Form (Part-B) should be attached with a letter signed by head of village/city council and sent to the Regional Implementation Unit of CBA Project located in the oblast state administration/oblast council office

B) APPLICATION FORM

1. APPLICANT’S PROFILE

Oblast	
Rayon	
Village/City Council	
Postal Address	
Telephone (dialling code + number)	
Fax (dialling code + number)	

Focal Point	
Position	
Telephone (dialling code + number)	
Previous Partnership	(Give period of partnership with CBA)

2) TERRITORIAL PROFILE

§ Provide general information about the village/city council including:

- Number of population;
- Distance between rayon capital and village/city council

§ Provide brief description of existing social, economic, environmental problems and access to public services in the village/city council in terms of:

A. Level of socio-economic development

- o Rayon’s ranking of the village/city councils based on practical set of social and economic indicators followed in the rayon to rank all village/city councils)
- o Availability of development budget per year
- o Level of unemployment

B. Access to water supply (mark one)

Number of settlements/micro-rayons in the village/city council

Percentage of settlements/micro-rayons and households therein that:

- have a water supply system
- have a water supply system in disrepair
- have access to well water only
- have no access to drinking water

C. Quality of healthcare infrastructure (mark one)

- The village/city council has good local healthpost/outpatient's clinic
- The local healthpost / local outpatient's clinics in disrepair
- The village/city council has no health-care infrastructure or the one exists is non-functional

D. Environment

- Status of solid waste collection and utilization system by settlements/micro-rayon
- Status of sewerage and sanitation system by settlements/micro-rayon
- Point some factors that negatively affects environmental situation in the village/city council

E. Energy efficiency

- Situation of current energy supply infrastructure and energy consumption (in terms of gas, electricity etc.)
- Practice of introducing energy saving technologies in the village/city council
- Point if there is potential to introduce energy saving technologies (involving alternative and/or renewable energy sources) in remote communities of the village/city council

