

**Second Draft**

**Manual on  
Community-Based Approach to Local Development  
Project**

**For  
PMU and OIU Teams of CBA Project**  
To facilitate Common Understanding on  
Conceptual and Procedural Aspects of  
Project Implementation

**April, 2008**

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## Acronyms

CBA	EU/UNDP - "Community based approach to local development" Project	MGSDP	Municipal Governance and Sustainable Development Programme
CC	City Council	OC	Oblast Council
CIDP	Crimea Integration and Development Programme	OCC	Oblast Coordination Council
CO	Community Organisation	OIU	Oblast implementation unit
CO-MT	Community Organisation management team	OSA	Oblast State Administration
CRDP	Chernobyl Recovery and Development Programme	PA	Partnership Agreement
CRC	Community Resource Centre	PMU	Project management unit
EC	European Commission	RC	Raiyon Council
HHs	Households	RSA	Raiyon State Administration
LDF	Local development forum	ToP	Terms of Partnership
		VC	Village Council

## Glossary

## CHAPTER ONE

### INTRODUCTION

Main Activity	Sub-Activities	
1. Background Information	1	Genesis of CBA Project
	2	Objectives
	3	Strategy
	4	Expected Results

#### 1.1 Genesis of CBA Project

Ukraine has made significant economic development since its independence. However, it is still challenged by some serious issues. Economic growth is not equitable, with only small share of population benefiting from its fruit. Those who suffer most (over 60% of population) live in rural and semi-rural areas. Low living standards in these areas are characterized, besides low incomes, by insufficient access to medical care and education, underdeveloped basic infrastructure (or worn out old infrastructure) and poor access to drinking water. Social, health and environmental problems at local level have is very common and warrant serious attention.

These challenges form a part of the MDG signed by Ukraine in 2000. To achieve these goals, much work is needed, especially at local level. The experience around the world<sup>1</sup> indicate that solution to these challenges is contingent on empowerment and active involvement of local communities, and their capacity to identify development priorities and ensure their attainment. However, legacy of the highly centralised system of policy, planning, budgeting and decision-making is yet to be adequately geared towards accommodating the needs and priorities as perceived by citizens and local authorities. On the other hand, passive attitude of the population in general and limited capacity of the local governments in rural areas to generate revenue remains a challenge.

Experience of European Commission's projects on pilot models for sustainable regional and local development has shown the limits of the standard top-down approach in tackling quickly and effectively immediate poor population's social needs. By contrast, Area-Based Development (ABD) Approach of UNDP Ukraine has proven to be an effective and economic way of achieving social goals in a decentralised manner. In close partnership with international development organisations and local authorities, UNDP/Ukraine has been promoting ABD Approach primarily through three projects - Crimea Integration and Development Programme (CIDP); Chernobyl Recovery and Development Programme (CRDP); and Municipal Governance and Sustainable Development Programme (MGSDP). ABD Approach unleashes the potential of the people to help themselves and brings local authorities and communities together for joint problem-solving and development activities, thus reinforcing the MDGs.

By building on the achievements of the "area-based development approach" and applying its main tenets country-wide, it is expected that a critical mass of practical experience in decentralised and participatory planning, decision-making and implementation will emerge that will provide valuable inputs for the ongoing policy debate on administrative and fiscal decentralisation and further democratisation of society. It is in this very context, the Community-Based Approach to Local Development (CBA) Project of EC/UNDP in Ukraine is functioning since September 2007.

#### 1.2 Objectives

It is expected that the CBA Project will provide opportunities to ensure consistency of Ukraine's country planning policy at the local level. In line with the approach taken in the NIP 2004-2006,

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<sup>1</sup> As reflected in the conclusions of the World Summit (1992) at Rio de Jenerio and World Summit (2002) at Johannesburg. Local Agenda 21 (([www.un.org/esa/sustdev/agenda21.htm](http://www.un.org/esa/sustdev/agenda21.htm)) and Johannesburg Declaration ([www.un.org/esa/sustdev/documents/Johannesburg%20Declaration.doc](http://www.un.org/esa/sustdev/documents/Johannesburg%20Declaration.doc)) may be browsed for details.

the EU-Ukraine Action Plan and the relevant EU policies and rules, the Project will support better service provision and environment protection at the local level. In this perspective -

**Main objective** of the CBA Project is to create an enabling environment for long-term self-sustaining socio-economic and community development at local level by promoting local self-governance and community-based initiatives that would contribute to overall human development and attainment of Ukraine's Millennium Development Goals.

**Specific objectives** of the Project are to:

- (1) Improve living conditions in rural and (semi-)urban communities throughout Ukraine by promoting sustainable rehabilitation, management and operation of basic social and communal infrastructure and services through community-based self-help initiatives
- (2) Demonstrate effective participatory local governance and decentralised management mechanisms throughout Ukraine for public service delivery by promoting inclusive, self-governing community organisations undertaking self-help initiatives in partnership with local authorities, private sector entities and other stakeholders
- (3) Enhance relevant professional skills and knowledge of community organizations and local authorities to initiate and maintain visible participatory local process on social economic development and public services delivery
- (4) Improve institutional capacities of community organizations and local authorities to identify community needs and priority, to manage and monitor participatory local process for a sustainable social-economic development and efficient public service delivery
- (5) Promote practical experience at grassroots level throughout Ukraine in participatory planning, decision-making and social action with a view to providing inputs for policy and legal reforms towards regional/local sustainable development, administrative and fiscal decentralisation and consolidation of local democracy

### **1.3 Strategy**

The strategic goal of CBA Project is to build capacity for political participation of the local communities and local authorities into decision making process and using this capacity for multi-stakeholders cooperation and multi-sectoral interventions geared towards strengthening of local governance ultimately leading to sustainable human development. The application of governance principles and those of the Human Rights Based Approach (HRBA) will be a focused approach of the Project.

To ensure local ownership of the process, the Project will be implemented through participating rayons, village/city councils, local communities and other stakeholders taking participatory governance and priority areas as the entry point. Following strategies will be followed to materialise the objectives of the Programme -

#### ***Geographical Coverage and Partnership***

The Project will operate in all oblasts of Ukraine and in Autonomous republic of Crimea. A total of 200 rayons (eight in every oblast in average) and 1000 village/city councils (five in every rayon in average) will be selected based on the level of socio-economic hardship facing them. Partnership with oblast councils/state administrations and ARC government will be established based on mutual understanding. Partnership with rayon councils/state administrations and VC/CC will be established based on their commitment and willingness to contribute resources and play active role in implementation of the Project. Before forging partnership, the potential partners will be provided with orientation about the concept, strategies, procedures, and terms of partnership offered by the Project; exposure to concrete results obtained; and opportunity for peer to peer learning. A regional resource centre will be developed in each oblast to create regional synergy and intra-regional transfer of skill. This ensures ownership of the Project modality and sustainability of the knowledge base. Partnership will be established with national

(government/non-government) agencies related with the objectives of the Project to seek their support for achieving the objectives.

### ***Institutional Development***

Appropriate support structures will be developed for participatory decision-making and monitoring at local level, rayon level, oblast level and national level.

Target communities (five in each target rayon in average) will be selected based on the criteria of socio-economic hardship and willingness. Social mobilisation approach (*see* Technical Note – I) will be utilised to unleash the potentials of local community to address their common needs focused around health, environment, energy, water supply and school transportation. To this end, the selected communities will be organised into ‘community organisation (CO)’ founded on norms of good governance.

A networking approach will be adopted to bring together communities, local/regional authorities, private sector and civil societies so that they can hold regular dialogue on envisioning about the development direction in their area, mainstreaming of community plans, deciding upon public-private partnership mechanism for implementation of local priorities and carrying out participatory monitoring the process. This will evolve into local development forum at rayon level and coordination council at oblast level. Networking of stakeholders at the national level will enable overall monitoring and advisory support.

### ***Building Capacity***

Capacity building of duty-bearers in the local communities, local government as well as national level officials will be complemented by the capacity building activities. Participation of women and other vulnerable groups in the development process will be ensured by involving them into planning and management of the communal and social services in the local communities. Capacity of the COs will be built in such a way that they are able to make joint decision with local authorities, mobilise resources, implement local priorities and sustain the result. Capacity of the partners (VC/CC, rayon/oblast etc.) will be strengthened in terms of human resources to implement local component of the Project activities in the framework of participatory approach. Training, exposure visits, dialogues and various other forms of techniques will be utilized for skill/knowledge transfer in course of building capacity.

### ***Perfection Through Practice***

To ensure internalization of the concept propagated by the Project, the Project will provide a small grant to COs to implement their priorities on a self-help basis and within the framework of public-private partnership, whereby each partner shares a portion of the development cost. The established mechanism is that half of the budget must be financed with contributions of local community members (not less than 5%), the private sector, and the central and local budgets while the Project will contribute up to remaining half of the cost. A bottom-up participatory planning process will be a pre-requisite for this grant. Under facilitation of support organisations (OIU, VC/CC, RC/RSA, LDF, OCC etc.), COs will undertake bottom up participatory planning process. On regular basis, such planning will be done annually during which the support organizations will prepare sustainable development plans in their respective area of focus.

Appropriate management and information systems (MIS) will be established to make the stakeholders directly involved in the process of monitoring and assessment of the Project activities. Such MIS will include process monitoring, input monitoring, output monitoring and impact monitoring. Flow of information will be bottom-up and participatory. Web-based monitoring system will be promoted to facilitate wider coverage of audience and reviewers.

## ***Sustainability***

Sustainability of the systems, institutions (community organizations etc.) and services established at local community level under support of the Project will be ensured so as not to lose the principles and value propagated by the Project.

The community will take responsibility to maintain, with support from the local authorities, the resulting output and reap benefit from it on a sustained basis. The COs will be trained to adopt a participatory assessment system focusing on such indicators as ownership, transparency, equity, accountability etc. Such assessment will enable COs to pave the way for sustainability.

Regional and national level networking of key stakeholders will be sought for making policy dialogues and policy recommendations for internalisation of the approach promoted by the Project in the national system. It will be done through regular and systematic exchange of experiences and lessons-learned by means of conferences, seminar and workshops, roundtables etc.

For securing benefit in a longer term and for further scaling up of the Project approach, manuals and training courses will be prepared based on documentation, policies and strategies. Documentation will include national as well as international experiences and training materials will be used for transfer of knowledge. Training for officials of government, local authorities and other partners to learn from successful experiences will be conducted.

### **1.4 Expected Results**

CBA Project aims to achieve following concrete results by end of the project period:

- 1,000 sustainable and inclusive self-governing community organisations established
- 1,175 self-help initiatives for improving basic social and communal infrastructure and services supported through seed grants from the Programme and local contributions
- Revival of the national network of primary health care points and improvements in water supply management, environmental protection, energy efficiency and local transport services.
- Sustainable management, monitoring, operation and maintenance systems in place for each completed facility
- Local Development Forums for participatory planning and decision-making established and functioning in 200 target raions
- Community Resource Centres established and functioning in 24 oblasts facilitating dissemination of community based approaches throughout Ukraine
- Enhanced capacity of targeted communities and local authorities to define, manage and implement local development strategies and projects through participatory and democratic dialogue, action, partnership and cooperation
- Good practices and lessons learned identified and documented in each target oblast, discussed among oblast and local authorities and community organisations and subsequently shared with other stakeholders through the Local Governance and Development Knowledge Network<sup>2</sup>

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<sup>2</sup> This is a separate yet complementary UNDP project which provides a knowledge management mechanism for local experiences and knowledge.

## CHAPTER TWO

### PROJECT AREA AND PARTNERSHIP

Main Activity	Sub-Activities	
1. Forging Partnership with oblast authorities	1	Conduct regional seminar
	2	Sign partnership with oblast council/state administration
2. Forging Partnership with rayon authorities	1	Select a rayon
	2	Sign partnership with rayon council/state administration
3. Forging Partnership with village/city councils	1	Conduct rayon level orientation
	2	Select local councils (VCs/CCs) for partnership
	3	Sign partnership agreement with local councils
4. Selecting communities	1	Prepare council profile
	2	Identify potential communities to be supported

#### *Activity 2.1: Establish Partnership with Oblasts Authorities*

Establish contact with authorities (oblast council and oblast state administration) of each oblast to familiarise them about the Project and agree on terms of partnership. For this purpose, send a request letter to the oblast authorities along with appropriate documents related with the Project (brochure, national launching conference, project document, draft partnership agreement etc.) for their study. The OSA/OC administration assigns a focal person to assist CBA in organising the regional seminar.

A **pre-seminar meeting** is held with the oblast authorities by visit of PMU staffs (specially the project manager) to oblast office. This meeting includes a short briefing about the CBA Project to the oblast authorities and reaching an understanding on the contents of draft partnership agreement.

**Organise orientation session** (regional seminar) at oblast level with participation of oblast state administration (OSA), oblast council (OC), rayon state administrations and councils, relevant departments of OSA, local NGOs, local media etc. PMU staffs (especially community development specialist and communication specialist) play key role in organisation of the seminar.

Agenda of the orientation session include –

- Presentation of details of CBA, including film ‘One Step Ahead’ as necessary
- Modus operandi of implementing CBA Project in the oblast
- Time-plan discussion (Annex - I),
- Discussion on key terms of partnership between the Project and oblast authorities (Box- I),
- Discussion on rayon selection criteria,
- Discussion on methodology for rayon state administrations willing to join the Project,
- Discussion on key terms of partnership between the Project and rayon authorities (Box - II),

#### Box - I: Key Terms of Partnership Between Project and Oblast Authorities

CBA Project	Oblast Authority
Provide staffs and logistics for the ‘oblast implementation unit’ OMU	Provide office premises, a staff for IMU and a contact person
Provide technical support for building capacity of local communities	Assist in development and registration of community organizations
Provide technical support for building institutional capacity of local authorities and local councils	Provide organizational, technical, financial and material support to community projects, as possible
Provide seed grant for community projects as a part of joint funding	Facilitate formation of ‘Oblast Coordination Council’, chair it and keep it functional
Support in elaboration of the regional development plan through participatory and decentralized planning process	Support in selection of pilot rayons and assist in policy formulation based on experience of the Project



In case, OSA and/or OC show formal willingness to forge partnership with CBA, a PA is signed. The partnership could be tripartite (Annex – II A) or bilateral (Annex – II B) depending on oblast specific situation. In case of bilateral PA with OSA, an understanding should be made to get the PA (or OC-related clauses) to be ratified by the OC at appropriate time. At times, the OSA and OC accept to sign PA at a later date and ask CBA team to continue its forthcoming activities in the oblast. Taking into account the current constitutional framework of Ukraine, agreement with the oblast councils is important, particularly, to encourage them to foresee necessary budgetary funds for the community projects implementation.

If possible, OSA announces to (a) provide premises for establishment of OIU (b) depute a staff to work at OIU and (c) assigns a permanent focal person to communicate between the administration and the Project. It is very likely that the persons in case of b and c may be the same.

Local media is encouraged to report this event as widely as possible. As necessary, press release and media advisory documents are supplied to them and a press conference is held after signing of the PA.

Signing of PA by OSA/OC or consent of the OSA/OC for partnership during the regional seminar, allows CBA to launch the project activities in selected rayons under the administrative, technical and financial support of the rayon state administration. Purpose is to make transparent and competitive selection from among the rayons, which are in dire need of the external support such as from CBA Project and which are willing and committed to improve living condition of the people. Therefore, the CBA team elaborates terms of partnership with rayon authorities (Box - II), rayon selection criteria (Box - III), application methodology and announces deadline for the rayons to send application to CBA office during second part of the regional seminar. A sample application form is given in Annex – III

#### **Box - II: Key Terms of Partnership Between Project and Raiyon Authorities**

<b>CBA Project</b>	<b>Raiyon Authority</b>
To support in mobilising and organising members of target communities	To provide focal person for day to day activity of the Project
To provide technical support for building capacity of local communities	To assist in development and registration of community organizations
To provide technical support for building institutional capacity of rayon authorities and local councils	To provide organizational, technical, financial and material support for community projects
To provide seed grant for community projects as a part of joint funding	To ensure formation, chairing and functioning of 'Local Development Forum'
To make available, as appropriate, advisory support in the area of governance and socio/econ/env. development	To motivate and familiarize local councils, NGOs, national bodies about the approach
To support in elaboration of the rayon development plan through participatory and decentralized planning process	To assist in local/national policy formation based on experience of the Project

#### **Box - III: Raiyon Selection Criteria**

- Poverty level (or belonging to lowermost cohort in the ranking done by oblast state administration based on social-economic indicators)
- Access to water supply (No. of VCs/CCs without access to water supply and/or quality of water supplied)
- Access to primary medical assistance services (No. of VCs/CCs without access to primary medical assistance services, current status of village first aid station network)
- Environmental situation
- Energy loss/energy saving potential (Need to improve communal infrastructure)
- Accessibility in context of school transport (No. of children in need of bus transportation to schools)
- Willingness to provide organisational, financial and technical support (deputation of focal point, tenders, assistance in commissioning & transfer of completed projects etc.)
- Guarantee of community initiative co-financing from the central and local budgets
- Potential for showing demonstration performance
- .....

## ***Activity 2.2: Establish Partnership with Raiyon Authorities***

Upon due date, analyse the information contained in the application against the criteria mentioned in Box - II. Carry out scoring of the raiyon for each criterion and rank them based on total composite score as per the scoring and ranking Table given in Annex - IV. A joint committee consisting of following officials will review and approve the selection:

- Sr. Programme Manager, UNDP;
- Project Manager, EC Delegation Office
- Representative of Oblast State Administration
- Representative, association of local authorities (UALRA or others)

In each oblast, up to eight raiyons will be selected based on the ranking. Raiyons beyond eighth rank will serve as alternatives in subsequent manner. Alternative arrangement is necessary in case authorities of a selected raiyons are reluctant or show little interest, the Project could move to alternative raiyons because it will be more time-consuming and riskier to start the Project in raiyons which are not willing to cooperate.

The quickest way of selecting is to ask the oblast authorities to make a pre-selection of the poorest raiyons, and then select the final group from these during a joint meeting at the oblast centre. Alternatively, CBA could select the final group from the list in consultation with the oblast authorities and then start working with them. In order to create competition number of short-listed raiyons will exceed the number of actual partner raiyons. If one or two do not meet the criteria after all, others can be selected from the shortlist.

Following establishment of the partnership at oblast level and having completed selection of the target raiyons, the OIU will visit relevant raiyon authorities (raiyan state administration and raiyon councils) with the aim to discuss and agree upon a partnership agreement with UNDP in the framework of CBA Project under the active role of PMU team (especially community development specialist). The Agreement can be tripartite (Annex – VA) or bilateral (Annex – VB) depending upon the situation in a raiyon. A tripartite agreement allows raiyon councils to foresee necessary budgetary funds for the community projects implementation.

In order to facilitate conclusion of the relevant partnership agreements and provide information on the project implementation modalities, the OIU will organise **an orientation session** in each of selected raiyons in participation of head/deputy head of raiyon state administration (RSA) and raiyon council (RC), relevant departments of RSA, village councils, city councils (with less than 10,000 population), local NGOs, local media etc. Agenda of the orientation session include –

Partnership Agreement is essential to formalise the role and commitment of the local authorities and to provide an official framework for the authorities and the Project to work with community organisations. Registering Community Organisations takes time. In the interim, Partnership Agreements in which the authorities specifically recognise the role and functions of Community Organisations is essential to cover legal ambiguities in terms of contracting and channelling funds to Community Organisations and their role in managing and operating facilities. While these agreements should not be a precondition for starting the implementation of the Project's activities, they should nevertheless be concluded as soon as possible.

- Presentation of details of CBA, including the film 'One Step Ahead'
- Modus operandi of implementing CBA Project in the raiyon
- Time-plan discussion,
- Discussion on key terms of partnership between the Project and raiyon authorities,
- Discussion on VC/CC selection criteria (Box - IV),
- Discussion on methodology for VC/CC willing to join the Project,
- Discussion on key terms of partnership between the Project and VC/CC (Box - V),

Brochure about the Project, leaflets on UN/UNDP, EU and visibility related other materials must be distributed during orientation. Media advisory and press-release must be provided to journalists.

The RSA deputes a focal person to support the OIU and assist in implementation of social mobilisation in the community. OIU-team prepares profile of each oblast and each selected raiyons with the help of the OSA & RSA-focal persons.

#### Box - IV: Selection Criteria for Village/City Councils

- Level of problems with basic infrastructure and services with regard to 5 CBA priorities;
- Level of poverty or hardship of livelihood;
- Willingness of village council to cooperate and support in participatory planning and resource mobilisation for community projects;
- Willingness of city authorities to cooperate, support participatory planning and allocate resource for community projects;
- Belong to the category of rural communities (villages, urban villages) or municipalities (3 villages, 1 urban village and 1 town would be preferable in a rayon)

#### Box – V: Terms of Partnership Between CBA and VC/CC

CBA Project	Village/City Council
To support in mobilising and organising members of target communities	To provide focal person for day to day activity of the Project
To provide technical support for building capacity of local communities	To assist in development and registration of community organizations
To provide technical support for building institutional capacity of village/city councils	To provide organizational, technical, financial and material support for community projects
To provide seed grant for community projects as a part of joint funding	To participate in 'Local Development Forum' meetings
To support in elaboration of Council's development plan through participatory and decentralized planning process	To assist in local/national policy formation based on experience of the Project

#### Activity 2.3: Establish Partnership with Village/City Councils

OIU-team will carry out selection of five target village/city councils in partnership with rayon state administration on the basis of the criteria specified in Box-IV. The team will collect information on the status of village/city councils in the rayon in term of key criteria by use of the questionnaire given in Annex - VI. It will analyse the information, score each criteria and rank each village council/city council. The result will be discussed with RSA and RC and target village/city councils will be identified. In case of difficulty, alternative method (Box - VI) may be utilised to select target VC/CC. Situation of duplication in effort should be avoided.

In case a village or town council is interested for the Programme, it writes a willingness letter to CBA. A Terms of Partnership (ToP) is signed between UNDP and relevant VC/CC for establishing partnership, which allows CBA to launch the programme in the VC/CC. A sample of ToP is given in Annex – VII. The VC/CC deputes a focal person to support the OIU and assist in implementation of social mobilisation in the community.

#### Box - VI: Alternative Mechanism for VC/CC Selection

As in the case of selecting rayons, the rayon state administrations may be asked to pre-select a number of VCs/CCs on the basis of the above criteria, from which initially 5 VCs/CC will be selected by CBA Project in consultation with the authorities. If a VC/CC does not show results quickly enough, it should be replaced by another from the list. As the Project aims at setting demonstrative examples, it is of utmost important that the target VCs/CCs are dynamic and committed from the start.

#### Activity 2.4: Identify Target Community

With support of the focal person, OIU-team gathers information about each community in the selected VC/CC. It will also gather additional information pertaining to CBA Project from secondary sources and key informants. Using these information, it will prepare a profile of the council (Annex - VIII).

OIU-team presents the findings to the council members during a general meeting of the council. The council members discuss on the report and select the community to be supported jointly by the council and the Project. The members should also select at least one alternative community to replace the main target, if the latter turns out to be inactive. Avoid duplication i.e. a community which is being served by another agency for the same purpose.