3. MOTIVATION TO PARTICIPATE IN THE PROJECT

3.1. Reasons of your interest to the CBA Project

3.2. Expectations from participation in the CBA Project

3.3. Experience in the use of community based approach (if any)

3.4. Participation in similar projects/ programmes (name of the project, data, donor, cost)

3.5. Other respective information

4. WILLINGNESS TO MEET OBLIGATIONS IN FRAMES OF THE CBA PROJECT

4.1. Deputing an official to support the project realization

4.2. Allocation of resources to realize community projects (write approximate sum)

4.3. Incorporation of community plans to local development plans

4.4. Providing organizational, monitoring and technical services

4.5. Providing institutional mechanism for sustainability of community project

4.6. Allocating premises for establishment of community resource centre (if possible)

4.6. Willingness to replicate CBA methodology in non-CBA settlement/micro-rayon of the local council

5. OTHER JUSTIFICATIONS IN PREFERENCE OF THE VILLAGE/CITY COUNCIL

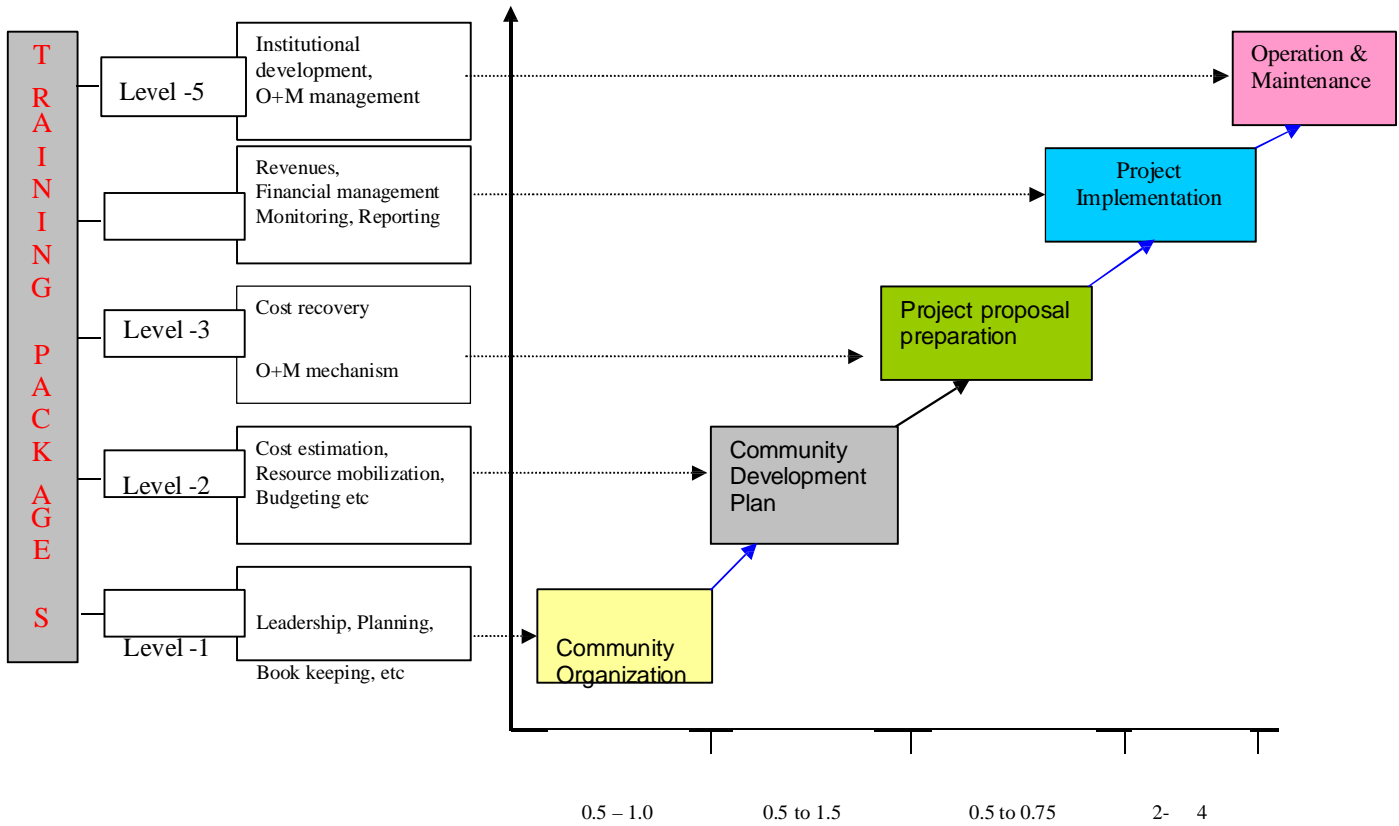
Date ,, ” _ 20_

Head of Village/City Council _____ (_____)
(signature)

Annex – XII

Training Package at Various Levels

Training of various kinds is required as the social mobilization process moves from lower level to upper level. The following schematic diagram explains it:



ANNEX XIII

SUBJECT MATTER COVERED DURING THE TRAINING CONDUCTED FOR THE CO-MT

1. Community, its characteristics and its position in the existing law of Ukraine
2. Concept of development, factors of development, sustainable development
3. Analysis of rural/urban problems, issues of equity
4. Identification of local resources and their mobilisation
5. Concept of governance. Characteristics of good governance
6. Goal of the CO and achievement of the goal. Strength and weaknesses of COs
7. Leadership/personality development. Duties, rights, roles and responsibilities of a chairperson, treasurer, secretary and the members
8. Desirable characters of chairperson, treasurer, secretary
9. Managing a CO. Holding CO-meetings effectively. Reaching consensus-based decision. Taking minutes.
10. Communication and art of effective communication
11. Conflicts and their resolution.
12. Coordination & linkage development
13. Process of participatory/bottom-up planning
14. Concept of income, expenditure and savings
15. Concept of enterprise (economic) development
16. Legal provisions for registration of COs. Concept and framework of statute; sample CO-statutes
17. Concept of account/book keeping. Exercise on account/book keeping. Taxation and reporting
18. Others as desirable

* For the treasurer only

Annex – XIV

A sample of Project Proposal and Effort for Resource Mobilisation

1. Information about Village/City Council

- 1.1 Name of Village/City Council:
- 1.2 Number of settlements/Micro-rayon:
- 1.3 Total population:
- 1.4 Name of Head of Village/City Council:

2. Information about Community Organization (CO)

- 2.1 Name of Settlement/micro-rayon/multi-apartment building:
- 2.2 Name of CO:
- 2.3 CO formation date:
- 2.4 Total Households on the territory of the CO:
- 2.5 Total members of CO: ----- (Male: ----- Female: -----)
- 2.6 Name of Active Members of CO:
 - Chairperson:
 - Treasurer:
 - Secretary:
 - Member:
 - Member:
 - Member:
- 2.7 Total Membership/Commitment fee generated and utilised:
- 2.8 Total Micro-project Fund gathered and utilised
- 2.9 : Whereabouts of the balance amount

3. Information on Community Development Plan

- 3.1 Total number and type of projects identified and prioritised by CO: -----

Type and name of projects prioritised by CO in Development Plan

Name of project	Type of project (Social, Economic, Environmental etc.)	Priority of the project

Note: Need to attach minutes of meeting at which the projects were prioritised and list of signatures of CO members.

4. Information about the Project Proposed for Funding

- 4.1 Name of Project:
- 4.2 Context and Justification of the project (describe):

- 4.3 Criteria for the selection of the project:

- 4.4 Duration of the project (Starting and completion date):
- 4.5 Total beneficiaries: (i) HHs: ---- (ii) Population: ---- (a) Male: --- (b) Female:----
- 4.6 Total Cost (UAH):

4.7 Per capita cost:

4.8 Proposed Cost Sharing Arrangement

S.N	Proposed Sponsors	Type and amount of contribution (UAH)			Remarks
		Cash	Kind*	Total	
1	Community Organization				
2	Village/City Council				
3	Rayon Administration				
4	Oblast Authority				
5	UNDP/CBA				
6	Others				
	Total				

* Contribution in kind should be converted in terms of cash and written in the column "in kind contribution".

5. Project Implementation, Operation & Maintenance and Sustainability

5.1 Functional Group formed by CO (include name minutes of meeting of CO)

5.2 Plan for Operation and maintenance of the project after completion (including service charges)

6. Financial Monitoring and Reporting

6.1 Dates for submission of financial statement to CO members

6.2 Dates for submission of financial statement to CRC/CBA and Village Council/Raiyon Administration

6.3 Dates for submission of progress reports

Endorsements by Local Authorities

The Village/City Council offully agrees and supports the above-mentioned community project proposed by the ----- CO. Therefore, the Village/City Council agrees to provide a cost-sharing contribution in the amount of -----UAH and recommends to CBA for co-funding.

Signature

Name of Head of Village/City Council

Date:

The Rayon State Administration offully agrees and supports the above-mentioned community project proposed by the -----CO of -----Village/City Council. Hereby, the Raiyon State Administration agrees to provide a cost-sharing contribution in the amount of -----UAH and recommends to CBA to co-fund the project.

Signature

Name of Head of Rayon State Administration

Date:

Annex –XV

A Sample of Cover Letter for Submission of a Project Proposal to LDF/RSA

Mr./Mrs.
Chairperson of Local Development Forum,
Chairperson ofRayon State Administration
..... Oblast

Subject: Submission of Project Proposal

Thecommunity organization has prepared a local development plan, which has been approved by the community members and endorsed byVillage/City Council. We would be grateful if the LDF approves the local development plan and make a recommendation to incorporate the proposed project into the rayon development plan. The Community Organization requests the LDF to make a recommendation to the Rayon Administration and CBA to allocated funding for the following project:

-
Detailed information about the project and other supporting documents are enclosed for your consideration.

Yours sincerely,

Name and Signature of Chairperson of CO

Date:

Cc: CBA,Rayon

Annex –XVI

A Sample of Cover Letter for Request for Funding

Mr. XXXXXX,
International Project Manager,
EU/UNDP CBA
Kyiv, Ukraine

Subject: Submission of Project Proposal

Thecommunity organization has worked out the local development plan, which has been approved by the community members and endorsed byVillage/City Council. The proposal has been carefully studied and discussed in LDF meeting held on The Community development plan has been approved by LDF and incorporated in the rayon plan for the year The rayon administration has also approved and allocated the budget in amount of ----hryvnas for the following projects. However, the budget allocated by Rayon Administration and Village/City Council is not adequate to complete the project. Therefore, I would appreciate if UNDP/CBA could fund the following project.