#### Box – VII: Definition of a Community

A set of people living in the same territory and facing the same development challenges. For example, people living in a multi-apartment building; people living along a street in a settlement or a city; people living in a micro-rayon of a city, people living in a village/settlement etc.)

## CHAPTER THREE

### DEVELOPING COMMUNITY ORGANISATIONS

Main Activity	Sub-Activities	
Mobilising and Empowering Target Communities	1	Introduce CBA and collect basic information
	2	Prepare community's profile
	3	Hold dialogue at community level for partnership
	4	Form community organisation (CO)
	5	Provide orientation for managing the CO
	6	Make initial follow-up visit
	7	Organise formal training for CO-MT
	8	Assist CO in preparing draft statute
	9	Assist CO in getting registered
	10	Maturity and signing of ToP

#### ***3.1: Introducing the CBA project in the community and collection a basic information***

OIU-team visits each selected community for rapport building. It provides preliminary information to the people regarding the CBA Project and distributes project brochures. Also, it collects basic demographic information (Annex - IX) and learns the governance status, service delivery system, resource endowment and prosperity status in the community. It also collects necessary statistics from the local authorities (village council or town council).

#### ***3.2: Preparing community's profile***

OIU-team prepares profile of each selected community on the basis of a model given in Annex - X. A set of the information is sent to the relevant local authorities (VC/CC and raiyon level) and the CBA-PMU for their record while one set is maintained at Community Resources Centres (OIU) for future use.

#### ***3.3: Holding first dialogue at community level to establish terms of partnership***

OIU-team sets time with each community for holding first formal dialogue. Purpose of this dialogue is to (i) sensitise the whole community about the need of collective action for improving their living condition and (ii) to familiarise them with the process to be followed in case they would like to go for it.

This meeting will be conducted in partnership with relevant raiyon and local authorities. In this meeting, men/women from at least 80% of the households must be present<sup>3</sup>. Using the information from the community profile, the OIU-team focuses its dialogue on –

#### **Box – VIII: A Dialogue**

Dialogue is a two-way transparent communication whereby OIU delivers its messages to the participants with logic, facts, figures, pictures and examples (from elsewhere in the country or abroad) while the audience tries to understand relevance of the message into their lives, process to be followed and seek clarification if required.

In CBA Project, dialogues are conducted on four occasions (even though the OIU-team visits the community several times). Purpose of dialogue is different in each of these occasions. First dialogue aims to promote CO, 2<sup>nd</sup> dialogue promotes participatory planning, 3<sup>rd</sup> dialogue promotes accountability and transparency and the 4<sup>th</sup> dialogue promotes sustainability.

Details on each of these dialogues are given at appropriate sections in this manual.

<sup>3</sup> From the perspective of full participation, it is desirable to get 100% of the target households on board but due to practical reasons it may not be always possible. For full participation, therefore, 80% is considered to be a bottom line. This level is set for any event/process to take place in course of CBA implementation.

“During the ‘first dialogue’ the community mobiliser motivates the community members to forge partnership among themselves and get organised to form a community organisation”.

- (a) Living quality involving peace, prosperity and happiness;
- (b) Difficulties facing the community while trying to seek such a living quality;
- (c) Need of good governance for tackling the difficulties;
- (d) Importance of organisation, capital and skill for improving governance and creating opportunities to resolve problems facing the community;
- (e) Process for forming organisation, identifying genuine activists, generating capital and enhancing skill in the community;
- (f) Need for partnership between CBA and the community and various terms (of partnership) that ought to be observed by the partners.

OIU should try to avoid domination of the dialogue by a few people and ensure involvement of those people who are shy. If needed, the OIU will have to conduct this dialogue more than one time until the community members are fully clear about the subject dealt on this occasion. Showing the video film ‘One Step Ahead’ to the community members will also be helpful in motivating them effectively. OIU-team may expect following aggressive questions/curiosities from the community members during initial meetings:

- People are very selfish and passive. They will never come together;
- Should the money given by the Project be returned back with or without interest?
- Why the UNDP or EU will give us free money? What is its interest in helping us? No body gives money for nothing.
- Who do you represent actually? What is your hidden agenda?
- We are already paying for services. Why we should give money once again?
- Why we should do things? The council or government should do it. It is their duty. We pay them. We have elected them. They are obliged to serve us.
- We are poor; we cannot save money to pay fees.
- Who will guarantee for our money, if we collect and it gets lost?
- Your idea seems to be illegal. We are not going to do anything illegal.
- ...

The OIU-team must be very polite and respond to their queries patiently and logically. This is the time for rapport and trust building. Presence of officials from local councils and focal persons from rayon/oblast authorities is often helpful in convincing the members. Refer Annex – XI for some do’s and don’ts.

### **3.4: Formation of community organisation**

Upon the first dialogue, the community members take some times (from a couple of days to a few months<sup>4</sup>) to come into consensus among them-selves on the matter described during first dialogue. In case the conclusion is that the inhabitants should try themselves to solve their problem before expecting help from outside, then there appears a room for partnership among the inhabitants.

This partnership will be for solving local problems on self-help basis. For forging partnership, the inhabitants must be willing to –

- Believe in the concept of collective action, self-help and mutual cooperation of every apartment/house owner in reaching the result;

#### **Box - IX: A Community Organisation (CO)**

In general, Ukrainian law allows inhabitants of a given territory to assemble and discuss on development agenda pertaining to their community (territory). They may decide and declare formation of their organization through a protocol. CBA Project recognizes this organization as a CO. The inhabitants may register this CO under a particular legal framework (such as BSP, cooperative, ACMB, NGO etc.) and may acquire a specific legal name/recognition as defined by the law of the country but for CBA it remains as a CO.

<sup>4</sup> It might be necessary to hold dialogue more than once in case the community is too passive or too much divided. In any case, if the community is not willing to get organised in 3 months, then the OIU-team should switch its effort to alternative community.



- Meet regularly to discuss on local development issues and seek possible solutions
- Join other inhabitants in planning for development of the community;
- Join other inhabitants in undertaking activities for improving the state of the multi-storied building/houses *along the street* and its surrounding area;
- Join other inhabitants in monitoring of the development activities related with the improving the living condition;
- Avoid personal agenda or any social/religious/political agenda that will cause a conflict among them;
- Select genuine leadership from among the inhabitants to facilitate solution of the problems identified and prioritised by them;
- Contribute cash/kind on regular basis to sustain the cooperation and resolve the problems.

Upon reaching consensus, they decide to form organisation by:

- Sending at least one representative from each household, which is willing to join the organisation as a member;
- Developing minimum norms of governance including vision/objective of the CO;
- Establishing system of commitment/membership fee, community development fund (CDF) etc.
- Selecting 3-9 genuine activists, from among themselves, reflected in terms of chairperson, secretary, treasurer, and active members<sup>5</sup>. These genuine activists form CO-management team (CO-MT).

#### Box – X: Genuine Leadership

A person satisfying following criteria could be considered as a genuine leadership/activist:

- Having high regards and affinity for social service;
- Not active politically and unbiased from the perspective of religious, cultural and ethnic differences;
- Capable of giving development leadership to the people living in the community;
- Able to spare time for serving his/her community (i.e. social service);
- Acceptable by the 80% or more apartments/houses in the multi-apartment building or the street

It is experienced that there is no dearth of genuine leadership in the society; a community mobiliser has to find them through appropriate technique.

OIU-team tests whether or not the following criteria (set during first dialogue) are met –

- **Full participation:** Participation of at least 80% of the households in the organisation without excluding the aspiring low income households in the community
- **Gender balance:** At least 40% of the members are female and at least 50% of the CO-MT are female
- **Consensus-based decision:** Decision on formation of community organisation and selection of the CO-MT was based on consensus
- **Accountability:** The CO-members are willing to be accountable for all the decisions made by them and hold the leadership accountable for a wrong action
- **Commitment:** The CO-MT have aptitude to bear the responsibilities charged to them; are willing to be accountable to the CO-members and are committed to stay in the community for some years to serve the community.

If the above are found satisfactory, OIU-team asks the CO-members to find a suitable name for their CO and recognises the CO as duly formed by making a public announcement.

<sup>5</sup> Often active members are selected to be responsible for a part of the community such as a street; a floor or a door in the multi-storied building.

### **Box - XI: Optimising Size of the CO**

A puzzle often arises regarding the size of a CO – in terms of its effectiveness and viability. It is argued that membership in a CO should not be too big to lose opportunity of inter-member interaction (for effective participation and consensus building) and it should not be too small to lose economic viability. An average size of 50 members (40-60 by range) could be considered as optimum and a size of 80 members should be considered as maximum.

However, in real situation such a size does not exist and compromise is often made. Nevertheless, extreme case should be avoided in any case. One way to avoid such a case is to break a big community into smaller COs; while more than one smaller COs could be merged to make a CO of optimal size. For example, a micro-raiyon of a city or a big village of 200 households could be divided in line with streets or other visible boundary. Smaller COs could be formed along each of these streets. Similarly, there might be cases of 2-3 villages (of 15-20 households) situated nearby. Separate CO for each of them could be formed.

Depending upon the situation, these smaller COs remain as informal. They function as real one at their own level while federate to make a formal CO to undertake formal activities.

### **Box - XII: What if a CO Already Exists?**

In case there exists a CO in the selected community and the people insists to use the same CO rather than creating yet another one, it is advisable to respect the advice of the people but with an understanding that the existing CO will be acceptable if it meets the above requirements. OIU-team must assess the existing CO from the perspective of grafting this CO (*see Technical Note -II*) and identify gap (if any) and assist the community members to take action to bridge the gap(s) so that the adopted (grafted) version of the CO looks more or less like the one promoted by the CBA Project.

### **3.5: Orientation to the CO-members and CO-MT for managing the CO**

Upon announcement of the formation of CO, the OIU-team works with the CO-members and the CO-MT to:

- Familiarise about rights and duties of the members, chairperson, treasurer and secretary (ensuring that the sovereignty lies in the members; CO-MT are accountable to general members and so on)
- Explain need for regular CO-meeting, which must take place fortnightly. Make it clear that every meeting is a general assembly type meeting, CO-MT is not supposed to make separate meetings for taking major decisions.
- Explain about need for a non-refundable commitment (or membership) fee (equal to the capacity of the low income household in the community) to be paid on monthly basis and that this fee is meant to meet expenditures related with the management of the CO such as travel, calls, stationery, CO-registration/renewal fee, etc.
- Explain the CO-MT how to take minutes of the CO-meetings and keep simple accounting<sup>6</sup> (Annex - XII, Annex – XIII)

### **3.6: Initial follow-up visit**

The OIU-team should visit the CO regularly during first few months in the beginning and clarify the matters, if any, raised by the CO-members/CO-MT.

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<sup>6</sup> Upon registration, the CO will have to maintain accounting system as per the legal provision described in the particular form of registration.

### ***3.7: Organise formal training for CO-MT***

A leadership and management training is organised for the CO-MT to build their capacity in managing the CO and promoting governance. Key subject matter of the training is given in Annex - XIV. The training will be organized for the community (-ies) of each selected village/town in a phase-wise manner. Provision of all relevant information to the CO-MT at the outset often makes them confused or scared. Thus, need-based training is preferred in a phase-wise manner (Annex - XV). Training will be provided by Community Mobilization Assistants of respective oblast with the support of Community Development Specialists of PMU. Each of trainings will consist of three half-day sessions. If extended training is required, additional training sessions will be held.

### ***3.8: Preparing draft statute of the CO***

Upon formal training, the CO-MT enters into a series of consultations with the CO-members and local authorities and prepares draft statute of their CO. If necessary, the OIU facilitates the process ensuring incorporation of all the crucial elements of governance (Annex - XVI) in the statute. Nature of statute depends upon the legal shape in which the CO wants to get registered depending upon the purpose of its existence (Annex - XVII). Vision of the CBA Project is to enable the COs to handover the property created under its support to the respective state bodies while take part actively in O & M of the property so that sustainability of service delivery could be ensured.

### ***3.9 : Formalisation of CO***

The CO approves the draft statute by consensus and also formalises the CO-MT as per the statute. It sends a copy of the statute to OIU or Community Resource Centre (CRC) for its record. It also informs local authorities in line with the requirements of the relevant law.

The CO registers itself with the local authority (village or town council) as a ‘body of self-organised population) or with an appropriate registration agency (as an NGO or association of co-owners of multi-storied building or cooperative) as deemed suitable. In case it register in a form other than BSP, it is advisable that it enrolls itself with VC/CC as well so as to have a formal record at the council about its existence. It helps in building linkage for securing resources from VC/CC for various initiatives. A sample of request letter for the enrolment is given in Annex – XVIII.

Registration facilitates formal recognition of the CO at the community level and helps it in building linkage for securing resources from local authority and other agencies (including CBA project) for various initiatives. Details on registration process and related templates are given in the CO-Guidelines. Relevant information can be found at <http://zakon1.rada.gov.ua/cgi-bin/laws/main.cgi?nreg=2625-14>.

### ***3.10: Gaining maturity and signing of ToP between CO and CBA***

For about 1-2 months, the CO should undertake small social/economic/environmental activities of household and community nature within its own capacity and from the resources available locally. These activities will lead the CO towards maturity, which will be evidenced by following indicators:

- CO-meeting is held regularly and in participation of minimum of 80% members
- System of making consensus based decision is established
- Accounts are kept transparently and in auditable form
- Concept of accountability is known to all
- Equity and inclusion criteria is built in the activities initiated/carried out by the CO
- It collects financial resources necessary for its development and its members pay commitment dues on regular basis;
- It is enrolled with the VC/CC (if it is not a BSP)
- It has carried out at least one development activity with visible result;



- It has maintained management information system (as mentioned in section 8.5);
- All decisions on key matters are taken by the general members whereas decisions on day to day management are taken by the executive body;
- A financial ceiling has been set to cover most of the decisions on expenditures related with day to day management indicating that beyond this ceiling the decision will be made through general members;
- All meetings, sessions and decisions made are drawn up by corresponding protocols;
- The CO-members are willing to be accountable for all the decisions made by them and are willing to hold CO-MT accountable for any wrong doing;
- The management of the CO acts on the behalf of its members and reports to them about the activities it performs;
- CO follows the principles of gender equality;
- The executive body constantly communicates with the bodies of local authority and other development agencies;
- Must have tried participatory assessment of the CO, at least once

If the above indicators are found satisfactory, CBA signs a Terms of Partnership (ToP) with the CO indicating its commitment to support the CO for building its capacity for carrying out developmental activities in partnership with local authorities and other development agencies. A sample of such a ToP is given in Annex – XIX.

### **3.11: Vertical networking of COs**

In case there are many COs in the same council, then it is advisable to encourage them to form a council level network. This CO-network will provide opportunity for inter-CO experience sharing, coordination with local authorities and other development agencies, mobilizing resources in favor of the COs and resolving inter/intra-CO conflicts. The network will have regular meeting and it can invite VC/CC in the meeting as much as possible. If possible, the CO-network should enrol at their respective VC/CC.

As the time passes, VC/CC level CO-networks may develop into rayon level and then, over time, into oblast level CO-network. At these levels, CO-networks contribute more towards joint decision-making, advocacy and local policy, coordination with state bodies and service providing agencies.

Meeting at rayon level could take place every 2-3 months. One of its meetings could coincide with LDF meeting. Similarly, meeting at oblast level could be once in 4-6 months and wherever possible, it could coincide with OCC meeting.

Positive relationship between COs and local/regional authorities creates synergy as both sides complement each other in the arena of local sustainable development (Box - XIII).

#### **Box - XIII: Relationship Between CO-Network and Local Authorities**

COs and their networks are often seen as the competing bodies – competing with local authorities (VC/CC) and regional authorities (RSA/OSA) in context of decision-making, implementing development projects and delivering public services. In fact, COs complement local/regional authorities in context of local development as mentioned below:

COs/CO-Networks	Local/Regional Authorities
<ul style="list-style-type: none"> <li>• Mobilise local resources (human, financial etc.);</li> <li>• Identify local development needs and pass on to the local authorities for their consideration;</li> <li>• Undertake and maintain development activities which they can do within their limited capacity;</li> <li>• Monitor quality of public services they receive and report to local authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible for local development planning;</li> <li>• Revenue generation;</li> <li>• Budget allocation</li> <li>• Monitoring development activities and public service delivery;</li> <li>• Carry out judiciary role</li> </ul>

## CHAPTER FOUR

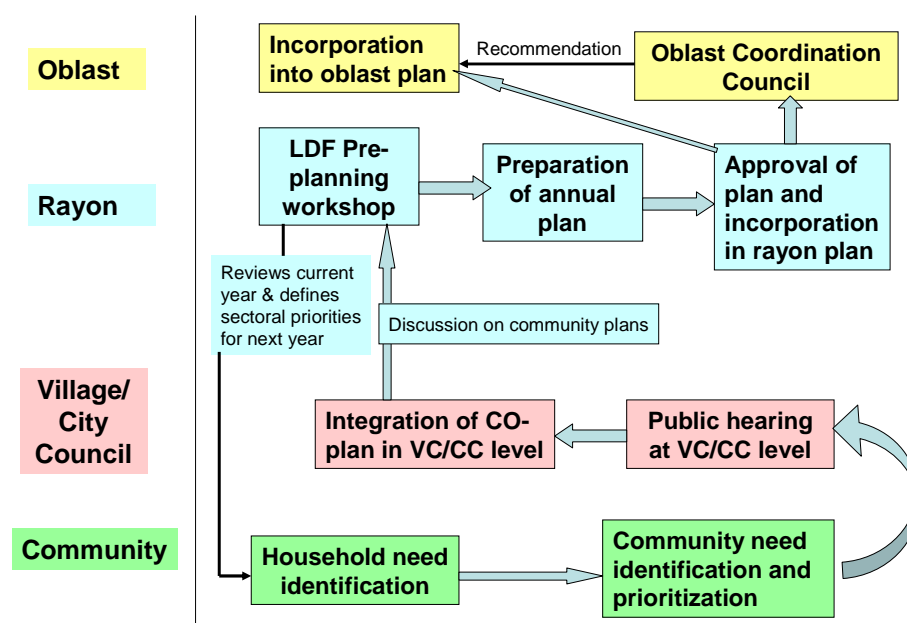
### PARTICIPATORY PLANNING AND COORDINATION

Main Activity	Sub-Activities	
1. Establishing Local Development Forum	1	Form LDF
	2	Hold regular meeting of LDF
2. Preparation of Community Development Plans	1	Organise orientation on community-based planning
	2	Carry out participatory planning in target community
	3	Prioritise needs
	4	Aggregate prioritised plans
3. Coordinating Plans	1	Hold planning workshop at council level
	2	Mainstream the plans at rayon level

In context of sustainable local development, planning policy everywhere strongly recommends for participatory planning. It means those plans which are prepared through people's participation are appreciated at all level and by all support agencies – may it be the village/city council or rayon/oblast authorities (a government agency) or an aid agency. The plans which are initiated directly by people carry more value than the ones initiated by some one else on people's behalf. This is based on the assumption that the local inhabitants know their problems the best. That's why the people should directly participate in identification and prioritization of needs.

Logically, the people's plan move upward from local level (Chart – I) to regional level and national level. Each year, the village/city councils facilitate bottom up planning process to this end. In this process, needs (plans) of the local communities are collected, debated and finalized at CO-level, then village/city council level, then rayon (LDF) level.

Often the village/city councils announce, in advance, the schedule (dates) for events (steps) involved in the planning process. A CO ought to update itself about this timing and participate in the process accordingly. A planning process often followed is given below:



**Chart – I: Bottom-up Planning Process**

Following steps are recommended for the participatory planning process:

#### **4.1.1 Form Local Development Forum (LDF)**

OIU-team will carry out process for establishment of Local Development Forum (LDF) in each partner rayon, as per the provision in the partnership agreement signed between the RSA/RC and UNDP/CBA project. This process is initiated once COs are formed in 2-3 councils. LDF is expected to facilitate dialogue, coordination, planning and decision-making at local level between the oblast and rayon authorities and communities for promoting integration and development. Specific objectives of setting up LDF are:

- 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
- To promote decentralized planning and democratic governance at regional level, and
- To promote dialogue between the regional authorities and local communities for promoting community based approach to local development

Structure of the LDF is as follows:

- |  |               |
|--|---------------|
| ▪ Head of the Rayon State Administration             | - Chairperson |
| ▪ Chairman of the Rayon Council                      | - Member      |
| ▪ Heads of the village/city councils covered by CBA  | - Member      |
| ▪ Chief of line units (including 5 CBA areas) in RSA | - Member      |
| ▪ Representatives of oblast authorities              | - Member      |
| ▪ Chairpersons of COs formed by CBA                  | - Member      |

Ad-hoc members (to be invited if and when required)

- Representative of Commercial Banks
- Representative of local NGOs
- Representative of public utility companies
- Other organizations

The rayon state administration will act as secretariat with support of OIU. CBA, through the CRC, will provide technical assistance to the LDFs to functions as its secretariat. Rayon State Administration provides office space for CRC and for meeting of the Forum.

#### **4.1.2 Hold regular meeting of LDF**

Normally, the meeting of LDF will be held once in every two months or more frequently as required. Tasks of the LDF are to –

- Review community and village/city council development plans and synchronize these plans with regional and sector plans and strategies
- Determine financial and technical resources available at community, village council and oblast level to support community development initiatives;
- Prepare plans for mobilizing technical and financial resources in support of community development initiatives from relevant national and international organizations;
- 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.);
- 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;
- 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;
- Share information on new laws and policies relevant to communities, social and economic development, etc;

After completion of community development plans by COs, the Forum will meet to enable the COs to present their plans and the others to provide comments, suggestions etc. Also, contributions from local authorities should be agreed upon. After approving the community plans in a number of target rayions, a similar meeting will be organised at the oblast level in the framework of oblast coordination council to determine potential contributions from the oblast budget. However, no approval of the community plans is required at oblast level.

#### **4.2.1: Organise orientation for CO-MT and local officials from village and town authorities**

OIU organises an orientation on the following issues:

- Participatory planning and bottom up planning process
- The way by which COs' plans can be mainstreamed into rayion/regional/national planning process.

One of the CO-networking (LDF) meetings can be devoted for this purpose, which means that representatives of all COs of each target rayon and respective authorities would meet to talk on this subject.

#### **4.2.2: Carry out participatory planning in each target community**

First, the OIU holds (second) dialogue in each CO to facilitate participatory planning for the aspiring households (especially the low income ones) such that they identify social/economic/environmental opportunities for themselves. Each household is asked to respond on two questions: immediate needs to improve living condition of the household and the way to meet these needs.

#### **Box - XIV: Second Dialogue**

Second Dialogue with community is meant for unleashing their potential by expanding vision of the community members to address their needs in the limit of their potentials. This dialogue could be performed in a few phases.

First, the OIU-team appreciates the achievements of the CO made so far and reminds the members about the value of being together and thank them for observing mutual respect and cooperation. They can still clarify matters if the members look for it.

Thereafter, the OIU-team introduces the members with concept of planning – identify needs (and not wants); portfolio of opportunities to fulfil needs; requirement of resource/support/services required to undertake the portfolio; potential risks and risk mitigation technique; planning at household level and that of community level.

Next, OIU-team engage the members to identify available resource limit – their own, available with CO and announces the support that could come from local government/state bodies and from the CBA Project. The team reminds them with norms of effective planning such as necessity to respect the need of weaker section; make sacrifices for others; mutual respect etc. to maximise the benefit. Issue of weaker section is important because there is very likely for 'vulnerable' population to get excluded (*see* Technical Note – III). The OIU-team must motivate the CO-members to observe human rights based approach to ensure inclusion of the vulnerable groups.

It may run a question answer session followed by a planning session – first at household level and then at community level.

**Table – I: Household Level Plan**

Name of the respondent:

House/Apartment No.:

SN	Name of the Problem	Ways to solve	Tentative Cost	Amt. willing to contribute
1				
2				
3				

#### Box - XV: 'Need' and 'Want'

To avoid impractical demands, it is necessary to familiarise the CO-members with 'need' and 'want' from the perspective of CBA. 'Need' is met by the community and 'want' is to be met by outsider. For example -

In a small town, problem of unemployment was serious. The city council asked dwellers in a micro-rayon to discuss on the agenda. Various options were identified to create employment in the city. Two of them were: (a) initiating self-employment by facilitating petty shop creation, (b) attracting a huge investment from outside. Here, first option could be considered as 'need' whereas the second one could be considered as 'want'

In another case, almost all the inhabitants of a village (located near a city) agreed that 'vegetable farming' was the most important enterprise to boost family income. For it they identified 'irrigation' as the most crucial factor, for which they proposed (a) micro-irrigation system using available water supply system, (b) a huge irrigation system that required construction of dam and irrigation channel. Here the first one is need and the 2<sup>nd</sup> one is want.

In a village where the many people were psychologically depressed, the villagers identified 'small gymnasium' and a big theatre as solutions to keep them active. Here, the first one is their 'need' while the 2<sup>nd</sup> one could be marked as their 'want'

The household level planning is followed by participatory planning, which is facilitated by OIU and local authorities at CO level to enable the CO-members to identify community level needs. OIU-team assists CO-MT to utilise information received (as mentioned in Table - I) from the inhabitants to make a simple analysis as given in Table – II below. This simple analysis allows to list down the problems in order of necessity perceived by the dwellers. This analysis also allows to define the ways these problems could be solved. Moreover, the CO-MT should define tentative cost of solving each problem.

**Table – II: Community Level Need Identification**

Total number of apartments in the building /houses in the street (or village):

No	Determined problems	Apartment or house Nos. which answered the question	Total No. of apartments/households that identified this problem	% of participation by apartments/households	Tentative Cost	Amt shared by the community	Proposed ways of problems solution
1							1
							2
							3
2							1
							2
							3
....							1
							2
							3

The approach of need identification above might be more suitable for communities of urban nature. OIU team may explore other methodologies to achieve the purpose. An alternative is given hereunder:

Under facilitation of OIU team, community organization analyzes, during one of the CO-meetings, the problems facing the CO-members through cause and effect technique. It will help the CO-members to determine the problems that need to be addressed. All determined problems are then weighted by the CO-members so as to identify priority needs as in Table II.

Community plan emerges based on the need expressed by most of the members in their individual plans. Community plans mostly are reflected in terms of physical infrastructures of social (health posts, drinking water etc.), economic (e.g. micro-irrigation) and environmental (e.g. drainage/sewerage, window insulation, heating system, green park etc.) nature.

#### **4.2.3: Prioritisation of needs**

The list of needs identified at household level and community level are debated at the CO level in light of their intensity, technical/social/ economic/environmental feasibility (in a crude sense), sustainability, equity and ownership and are prioritised according to the level of their importance. The plan that appears at the top is chosen for implementation. The remaining plans are retained for future (*details given in Annex - XX*). At times, the top priority may not fall within the five priority area of the CBA. In such a case, the CO-members should try 2<sup>nd</sup> or 3<sup>rd</sup> priority (that belongs to one of the 5 priority areas) for implementation under support of CBA while its top priority may still wait. Alternatively, the CO may try to seek support from other funding agency to undertake those priorities which cannot be supported under CBA Project.

It should be noted that for a small and homogenous (like minded) locality such a lengthy process (as mentioned above) may not be needed and total process may be accomplished in one meeting. Whereas for heterogeneous and large number of dwellers several meetings may be required to reach consensus.

#### **4.2.4: Aggregation of prioritised plans**

CO-level plans are further aggregated at the level of local council (Annex - XXI). Aggregation gives a picture of the nature of activities, type and level of service delivery and the level of investment required to strengthen governance, promote social cohesion and improve lives of the people in the target community.

#### **4.3.1: Integration of plans at council level**

OIU facilitates a public hearing (planning workshop) at council level with participation of:

- Local authorities,
- COs,
- Local level development agencies,
- NGOs,
- CBA representatives,
- Representatives of private sector.

The plans, which are prioritised at household level, are aggregated at CO level. CO-level plans are further aggregated at VC/municipality level. Aggregation gives a picture of the nature of activities, type and level of service delivery and the level of investment required to strengthen governance, promote social cohesion and improve lives of the people in the VC/CC.

One of CO-networking meeting could be devoted for this purpose, if there are many COs in the council. Purpose is to reconcile and prioritise COs' plans with that of council's plan. In case there is only one CO and the VC/CC authorities are well aware about its plan then this step may be skipped and section 4.3.2 should be followed directly.

#### **4.3.2: Mainstreaming plan at raiyon level**

After finalisation and approval of the community development plans at council level, they are reviewed and agreed upon during the local development forum's meetings. One of the regular meetings of the LDF could be considered for this purpose. In this workshop aggregated social/economic/environmental plans of all the COs are presented. VC/municipality and other agencies may also present their own individual plans.

This workshop serves as a forum to match the demand and supply of resources to carry out prioritised plans. Local authorities, COs indicate their commitment to provide resources. All the available resources often fall short of demand. As a result, local authorities take a justifiable lead to present the people's plans for discussion into LDF and get them incorporated into raiyon / regional plan so that adequate support could be expected in the forthcoming year.

#### ***4.3.2: Mainstreaming plan at oblast level***

Raiyon level plan is incorporated into oblast level plan for seeking state funding for the forthcoming year. Oblast state administration prepares necessary annual plan which is approved by the oblast council.

Looking at the nature of community needs, sectoral approach often does not work effectively, especially in the first year of implementation. Therefore, it is advisable to advocate for 'development budget' which can be approved by respective councils at city level, raiyon level and oblast level subject to their income source and competence. Development budget allocated in favour of activities related with CBA Project will suit the best to respond to the actual need of the COs.

## CHAPTER FIVE

### IMPLEMENTING COMMUNITY PLANS

Main Activity	Sub-Activities	
1. Detailed Sub-Project Design	1	Form Functional Group (FG)
	2	Develop technical design and cost estimates
	3	Develop detail proposals
	4	Mobilise resources
2. Sub-project approval	1	Appraise the proposal
	2	Approve the proposal
	3	Sign memorandum of agreement
3. Sub-project Implementation	1	Resource disbursement
	2	Work division
	3	Book keeping
	4	Procurement and implementation
	5	Monitoring

It is imperative that the CO would like to explore opportunity for getting at least one of its priorities implemented. For this purpose, it remains in constant touch with the OIU-team. The CBA will finance the community projects, which correspond to major CBA priorities, namely - Health (local health posts network), Energy (energy conservation measures at local level, etc), Environment, Water management, school transport systems. The community project beyond the CBA thematic priorities (such as education, culture, tourism, etc) will be proposed for financing by other donors through Donor-Government Sub-Group A4 “Regional Cooperation.

OIU, upon finding that the CO is matured enough to become a trustworthy partner and availability of resource is there from the local/regional authorities and from the CBA Project (Box - XVI); it informs CO about it. Under guidance of OIU, the CO undertakes following activities:

#### Box - XVI: Minimum Criteria for Initiating Support to CO

The CO looking for EU/UNDP-CBA support must –

- Be mature as described in section 3.10;
- Demonstrate that at least 80% of the members will get benefit with sufficient focus on gender and without excluding the vulnerable sections such as low income families, disabled etc.
- Be willing to make at least 5% cash contribution + non-cash contribution for the sub-project and must demonstrate that it has capacity to do so;
- Have a competent FG capable to implement the sub-project with the help of CO-executives and CO-members;
- Be able to maintain the project output (in case it is a physical infrastructure) with the cash/non-cash contribution of the beneficiary members
- Prove that the project will not cause negative social, economic and environmental impact in the locality.

### 5.1: Detailed Sub-project Design

Approval of the CO’s plan at the LDF meeting is the starting point for CBA to support the detailed design of priority sub-projects. As explained in section ... this support starts with the top priority in the community development plan.

The community project’s design should include sustainable mechanisms for management, operation and maintenance of the facility, without which sub-projects will not be approved and eligible for seed grants. The community projects should results in concrete outputs in terms of public services delivery, improvement of quality of life and efficient use of public resources.

#### 5.1.1: Formation of FG

OIU facilitates formation of functional group (FG) in case the CO decides to proceed with implementing its community development (infrastructure) plan. The functional group will be responsible for the community projects preparation, implementation and further maintenance.



FG is as an executive committee comprising of 3-5 persons selected from among the CO-members. It comprises of a team leader, a treasurer and active members. The treasurer of the CO will be ex-officio treasurer of the FG. The FG is accountable to the CO. Also, one of the members of the FG must be a person with skill/aptitude to handle the technical component of the system (so that this person will continue as operator/maintainer upon completion of construction work).

In case there is more than one CO involved in a single project<sup>7</sup>, then FG is created by representation of 2-3 persons from each CO. The members of this FG select a team leader from among themselves. FG plays a key role in coordinating the activities with the help of individual COs. This FG is accountable to the COs.

The CO/COs under facilitation of the OIU sets terms of reference of the FG and other policies and procedures. It is ensured that FG is capable of handling technical, administrative and financial matters effectively. If needed training is organised as and when required. A package of such training is given in Annex – XXII.

#### 5.1.2: Development of technical design and cost estimates

The CO/FG, with the help of technical personnel availed from technical departments of raiyon state administrations, municipality, consultants/private companies and OIU, prepares detail proposal of the community project. Under this –

- Necessary technical survey and designing is done with full involvement of the beneficiaries taking care that criteria like do-ability (CO should be able to implement), sustainability (beneficiaries should be able to maintain), equity (at least 80% of the CO-members get benefit and the low income households are not left out), productivity (the project directly or indirectly contributes to increase in HH income/reduction in HH expenditure at the local level) and environmental soundness, are fully met.
- Cost estimation is done once the design is endorsed by the CO by consensus. Often cost estimation is best done through competitive arrangement by making a pre-implementation tendering (Box - XVIII)
- Resource availability from within the community in terms of cash and kind is identified and support required from outside agencies is ascertained
- Operation, maintenance and sustainability mechanism is devised (details given in section 6.4 )

#### Box - XVII: Terms of Reference for Functional Group

The functional group will be responsible for –

- Smooth operation of the community project;
- Proper and timely maintenance of the system;
- Collecting users' fee/service charge from the beneficiaries as per decision of the CO;
- Maintaining transparent book of account and inventory record;
- Timely reporting to the users/CO about the technical and financial aspects of the community project

#### Box - XVIII: Making Cost Estimation Through Private Company

Should a necessity arise to use a private company to make cost estimation, the CO should form a 'Tender Committee' (FG could serve as a tender committee if the CO decides so) which will call a tender through proper advertisement. The tender committee shall select the best company through transparent competition. The winner company will submit a detail cost estimate of the sub-project along technical specifications and drawings. The CO will negotiate with the winner company for specific component of the sub-project (e.g. quality, quantity, price, risk factors etc). If necessary, OIU will assist the CO in making negotiation.

The final cost estimate should be discussed in the general meeting of the CO. The general meeting will

<sup>7</sup> For effective operations of COs the number of CO members should not exceed 80 people or gather at least one community area (district, micro-rayon, etc). In case of big villages, where more than 80 people expressed their readiness to join CO, more effective model would be to create 2-3 community organization per village to implement common projects aimed to address communities' needs.

approve the cost estimate for further action. Obviously, the winner company will automatically get the job to implement the sub-project upon funding is available from CBA. This arrangement saves time and resource for dealing two separate entities – one to make market-based cost estimate and the other to implement the sub-project. Details on ‘tender’ is given in Annex -XXIII:

### 5.1.3: Preparing project proposal

Functional group of the CO should prepare draft proposal using the proposal format prescribed by CBA Project (Annex - XXIV) and the negotiated cost estimate. The proposal must clearly define the cost sharing arrangement based on existing practice.

#### Box – XIX: Cost Sharing Arrangement

A minimum of 5% of the sub-project cost must be shared in cash (plus non-cash contribution, if any) by the CO. It may not have total amount at hand while applying for funding to CBA but there must be adequate evidence to show that by the time 80% of the work gets accomplished, it will have generated (and used) the resource of its share. This should be seen in terms of bank transfer to contracted company or through valid bills of procurement for the cause of the project. Since, CO is responsible for sustainability of the sub-project upon its completion; it must ‘own’ the project. Experience shows that community ownership comes best through cost sharing. Therefore, any proposal to substitute community’s share by any other source must be avoided.

Distribution of the cost sharing will be as given in following example:

- i. Total project cost = A
- ii. CO’s share =  $A * 5\%$  (or more than 5% if available) /100 = B
- iii. Share from others (public/private) as per their commitment =  $0.5A - B = C$
- iv. Balance =  $A - B - C = D$  (to be supported by CBA i.e. 50%)

It is to be noted that 50% share of the CBA is limited to UAH 50,000 equivalent. In field reality, a community project may not cost exactly UAH 100,000 always. The cost may be either higher or lower than UAH 100,000. In such case, cost sharing arrangement will be as follows:

For sub-project costing less than UAH 100,000: CBA will share 50% of the cost. Other partners will share as mentioned above;

For sub-project costing more than UAH 100,000: CBA will share UAH 50,000 and the remaining cost will be shared by other partners as mentioned above

The developed proposals of community projects are agreed at CO level and with relevant local authorities. The VC/CC will give his/her consent for support by endorsing the proposal (statement given at the end of Annex – XXIV). The CO submits its request to LDF through a letter (Annex – XXV).

#### Box - XX: Can a CO Not Share 5% of the Project Cost?

It is often argued that community cannot share 5% of the sub-project cost because the members are poor or often they do not have cash at hand. This argument does not match the ground reality. Experience in CIDP, CRDP and MGSDP show that CO-members together share much higher than 10% (as much as 13 – 40%) of the project cost. It depends on the intensity of need for the sub-project and time given to collect the required amount. Following case substantiate this argument:

A sub-project costing UAH 100,000 requires UAH 5,000 (i.e. 5%) to be paid by the CO, which has 50 members. Each member must pay UAH 100. The CO decides to create a community development fund by ‘50 kopek a day’ slogan. It takes 7 months for the CO to generate enough money to meet its share without any hassle. This time could be reduced to 3.5 months by making ‘a hrivnia a day’ slogan. As mentioned in Box – XIX (above), share of the CO may not come in one go or right at the start of the sub-project. Therefore responsibility should be given to the CO without much worry. It is found that CO-members make rational and innovative decisions on fulfilling their obligation, if given opportunity.

#### 5.1.4: Mobilising resources

The proposal developed thus is sent to suitable public agency(ies) for funding. Local authorities like village or town authorities, rayon and oblast state administrations are among the most suitable ones as they not only can provide some financial support but they are also capable of facilitating linkage with other agencies for support. Therefore, the CO must route the request to CBA through its respective local authorities. For this purpose, the proposal is discussed and agreed with local authorities and further discussed and approved at LDF and sent to CBA for funding (Chart - II). Upon agreement, each authority issue a letter in support of its commitment to share the sub-project cost (Annex – XXVI). This system can prove effective even after CBA ceases to exist.

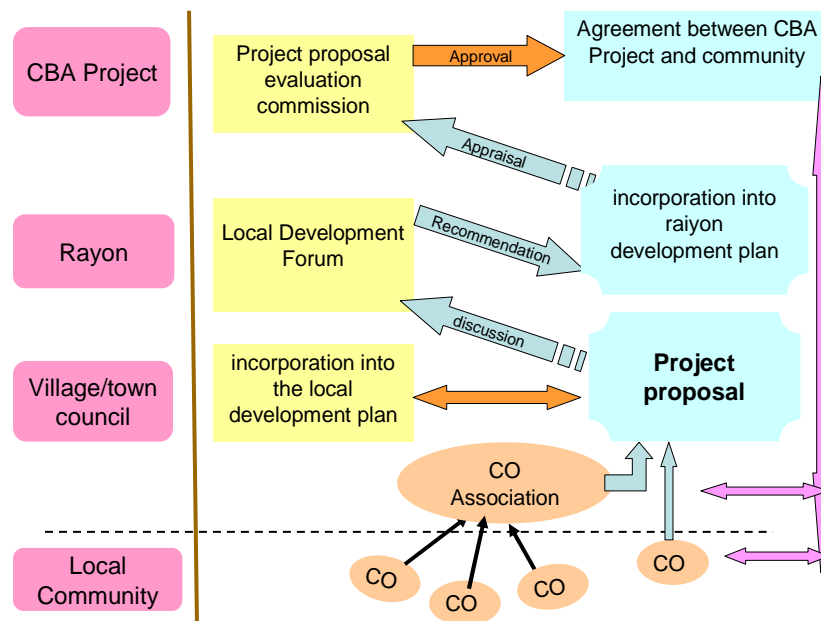


Chart – II: Resource Mobilisation Process

#### 5.2: Sub-project Approval

Approval of the sub-project involves appraisal of the submitted proposal, approval of the proposal and signing of agreement as follows:

##### 5.2.1: Proposal submission

The CO should submit the final version of proposal to the OIU for processing. Original or copy of the following documents must be also attached with the proposal:

- Application letter;
- Statute of the CO (not required if the OIU team has verified that the statute of the CO has adequately incorporated the elements recommended in Annex – XVI of this Manual);
- Registration certificate;
- Protocol on selection of the executive body
- Bank account certificate;
- Protocol on account operators;
- Evidence of bank balance;
- Protocol on authorisation to the chairperson/other to sign proposal and Agreement with UNDP
- Protocol on formation of functional group and responsibility given to it
- Final or draft technical design (drawings)
- Detail cost estimate;
- Technical specification;
- Protocol on consent of CO-members on the proposal and technical design/estimate
- Letter from other donors (VC/CC, RSA/OSA and others) conforming their support

- Evidence that the CO is mature (i.e. copy of ToP signed with CBA Project)
- Tax clearance certificate (if applicable)
- Audit report (if applicable)

### **5.2.2: Proposal Appraisal**

Upon receiving the request, the OIU will review the documents and make verify the information there in. If necessary, it may collect additional information and details. Then, OIU will evaluate (evaluation sheet given in Annex - XXVII) all the proposals and forward to the PMU office of CBA along with its recommendation.

The community development unit of CBA will appraise the proposal from institutional as well as technical perspective. Site visit(s) will be made by the responsible staff(s), if necessary, to verify the information of the proposal. Such visits will involve detail discussion with the general members regarding their awareness of the sub-project; commitment to share in the project cost and its maintenance after completion. An appraisal report will be prepared by the appraising officials (community mobilization specialist and the engineer) for submission to the CBA-manager.

### **5.2.3: Proposal Approval**

The appraisal report and the proposal along with all the relevant documents will be submitted to the 'project approval committee' of the UNDP. The committee will review the documents and approve it for funding, if found satisfactory. The project approval committee consists of the followings:

- Deputy Resident Representative, UNDP – Chairperson (approving officer)
- Sr. Programme Manager of CBA, UNDP – Members (recommending officer)
- Manager, Business Centre of UNDP – Member (recommending officer)
- Project Manager of CBA – Member Secretary (recommending officer)

Meeting of the committee will take place as necessary for the purpose of review and approval of the sub-project proposals.

### **5.2.4: Signing MoA between CO and UNDP**

Following to the approval of sub-project proposal, CBA/PMU will prepare memorandum of agreement (MoA) to be signed between UNDP and the CO. MoA will be signed, in general, by the UNDP management and sent to OIU. OIU will hold dialogue with the CO-members and get the Agreement signed in a general meeting of the CO, in presence of local authorities as possible. A sample MoA is given in Annex - XXVIII) .

#### **Box - XXI: Third Dialogue in a Community**

Signing of MoA is considered as third opportunity for the OIU-team to formally emphasize once again on the value of community (collective) action for resolving local problems.

This dialogue is conducted in presence of general meeting of the CO. The OIU-team reminds once more about importance of 'organisation, capital and skill' as the basic elements for improving living condition of the people and for overall empowerment of the community. It congratulates the members for their achievements made so far and informs them that the CBA Project has decided to extend its support because of their success in becoming a better (empowered) community under the framework of the guidelines provided by the Project.

OIU-team further reminds them about the participatory planning, which resulted into proposal that was accepted by the Project. Then it reads out key activities and costs in the proposal; cost sharing arrangement; expected benefit (outputs) and distribution mechanism along social justice and sustainability. Purpose is to ensure that common members are fully aware of the proposed project and its related matters.

Upon ensuring satisfaction on the part of the members, the OIU-team reads key terms and conditions mentioned in the MoA and explain, as necessary, to ensure the members fully understand the terms. Then,

it explains about the mechanism in which the money will be released in tranches and what kinds of evidences and documents will have to be submitted by the CO to receive subsequent tranches.

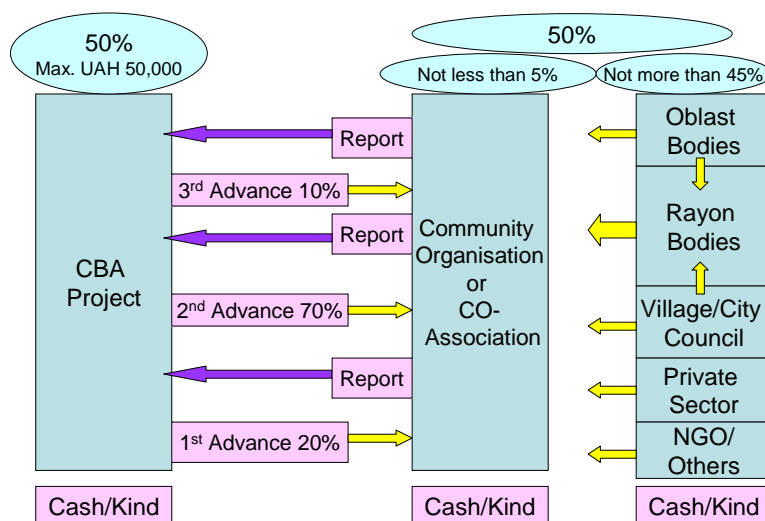
At last, the OIU-team asks the general members to bear the responsibility for proper and timely utilisation of resources and be accountable in case of any misappropriation. In case they agree, then OIU-team invites the authorised official (often the chairperson) to sign the MoA and one or two key members to sign as witness. Often, this is the climax of the session. Members are happy to see their dream going to come true.