The recommend projects for the funding are:

-

The detailed information about the projects and other supporting documents are enclosed for your consideration.

Thanking you.

Date:

Name and Signature of
Chairperson of Raiyon Administration and LDF

Annex XVII

Description of Services and Activities

In partnership with UNDP the Community Organization "....." shall manage and implement the community project ".....", aiming at to improve the living condition of the communities of the settlement and strengthen development of the communities to a broader perspective in their localities.

Specific Activities that the CO shall perform:

1.
2.
3.
4. Monitor project implementation with the active participation of community members and the partner organizations and institutions.
5. Ensure timely and proper reporting to the UNDP/CBA and other relevant organizations.

Project Budget of CO

Project Title of the CO:

Name of the CO:

Total Amount of Funds under the Agreement:

Date of Signature of the Agreement:

General category of expenditures	201..	Total Amount (UAH)	Remarks
Procurement of			
Training, Seminar etc			
Contracts			
Contingencies			
Total			

Payments Schedule:

Miles t-ones	Installments	Amount (UAH)	Date foreseen
1% of the Agreement amount – within 30 banking days upon signature of this Agreement		
	Balance		
2	...% of the Agreement amount - upon submission of a periodic progress and financial report and signature of Intermediate Certificate of performance on completion of Activities-1 and 2 mentioned in the Annex-A	 days after signing the contract
	Balance		
3	Up to% of the Agreement amount - upon submission of final progress and financial report and signature of Certificate of performance on completion of 100% of the works mentioned in the Annex-A	 days after signing the contract
	Balance		

Prepared by

....., Chairperson of the CO «.....»

Annex XVIII
Final Progress Report

INSTRUCTIONS

1. Provide a complete report, if necessary use separates pages
2. Include a final financial report (with all the supporting documents) that shows the breakdown of costs.
3. Submit the final progress report and the financial report to the project coordinator/.

Contractor

Name of CO providing the report:
Address:
Person in charge of the progress report:

Identification of the project

Name of the project:
Agreement number:
Type of project:
Location/
Start-up Date: Completion Date:

<u>Participants/beneficiaries</u>	<u>Capacity Building/Training</u>
-----------------------------------	-----------------------------------

Number of females:	Number of females:
Number of males:	Number of males:
Number of children (under 21):	Number of children (under 21):

Budget and finance

Total Project Cost:
Amount received under this Agreement:
Amount received from other sources of funding:
Contribution of community organization:

Activities

Activities Performed under this Agreement

Results:

Describe to what extent the objectives of the Agreement were accomplished:

Describe the immediate benefits received by the participants and/or the recipient communities:

Describe long-term benefits:

New Developments and unexpected difficulties/problems:

New Developments and unexpected difficulties during the implementation of the project: _

Actions taken to solve them:

Remarks/lessons learned:

Date: _____ Prepared by _____

Annex XIX
Interim Report on the Use of Funds

Project Number:
Project Title:
Date: _____

Project Title of CO: _____

Name of the CO: _____

Total Amount of Funds Under the Agreement: _____ Date of Signature of the Agreement _____

FOR THE PERIOD COVERING FROM _____ TO _____

General category of expenditures	Global Budget	Expenditure	Balance	Amount Requested
Manpower/labor/Material				
Training/Seminar/Workshops, etc.				
Contracts				
Equipment/Furniture				
Others (specify)				
Miscellaneous				
Total				

Total Budget approved:.....
Funds already advanced:.....
Amount of expenditures:.....
Funds requested:.....
Balance (if exists:.....