### 5.3 Sub-project Implementation

Implementation of sub-projects requires CO to mobilise resources from all sources<sup>8</sup>, make an implementation plan, procure goods and services to complete the implementation work, maintain a sound book keeping and facilitate monitoring of the work. All these sub-activities are supposed to be as participatory as possible. Details are given hereunder:

#### 5.3.1: Resource disbursement

Upon signing of the MoA, delivery of resources starts from the CBA side. Resource is transferred directly in the account of the CO in three tranches as mentioned in the MoA. Every tranche is associated with a set of specific tasks to be carried out by the CO. The first tranche begins immediately (as an advance) after the CO accomplishes all the pre-requisite activities from its own resources. The second and subsequent tranches come upon satisfactory utilization of the previous tranche is conformed. Completion of the work from the earlier instalment is verified in a public meeting and by a quality supervision committee (QSC), in terms of quality and quantity of the work done along with due financial progress made. To receive second and subsequent instalments, the CO must submit appropriate documents to the Project (through OIU) as mentioned in Annex – XXIX.



**Chart - III: Community Project Funding Procedure**

#### Box – XXII: Quality Supervision Committee (QSC)

To supervise the implementation of the community project so as to ensure quality result and efficient utilisation of resources, a 'quality supervision committee' is envisaged. This committee will consist of the technical officer from the relevant department (of RSA or city council), focal person from the RSA, community mobiliser of CBA. QSC will look into technical aspect, financial aspect and institutional/governance aspect of the work. Their findings will be recorded in a combined report or a protocol, which will serve as instruction (if any) to the CO as well as recommendation to the CBA for release of tranches.

<sup>8</sup> Different sources may have their own conditions for funding. CBA Project funding condition is that it demands cost sharing from all partners involved in the community project (Chart - III )

There are two modalities for the support to CO projects from the resources of CBA Project, VC/CC, RSA/OSA:

- **Parallel funding:** The support is extended independently by the partners. UNDP releases its share to CO under its financial framework while VC/CC/RSA/OSA release their share to CO under the framework of their own financial procedures. At times, the local/regional authorities commit their share to finance defined activities within the framework of CO project but provide support in terms of goods and services only and not in terms of cash (as an example, local authorities could repair roof of health post, whereas CO could undertake renovation work of heating system of that post, etc.).
- **Cost sharing:** Local administrations sign a cost-sharing agreement with UNDP for the CO project implementation and transfer its share of resources to the UNDP account. UNDP then adds its share and transfers the amount to the CO. In this arrangement, UNDP financial rules will apply irrespective of the sources from which the resources were received by UNDP.

The decision on the modality will be made in each individual case.

The instalments are transferred to the CO through bank. However, the resource delivery message is disseminated to the CO-members by the OIU-team transparently during a CO-meeting, which is organised especially for purpose ensuring transparency and accountability.

#### **5.3.2: Work division**

The FG reviews the project proposal and prepares necessary work plan and budget for utilisation of resources (cash, kind, labour) available locally; discusses in the CO-meeting and distributes work among the members in line with the work plan. OIU-team assists the FG in preparing sound workplan to ensure timely completion of the work.

#### **5.3.2: Book keeping**

The executing committee of the FG maintains a transparent book of all transactions (cash or kind) taking place in context of the sub-project. It also presents the progress report in the CO from time to time. QIU-team provides training, if necessary, to the account keeper of the FG and checks the book. A sample of book to be maintained by the FG is given in Annex – XXX.

#### **5.3.4: Procurement and implementation**

If the project is simple enough (and do not require specialised technical inputs), its implementation will be done entirely by the CO. If necessary, CO will hire a few local specialists and procure basic materials/services. However, such hiring and procurement should take place in accordance with UNDP regulations (*see* Annex - XXXI). The OIU-team will assist the CO and empower the local community to handle resource and related procedures. They should be taught bidding practices as well. So, for smaller amount and simpler projects they should be allowed to proceed by themselves.

In case of further complicated sub-projects, the CO will choose the activities of the proposal that it can do. Wherever deemed essential, procurement of goods/equipments and services is done by the FG as per the standard bidding practices of UNDP. Wherever necessary, parts of the work is contracted out to the contractor and implementation of the project is carried out as planned in the proposal.

For larger and technically complex works, such as repairing water supply systems, contracting firms will be engaged by the Project. For this purpose, Local Tender Committee will be established in each oblast. It will consist of CMAs of OIU-team, focal person of the OSA assigned to OIU and officials from relevant technical departments. Bid openings for works will take place in the raion/municipality where the sub-project is located and in the presence of local authorities and the COs concerned. As these works will still be relatively small, i.e. around €14,000 on average, it is highly unlikely that companies from other oblast or Kiev would submit bids. Therefore, tenders

should be announced at oblast level and on the CBA and/or UNDP websites (just in case companies from elsewhere would be interested).

In case, the procurement involves supply of goods/services from national/international level suppliers, the procurement (e.g. equipment of health posts), will be done by the Project in coordination with the UNDP Business Centre.

#### **5.3.5: Monitoring**

Monitoring of the sub-project implementation will be done internally as well as externally as follows:

- Internal monitoring will be done by the CO in a participatory way. The CO will assign, preferably, four members to do monitoring of the sub-project implementation from financial, physical, organisational and impact aspects. These members will monitor the progress and produce their reports to the CO-members from time to time during regular/special meetings of the CO. The same four persons will play a vital role during carrying out public audit of the sub-project (*see* Technical Note - IV).
- External monitoring will be done by QSC as mentioned in section above. OIUs and the COs will maintain log book (Annex - XXXII) for effective monitoring and follow up.
- Ad hoc monitoring will be done by PMU team of the Project and officials from VC/CC/RSA/OSA.



## CHAPTER SIX

### POST-PROJECT COMPLETION ACTIVITIES

Main Activity	Sub-Activities	
1. Commissioning and Handover	1	Conduct public audit
	2	Transfer inventory to appropriate entity
2. Sub-project Sustainability	1	Develop mechanism for O & M of the sub-project
	2	Conduct participatory assessment
3. Visibility and experience sharing	1	Establish visibility elements
	2	Disseminate good practices and lessons learned
4. Ensure CO-sustainability	1	Raise awareness on sustainability elements
	2	Build linkage with development agencies

#### 6.1 Commissioning and Handover

Ensuring ownership of the result (especially when it is in form of physical infrastructure) obtained by the CO in the framework of CBA is of utmost importance. Therefore, understanding must be reached with CO and VC/CC/RSA regarding at the outset regarding ownership of the property created/rehabilitated and use/maintenance of the same. Details on this matter are given hereunder:

##### *6.1.1 Conduct public audit*

Upon completion of the project, CO shall organise a public audit of the sub-project. Public auditing is a process during which the CO-members independently assess the performance of their executives and FG. It involves general members, VC/CC-officials, contractor, OIU-team, media (if possible). During the meeting, the FG presents final progress report to the CO. The CO-members are invited to inspect the quantity and quality of physical output(s) of the sub-project (if it is safe to inspect) and financial transactions (i.e. account books). They receive clarification(s) on queries they have and give suggestions (if any) for future improvement. Upon finding it satisfactory, the CO makes a public clearance of the task accomplished. The clearance is recorded in the minute and signed by all the beneficiaries with a note of thanks and recognition to the FG and the executive body. A brief summary of the report is displayed to public on a signboard. Also, the CO submits final progress report along with copy of the public clearance to CBA for its record.

Details on public audit is given in Technical Note – IV.

##### *6.1.2 Transfer inventory to appropriate entity*

OIU-team coordinates with CO and the partner organisations (local authorities, state administrations, etc.) to make necessary arrangement for ensuring that the different components (like pipes, taps, water reservoirs, water quality at source, housing structures etc.) of the sub-project satisfy standard specification. Upon finding the result satisfactory, final payment is made to the contractor and the project is handed over to the concerned authority (or retained by the CO, if the CO is eligible and concerned authorities accept the proposal) to incorporate in its inventory.

#### 6.2 Ensuring Sub-project Sustainability

Sustainability of the service delivery out of the sub-project is a vital objective of the CBA Project. Therefore, effort will be made to enable CO to sustain the stream of benefits while reducing the financial burden on the state budget for operation and maintenance. Therefore, community- and user-based management, operation and maintenance systems will be promoted to the extent possible. Following sub-activities should be pursued to this end:

##### *6.2.1 Develop mechanism for O & M of the sub-project*

OIU-team assists CO to explore various options and makes a final arrangement for maintaining the sub-project. In some legal form (such as association of co-owners of multi-storied building or



cooperative), the CO can own the property as well as undertake responsibility of operation and maintenance (O & M). In such cases, concerned authority can entrust the CO for O & M. However, appropriate institutional arrangement will have to be made in case the CO has different legal form such as public organisation (NGO/CSO) or BSP (bodies of self organisation of population/housing committee) that does not allow O & M to be carried out by CO as easily as in former cases. Nevertheless, through a ToP<sup>9</sup>, the local authority entrusts CO for operation& maintenance of the project. Creation of special fund (e.g. setting-up community health funds for the regular maintenance of health posts) or special enterprise (e.g. community-based enterprises for the management of water supply systems) may also be explored as possible options.

### 6.2.2 Conduct participatory assessment

CO should carry out participatory assessment within a month after completion of the sub-project. In this assessment exercise, general members assess activities of the CO in general and the completed sub-project in particular. This exercise guides the CO for better performance. Therefore, CO should conduct this exercise from time to time. Procedure of carrying out participatory assessment is given in Annex - XXXIII.

Participatory Assessment System (PAS) involves assessing CO in terms of its governance and the services it delivers to the members. PAS may be conducted on half-yearly basis. The assessment is participatory, whereby each member opines on a set of indicators (related with soundness of the CO and its governance, quality of its activities and impact it produces) and gives value to each based on his/her own judgement. Average of the scores shows the empowerment status of the CO. Similarly, a comparison of the PAS of each COs in the VC/CC/raiyon helps the OIU-team to identify the COs that require special attention for desired level of community empowerment. PAS involves 7 major indicators and 35 sub-indicators mentioned in Table- II (below).

#### Box - XXIII: Fourth Dialogue

On due date and time, the OIU-staff meets general meeting of the CO. He/she reminds the members about the value of being together and achievements made by the community; describes about the need of measuring empowerment level of the community; introduces various indicators to be used for this purpose and process to be followed. The members are also motivated to observe civic sense in course of putting forward their arguments and responses (as a lot of hot debate is expected to occur during this session).

OIU-staff conducts dialogue on each indicator one by one using appreciative approach and asks the general members to respond on each. Average response is recorded on the chart. At the end, level of community empowerment is declared along with contributing indicators. Strengths and weaknesses are identified and the corrective actions are explored.

Upon a few such dialogues held by the OIU-staff, the general members become well aware of PAS. Then they select a community monitor for this purpose. A monitor must be impartial and trusted member who is known for his outspoken habit. The monitor is trained by OIU-team about the theoretical and practical aspects of PAS before undertaking the task. OIU-staff will let the monitor conduct the session in his/her presence for a few times before letting him/her carry out this task independently.

Result of each successive dialogue will have to be compared with the previous results to see whether the community has reached higher level of empowerment or has remained constant or whether it has become weaker. The reasons for such changes could be seen in the individual indicators.

**Table - III: Indicators and Sub-indicators for Community Empowerment**

	Main Indicators	Sub-indicators				
		1	2	3	4	5
1	Organisation Development	Level of household participation	Regularity of meeting	Attendance of members in the meetings	Participation in discussion	Awareness of decisions made
2	Leadership Development	Leaders' evaluation mechanism	Shared leadership	Leadership rotation	Remuneration for leaders	Leaders' performance quality
3	Organisational Sustainability	Regularity in commitment and	Clarity about utility of CO	Quality of account book	Feeling secured about the CDF	Following of rules and regulations

<sup>9</sup> To be developed upon consultation with concerned authority at appropriate point of time

		OS fees				
4	Sustainable Development Initiatives	No. of community projects undertaken	Confidence gained to undertake similar projects	System of user's fee in place	Priority given to vulnerable groups	Involvement of CO-members
5	Change in living quality	Health post related services	Energy saving measures	Environment improvement measures	Water management	School transportation
6	Women development	Level of participation of women in the organisation	Capacity of women to express themselves	Violence and discrimination against women	Participation of female in the CO-executives and FG	Women's participation in planning process
7	Participatory Planning and Linkage	Linkage of CO with local authorities	Linkage of CO with other development agencies	Linkage with similar organisations in the city is	CO-members participate in planning process	Municipality level planning process takes place

### 6.3 Visibility and Experience Sharing

Besides, making successful implementation of the sub-project, the CO has additional responsibility to acknowledge the contributors and make the participatory approach visible to other communities and stakeholders so that the approach might find wider application.

#### 6.3.1 Establish visibility elements

The beneficiary CO must express the contribution/support of various donors in a visible way. Key contributors are European Union, UNDP, VC/CC or RSA/OSA as appropriate, CO itself and others. In this context, the CO shall make a permanent public display of the project showing brief description of the project, its cost and cost sharing among various donors, including that of the CO as well. Logo of the donors should also be displayed, if available. Whenever possible, inauguration of the project should be organised. OIU-team will provide detail information to CO regarding policies and tools on visibility.

#### 6.3.2 Disseminate good practices and lessons learned

CO should document its experience, publish in local papers and disseminate it through other local media. It should also be willing to present its experience in the Local Development Forum and share its experience to visitors who will visit the CO to learn from its experience.

### 6.4 Ensuring CO-sustainability

With completion of the sub-project, life of CO does not come to an end. In fact it should not be so. CBA Project envisages that the CO will undertake subsequent round of activities on its own or with support of other donors (VC/CC, RSA/OSA, private sector, international agencies etc.). With experience, the CO becomes stronger to undertake 2<sup>nd</sup> (and subsequent) round of activity by repeating steps mentioned in sections above. With completion of each round, living quality of the people increases in one aspect or the other. Thus, the cycle continues and living quality keeps on increasing. But for this, the CO itself has to remain sustainable. Following activities must be undertaken to this end -

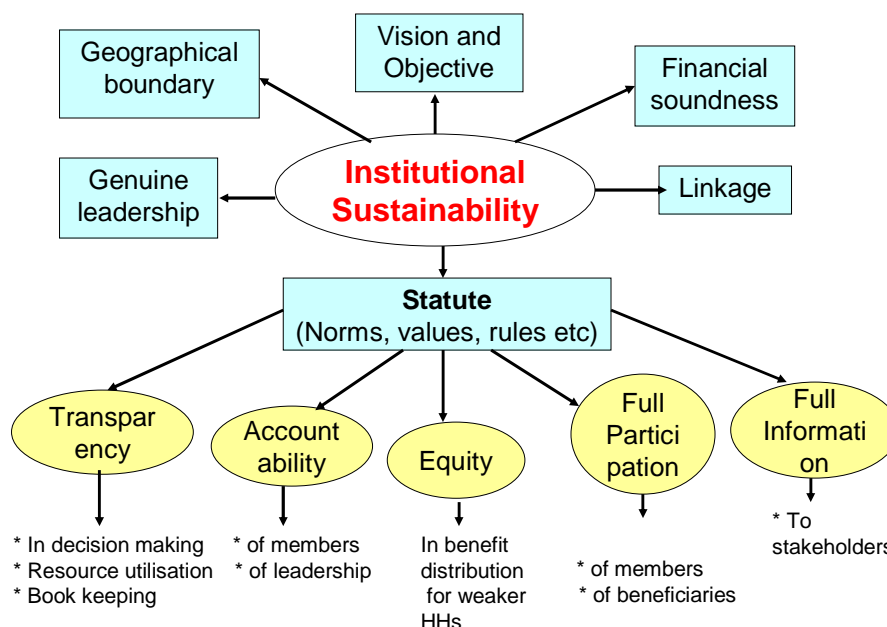
#### 6.4.1 Raise awareness on sustainability elements

OIU-team should utilize the information (and conclusion) of the participatory assessment and hold dialogue with the CO-members to make them aware about the need and method of sustaining the CO. The CO will remain sustainable if it follows criteria mentioned below:

- **Clarity of vision** : The CO-members must recognise that the CO is an indispensable body for them
- **Transparency**: High level of transparency in decision making and financial transactions is maintained
- **Equity**: All or most of the CO-members must get benefit out of its activities without excluding vulnerable groups especially, the low income households

- **Accountability:** of members and executive leaders must be to the CO (general assembly)
- **Financial health:** of the CO (reflected in terms of its ability to meet the management cost) must be sound i.e. it must have regular source of income
- **Linkage:** of the CO with other development agencies must be there so that it can keep on getting support from them.

OIU-team assist the CO in taking corrective action(s) to improve its institutional capacity based on the conclusion of the assessment.



**Chart - IV: Elements of Sustainability of Community Organisations**

#### **6.4.2 Build linkage with development agencies**

OIU-team should assist the CO-MT to build/strengthen linkage with various donors to whom proposal could be submitted and funding could be expected. If needed, it must provide necessary training. Continuation of local development forum is a strong opportunity for maintaining linkage between the CO and the local/regional authorities.

#### **6.4.3 Organise additional activities through CO**

OIU team should explore opportunities within the region or outside suitable for COs. Such opportunities may come in form of small trainings, visits etc. At times, COs may be motivated to undertake small social/economic/environmental activities from time to time on their own. Such efforts will keep CO active and sustainable.

## CHAPTER SEVEN

### CRITICAL ISSUES IN COMMUNITY BASED APPROACH

While implementing community based approach to local development, various kinds of problems may be experienced from time to time. Because of these problems, progress cannot be made as expected. The community mobilisation team (CMT) or OIU-team is likely to get frustrated. Implementation of community based approach can be done comparatively in an easy way and with patience, if the CMT is aware of possible problems/difficulties. With this very purpose, some critical challenges, their possible causes and possible solutions are given here under<sup>10</sup>:

SN	Issue	Problem	Causes	Solution
1	Safety of Capital	Community fund might be misappropriated	<ul style="list-style-type: none"> <li>• Low transparency</li> <li>• Poor utilization policy</li> <li>• Weak staff</li> <li>• Poor group pressure</li> <li>• Pre-mature injection of external fund</li> <li>• Trivial financial stake on the part of the general members</li> <li>• CMT involved directly or indirectly towards gaining advantage from the fund</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• Orientation to general members</li> <li>• Professional training to treasurer</li> <li>• Preparation of solid policy</li> <li>• Allow CO-members to carry out smaller activities from their own money first</li> <li>• Provide external fund only after the community has contributed its share</li> <li>• Make frequent audit of the COs</li> <li>• Management must watch the financial behaviour of the CMT</li> <li>• .....</li> </ul>
2	Hijacking of social capital	High potential of COs and their leaders might be exploited by local elites, political parties, religious wings	<ul style="list-style-type: none"> <li>• The process of selecting CO-leaders was weak</li> <li>• Training given to CO-leaders was inadequate.</li> <li>• Decrease in follow up and interaction with CO-members from OIU-team</li> <li>• The CMT itself is ineffective or inactive</li> <li>• The ordinary CO-members are not well aware of rules/regulations of the CO. They are ignorant of their duties, right and capacity.</li> <li>• The community leaders have vested intention</li> <li>• Poor cohesion among the CO-members</li> <li>• Biased character of the OIU-team to particular political/religious/ethnic wings</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• Make first dialogue effective</li> <li>• Conduct strict aptitude test before recognizing the CO,</li> <li>• Develop clear guidelines on responsibility of leadership</li> <li>• Provide strong training to the leadership</li> <li>• Provide strong orientation to the general members</li> <li>• Introduce regular rotation in the leadership</li> <li>• In public, the OIU-team must be fully impartial in terms of politics, religion and ethnicity</li> <li>• .....</li> </ul>
3	Social Cohesion	Cohesion in the community is declining even after community has received substantial benefit	<ul style="list-style-type: none"> <li>▪ Misuse of resources of the CO</li> <li>▪ Equity consideration is low</li> <li>▪ Culture of mutual respect has deteriorated</li> <li>▪ Weak leadership for community organization</li> <li>▪ Members of one faith benefiting more than that of the other</li> <li>▪ Personality clash</li> <li>▪ Beneficiaries become too busy to remain cohesive</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training and orientation to CO-members in the field of human rights, conflict management, volunteerism etc.</li> <li>▪ Implement social/cultural activities that would promote inter-ethnic cohesion</li> <li>▪ Introduce equity-based benefit distribution system</li> <li>▪ Establish dis-aggregated monitoring system to benefit those who fall behind</li> <li>▪ Motivate those beneficiaries who become passive/non-cohesive after getting benefit, to</li> </ul>

<sup>10</sup> The findings are based on research conducted elsewhere and therefore may not be fully applicable in case of CBA Project.

			<ul style="list-style-type: none"> <li>▪ Character of OIU-team non-cohesive</li> <li>▪ .....</li> </ul>	remain active <ul style="list-style-type: none"> <li>▪ .....</li> </ul>
SN	Issue	Problem	Causes	Solution
4	Ownership problem	CO-members do not protect their organisation upon completion of the sub-project	<ul style="list-style-type: none"> <li>• Community selection was supply driven</li> <li>• Vision among the members/leadership not clear about multiple use of the CO</li> <li>• Resources were available without stake</li> <li>• Tranche delivery was not made on time</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ Make it clear at the outset that it is their organisation</li> <li>▪ Provide support only after the organisation demonstrates maturity</li> <li>▪ Make the Program demand driven – create competition</li> <li>▪ Demonstrate that the CO has multiple use in longer term</li> <li>▪ Demand substantive share of the members into sub-projects</li> <li>▪ .....</li> </ul>
5	Passivity problem	CO-members are passive	<ul style="list-style-type: none"> <li>▪ Vulnerable population not benefited</li> <li>▪ No next vision (upon completion of sub-project)</li> <li>▪ Monotonous schedule of the CO</li> <li>▪ Doubt about effectiveness of the CO</li> <li>▪ Meeting set at wrong time</li> <li>▪ Lack of time to attend the meeting</li> <li>▪ Lack of money to make contribution to CDF</li> <li>▪ Domination by leadership or a few capable members</li> <li>▪ Support for sub-project delayed from the CBA</li> <li>▪ High degree of heterogeneity among the members</li> <li>▪ Personal agenda frequently brought in the meetings</li> <li>▪ Low follow up from the OIU</li> <li>▪ Accounts not showed regularly to the members leading to room for doubt</li> <li>▪ All members do not come in the meeting on time</li> <li>▪ Meeting duration too long</li> <li>▪ .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ensure human rights based approach is effectively implemented;</li> <li>▪ Organise exposure visit to successful sites;</li> <li>▪ Frequently engage the members in small activities</li> <li>▪ Organise learning sessions (during regular meetings of the CO) through representatives of the line agencies</li> <li>▪ Provide Project support, as committed, on time</li> <li>▪ Hold fourth dialogue to discuss in detail on those issues which need attention as indicated in the participatory assessment (PAS)</li> <li>▪ Do not focus too much on leaders of the organisation but on general members as well</li> <li>▪ Ensure that personal agenda are not brought in the organisational activities</li> <li>▪ Assist CO-members to draw calendar of activities and follow up for action</li> <li>▪ Set meeting times and other requirements (such as membership fee) suitable for the weaker section</li> <li>▪ Establish the norm to regular sharing of account related information</li> <li>▪ Ensure a shorter meeting – to start on time and end on time. If necessary the officials must make preparation for the meetings in advance so that the meeting is conducted and completed straight away</li> <li>▪ .....</li> </ul>
6	Slow CO-format ion	CO could not be formed fast, the given time was short	<ul style="list-style-type: none"> <li>• Pressure from management or unnatural target setting</li> <li>• PMU/OIU very eager to show quick results</li> <li>• Longer time taken to raise awareness of people due to geographic locations/difficulties</li> <li>• Some of the communities not interested to join the Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Artificial targeting is not effective in social mobilisation. Therefore, it should be explored if the progress is slow due to other valid reasons and effort should be put to resolve those issues accordingly</li> <li>• After completion of the first dialogue held in all the communities, CO should be formed and activities should be launched only in case genuine interest is expressed. Because of demonstration effect, others will join later. The communities, which are determined not to join even after a lot of effort, should not be followed up. It is better to spend time and resources on those settlements which are willing to do things</li> </ul>
7	Long	In many	<ul style="list-style-type: none"> <li>• Might have not well understood</li> </ul>	<ul style="list-style-type: none"> <li>• Dialogue should be held repeatedly</li> </ul>

	time taking to reach targets	settlements, it takes long time to form CO	<p>the messages of community based approach. Thus, degree of motivation was low</p> <ul style="list-style-type: none"> <li>Conflicts and differences among various groups in the settlement might have rooted deep or there may be crisis of trust in the settlement</li> <li>People may not have faith on the Project, or character of the OIU (might have been deceived in the past from similar project)</li> <li>Similar project must be ongoing in the settlement from beforehand and condition of people might have improved. As a result, people may not find the project attractive</li> <li>Genuine cadres to the level expected by the OIU, might be lacking in the settlement</li> </ul>	<ul style="list-style-type: none"> <li>Seek support from neutral and influential personalities/social workers of the VC/CC and RSA.</li> <li>Explore the person who is heard in the settlement. Motivate this very person to convince the community members</li> <li>Do not go to a community where already social mobilisation is being implemented by other agency or where already lot of development work has been done beforehand</li> </ul>
8	Getting full participation is a problem	All the households in the community did not join CO or some of the participating households left the organisation	<ul style="list-style-type: none"> <li>Households might be headed by old person while people of economic age might have gone out of settlement.</li> <li>Lack of willingness to do something by joining CO due to having a better life through other attractive income sources.</li> <li>Lack of understanding with other CO-members or CO-leadership.</li> <li>Not informed about the Project</li> <li>Some smart CO-members reaped benefit from the CO in the past and there is no hope for remaining CO-members in future vis-a-vis no faith on CO to get benefit (especially, very poor and minorities)</li> </ul>	<ul style="list-style-type: none"> <li>OIU-team should do adequate follow up and motivation</li> <li>The members should be encouraged to understand that a CO could do many more things than mere a sub-project. They should be assisted to plan and implement activities accordingly</li> <li>Discussions should be held (during meetings) on various awareness raising topics.</li> <li>Sectoral experts should be invited to participate in the CO-meetings from time to time.</li> <li>Carryout activities so as to benefit all the members especially the poor ones and ethnic minorities</li> </ul>
9	Elitism among leadership	CO-chairperson & treasurer have become dominant	<ul style="list-style-type: none"> <li>CO-chairperson/treasurer possess huge enthusiasm to develop the community and the inhabitants are not enthusiastic to the same degree</li> <li>Lack of training (skill)</li> <li>Are dominant by nature</li> <li>None is there in the community-members to replace them (as a result they show monopolistic behaviour)</li> </ul>	<ul style="list-style-type: none"> <li>Develop assistant chairperson/treasurer</li> <li>Hold annual evaluation of the CO and change leadership or further motivate them as per requirement</li> <li>Conduct refresher training</li> </ul>
10	Duplication of efforts	Other agency already working or about to start work in the community covered by CBA	<ul style="list-style-type: none"> <li>Lack of coordination at VC/CC and rayon level</li> <li>Duplication might have occurred from judgement of OIU-team</li> <li>Inadequate effort on situation analysis before selecting the community</li> </ul>	<ul style="list-style-type: none"> <li>Work out with the other agency for synergy</li> <li>Seek participation of households in a way to avoid repetition</li> </ul>
11	Low minority	Ethnic minorities	<ul style="list-style-type: none"> <li>Old tradition and culture deeply rooted in the society</li> </ul>	<ul style="list-style-type: none"> <li>A lot of motivation required for both groups</li> <li>Win the faith of ethnic leaders</li> </ul>

	ty partici pation	not eager to join Programme	<ul style="list-style-type: none"> <li>▪ People of ethnic majority not supportive</li> <li>▪ People of ethnic minority depressed psychologically</li> <li>▪ The whole society (group) trusts some specific personality and moves under his/her command;</li> <li>▪ OIU-team biased to a particular ethnicity;</li> <li>▪ .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ Organise exposure visits and training from time to time</li> <li>▪ OIU-team must remain neutral or must create environment to attract minority group;</li> <li>▪ Keep patience and continue serving them</li> <li>▪ .....</li> </ul>
12	Weak financi al discipl ine	CO-treasurer holds large amount in cash	<ul style="list-style-type: none"> <li>▪ No facility to deposit in bank (bank not in vicinity or account not opened for CO)</li> <li>▪ The leaders lack time to go the bank frequently;</li> <li>▪ No fixed schedule for contribution by the CO-members</li> <li>▪ The money was misappropriated.</li> </ul>	<ul style="list-style-type: none"> <li>▪ System should be immediately developed so as to ensure that the treasurer does not need to hold cash.</li> <li>▪ Make a fixed date for contribution</li> <li>▪ Use a trust worthy CO-member who has time to make frequent visit to bank;</li> <li>▪ Recover the money if it was misappropriated</li> </ul>
13	Low attenda nce at LDF	Declining participation in LDF meeting	<ul style="list-style-type: none"> <li>▪ No provision of allowance for LDF meetings;</li> <li>▪ Travel allowance given by CBA not adequate;</li> <li>▪ Since long no additional activity launched (other than talking about the community projects)</li> <li>▪ Vested interest (eg. Personal, political, ethnic etc.) got room into the LDF</li> <li>▪ Character of OIU-team doubtful</li> <li>▪ Responsibilities and work load of LDF is much below its capacity</li> <li>▪ Decline in transparency and trend of taking consensus-based decisions</li> <li>▪ A few participants dominate the Forum and get decisions done while the remaining are not encouraged to participate in the discussion.</li> <li>▪ Many decisions are made in LDF while only a few of them are brought into action</li> </ul>	<ul style="list-style-type: none"> <li>▪ There should be provision of tea/snacks during LDF meetings</li> <li>▪ Interaction session should be arranged with experts from government/non-government /private agencies from time to time.</li> <li>▪ Various kinds of awareness raising materials/wall posters etc should be made available on regular basis.</li> <li>▪ Keep on engaging LDF in additional works/responsibility one after another</li> <li>▪ Present, in each LDF meeting, the business and decisions done during the previous meeting.</li> <li>▪ Set a few agenda and encourage a lot of discussions among the participants.</li> <li>▪ .....</li> <li>▪ .....</li> </ul>
14	Monit oring difficu lty	Difficult to monitor the COs	<ul style="list-style-type: none"> <li>▪ Almost all the COs hold meetings on the same day (government holiday) and at the same time</li> <li>▪ Difficult geographical situation</li> <li>▪ .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ Day and time of CO-meetings should be set block wise in the raion.</li> <li>▪ .....</li> </ul>
15	Low progre ss on sub- project s	Progress is not satisfactory in case of sub-projects	<ul style="list-style-type: none"> <li>▪ Contribution not made by CO-members as per the terms of partnership;</li> <li>▪ Funding from local authorities (VC/CC/RSAs) was not adequate or not on time;</li> <li>▪ Release of tranches from donor agency was not on time;</li> </ul>	<ul style="list-style-type: none"> <li>▪ Planning should be done based on full participation of all CO-members</li> <li>▪ While signing the MOA for the sub-project, adequate discussion should be held on each clause of MOA and CO-members should get satisfied fully</li> <li>▪ Work plan should be prepared by consensus and monitoring should be done</li> </ul>

			<ul style="list-style-type: none"> <li>▪ The leadership failed to secure participation of all beneficiaries</li> <li>▪ The fund was used in a non-transparent manner. As a result CO-members developed a sense of doubt</li> <li>▪ The work plan was not prepared by consensus</li> <li>▪ Conflict emerged during implementation of sub-project</li> <li>▪ The benefit distribution and cost sharing arrangement was not proportional and justified</li> <li>▪ Many other agencies launched similar projects in the same area</li> <li>▪ Equity was not observed adequately</li> <li>▪ Pressure was put on CO-members to complete the project during vacation period, extreme climatic condition;</li> <li>▪ .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ The account should be maintained transparent, audit should be done and reported regularly and public-audit (clearance) should be done by the beneficiaries themselves.</li> <li>▪ Before releasing an instalment, it should be ensured that the users (beneficiaries) complete all the tasks, due on their part, related with the instalment</li> <li>▪ Before release of an instalment, full audit (clearance) of previous instalment should be ensured</li> <li>▪ OIU-team should follow up with VC/CC/RSAs for adequate and timely release of their share;</li> <li>▪ OIU-team should ensure that all the requirements were met for making request for release of tranches;</li> <li>▪ OIU-team should follow up PMU for timely release of tranches</li> <li>▪ .....</li> </ul>
16	High enthusiasm in community	The CO-members try to do lot many things in a short time but fail	<ul style="list-style-type: none"> <li>▪ Other agencies working in the area also try to get their work done through the same people (CO-members, CO-leaders). As a result, the CO-members are unable to give enough time and resources for the works initiated by the Project.</li> <li>▪ There is a lack of faith (among CO-members) that the Project will be there for a long period and support for development will keep on becoming available gradually</li> <li>▪ Those who launch many activities simultaneously, soon get tired, disappointed and quit working</li> </ul>	<ul style="list-style-type: none"> <li>▪ The CO-members/leaders should be assured that the Project will be there for at least three years to keep supporting the CO (and so they should not hurry)</li> <li>▪ While doing planning, many plans may be identified and prioritised but only that priority should be launched which for which the community is in dire need</li> </ul>
17	Data unavailability	In course of implementing social mobilisation, it is required to collect large amount of data. Data sent from many COs are not legible and timely	<ul style="list-style-type: none"> <li>▪ The CO-chairpersons/treasurer not well educated</li> <li>▪ They may not have enough aptitude towards data work</li> <li>▪ They may lack time and engaged in many other activities, which make them unable to carry out any task other than regular job of managing CO.</li> <li>▪ They might take 'data collection work' as one more burden over what they are already doing.</li> <li>▪ There is no additional incentive for additional work like data collection</li> <li>▪ .....</li> </ul>	<ul style="list-style-type: none"> <li>▪ No task should be given to them beyond their capacity</li> <li>▪ In a CO which lacks capacity or educated treasurer, the OIU-team should help maintain data/accounts</li> <li>▪ There should be provision of additional data collection in the regular job description of the OIU-staff who should spend about a week every month in collecting and updating of data</li> <li>▪ CO-chairpersons/treasurers or others involved in additional data collection should be given some incentives from the Project, if there is such a provision</li> <li>▪ .....</li> </ul>



## CHAPTER EIGHT

### MANAGING COMMUNITY BASED APPROACH

Main Activity	Sub-Activities	
1. Set Management Structure	1	Carry out functional analysis
	2	Set organogram
2. Create Support Structure	1	Identify the type of support structures needed
	2	Set up the structures
3. Set social lab	1	Make experiments
	2	Document the process
	3	Establish resource centre
4. Build Linkage with Other Components	1	Identify the nature and scope of interdependency
	2	Initiate joint activities
5. Set Monitoring and Reporting System	1	Set MIS
	2	Establish reporting system
	3	Establish communication system
6. Organise Reviews and Evaluations	1	Periodical reporting
	2	Organise mid-term evaluation
	3	Organise final evaluation
7. Make policy recommendation	1	Commission policy studies
	2	Initiate process of policy recommendation
8. Future Outlook	1	Additional cycle of support from CBA Project
	2	Implementation of Policy/Legal Reforms
	3	Reaching next generation

#### 8.1 Set Management Structure

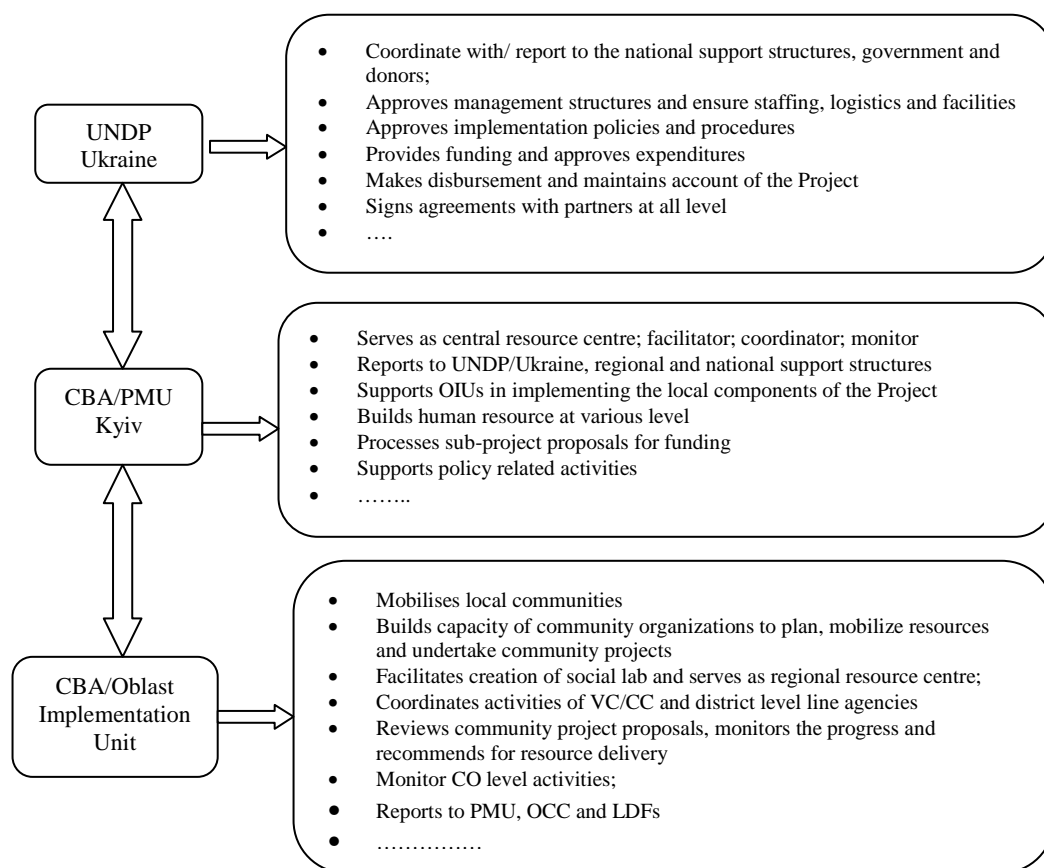
It is evident from past experience that the empowered communities get charged (due to empowerment process) with energy to do lot of things. However, delays in capitalising this energy cause a massive frustration and passiveness. Once this enthusiasm dies out then it becomes very difficult to rekindle. For effective community empowerment process, therefore, the management must be highly decentralised – as close to the target population as possible and there should be high degree of flexibility in the ‘implementation policy and procedure’ to suit the local specific situation (which is often very dynamic). The lowest level of the structure is involved in direct implementation while the upper level structure is more involved in facilitation, coordination and policy related activities.

##### 8.1.1 Carry out functional analysis

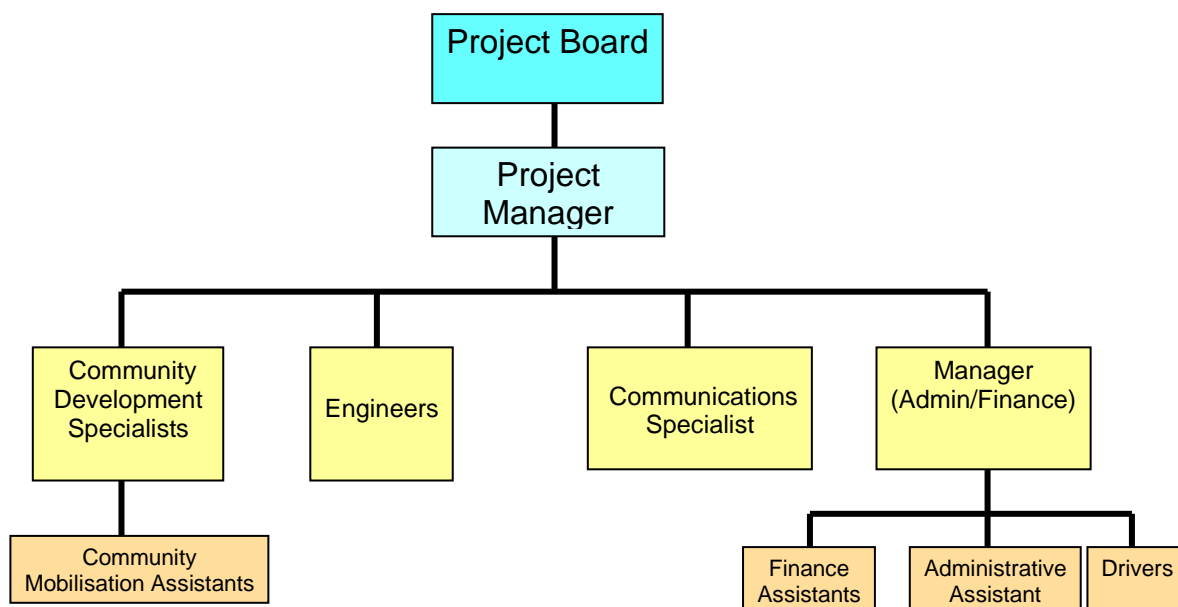
Management structure of CBA is already in place. Improvement in the structure may take place from time to time as necessary. Current management structure and key functions of CBA Project is given in flow chart – V.

##### 8.1.2 Set organogram

Organogram of CBA Project in its current form is given in Flow-chart – VI (below). Key job description of each position mentioned in the organogram is given in Annex – XXXIV



**Flow Chart – V: Functional Analysis of EU/UNDP – CBA Project**



**Flow Chart – VI: Organogram of CBA**

The PMU team will be divided into two virtual groups (one community development specialist, one engineer and one finance assistant) such that each group will cover 12 to 13 oblasts.

## 8.2 Create Support Structure

A community-based development project requires assistance from non-project experts/entities for advisory/moral support, guidance, appropriate decision-making and functional linkage. At times,

entities are also required for outsourcing a part or all of the implementation activities of the project. These experts or entities come from public and/or private sector and serve as per the term of reference foreseen by the project and they act at the level defined. CBA Project, too, has developed a set of support structures at national, regional, district and VC/CC level as mentioned below:

### ***8.2.1 Identify key stakeholders***

CBA Project envisages several stakeholders at local, regional, national level. Role and of the various actors (local partner, target groups, local authorities, etc.) in the actions of the project is identified as follows:

At Central Level, the main partner will be the Ministry of Economy (Deputy Minister in charge of regional policy). As the main counterpart of the project, it will, among other,

- Chair the project's steering committee
- 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
- Provide recommendations on and support for project implementation
- Review and address policy issues resulting from project implementation

At Regional Level, the main counterpart is the Oblast administration and Oblast Council (and, in the case of Crimea, the Office of the Chairperson of the Council of Ministers of the Autonomous Republic). They will, among other,

- Facilitate the establishment of the Oblast Implementation Units (including the provision of office space and counterpart staff)
- Establish and facilitate work of the project's regional steering committee
- Appoint focal points for working closely with the Oblast Implementation Units
- Assist in the selection of target districts and municipalities
- Review and integrate district and municipal development plans (based on community development plans) into the regional development plans
- Make available budgetary resources to the extent possible
- Facilitate Tender Committee meetings for the selection of contractors for public works

At Raiyon Level, the main counterparts are the local administrations and councils. They will, among other,

- Appoint focal points for working closely with the Oblast Implementation Units
- Assist in the selection of target communities
- Establish and chair Local Development Forums
- Review community development plans and community project and integrate these into the district/municipal development plans
- Provide technical expertise and other support in the design of community lead projects
- Allocate resources to community initiatives to the extent possible
- Facilitate their effective implementation in terms of participating in the selection of contractors, providing permits and compliance with regulations, etc.
- Support the establishment of effective sustainability mechanisms for completed projects

At Community Level, the main partners are local authorities in the selected target village/city councils under whose jurisdiction the target communities are. They will, among other,

- Support establishing of inclusive self-governing community organisations on democratic principles
- Support preparation of community development plans outlining needs and priorities
- Participate in the design and implementation of sub-projects

- Mobilise internal resources to support sub-project implementation
- Participate in the design and establishment of effective sustainability mechanisms for completed sub-projects
- Actively engage in effective partnerships with local authorities for local development

### **8.2.2 Set up the support structures**

Appropriate support structures are created at local, regional and oblast level to for coordination and advisory support. Key stakeholders (mentioned above) and other stakeholders related with CBA Project form such support structures, whose composition and functions are given below:

#### **a) Project Steering Committee (PSC) at national level**

The Project partners, UNDP and the EC, will set up a Steering Committee to advise and provide guidance on project implementation, including monitoring timely delivery of resources in accordance with the work plan. This Committee will consist of the representatives from -

- Ministry of Economy
- Ministry of Ministry of Architecture and Regional Development,
- Ministry of Communal Services,
- Ministry of Transport,
- Ministry of Health,
- Ministry of Social Policy,
- Ministry of Environment,
- Ministry of Fuel and Energy,
- State Committee for Energy Conservation),
- State Secretary (President's Office) in charge of monitoring social services and regional policy,
- Relevant parliamentary committees (regional policy and local self government, health, energy, environment, social policy, etc)
- Foundation for local self government of Ukraine under President of Ukraine
- Ukrainian Association of Local and Regional Authorities
- EU, UNDP and other donors of the thematic sub-group A4 "Regional Cooperation" (Thematic Group A "Support to Economic Reforms")

The CBA Project Manager will be in charge of the daily management of the Project and facilitate the proper functioning of the Steering Committee.

#### **b) Oblast Coordination Committee (OCC)**

will be formed as at regional (oblast) level for coordination and advisory support. OCC will consists of following officials -

- Head/Deputy Head of Oblast State Administration
- Deputy head of oblast council
- Chairpersons of Local Development Forums in the oblast
- Key departments of oblast state administration
- Selected NGOs and businesses
- Selected village council and city council heads (from beneficiaries)
- Selected CO-chairpersons from the beneficiaries
- Representative of UNDP-funded projects in the oblast

Functions of the OCC will be -

- Coordination of Project financing and implementation according to priorities of social, economic, environmental development of Ukraine
- Assistance to involvement and participation of national partners
- Ensuring proper awareness of regional and local governments
- Strategic advice on Project implementation
- Assistance to use of Project outputs for national strategy and policy development

OIU will serve as the secretariat for the OCC. Meeting of the OCC will take place on quarterly basis (at least on half yearly basis) and as necessary. Head/Deputy Head of the OSA will chair the OCC-meetings.

c) Local Development Forum (LDF)

A LDF will be formed in each rayon to (a) ensure social, environmental and economic development by joint planning and decision making with participation of local communities, and via more efficient allocation of financial resources and (b) assist decentralised planning and democratic governance at the regional level.