Date of the next request for funds:(DD/MM/YY)

Certified by: _____
Name and signature of the Representative of CO

CO is responsible for compiling and providing all supporting documentation or information related to this report at the request of UNDP

Annex XX

<p>MICRO-CAPITAL GRANT AGREEMENT BETWEEN THE IMPLEMENTING PARTNER (UNDP) AND THE RECIPIENT INSTITUTION (CO) FOR THE PROVISION OF GRANT FUNDS</p>	<p>- -</p>
<p>Micro-Capital Agreement (hereinafter referred to as the “Agreement”) made between United Nations Development Programme [UNDP] and the Recipient Institution [INSERT NAME OF Recipient Institution].</p>	<p>« ») (-) , (« ») []].</p>
<p>WHEREAS UNDP desires to provide funding to the RECIPIENT INSTITUTION in the context of a Project and on the terms and conditions hereinafter set forth, and</p>	<p>a - , ,</p>
<p>WHEREAS the RECIPIENT INSTITUTION is ready and willing to accept such funds from UNDP through the administration of UNDP for the above mentioned activities on the said terms and conditions.</p>	<p>- ,</p>
<p>NOW, therefore, the parties hereto agree as follows:</p>	<p>.</p>
<p>I. Responsibilities of the RECIPIENT INSTITUTION</p>	<p>I. , -</p>
<p>1.1 The RECIPIENT INSTITUTION agrees to: 1) Undertake the activities described in its Workplan and Budget (attached), and updates related to the subsequent release of funds in tranches; 2) Provide quarterly reports to the Steering Committee; and 3) Provide Annual Audited Statements [Income Statement and Balance Sheets]. In projects where a technical contractor is providing assistance to the RECIPIENT INSTITUTION, the contractor shall be responsible for verifying the accuracy of these reports/statements. Funds provided pursuant to this Agreement shall be used for purposes related to producing results specified in its annual performance targets [Section C].</p>	<p>1.1 - : 1) , () , ; 2) ; 3) []]. , - , / . , , , , [C].</p>
<p>1.2 The RECIPIENT INSTITUTION agrees to reach the performance targets contained in Section C. If the RECIPIENT INSTITUTION fails to meet its responsibilities outlined in article 1.1, or [Optional] to attain at least 70% of any one performance target for any given year, then this will be considered grounds for the Steering Committee to suspend any further micro-capital grant support. The suspension shall remain in effect until the RECIPIENT INSTITUTION has achieved the target. In projects with a technical assistance contractor, the contractor may, at its discretion, continue to provide technical assistance to the RECIPIENT INSTITUTION during this suspension period.</p>	<p>1.2 - , , , , 1.1, [] 70% - , - .</p>