The LDF will be composed of -

- Head (or deputy head) of rayon state administration
- Head (or deputy head) of rayon council
- Head of village/town council of pilot communities
- Head of respective rayon administration units
- Oblast government official representatives
- Head of community organisations formed by IWG
- Incidental/other participants (to be invited on an as-necessary basis)
- Commercial banks representative
- Municipal utility company representatives
- Other organisations

Function of the LDF is the followings:

- Coordination of Project implementation at the rayon level;
- Presentation of plans and strategies of location and rayon development;
- Agreement on plans of community, location and rayon development plans;
- Identifying rayon development priorities;
- Discussion and elimination of issues arising in the process of Project implementation;
- Development of plans of technical and financial resource attraction for implementation of community initiatives

RSA will serve as the secretariat for the LDF. Meeting of the LDF will take place in 2-3 months interval or as necessary. Head of the RSA will chair the LDF-meetings.

### **8.3 Set social lab**

In course of implementing community empowerment process, 'social lab' becomes in-avoidable. Principles of social mobilisation/community empowerment, though applicable universally, must be adopted locally. For it, ideas/technologies are tested through experiments, knowledge is documented so as to scale up the success and minimise the risk of failures.

People in the local communities are full of curiosity to test new way of doing things if there is hope for better. Some are risk takers and get into action faster while some wait and see such curious peoples and follow them. Those curious people and their follower communities serve as social lab.

#### **8.3.1 Make experiments**

Experimentation is done from various perspectives such as:

- i) Conceptual package: Testing messages, steps for organisation development, norms of governance, accounts and book keeping etc. fall under this category. Purpose is to find the best fit for the local situation;

- ii) Technological packages: includes improvement of existing local technologies or introduction of new technologies related health post, energy saving, environment, water management and school transportation and so on.

Experimentation is effective only when its need is felt by the community. For example, people will easily accept that it would be better to install a heat meter in the heating system of their building. But they will not buy it as they will see a cost without any clear idea about return. Once higher benefit against the cost clear, they will be willing to accept it. Following points may be considered while initiating an experiment:

- Give message (through formal, informal techniques) about the need in advance to a community perceived as potential experiment site;
- Expose selected community members to the successful sites, if such sites exist in the country;
- Allow time for internal interaction and consensus building. Do not impose;
- Provide technical support and sufficient backstopping to enable the CO-members to conduct the experiment subject to their own capacity;
- Experiment on any subject should be initiated only with support of own staff or external person but possessing sufficient expertise on the very subject;
- There should be compensation package against risk of failure. However, such compensation may not be needed once the technology is widely adopted and gets proven;
- Same community may not be effective for all kinds of experiments. Thus, social lab may be located in different communities for different purpose;
- It is better to have more than one site for the same kind of experiment. It enhances validity of the results. At the same time it reduces 'fatigue' problem in that the CO-members get tired of receiving visitors, trainees and researchers and they may turn to be passive at some point of time. More than one site means these sites could be used alternatively. Because of geographical diversity, CBA offers a good opportunity for initiating experiments at multi-location.

### **8.3.2 Document the process**

People (community member and CMT/expert) involved in the experiment are in best position to do process documentation. Such documentation answers – what, why and how. It also provides economic information (cost, benefit) in case further adoption or replication is planned. However, lot of site visits and brainstorming is necessary for objective assessment before making recommendation for further adoption/scaling up.

Process documentation can be done in many ways – research, case study, working paper series, internal bulletins, training hand outs etc. It also involves video-film. In fact video-film serves as a powerful documentation to influence the target audience.

### **8.3.3 Establish resource centre**

Each social lab is a resource centre in itself. The people (OIU-team as well as community members) involved in the process have practical knowledge. They can tell (and train) others how it could be done, what result can be expected, what risk can be anticipated, what will be cost and benefit and so on.

However, Project office at each level should establish its own resource centre. A staff (like training officer, research officer or others) could be assigned to maintain the centre. The centre can take many shapes e.g. a small 'information centre' - with documents on the relevant subject, audio-visual facility, resource directory (whereabouts of individuals, agencies, programmes related with community development/empowerment, best practices and site details of 'social labs'). The responsible official for the resource centre will not only update the information but also coordinate the activities (training, research, workshops etc.) that can be done through the centre.

One important aspect of resource centre is that the resource persons (professionals of the PMU, OIU-team, officials of line agencies, local government officials or local activists) identified by the resource centre must speak a common language regarding the Project and its activities so that all the people trained by them can carry the same vision without confusion.

## **8.4 Build Linkage with Other Components**

In course of Project implementation, PMU and OIU teams will come across many national/international development agencies, which have objective similar or related to that of CBA's. The teams should try to build linkage with them so as to maximise the outputs/impacts of its own.

### ***8.4.1 Identify the nature and scope of synergy***

Identify agencies (government, non-government, private, INGO, donors) working in line with the objectives of the CBA. They must be in or outside the Project Area but must be accessible. Prepare a roster of such agencies and explore the exact areas of concrete cooperation.

Other UNDP programmes such as CIDP, CRDP, MGSDP, Equal Opportunity Programme, Governance of HIV/AIDS in Ukraine, Consumer Society and Citizen Networks offer strong opportunity for synergy. These projects have developed local experts in their subjects. OIU can use them for benefit of the CO-members and officials of the local authorities. PMU will work out with the management of these programmes for appropriate linkage

### ***8.4.2 Initiate joint activities***

Approach these agencies and discuss the possibility of cooperation. In case of possibility, set terms of partnership and get it approved/signed by the appropriate level of CBA management.

Depending upon the situation, PMU/OIU can launch joint activities with partner agencies – based on cost sharing or full cost from their side as possible.

## **8.5 Set Monitoring and Reporting System**

Regular monitoring of the Project activities gives room for timely action to ensure 'delivery of intended results' as envisaged. Timely reporting, on the other hand, is equally important for seeking timely support from decision-making bodies.

Overtime, weaknesses of various kinds may appear in the COs causing it to lose vibrancy. Therefore, constant monitoring of the quality of their governance and their activities becomes essential. Two types of monitoring systems are followed for this purpose – (a) Management Information System (MIS) and (b) Participatory Assessment System (PAS)

Often process monitoring, input monitoring and output monitoring is done as a part of regular (monthly/quarterly) monitoring system. In community-based development programmes, information flow starts from the target communities and move upward to different layers of management and cooperating/coordinating/donor agencies. At each level, the information is analysed and inferences are drawn and action is taken as per the inference.

### ***8.5.1 Setting Management Information System (MIS)***

Management information system is focused on (a) process monitoring, (b) input monitoring (c) output monitoring and (d) impact monitoring.

Process monitoring focuses on institutional (conceptual) package involving such indicators as (a) coverage (in terms of settlement, households, and membership by gender, etc.), (b) organisation

development (e.g. CO formed), (c) capital generated and its status (d) human resource development).

Input monitoring reflects programme package and involves investment made into programme activities such as amount disbursed in HRD, physical infrastructures etc.

Output monitoring reflects what people would get at the end to achieve intended impact on their lives. It involves physical progress made out of input such as number of sub-projects completed, number of beneficiary households etc.

Output monitoring is followed by impact monitoring which shows changes taking place in the life of the people as a result of the outputs achieved through community-based development process. Appropriate variables to measure these four aspects and appropriate formats are given in Annex - XXXV. Besides, a system should be established so as to reconcile the financial data of the 'input monitoring' with that of 'account book data' at UNDP-business centre

#### **Box - XXIV: Making Data Collection Easy**

At the outset, information flow from the CO is not too difficult since the CO-MT is enthusiastic and carries hope to get support from the CBA. Quality of data may be poor since they need time to gain skill on this subject. As time passes, the volume of information flow increases and CO-MT finds this (volunteer) task time consuming and therefore they lose interest on timely reporting. OIU-team must develop innovative ideas to keep them interested to do regular reporting. For it, (a) the amount of information demanded should be as small as possible (e.g. basic data such as number of households or number of members may not be demanded every month or every quarter, unless there is a change in the original figure), (b) the type of information demanded should be very pertinent to them (so that they will see a value), (c) regular meeting of CO-network or LDF may be utilised to collect data. Since OIU-team may compensate for their travel cost, the CO-representatives will happily come along with CO-data to attend the meeting rather than making a separate reporting, (d) give them stock of printed format so that they just fill in the format and bring/send to OIU, (e) use electronic tools such as telephone, e-mail etc. to gather data, (f) provide necessary logistics like registers, folders, calculators etc. to the CO during training of CO-MT, (g) keep inventing attractive packages to keep the CO-MT interested.

#### **8.5.2 Establish reporting system**

Information derived through MIS is processed and used for reporting. Reporting is done to higher level management authorities (e.g. OIU to PMU; PMU to UNDP/Ukraine; UNDP/Ukraine to government of Ukraine and donors). Frequency of reporting is as follows:

- Monthly: 1-2 page status report (highlight) to update the management about the activities completed during the month;
- Quarterly: Detail activity report for the quarter in terms of process, input and output and cumulative report from beginning of the year up to the reporting period. It means, the 2<sup>nd</sup> quarterly report will serve as half-yearly report for the year;
- Annual: Covers key activities carried out during the year in terms of process, input, output and impact and cumulative report from the inception of the Project

Report will be tailored to suit the requirement of major stakeholders (management, donors, government, beneficiaries, researchers, policy makers, evaluators etc.) subject to the time availability at their hand. Following reporting format is recommended from this perspective:

- Benefit-Cost Reflection – reflecting results/impacts achieved and cost accrued to achieve (if possible, especially towards last year of the Project).
- Statistical page – reflecting data on process, input, output in tabular form (1 – 1.5 page);
- Executive summary – reflecting key findings of the main text of the report;
- Main text – contains details sections (with facts, figures, maps, photos, cases etc.) on
  - *Introduction* (programme genesis, situation analysis, programme area; development results/targets as envisaged in the annual workplan and results/targets set for the reporting period);



- *Result Achievement* – include such sub-sections as (a) institutional development; (b) planning, (c) community sub-projects, (d) HRD (training, study tour/exposure visits, workshop/conferences etc.), (e) policy recommendation (policy studies, legal drafting, roundtables etc.) (f) public awareness (advocacy, campaigns, media activities related with gender, HIV/AIDS, tolerance, social cohesion etc.), (g) management and effectiveness (programme expansion; partnerships/linkages; communication results covering opinions from TV, news papers, radio, publications etc.; resource mobilisation from all sources and utilisation; programme reviews).
- *Lessons and opportunities* – taking stock of experience during the reporting period; outlook for future (next quarter, next year etc.)
- *Annexure* - as required

The reporting should ‘coordinated’. It should properly and adequately reflect the support (cash/kind, direct/indirect) received from other partners (government, non-government). It should also reflect share of such supports in overall results achieved. Appreciation to partners and due credit to their support in the results gives a strong foundation for synergy.

Nature of content in the reporting system varies over time. At the outset, description of the main text is focused on process (*introduction, institutional development* etc.). During second year focus shifts to ‘inputs’ (*human resource development, community sub-projects, public awareness* etc.) and ‘outputs’. From third year the focus shifts to output and impacts/results. Type of cases and photographs etc. also shift accordingly.

### **8.5.3 Establishing communication system, information campaign and media strategy**

Proper communication and information system should be established to ensure adequate visibility about EU and UNDP as well as to maximise the impact of the CBA-Project in terms of awareness among stakeholders. Following activities will be undertaken by the Project team in this context:

- a) A public information campaign will be launched, spearheaded by the communication specialist. Specifically, Project's visibility activities will include:
  - Developing, producing and disseminating well-targeted brochures to explain the Project's approach
  - Regular e-news letter informing about the progress of activities
  - Producing Project visibility tools (flags, presentation banner, stationery, etc)
  - Creating and maintaining a web site containing all methodological guidelines for CBA and project data base (partners, community projects, reports, etc), electronic library on CBA approach and practices
  - Establishing a network of local/national media to be involved in CBA coverage (special tools for mass-media on the project's web-site: registration, distribution list, sound-files with information about project for downloading, etc)
  - Applying the EU's Visibility Guidelines

#### **b) Visibility of Project specific activities**

Project team will be responsible for giving adequate publicity to the Project that they are implementing and making sure that the support from the EU and UNDP is vividly acknowledged within the project's activities. The Project's visibility will include the following elements based on the EC visibility guidelines<sup>11</sup>:

- reference to EC Tacis programme for Ukraine
- title of the project
- logos of EU (with phrase "This project is financed by the European Union") and UNDP (with phrase "This project is co-financed and implemented by UNDP") should be represented in a balanced way

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<sup>11</sup> Available at : [http://ec.europa.eu/europeaid/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/visibility/index_en.htm)

- any supply or equipment delivered under CBA project will be clearly identified and will visibly carry the EU and UNDP logos, containing a sentence “*Provided by the European Union*” in the operational language of the EU programme and in Ukrainian
- display panels and commemorative plaques should be produced for visible infrastructure projects (construction, civil works, etc) implemented in target communities. They should be in line with the above-mentioned visibility elements and contain the following sentence: “*This (title of project, e.g. health post, water system) was rebuilt / installed with the support of the European Union*” in the operational language of the EU programme and in Ukrainian
- for visible infrastructure sub-projects (buildings, houses) or other sub-projects which are physical in nature (e.g. water management), the Project team will issue at least one press release and use the appropriate stationery. These will be used on any appropriate occasion as an effective way of acknowledging the involvement of the EU in the supporting of project activities.

c) Reaching international donors

Project visibility and implementation strategy should also be attractive for other international donors so that they are able to participate / co-finance community initiatives identified / developed beyond five priority areas set up for CBA project (e.g. culture, education, etc). For this purpose, donors provided financial support for such community projects should be adequately promoted and visualised (logo on relevant communication materials and commemorative plaques, etc), while the EC and UNDP should be visualised as donors financing technical assistance for the overall action.

d) Intra-Project communication line

The Project team at each level will communicate in vertical as well as horizontal line. Vertically, each position is accountable to the immediate supervisor and should communicate accordingly (see Flow Chart - VII). In terms of day to day operation, each staff will communicate with his/her immediate stakeholders and the professional mates. Record of important communications must be maintained by the ‘communicators’ at all level irrespective of the medium of communication followed. In case of emergency situation, innovative idea sharing and crucial Project matters, flexibility will be observed in the line of communication. At national level, communication with the government and donors will be maintained by the senior management of CBA and UNDP.

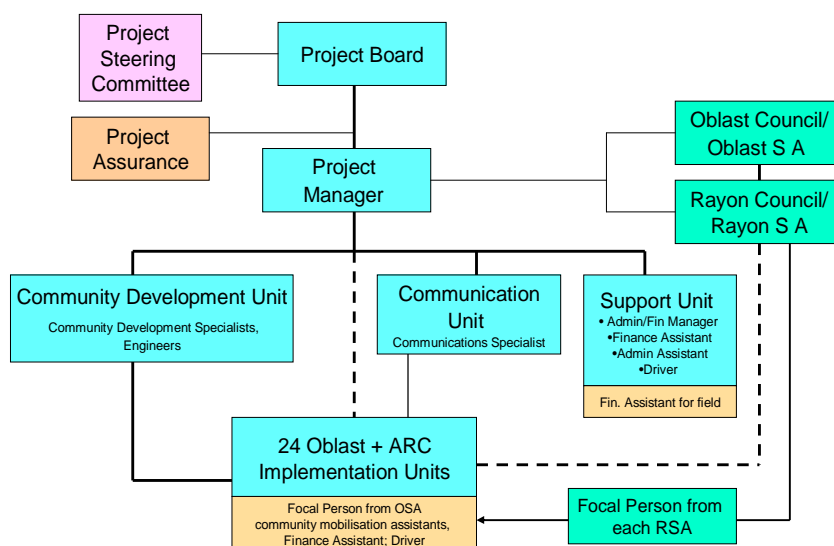


Chart – VII: Communication Line in CBA

## 8.6 Organise Reviews and Evaluations

Review and evaluation are inseparable part of a Project. Review is often internal and it may involve major stakeholders whereas evaluation is often external and independent.

### 8.6.1 Organise periodical review

Periodical review should be organised on quarterly basis, half yearly basis and annual basis. Quarterly/half-yearly reviews are very much internal and involve partner NGO, project management, UNDP-representatives and local stakeholders as necessary. Annual review, on the other hand, involves national/international stakeholders as well. Project review focuses on physical progress for the period, opportunities and challenges and trouble shooting. Purpose is to enable the Project continue smoothly and effectively towards its objective.

Review can take place at local (i.e. LDF, OCC) level, management level, donor level and government level as necessary.

### 8.6.2 Organise mid-term evaluation

Mid-term evaluation of a project is important in that it assesses whether the project implementation is going on according to plan and procedure. MTE involves external experts/independent evaluators who have capacity to capture opportunities and challenges facing the project and offer best possible options for keeping the project on track. Often, the evaluators have limited time. They derive conclusions based on limited field visits, interaction with stakeholders and heavy reading of Project related documents (e.g. project documents, quarterly/annual reports, review reports and special studies, if any). Thus, it is advisable for CBA Project (PMU and OIU) to carry out a few studies, in advance, on various aspects of the Project activities using national experts or its own professionals. The MTE is envisaged to take place during 24<sup>th</sup> month of the Project.

### 8.6.3 Organise final evaluation

Normally, the UNDP country office commissions final evaluation of a Project towards end or just after the end of the Project period. The final evaluation will be external and independent. It will assess the results/impacts of the Project activities on the living condition of the target population. The final evaluation might include a team of multi-sectoral experts to deal with multi-dimensional nature of the project. The final evaluation team may carry out rather extensive field visits, stakeholder interactions and in-depth study of the documents (annual progress reports, MTE-report, study reports, project document – original and revised) before making inferences. The PMU and OIU teams must prepare in advance for the final evaluation by gathering maximum information and making case studies so that the evaluators could get maximum information in short time.

#### **Box - XXV: CBA Project: Procedures for follow up and internal/external evaluation**

CBA Project will be subject to standard monitoring procedures of the EU. In addition, the Project will develop an internal monitoring system based upon regular data collection and reporting against the indicators of the Project's Logical Framework. Project monitoring and evaluation will be based on periodic assessment of progress on delivery of specified project results and towards achievement of Project objectives. The Project's PMU will make significant input into monitoring of the implementation progress. Regular presentations to the EU-Ukraine Subcommittee on Economic and Social Affairs, Finance and Statistics (SC 2) will ensure in-depth involvement and commitment of the Ukrainian side to the monitoring from the Project partner's side.

UNDP will organise an external mid-term evaluation (no later than 24 months after commencement of the Project) in order to verify efficiency of aid, effectiveness of Project implementation and validity of the Project approach and methodologies and make recommendations for the remaining implementation period. A final evaluation will be organised after Project completion, which will also focus on impact and sustainability of outputs. In addition, the contracts will be subject to the usual co-financing audit arrangements.

## 8.7 Make policy recommendation

CBA is expected to generate several issues that will require policy changes for effective implementation for the remaining period or for scaling up of the approach it has pursued to empower local communities. Following steps are essential in this direction:

### 8.7.1 Commission policy studies

A series of studies must be carried out henceforth on those aspects of the Project activities that require policy changes for full exploitation of the potential/opportunities generated by the Project. It is better to involve nationally renowned professionals/scholars in such studies.

### 8.7.2 Initiate process of policy recommendation

Policy studies will result into a set of policy recommendations that ought to be considered by policy makers. Following steps may be followed for this purpose:

- Publish simplified version of the study report;
- Organise a series of regional/national roundtables for debate on the policy recommendations made by the studies;
- Organise study tours for policy makers, professionals and officials of the focal ministry etc. to make them aware about the facts on the ground;
- Work with the focal ministry to get acceptance for bringing the agenda to be submitted to the Parliament;
- Support the relevant government body to carry out legal drafting

#### **Box - XXVI: CBA Project: Good Practices, Lessons Learned & Policy Recommendations**

During the entire process, good practices and lessons learned will be documented and discussed at the LDF and Thematic Donor-Government Sub-Group A4 "Regional Cooperation" for sharing information and knowledge among all stakeholders. This information will be also available in electronic library established at the CBA web site and in the OIU/CRC.

The main results of this activity will be development of practical standards for community based local development (co-funding mechanisms between community (citizens' recourses), public authorities (state budget recourses) and donors (development aid recourses), relevant procedures, case studies, etc).

For this purpose, two national project conferences will be organised (mid-project and final conference) in participation of various stakeholders including representatives of -

- Key Ministries
- Partner oblast and rayon councils/state administrations
- Partner village/city councils
- Partner community organizations
- Donors community
- CBA Project

The following main issues will be covered during the conference:

- Project results to date, covering the issues of lessons learned, major achievements and obstacles
- Presentations from oblast authorities,
- Case-studies presentation, made by COs
- Future prospective of project development
- Policy recommendations to respective government bodies

The policy recommendations developed during the above-mentioned events will be further analysed and compiled by the Local Governance and Development Knowledge Network<sup>12</sup> and brought to the attention of policy makers through the Donor-Government Thematic Group A4, the Blue Ribbon Commission and other mechanisms supported by UNDP

<sup>12</sup> The Local Governance and Development Knowledge Network is a knowledge management mechanism with virtual and face-to-face components that provide a forum for community members, community organisations, local and central authorities, development organisations, civil society, etc to share experience and information, post queries, share solutions and good practices. Discussion threads will be moderated, compiled, summarised and shared with Network members and also retained to inform UNDP's policy advisory and advocacy interventions regarding local governance and development (ie. LDP). The Knowledge Network is NOT part of the CBA programme, but a complementary UNDP project.

## **8.8 Future Outlook**

In principle, CBA project aims to leave its legacy beyond the Project period. It is expected that a series of activities might take place from various level of its partners to continue utilisation of the knowledge gained during the first phase. In this context, following possibilities are envisioned:

### ***8.8.1 Additional cycle of support from CBA Project***

Depending on the outcome of the community mobilisation process and the sub-projects completed under the first cycle, as well as the availability of funding, a new cycle can start, expanding on the first one by involving new raiyons, municipalities and communities, undertaking second priority sub-projects in existing COs and/or starting other types of activities with support of other donors funding (economic, local governance, etc.).

Project visibility and implementation strategy should be made attractive for other international donors so that they are able to participate / co-finance community initiatives identified / developed beyond five priority areas set up for CBA project (e.g. culture, education, etc). For this purpose, donors provided financial support for such community projects should be adequately promoted and visualised (logo on relevant communication materials and commemorative plaques, etc), while the EC and UNDP should be visualised as donors financing technical assistance for the overall action.

### ***8.8.2 Implementation of Policy/Legal Reforms***

The Project, upon completion, will have provided a platform for the possible implementation of relevant policy/legal reforms that would facilitate the dissemination of the community-based approach to other areas.

### ***8.8.3 Reaching next generation***

The learning of the CBA Project should be disseminated to next generation through academia and specialised training institutions so that students and civil servants are able to get sufficient information about the approach and its effectiveness before they enter into professional life.

## **ANNEXURE**

Annex – I  
Time Plan of the CBA

2008													
Activity \ Month	Semester 1						Semester 2						Implementing body
	1	2	3	4	5	6	7	8	9	10	11	12	
1. Pre-launching phase (before month 1)													EU Delegation & thematic sub-group A4
2. Project launch													EU, UNDP, national counterparts
3. PMU establishment													UNDP
4. OIU establishment													UNDP, Oblast authorities
5. Staff training													UNDP ongoing ABD projects
6. Information & media strategy													UNDP & PMU
7. Selection of raiyons/ VC/CC													PMU & Oblast authorities
8. Selection of target communities													PMU/OIU, district/VC/CC- authorities
9. Community mobilisation & training													OIUs and local focal points
10. Community work plan preparation & approval													Community Orgs. (COs), OIUs, local authorities

2009													
Activity \ Months	13	14	15	16	17	18	19	20	21	22	23	24	Implementing body
11. Community work plan preparation & approval													Community Orgs. (COs), OIUs, local authorities
12. Sub-project design													COs, OIUs, local authorities
13. Sub-project implementation													COs, contractors, local authorities
14. Evaluation/policy recommendations													All project partners & stakeholders
15. Dissemination & policy implementation													Government at all levels, UNDP, etc.

2010 - 11							
Activity \ Quarters	1	2	3	4	1	2	Implementing body
16. Community work plan preparation & approval							Community Orgs. (COs), OIUs, local authorities
17. Sub-project design							COs, OIUs, local authorities
18. Sub-project implementation							COs, contractors, local authorities
19. Handover & sustainability							COs, local authorities
20. Evaluation / policy recommendations							All project partners & stakeholders
21. Dissemination & policy implementation							Government at all levels, UNDP, etc.

Annex – II A  
**Sample (Tripartite) Partnership Agreement with Oblast Authorities**

**PARTNERSHIP AGREEMENT**  
**between**

**United Nations Development Programme**  
**and XXXXX Oblast State Administration and**  
**XXXXX Oblast Council**

This Agreement (hereinafter referred to as the “Agreement”) has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell, UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with agreement between UN and the Government of Ukraine of 1992, as well as in line with the European Community Contribution Agreement with the United Nations Development Programme dated 4th September 2007 (hereinafter referred to as “UNDP”) and **XXXXX Oblast Council** represented by Mr. **XXXXX X.X.**, the Head of the Oblast Council (hereinafter referred to as **Oblast Council**) and **XXXXX Oblast State Administration**, represented by Mr. **XXXXX X.X.**, the Head of the Oblast State Administration (hereinafter referred to as **Oblast State Administration**), acting in the framework of their competence according to the Law of Ukraine.

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

NOW the UNDP and Oblast Council and Oblast State Administration (Partners) hereby express their desire and willingness to **cooperate within the project “Community Based Approach to Local Development” funded by the European Union’s Tacis Programme for Ukraine and UNDP** (hereinafter referred to as “CBA project”) for the purpose of:

- ♦ sustainable social, environmental and economic development;
- ♦ elaborating the mechanisms for participatory decision making;
- ♦ mobilizing resources to finance specific programmes and projects aimed at social integration, recovery and sustainable development.

NOW, therefore, the partners hereto agree as follows:

**1. Responsibilities of the Oblast Council:**

- 1.1 To facilitate allocation of land and communal objects, used for benefits of the local communities, for implementation of the technical assistance projects.
- 1.2 To approve oblast budget and assist in approving rayon budgets with allocation of appropriate funds for local communities’ technical assistance projects implementation.

**УГОДА ПРО ПАРТНЕРСТВО**  
**між**

**Програмою розвитку Організації Об’єднаних Націй та**  
**XXXXX обласною державною адміністрацією та XXXXX**  
**Обласною Радою**

Ця Угода про партнерство (далі Угода) складена між **Програмою розвитку Організації Об’єднаних Націй**, в особі пана Френсіса О’Доннелла, Координатора програм ООН, Постійного представника ПРООН в Україні, діючи у відповідності з Угодою між представництвом ООН та Урядом України від 1992 року, а також відповідно до Угоди про спів-фінансування між Європейським Союзом та Програмою розвитку Організації Об’єднаних Націй від 4 Вересня 2007 (далі **ПРООН**) та **Обласною Радою XXXXX області** в особі п. **XXXXX X.X.**, Голови обласної ради (далі **Обласна Рада**) та **XXXXX обласною державною адміністрацією** в особі п. **XXXXX X.X.**, Голови обласної державної адміністрації (далі **Обласна державна адміністрація**), які діють в межах відповідних компетенцій, визначених чинним Законодавством України

ПРИЙМАЮЧИ ДО УВАГИ те, що ПРООН та Обласна Рада та Обласна державна адміністрація визнають той факт, що існують певні перешкоди в забезпеченні сталого соціального, економічного та екологічного розвитку в **XXXXX** Області.

НА ДАНИЙ ЧАС ПРООН та Обласна Рада та Обласна державна адміністрація дійшли згоди щодо **бажання та готовності співпрацювати в рамках проекту «Місцевий розвиток орієнтований на громаду», що фінансується Програмою Європейського Союзу «Tacis» в Україні** (далі МРГ) задля:

- сталого соціального, екологічного та економічного розвитку;
- ♦ розробки механізму прийняття рішень за принципом участі громадськості;
- ♦ мобілізації ресурсів для фінансування спеціальних програм та проектів спрямованих на соціальну інтеграцію, відновлення та сталий розвиток.

ТАКИМ ЧИНОМ, сторони дійшли згоди щодо наступного:

**1. Обов’язки Обласної Ради:**

- 1.1 Сприяти виділенню землі та об’єктів комунальної власності, які забезпечують спільні потреби територіальних громад, для реалізації проектів технічної допомоги.
- 1.2 Затверджувати обласний та сприяти затвердженню районних бюджетів, з врахуванням коштів на реалізацію проектів технічної допомоги місцевими громадами.



1.3 To consider programs on social-economic development of the region with involving of local communities to the planning process and approve their implementation.

## 2. Responsibilities of the Oblast State Administration:

- 2.1 To assist in development and registration 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
- 2.2 To mobilize the elected authorities, rayon administrations, non-government organization, government agencies and others to support integration, recovery and development activities in the oblast and to facilitate networking of local authorities, community organizations, NGOs, small enterprises, educational and cultural institutions to support integration, recovery and development efforts made at rayon level.
- 2.3 To assist in formation of the Project's 'Oblast co-ordination Council', Chaired by the Head of Oblast State Administration, for monitoring of CBA project implementation and ensuring sustainability of the community projects.
- 2.4. To assist in formation of the Local Development Forums in pilot rayons for designing, implementation, monitoring and ensuring sustainability of community projects.
- 2.5 To identify priorities for the regional development together with the local communities.
- 2.6. To prepare and provide, when necessary, technical documentation and information for the projects implemented in the region.
- 2.7. Based on the law of Ukraine to assist in allocation of land and premises for the implementation of the relevant technical assistance projects by local communities.
- 2.8 To provide organizational and technical support to community projects. Support in financial and material assistants.
- 2.9. To facilitate that the structures constructed/rehabilitated in the framework of the infrastructure development will be transferred to the relevant rayon's territorial communities/ community based organizations for the ownership, operation and maintenance, according to the legislation in force.
- 2.10. To incorporate development initiatives to programs of the oblast.
- 2.11. To allocate office space for the Community Recourse Centre (CRC) and to provide staff, funded by the oblast administration, to work on a day to day basis with the CRC staff members appointed by UNDP to carry out the activities that enhance community-based development in the region and to institutionally incorporate the functions of the CRC into the Oblast State Administration in due course.

1.3 Розглядати програми соціально-економічного розвитку регіону, з залученням місцевої громадськості до процесу планування, та координувати їх впровадження.

## 2. Обов'язки Обласної державної адміністрації:

- 2.1 Сприяти розвитку та реєстрації самоврядних організацій громад в сільських/міських населених пунктах задля залучення їх до участі в прийнятті рішень, щодо вирішення проблем що мають вплив на їхнє життя.
- 2.2 Мобілізувати виборні органи влади, районні адміністрації, неурядові організації, державні інституції та інші зацікавлені сторони для підтримки інтеграційних заходів, відновлення та розвитку активності в області та сприяти об'єднанню зусиль місцевих органів влади, організацій громад, неурядових організацій, малих підприємств, освітніх й культурних установ для підтримки зусиль з інтеграції, відновлення та розвитку на районному рівні.
- 2.3. Сприяти формуванню Обласної Координаційної Ради, очолюваної Головою обласної державної адміністрації, для моніторингу реалізації проекту МРГ та забезпечення сталості проектів громад.
- 2.4. Сприяти формуванню Форуму Місцевого Розвитку в пілотних районах для планування, реалізації, моніторингу та забезпечення сталості проектів громад.
- 2.5. Разом з громадами визначати пріоритети регіонального розвитку.
- 2.6. У разі необхідності, підготувати та надати технічну документацію та інформацію для реалізації проектів в регіоні.
- 2.7. На законодавчих підставах сприяти виділенню земельних ділянок та приміщень для реалізації місцевими громадами відповідних проектів технічної допомоги.
- 2.8. Надавати організаційну та технічну допомогу проектам громад. Сприяти у виділенні фінансової та матеріальної підтримки.
- 2.9. Сприяти тому, що споруди, побудовані/відновлені в рамках інфраструктурного розвитку, будуть передані у власність територіальним громадам району/організаціям громад, роботи та утримання - згідно з діючим законодавством.
- 2.10. Включити ініціативи громад до програм, які формуються державною обласною адміністрацією.
- 2.11. Виділити приміщення для Ресурсного центру громади (РЦГ) та призначити працівників, для щоденної роботи з персоналом РЦГ, призначеним ПРООН, для реалізації заходів щодо посилення орієнтованого на громаду розвитку в регіоні з перспективою інституційної передачі функцій РЦГ до обласної державної адміністрації відповідно.

### 3. Obligations of UNDP:

- 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 To make available, as appropriate, advisory and technical assistance support services in the areas of governance, social, economic and environmental activities to enhance integration, recovery and sustainable development in the region.
- 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 integration, recovery and sustainable development initiatives.
- 3.4 To provide relevant institutional support to the rayon state administrations in pilot rayons for promotion of local governance, integration, recovery and sustainable development.
- 3.5 To provide institutional capacity building at the community, village/city council and rayon levels, through training and organizational development.
- 3.6 To provide support in elaboration of the regional development plan through participatory and decentralized planning process.
- 3.7 To encourage the involvement of civil society into the development process and technical assistance projects.
- 3.8 To facilitate for enhancing the capacity of the small/medium entrepreneurs in the region for economic activities.
- 3.9 To appoint CBA staff members for CRC to work together with relevant staff members of oblast administration, specifically nominated for this purpose, to implement integration, recovery and development initiatives in the oblast.

### 4. Duration:

- 4.1 This Agreement is valid from the moment of its signing up and up to 31 December 2010.

### 5. Correspondence:

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

For UNDP:

1 Klovsky Uzviz, Kyiv,  
01024, Ukraine

For the Oblast Council:

.....  
.....

For the Oblast State Administration:

.....  
.....

### 3. Обов'язки ПРООН:

- 3.1 Надавати підтримку процесу мобілізації та організації членів цільових громад у вибраних місцевих радах для планування, управління та реалізації ініціатив з розвитку в рамках проекту МРГ.
- 3.2. У разі необхідності надавати відповідні консультації та технічну допомогу в сферах самоврядування, соціальної, економічної та екологічної діяльності для забезпечення інтеграції, відновлення та сталого розвитку в регіоні.
- 3.3. Надавати підтримку членам цільових громад, обраним органам влади та районним адміністраціям з мобілізації місцевих ресурсів та зовнішньої підтримки для реалізації ініціатив інтеграції, відновлення та сталого розвитку.
- 3.4. Надавати відповідну інституційну підтримку районним державним адміністраціям в пілотних районах для поширення практики місцевого врядування, інтеграції, відновлення та сталого розвитку.
- 3.5. Зміцнювати інституційну спроможність на рівні громади, села/міської ради та району шляхом проведення тренінгів та розвитку організацій.
- 3.6. Сприяти розробці регіонального плану розвитку шляхом процесу спільного та децентралізованого планування.
- 3.7 Підтримувати залучення широкої громадськості до процесу розвитку та до проектів технічної допомоги.
- 3.8. Сприяти посиленню спроможності малих/середніх підприємців регіону до економічного розвитку.
- 3.9 Призначати працівників МРГ для РЦГ з метою спільної роботи з відповідними працівниками обласної адміністрації, які будуть спеціально призначені з метою реалізації ініціатив спрямованих на інтеграцію, відновлення та розвиток в області.

### 4. Термін дії:

- 4.1 Дана Угода є дійсною з моменту підписання до 31 грудня 2010 р.

### 5. Кореспонденція:

- 5.1. Вся наступна кореспонденція щодо виконання цієї Угоди має надсилатись за такими адресами:

До ПРООН:

Україна, 01024, Київ  
Кловський узвіз, 1

До Обласної Ради:

.....  
.....

До Обласної державної адміністрації:

.....  
.....

## 6. General Conditions:

- 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. 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  
**Francis O'Donnell**

### Від імені ПРООН:

Постійний Представник ПРООН,  
Постійний координатор системи  
ООН в Україні  
**Френсіс О'Доннелл**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

## 6. Загальні положення:

- 6.1. Список пріоритетів та проектів технічної допомоги будуть спільно розроблені та затверджені партнерами у вигляді робочих планів співпраці.
- 6.2. Будь-які додатки чи зміни до даної Угоди, виключення будь-якого з пунктів чи додавання нових може бути погоджено партнерами у письмовій формі та вважаються дійсними після підписання уповноваженими представниками партнерів.
- 6.3. Партнери погоджуються залучати інші сторони до реалізації спільних проектів технічної допомоги.
- 6.5. Дана Угода підписана у двох екземплярах, кожен з яких рівноцінний на англійській та українській мові. У випадку невідповідності при перекладі тексту оригіналу, пріоритет надається англійській версії.

В ПІДТВЕРДЖЕННЯ ВИЩЕЗАЗНАЧЕНОГО, повноважні постійні представники сторін ставлять персональні підписи під даною Угодою. Дату Угоди вказано під відповідними підписами.

### On behalf of XXXXX Oblast Council:

Head of the XXXXX Oblast Council  
**XXXXXX X.X.**

### Від імені

### XXXXXX Обласної Ради:

Голова XXXXX Обласної Ради  
**XXXXXX X.X.**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

### On behalf of XXXXX

### Oblast State Administration:

Head of the XXXXX Oblast State  
Administration  
**XXXXXX X.X.**

### Від імені

### XXXXXX обласної державної адміністрації:

Голова XXXXX обласної державної  
адміністрації  
**XXXXXX X.X.**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

## ADDENDUM TO PARTNERSHIP AGREEMENT between

United Nations Development Programme  
and XXXXX Oblast State Administration and  
XXXXXX Oblast Council,  
SIGNED ON XX XXXXX, 2008

## ДОДАТОК ДО УГОДИ ПРО ПАРТНЕРСТВО, між

Програмою розвитку Організації Об'єднаних Націй  
та XXXXX обласною державною адміністрацією та  
XXXXXX Обласною Радою,  
ПІДПИСАНОЇ XX XXXXX 2008 Р.

Parties, in particular, the United Nations Development Programme (hereinafter referred to as "UNDP") and Oblast State Administration and Oblast Council have joined their efforts to cooperate within the project "Community Based Approach to Local Development" (CBA Project), which is reflected in Partnership Agreement of XX XXXXX 2008.

Сторони, а саме Програма розвитку Організації Об'єднаних Націй (далі ПРООН) та Обласна Рада та Обласна державна адміністрація, які об'єднали свої зусилля з метою співпрацювати в рамках Проекту «Місцевий розвиток орієнтований на громаду» (Проект МРГ), що відображено в Угоді про партнерство від XX XXXXX 2008 року.

## Article 1. Subject of the Annex

1.1. UNDP will co-finance up to 50% of the community project cost and in amount not exceeding 50,000 UAH per project supported under the framework of the partnership, which foresees maximum of 5 community initiatives in each selected 8 rayons of the oblast to be implemented under the guidelines of the CBA Project. The Oblast State Administration and Oblast Council will ensure availability of remaining part of the co-financing from the state resource, local community and other party if available.

1.2. Selection of rayons and local communities will be done jointly by UNDP, Oblast State Administration and Oblast Council including other stakeholders as specified in the operational framework of the CBA Project.

### **On behalf of UNDP:**

UNDP Resident Representative,  
and Resident Coordinator of the UN  
system in Ukraine  
**Francis O'Donnell**

### **Від імені ПРООН:**

Постійний Представник ПРООН,  
Постійний координатор системи  
ООН в Україні  
**Френсіс О'Доннелл**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

## Стаття 1. Предмет даного додатку

1.1 ПРООН співфінансуватиме до 50% кошторису проектів громад у розмірі не більше 7300 євро в еквіваленті на кожний проект підтриманий в рамках партнерства, що передбачає максимум 5 ініціатив громад в кожному з обраних 8 районів області, що будуть впровадженні за керівними принципами Проекту МРГ. Обласна Державна Адміністрація та Обласна Рада гарантують відповідне співфінансування з державного бюджету, місцевих громад та інших джерел за наявності.

1.2 Відбір районів та місцевих громад буде здійснений спільно ПРООН, Обласною Державною Адміністрацією та Обласною Радою, включаючи інші зацікавлені сторони як зазначено в операційних рамках Проекту МРГ.

### **On behalf of XXXXX Oblast Council:**

Head of the XXXXX Oblast Council  
**XXXXX X.X.**

### **Від імені**

**XXXXX Обласної Ради:**  
Голова XXXXX Обласної Ради  
**XXXXX X.X.**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

### **On behalf of XXXXX**

**Oblast State Administration:**  
Head of the XXXXX Oblast State  
Administration  
**XXXXX X.X.**

### **Від імені**

**XXXXX обласної державної  
адміністрації:**  
Голова XXXXX обласної державної  
адміністрації  
**XXXXX X.X.**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

Annex – II B  
**Sample (bilateral) Partnership Agreement with Oblast Authorities**

**PARTNERSHIP AGREEMENT**  
**between**

**United Nations Development Programme**  
**and XXXX Oblast State Administration**

This Agreement (hereinafter referred to as the “Agreement”) has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell, UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with agreement between UN and the Government of Ukraine of 1992, as well as in line with the European Community Contribution Agreement with the United Nations Development Programme dated 4th September 2007 (hereinafter referred to as “UNDP”) and **XXXX Oblast State Administration**, represented by Mr. **XXXX**, the Head of the Oblast State Administration (hereinafter referred to as **Oblast State Administration**), acting in the framework of their competence according to the Law of Ukraine.

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

NOW the UNDP and Oblast Council and Oblast State Administration (Partners) hereby express their desire and willingness to **cooperate within the project “Community Based Approach to Local Development” funded by the European Union’s Tacis Programme for Ukraine and UNDP** (hereinafter referred as “CBA project”) for the purpose of:

- ♦ sustainable social, environmental and economic development;
- ♦ elaborating the mechanisms for participatory decision making;
- ♦ mobilizing resources to finance specific programmes and projects aimed at social integration, recovery and sustainable development.

NOW, therefore, the partners hereto agree as follows:

**1. Responsibilities of the Oblast State Administration:**

- 1.1 To assist in development and registration 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 administrations, non-government organization, government agencies and others to support integration, recovery and development activities in the oblast and to facilitate networking of local

**УГОДА ПРО ПАРТНЕРСТВО**  
**між**

**Програмою розвитку Організації Об’єднаних Націй та**  
**XXXX обласною державною адміністрацією**

Ця Угода про партнерство (далі Угода) складена між **Програмою розвитку Організації Об’єднаних Націй**, в особі пана Френсіса О’Доннелла, Координатора програм ООН, Постійного представника ПРООН в Україні, діючи у відповідності з Угодою між представництвом ООН та Урядом України від 1992 року, а також відповідно до Угоди про спів-фінансування між Європейським Союзом та Програмою розвитку Організації Об’єднаних Націй від 4 Вересня 2007 (далі **ПРООН**) та **XXXX обласною державною адміністрацією** в особі п. **XXXX**, Голова обласної державної адміністрації (далі **Обласна державна адміністрація**), які діють в межах відповідних компетенцій, визначених чинним Законодавством України

ПРИЙМАЮЧИ ДО УВАГИ те, що ПРООН та Обласна Рада та Обласна державна адміністрація визнають той факт, що існують певні перешкоди в забезпеченні сталого соціального, економічного та екологічного розвитку в **XXXX** Області.

НА ДАНИЙ ЧАС ПРООН та Обласна Рада та Обласна державна адміністрація дійшли згоди щодо **бажання та готовності співпрацювати в рамках проекту «Місцевий розвиток орієнтований на громаду», що фінансується Програмою Європейського Союзу «Tacis» в Україні** (далі МРГ) задля:

- сталого соціального, екологічного та економічного розвитку;
- ♦ розробки механізму прийняття рішень за принципом участі громадськості;
- ♦ мобілізації ресурсів для фінансування спеціальних програм та проектів спрямованих на соціальну інтеграцію, відновлення та сталий розвиток.

ТАКИМ ЧИНОМ, сторони дійшли згоди щодо наступного:

**1. Обов’язки Обласної державної адміністрації:**

- 1.1 Сприяти розвитку та реєстрації самоврядних організацій громад в сільських/міських населених пунктах задля залучення їх до участі в прийнятті рішень, щодо вирішення проблем що мають вплив на їхнє життя.
- 1.2 Мобілізувати виборні органи влади, районні адміністрації, неурядові організації, державні інституції та інші зацікавлені сторони для підтримки інтеграційних заходів, відновлення та розвитку активності в області та сприяти об’єднанню зусиль



authorities, community organizations, NGOs, small enterprises, educational and cultural institutions to support integration, recovery and development efforts made at rayon level.

- 1.3 To assist in formation of the Project's 'Oblast co-ordination Council', Chaired by the Head of Oblast State Administration, for monitoring of CBA project implementation and ensuring sustainability of the community projects.
- 1.4. To assist in formation of the Local Development Forums in pilot rayons for designing, implementation, monitoring and ensuring sustainability 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.
- 1.7. Based on the law of Ukraine to assist in allocation of land and premises for the implementation of the relevant technical assistance projects by local communities.
- 1.8 To provide organizational and technical support to community projects.
- 1.9. To facilitate that the structures constructed/rehabilitated in the framework of the infrastructure development will be transferred to the relevant rayon's territorial communities/ community based organizations for the ownership, operation and maintenance, according to the legislation in force.
- 1.10. To incorporate development initiatives to programs of the oblast.
- 1.11. To allocate office space for the Community Recourse Centre (CRC) and to provide staff, funded by the oblast administration, to work on a day to day basis with the CRC staff members appointed by UNDP to carry out the activities that enhance community-based development in the region and to institutionally incorporate the functions of the CRC into the Oblast State Administration in due course.