<p>1.3 The RECIPIENT INSTITUTION agrees to inform the Steering Committee about any problems it may face in attaining the objectives agreed upon.</p> <p>II. Duration</p> <p>2.1 This Agreement will come into effect on [INSERT DATE/MONTH/YEAR] and shall expire on [INSERT DATE/ MONTH/YEAR], covering the anticipated term of the project. It can be extended, if necessary by exchange of letters, noting the new expiration date.</p> <p>III. Payments</p> <p>UNDP shall provide funds to the RECIPIENT INSTITUTION in an amount up to [INSERT CURRENCY & AMOUNT IN FIGURES AND WORDS] according to the schedule of the project budget set out below. Payments are subject to the RECIPIENT INSTITUTION meeting the outputs as specified in the Performance Targets [Section C].</p> <p>[INSERT CURRENCY AND AMOUNT], upon signature of this Agreement.</p> <p>3.1 All payments shall be deposited into the RECIPIENT INSTITUTION's bank account of which the details are as follows:</p> <p>[NAME OF THE BANK] [BANK ROUTING NUMBER] [BENEFICIARY ACCOUNT NAME] [BENEFICIARY ACCOUNT NUMBER]</p> <p>[ADDRESS OF THE BANK]</p> <p>3.2 The amount of payment of such funds is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the RECIPIENT INSTITUTION in the performance of the activities under this Agreement.</p> <p>IV. Records, Information and Reports</p> <p>4.1 The RECIPIENT INSTITUTION shall maintain clear, accurate and complete records in respect of the funds received under this Agreement.</p> <p>4.2 The RECIPIENT INSTITUTION shall furnish, compile and make available at all times to UNDP any records or information, oral or written, which</p>	<p>1.3 - , .</p> <p>II.</p> <p>2.1 [/ /] [/ /], .</p> <p>III.</p> <p>[-] . - , [C]. [,] .</p> <p>3.1 - , : [] [] [] [] []</p> <p>3.2 - , .</p> <p>IV. ,</p> <p>4.1 - , , .</p> <p>4.2 - , , , .</p>
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<p>UNDP may reasonably request in respect of the funds received by the RECIPIENT INSTITUTION.</p> <p>4.3 Within sixty days after completion of project activities, the RECIPIENT INSTITUTION shall provide UNDP with a final report with respect to all expenditures made from such funds (including salaries, travel and supplies) and indicating the progress made toward the goals of the activities undertaken, utilizing the reporting format contained in Annex I.</p> <p>4.4 All further correspondence regarding the implementation of this Agreement should be addressed to:</p> <p>For UNDP: [INSERT NAME OF UNDP RESIDENT REPRESENTATIVE AND ADDRESS]</p> <p>For the RECIPIENT INSTITUTION: [INSERT NAME OF AUTHORIZED OFFICIAL AND ADDRESS]</p> <p>V. General Provisions</p> <p>5.1 The RECIPIENT INSTITUTION shall carry out all activities described in its Workplan with due diligence and efficiency. Subject to the express terms of this Agreement, it is understood that the RECIPIENT INSTITUTION shall have exclusive control over the administration and implementation of the activities referred to above in paragraph 1.1 and that UNDP shall not interfere in the exercise of such control. However, both the qualities of work and the progress being made toward successfully achieving the goals of such activities shall be subject to review by the Steering Committee. If at any time the Steering Committee is not satisfied with the quality of work or the progress being made toward achieving such goals, the Steering Committee may advise UNDP to: (i) withhold payment of funds until in its opinion the situation has been corrected; or (ii) declare this Agreement terminated by written notice to the RECIPIENT INSTITUTION as described in paragraph 5.7 below; and/or seek any other remedy as may be necessary. The Steering Committee's determination as to the quality of work being performed and the progress being made toward such goals shall be final and shall be binding and conclusive upon the RECIPIENT INSTITUTION insofar as further payments are concerned.</p> <p>5.2 UNDP undertakes no responsibilities in</p>	<p>4.3</p> <p>1.</p> <p>4.4</p> <p>[</p> <p>[</p> <p>V.</p> <p>5.1</p> <p>1.1,</p> <p>5.7; ()</p> <p>5.2</p>
--	---

<p>respect of life, health, accident, travel or any other insurance coverage for any person which may be necessary or desirable for the purpose of this Agreement or for any personnel undertaking activities under this Agreement. Such responsibilities shall be borne by the RECIPIENT INSTITUTION.</p>	<p>‘ , ‘ , - , ‘ , - , .</p>
<p>5.3 The rights and obligations of the RECIPIENT INSTITUTION are limited to the terms and conditions of this Agreement. Accordingly, the RECIPIENT INSTITUTION and personnel performing services on its behalf shall not be entitled to any benefit, payment, compensation or entitlement except as expressly provided in this Agreement.</p>	<p>5.3 ‘ , - ‘ , , ‘ , , ‘ , .</p>
<p>5.4 The RECIPIENT INSTITUTION shall be solely liable for claims by third parties arising from the RECIPIENT INSTITUTION’s acts or omissions in the course of performing this Agreement and under no circumstances shall UNDP be held liable for such claims by third parties.</p>	<p>5.4 - ‘ , - , .</p>
<p>5.5 Assets (Equipment) supplied by UNDP funds to the RECIPIENT INSTITUTION shall be the property of UNDP until the end of the project, at which time UNDP shall determine the best use of these assets. In cases where the RECIPIENT INSTITUTION has met its responsibilities under this agreement, and handover of the asset would contribute to the sustainability of activities, UNDP would normally handover these assets to the RECIPIENT INSTITUTION. The assets shall be used for the purpose indicated in the Workplan throughout the period of this Agreement.</p>	<p>5.5 (‘), - , ‘ , - ‘ , , ‘ , - , , ‘ , .</p>
<p>5.6 This Agreement may be terminated by either party before completion of the Agreement by giving thirty (30) days written notice to the other party, and the RECIPIENT INSTITUTION shall promptly return any unutilized funds to UNDP as per paragraph 5.6 above.</p>	<p>5.6 - ‘ , 30 (‘) , - ‘ .</p>
<p>5.7 The RECIPIENT INSTITUTION acknowledges that the Implementing Partner and UNDP and its representatives have made no actual or implied promise of funding except for the amounts specified by this particular tranches Agreement. Although project related documents may indicate a total amount of funds that could be available for this RECIPIENT INSTITUTION, actual disbursements will be based upon the RECIPIENT INSTITUTION meeting performance targets. If any of the funds are returned to the Implementing Partner and UNDP or if this Agreement is rescinded, the RECIPIENT INSTITUTION acknowledges that the Implementing</p>	<p>5.7 - ‘ , ‘ , . ‘ , - ‘ , - ‘ , .</p>

<p>Partner and UNDP will have no further obligation to the RECIPIENT INSTITUTION as a result of such return or rescission.</p> <p>5.8 No modification of or change to this Agreement, waiver of any of its provisions or additional contractual provisions shall be valid or enforceable unless previously approved in writing by the parties to this Agreement or their duly authorized representatives in the form of an amendment to this Agreement duly signed by the parties hereto.</p> <p>5.9 Any controversy or claim arising out of, or in accordance with this Agreement or any breach thereof, shall unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force. Where, in the course of such direct negotiation referred to above, the parties wish to seek an amicable settlement of such dispute, controversy or claim by conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules as at present in force.</p> <p>The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.</p> <p>5.10 Nothing in or relating to this Agreement shall be deemed a waiver of any privileges and immunities of the United Nations, or UNDP.</p> <p>IN WITNESS WHEREOF, the undersigned, duly appointed representatives of the Implementing Partner, and the RECIPIENT INSTITUTION, respectively, have on behalf of the Implementing Partner and the RECIPIENT INSTITUTION signed the present Memorandum of Agreement on the dates indicated below their respective signatures.</p>	<p>5.8</p> <p>5.9</p> <p>5.10</p>
---	-----------------------------------

<p>On behalf of UNDP:</p> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>	<p>On behalf of the RECIPIENT INSTITUTION:</p> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>
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B. BUDGET/

TO BE PREPARED BY THE RECIPIENT INSTITUTION. THIS BUDGET WILL BE SUBMITTED TO THE STEERING COMMITTEE FOR APPROVAL/

PROJECT BUDGET OF RECIPIENT INSTITUTION

Project Number/ _____ : _____ Date/ _____ : _____

Project Title/ _____ : _____

Name of the RECIPIENT INSTITUTION/ _____

Total Amount of Funds under the Agreement/ _____ : _____

Date of the Agreement/ _____ : _____

PROJECT BUDGET (in Local Currency)/ _____ (_____)

PERIOD COVERING FROM/ _____ TO/ _____

General Category of Expenditures/	Tranche 1/ 1	Tranche 2/ 2	Tranche 3/ 3	Total/
Personnel/				
Transportation/				
Premises/				
Training/Seminar/ Workshops, etc./ / /				
Contracts (Audit)/ ()				
Equipment/Furniture (Specify)/ () /				
Other [Specify]/ []				
Miscellaneous/				
1.13. TOTAL/				

* Please note that all budget Lines are for costs related only to project activitie/ , , , , , .

** These budget categories and number of tranches are suggested guidelines. The Recipient may choose alternates which more accurately reflect their expense items and needs/ , , , .

C. RECIPIENT INSTITUTION PERFORMANCE TARGETS/

-

NAME OF RECIPIENT INSTITUTION/

-

:-

PERFORMANCE TARGETS/		YEAR 1/ 1		YEAR 2/ 2		YEAR 3/ 3	
		Proposed/	Actual/	Proposed/	Actual/	Proposed/	Actual/

ANNUAL REPORTING FORMAT/

YEAR/ _____

Recipient Institution/ - :_

OVERALL TARGETS FOR ENTIRE GRANT/	BASELINE/	PROPOSED ANNUAL TARGETS/	ANNUAL BUDGET/	ACTUAL ANNUAL RESULTS/	ACTUAL ANNUAL EXPENDITURES/	PROGRESS TOWARDS TARGETS/