## 2. Obligations of UNDP:

- 2.1 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.
- 2.2 To make available, as appropriate, advisory and technical assistance support services in the areas of governance, social, economic and environmental activities to enhance integration, recovery and sustainable development in the region.
- 2.3 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 integration, recovery and sustainable development initiatives.
- 2.4 To provide relevant institutional support to the rayon

місцевих органів влади, організацій громад, неурядових організацій, малих підприємств, освітніх й культурних установ для підтримки зусиль з інтеграції, відновлення та розвитку на районному рівні.

- 1.3. Сприяти формування Обласної Координаційної Ради, очолюваної Головою обласної державної адміністрації, для моніторингу реалізації проекту МРГ та забезпечення сталості проектів громад.
- 1.4. Сприяти формуванню Форуму Місцевого Розвитку в пілотних районах для планування, реалізації, моніторингу та забезпечення сталості проектів громад.
- 1.5. Разом з громадами визначати пріоритети регіонального розвитку.
- 1.6. У разі необхідності, підготувати та надати технічну документацію та інформацію для реалізації проектів в регіоні.
- 1.7. На законодавчих підставах сприяти виділенню земельних ділянок та приміщень для реалізації місцевими громадами відповідних проектів технічної допомоги.
- 1.8. Надавати організаційну та технічну допомогу проектам громад.
- 1.9. Сприяти тому, що споруди, побудовані/відновлені в рамках інфраструктурного розвитку, будуть передані у власність територіальним громадам району/організаціям громад, роботи та утримання - згідно з діючим законодавством.
- 1.10. Включити ініціативи громад до програм обласної адміністрації та її структурних підрозділів.
- 1.11. Виділити приміщення для Ресурсного центру громади (РЦГ) та призначити працівників, для щоденної роботи з персоналом РЦГ, призначеним ПРООН, для реалізації заходів щодо посилення орієнтованого на громаду розвитку в регіоні з перспективою інституційної передачі функцій РЦГ до обласної державної адміністрації відповідно.

## 2. Обов'язки ПРООН:

- 2.1 Надавати підтримку процесу мобілізації та організації членів цільових громад у вибраних місцевих радах для планування, управління та реалізації ініціатив з розвитку в рамках проекту МРГ.
- 2.2. У разі необхідності надавати відповідні консультації та технічну допомогу в сферах самоврядування, соціальної, економічної та екологічної діяльності для забезпечення інтеграції, відновлення та сталого розвитку в регіоні.
- 2.3. Надавати підтримку членам цільових громад, обраним органам влади та районним адміністраціям з мобілізації місцевих ресурсів та зовнішньої підтримки для реалізації ініціатив інтеграції, відновлення та сталого розвитку.
- 2.4. Надавати відповідну інституційну підтримку районним

state administrations in pilot rayons for promotion of local governance, integration, recovery and sustainable development.

- 2.5 To provide institutional capacity building at the community, village/city council and rayon levels, through training and organizational development.
- 2.6 To provide support in elaboration of the regional development plan through participatory and decentralized planning process.
- 2.7 To encourage the involvement of civil society into the development process and technical assistance projects.
- 2.8 To facilitate for enhancing the capacity of the small/medium entrepreneurs in the region for economic activities.
- 2.9 To appoint CBA staff members for CRC to work together with relevant staff members of oblast administration, specifically nominated for this purpose, to implement integration, recovery and development initiatives in the oblast.

### 3. Duration:

- 3.1 This Agreement is valid from the moment of its signing up and up to 31 December 2010.

### 4. Correspondence:

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

For UNDP:

1 Klovsky Uzviz, Kyiv,  
01024, Ukraine

For the Oblast Council:

.....  
.....

For the Oblast State Administration:

.....  
.....

### 5. General Conditions:

- 5.1 List of priorities and technical assistance projects will be developed and approved jointly by the Partners in the form of the working cooperation plan.
- 5.2. 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.
- 7.3. The Partners agree to attract the other parties to the implementation of joint technical assistance projects.
- 5.4. 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.

державним адміністраціям в пілотних районах для поширення практики місцевого врядування, інтеграції, відновлення та сталого розвитку.

- 2.5.Зміцнювати інституційну спроможність на рівні громади, села/міської ради та району шляхом проведення тренінгів та розвитку організацій.
- 2.6.Сприяти розробці регіонального плану розвитку шляхом процесу спільного та децентралізованого планування.
- 2.7 Підтримувати залучення широкої громадськості до процесу розвитку та до проектів технічної допомоги.
- 2.8.Сприяти посиленню спроможності малих/середніх підприємців регіону до економічного розвитку.
- 2.9 Призначати працівників МРГ для РЦГ з метою спільної роботи з відповідними працівниками обласної адміністрації, які будуть спеціально призначені з метою реалізації ініціатив спрямованих на інтеграцію, відновлення та розвиток в області.

### 3. Термін дії:

- 3.1 Дана Угода є дійсною з моменту підписання до 31 грудня 2010 р.

### 4. Кореспонденція:

- 4.1. Вся наступна кореспонденція щодо виконання цієї Угоди має надсилатись за такими адресами:

До ПРООН:

Україна, 01024, Київ  
Кловський узвіз, 1

До Обласної Ради:

.....  
.....

До Обласної державної адміністрації:

.....  
.....

### 7. Загальні положення:

- 7.1. Список пріоритетів та проектів технічної допомоги будуть спільно розроблені та затверджені партнерами у вигляді робочих планів співпраці.
- 7.2. Будь-які додатки чи зміни до даної Угоди, виключення будь-якого з пунктів чи додавання нових може бути погоджено партнерами у письмовій формі та вважаються дійсними після підписання уповноваженими представниками партнерів.
- 5.3. Партнери погоджуються залучати інші сторони до реалізації спільних проектів технічної допомоги.
- 5.4. Дана Угода підписана у трьох екземплярах, кожен з яких рівноцінний на англійській та українській мові. У випадку невідповідності при перекладі тексту оригіналу, пріоритет надається англійській версії.

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  
**Francis O'Donnell**

**Від імені  
ПРООН:**  
Постійний Представник ПРООН,  
Постійний координатор системи ООН в Україні  
**Френсіс О'Доннелл**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

**ADDENDUM TO  
PARTNERSHIP AGREEMENT  
between  
United Nations Development Programme  
And XXXX Oblast State Administration,  
SIGNED ON XX FEBRUARY, 2008**

Parties, in particular, the United Nations Development Programme (hereinafter referred to as "UNDP") and Oblast State have joined their efforts to cooperate within the project "Community Based Approach to Local Development" (CBA Project), which is reflected in Partnership Agreement of XX February 2008.

**Article 1. Subject of the Annex**

1.3. UNDP will co-finance up to 50% of the community project cost and in amount not exceeding 7300 euro equivalent per project supported under the framework of the partnership, which foresees maximum of 5 community initiatives in each selected 8 rayons of the Oblast to be implemented under the guidelines of the CBA Project. The Oblast State Administration will ensure availability of remaining part of the co-financing from the state resource, local community and other party if available.

В ПІДТВЕРДЖЕННЯ ВИЩЕЗАЗНАЧЕНОГО, повноважні постійні представники сторін ставлять персональні підписи під даною Угодою. Дату Угоди вказано під відповідними підписами.

**On behalf of XXXX**  
**Oblast State Administration:**  
Head of the XXXX Oblast State Administration  
**XXXX**

**Від імені**  
**XXXX обласної державної адміністрації:**  
Голова XXXX обласної державної адміністрації  
**XXXX**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

**ДОДАТОК  
ДО УГОДИ ПРО ПАРТНЕРСТВО,  
між**

**Програмою розвитку Організації Об'єднаних Націй  
та XXXX обласною державною адміністрацією,  
ПІДПИСАНОЇ XXXX ЛЮТОГО 2008 Р.**

Сторони, а саме Програма розвитку Організації Об'єднаних Націй (далі ПРООН) та Обласна державна адміністрація, які об'єднали свої зусилля з метою співпрацювати в рамках Проекту «Місцевий розвиток орієнтований на громаду» (Проект МРГ), що відображено в Угоді про партнерство від XX лютого 2008 року.

**Стаття 1. Предмет даного додатку**

1.3 ПРООН співфінансуватиме до 50% кошторису проектів громад у розмірі не більше 7300 євро в еквіваленті на кожний проект підтриманий в рамках партнерства, що передбачає максимум 5 ініціатив громад в кожному з обраних 8 районів області, що будуть впровадженні за керівними принципами Проекту МРГ. Обласна Державна Адміністрація гарантує відповідне співфінансування з державного бюджету, місцевих громад та інших джерел за наявності.



1.4. Selection of rayons and local communities will be done jointly by UNDP, Oblast State Administration and Oblast Council including other stakeholders as specified in the operational framework of the CBA Project.

**On behalf of UNDP:**  
UNDP Resident Representative,  
and Resident Coordinator of the UN system in Ukraine  
**Francis O'Donnell**

**Від імені**  
**ПРООН:**  
Постійний Представник ПРООН,  
Постійний координатор системи ООН в Україні  
**Френсіс О'Доннелл**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

1.4 Відбір районів та місцевих громад буде здійснений спільно ПРООН, Обласною Державною Адміністрацією та Обласною Радою, включаючи інші зацікавлені сторони як зазначено в операційних рамках Проекту МРГ.

**On behalf of XXXX**  
**Oblast State Administration:**  
Head of the Zhytomyr Oblast State Administration  
**XXXX XX**

**Від імені**  
**XXXX обласної державної адміністрації:**  
Голова **XXXX** обласної державної адміністрації  
**XXXX XX**

\_\_\_\_\_  
(signature/nidnuc)

Date/Дата \_\_\_\_\_ 2008

Annex – III  
**Sample Application Form for Raiyon Authorities**

Registration number \_\_\_\_\_

Date of receipt ” \_\_\_\_ ” \_\_\_\_\_ 2008

**Application Form for Rayon  
“Community Based approach to Local Development”**

**1. Applicant`s details**

Oblast	
Rayon	
Postal address	
Phone number Local code + number	
Fax number Local code + number	
WEB-site	
e-mail	

Contact person	
Position	
Postal address	
Phone number Local code + number	
Mob. phone number	
Fax number Local code + number	
e-mail	

**Please, send application form to the following addresses:**

Project “Community Based Approach to Local Development”  
United Nations Development Programme (UNDP)  
1, Klovsky Uzviz  
01024, Kyiv, Ukraine

**e-mail:** .....  
Contact person: .....  
Phone number: .....

**2. Description of the Rayon**

- a) Provide a general information according rayon
  - Number of habitants
  - Number of village councils and city councils (VC/CC) with habitants less than 10`000
  - Name the city councils of oblast subjugation with habitants less than 10`000
  - Distance between oblast and Rayon centre
- b) Provide a short description of the existing social-economic and environmental problems in the rayon in the following areas: (*quote source of the information/data provided here if possible*).
  - water management - drinking water, micro-irrigation etc.
  - access to primary health services - health posts
  - environmental situation in rayon - utilization of wastes, sewage and drainage, greenery, Pesticide inactivation etc.
  - local transport - transportation problems for school children in rural areas
  - energy - energy saving measures, promotion of renewable energy sources, gas supply etc.
  - poverty situation

### 3. Motivation for application

3.1. Reasons of your interests to participate in the CBA Project

3.2. Your expectations from the participation in the CBA Project

3.3. Your experience in using community-based approach in local development

3.4. Your participation in the similar projects/programs (name of the project, date, donor, project amount)

3.5. Other relevant information

### 4. Willingness and commitment for participation

Your readiness to support and contribute in term of the following (please, comment):

4.1. Providing staff to support the process

4.2. Allocating resources for community projects (mention tentative amount)

4.3. Willingness to integrate community plan into regional plan

4.4. Willingness to provide organizational, monitoring and technical service

4.5. Willingness to support institutional mechanism for sustainability of the community projects

4.6. Other

### 5. Any other justifications that's shows eligibility for participation

Date „ \_\_\_\_ ” \_\_\_\_\_ 2008

Head of the Rayon Council \_\_\_\_\_ ( \_\_\_\_\_ )  
(signature)

Head of the Rayon State Administration \_\_\_\_\_ ( \_\_\_\_\_ )  
(signature)

**EXPLANATORY NOTE :**  
**How to Fill the Application Form For Rayon**

Application from rayon for participation in CBA Project should be signed by Head of rayon administration and Head of rayon council. Application should be accompanied by the official letter from rayon administration with an exit number attributed to it. A copy of this letter should be sent to rayon council.

**Part 2: Rayon Description**

Please write in brief about situation in the rayon providing the following data:

1. **Poverty Level (Hardship)** –describe hardship facing the rayon based on socio-economic indicators of the official statistics maintained by respective oblast state administration or any other research based information
2. **Water Supply**  
No. of settlements of rayon (in percentage) and population (in percentage) which have:
  - Water supply system
  - Water supply system but not functioning properly
  - Access only to water only through wells
  - No access to water (water is being brought to them)
3. **Health**
  - No. of local health points (FAPs) / ambulatories in rayon
  - No. of population (in percentage) / No. of settlements of rayon having access to health services through FAPs or ambulatories
  - No. of FAPs / ambulatories not functioning properly
  - No of FAPs / ambulatories requiring change of medical equipment to provide minimum standard of medical services
4. **Environmental Situation**
  - No. of settlement in rayon having waste management system (in percentage)
  - No. of settlement of rayon not having a sewerage system (in %)
  - Describe any other factors of deteriorated environment situation in rayon
5. **Energy Saving**
  - Practice of energy saving measures implemented in a rayon, if any (please, give examples)
  - Please, indicate if there is potential for introducing energy saving technologies or efficient use of energy sources
6. **Local Transportation**
  - No. of settlements of rayon (in percentage) not having transportation facilities for school children

**Part 3: Motivation for participation in the Project.** Please, describe your motivation for participation in the Project as well as your expectations. Indicate experience, if any, on applying community based approach for local development in your rayon by local government bodies and/or through any other agencies.

**Part 4: Commitment within the framework of Project implementation.** Please, indicate the level of commitment of local government to fulfill each of requirements for participation in the Project.

**Part 5: Other ground giving comparative advantage to your rayon for participation in the Project.** If any, please indicate other information that you think may give your rayon a comparative advantage for participation in CBA Project.

## Annex – IV

### (A) Data Table for Raiyon Selection

[illegible]

**(B) Scoring Table for Raiyon Selection\***

[illegible]

\* Scoring is done on '0 – 5' scale based on severity of the problem showed in Table A

Annex – VA  
**Sample Partnership Agreement (Tripartite) with Raiyon Authorities**

**PARTNERSHIP AGREEMENT**  
between

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

This Agreement (hereinafter referred to as the "Agreement") has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell, UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with

- agreement between UN and the Government of Ukraine of 1992;
- the European Community Contribution Agreement with the United Nations Development Programme dated 4th September 2007 (hereinafter referred to as "UNDP");
- agreement between UNDP and XXXX Oblast State Administration dated XX February 2008

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

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

and

WHEREAS the Rayon Council and Rayon State Administration (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.

**УГОДА ПРО ПАРТНЕРСТВО**  
між

**Програмою розвитку Організації Об'єднаних Націй та**  
**XXXXX Районною Радою та XXXXX Районною**  
**Державною Адміністрацією XXXXX Облaсті**

Ця Угода про партнерство (далі Угода) складена між **Програмою розвитку Організації Об'єднаних Націй**, в особі пана Френсиса О'Доннелла, Координатора програм ООН, Постійного представника ПРООН в Україні, діючи у відповідності з

- Угодою між представництвом ООН та Урядом України від 1992 року;
- Угодою про спів-фінансування між Європейським Союзом та Програмою розвитку Організації Об'єднаних Націй від 4 Вересня 2007 (далі **ПРООН**);
- Угодою про Партнерство між ПРООН та XXXX Обласною Державною Адміністрацією

та XXXXX Районною Радою в особі п XXXX.X.X., Голови районної ради (далі **Районна Рада**) та XXXXX Районною Державною Адміністрацією XXXXX області в особі п XXXX.X.X., Голови районної державної адміністрації (далі **РДА**).

ЗВАЖАЮЧИ НА ТЕ, що ПРООН та районна рада та районна адміністрація бажають підтримувати впровадження ініціатив громад, в рамках проекту «**Місцевий розвиток орієнтований на громаду**», що фінансується Програмою Європейського Союзу «**Tacis**» для України (далі МРГ) та залучати організацій громади (ОГ) до впровадження проектів спрямованих на розвиток громади,

та

ЗВАЖАЮЧИ НА ТЕ, що Районна Рада та РДА (партнери) погоджується що ПРООН підписує контракт з ОГ та залучає ОГ до впровадження проектів.

ТАКИМ ЧИНОМ, сторони дійшли згоди щодо наступного:

**Цілі Угоди**

- На районному рівні метою угоди є сприяння покращанню доступу населення до базових послуг

- Assisting residents to form Community Organizations for development and resolving socio-economic problems in communities.
- 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.
- Сприяння процесу формування жителями організацій громад, які сприятимуть розвитку та вирішенню соціально-економічних проблем громади
- Підтримка процесів врядування місцевими органами самоврядування, створення ефективної децентралізованої інституційної системи, котра надасть можливість жителям брати участь у вирішенні соціально-економічних проблем в громадах, де вони проживають.
- Сприяння вдосконаленню системи фінансування на місцевому рівні та мобілізації фінансових ресурсів для реалізації програм та проектів спрямованих на започаткування соціальної рівності та партнерства в громадах.
- Заохочувати організації громад (ОГ) до участі в прийнятті рішень, реалізації, управлінні та підтримці проектів, що впливають на їх життя.

NOW, therefore, the partners hereto agree as follows:

ТАКИМ ЧИНОМ, сторони дійшли згоди щодо наступного:

## 1 1. Responsibilities of the Rayon Council:

- 1.1 To facilitate allocation of land and communal objects, used for benefits of the local communities, for implementation of the technical assistance projects.
- 1.2 To approve rayon budget with allocation of appropriate funds for local communities' technical assistance projects implementation.
- 1.3 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 Responsibilities of Rayon Administration

- 2.1 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.
- 2.2 Assist in development of decentralized planning and governance.
- 2.3 Include prospective plans proposed by Community Organizations into the local development plan with support of rayon council.
- 2.4 To provide a staff, funded by the rayon administration, to serve as a focal point and to work on a day to day basis with the oblast implementation

## 1 1. Обов'язки Районної Ради:

- 1.1 Сприяти виділенню землі та об'єктів комунальної власності, які забезпечують спільні потреби територіальних громад, для реалізації проектів технічної допомоги.
- 1.2 Затверджувати районний бюджет з виділенням коштів на реалізацію проектів технічної допомоги місцевими громадами.
- 1.3 Розглядати програми соціально-економічного та екологічного розвитку району, за участі місцевих громад в процесі спільного планування та впровадження.

## 2 Обов'язки районної державної адміністрації:

- 2.1 У співпраці з обласною державною адміністрацією, сприяти створенню/розвитку та реєстрації організацій громад відповідно до мети та завдань МРГ.
- 2.2 Підтримувати розвиток децентралізованого планування та врядування.
- 2.3 Включати плани розвитку, запропоновані організаціями громад, в план місцевого розвитку за підтримки районної ради.
- 2.4 забезпечити працівників, що фінансуватимуться районною адміністрацією, для виконання функцій контактної особи та щоденної роботи з персоналом

unit (community resource centre) to carry out the activities that enhance community-based development in the rayon as per Annex - I

- 2.5 Contribute UAH ..... (..... hryvnas) from the budget of the Rayon Council for realization of community-based projects through community organizations.
- 2.6 Facilitate formation and functioning of the Local Development Forum in the rayon for designing, monitoring and sustainability of community projects.
- 2.7 Provide necessary administrative and technical assistance to community organizations to design and implement the joint projects and make it sustainable.
- 2.8 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 force.
- 2.9 To facilitate capacity building of the small/medium entrepreneurs in the rayon for economic activities.

### 3 Responsibilities of UNDP:

- 3.1 UNDP agrees to provide technical and financial support to community organizations to implement the community initiatives within the framework of the CBA project.
- 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.
- 3.3 Provide consultative services of national and international experts to the Rayon Administration.
- 3.4 Organize trainings on planning, programming and local governance for deputies of Rayon Administration, local councils and members of community organizations.
- 3.5 Attract resources from the international community for the realization of joint projects, aimed at resolving socio-economic-environmental problems in communities, on conditions that appropriate contributions will be provided from the side of Rayon Administration and village/city council.

### 4 Duration

- 4.1 The Present Agreement will come into force from the moment it is signed until **31 December 2010**. It can be extended, if necessary, by an amendment signed by both parties.

обласного підрозділу впровадження (ресурсний центр громади), для реалізації заходів щодо посилення, орієнтованого на громаду, розвитку в регіоні. Див. додаток 1.

зробити внесок в розмірі ..... гривень (..... гривень) з бюджету районної ради для впровадження проектів громади через організації громад.

Сприяти формуванню та функціонуванню Форуму Місцевого Розвитку в районі для спільного планування, впровадження, моніторингу та забезпечення сталості проектів громад.

Надавати необхідну адміністративну та технічну допомогу організаціям громад для розробки та впровадження спільних проектів та забезпечення їх сталості.

Гарантувати, що споруди, побудовані/відновлені в рамках інфраструктурного розвитку, будуть включені до реєстру відповідних організацій для утримання та роботи згідно з діючим законодавством.

Сприяти посиленню спроможності малих/середніх підприємств регіону до економічного розвитку.

### 3 Обов'язки ПРООН:

ПРООН погоджується надавати технічну та фінансову підтримку організаціям громад щодо впровадження ініціатив громади в МРГ.

У співпраці з районною адміністрацією, сільськими/міськими радами та жителями громади, допомогти у створенні організацій громад з метою вирішення соціально-економічних проблем.

Надавати районній адміністрації консультаційні послуги із залученням національних та міжнародних експертів.

Організовувати тренінги щодо планування, програмування та місцевого врядування для депутатів районної адміністрації, місцевих рад та членів організацій громади.

Залучати ресурси міжнародної спільноти до впровадження спільних проектів спрямованих на вирішення соціально-економічних та екологічних проблем в громадах за умов, що відповідний внесок буде зроблено районною адміністрацією та селищними/міськими радами.

### 4 Термін дії:

Дана Угода набуває чинності з моменту підписання до **31 December 2010**. Термін дії Угоди може бути продовжено шляхом внесення поправок затверджених підписами обох сторін.



## 5 Correspondence

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

**For UNDP:**

1 Klovsky Uzviz, Kyiv,  
01024, Ukraine

**For the Rayon Council:**

..... St.,  
.....  
.....Oblast  
Ukraine

**For the Rayon Administration:**

..... st.,  
..... City,  
..... Rayon,  
..... Oblast,  
Ukraine

## 6 General Provisions

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

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

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

6.4 The Rayon Council and Rayon Administration 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.

6.5 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.

6.6 The present Agreement is signed in two copies each being equally authentic in English and Ukrainian language. In case of discrepancies in translation, priority is given to English language version

## 5 Кореспонденція:

5.1 Вся наступна кореспонденція щодо виконання цієї Угоди має надсилатись за такими адресами:

**До ПРООН:**

Україна, 01024, Київ  
Кловський узвіз, 1

**До районної Ради:**

вул. ....  
місто.....  
область.....  
Україна

**До районної державної адміністрації:**

вул. ....  
місто.....  
..... району  
..... області  
Україна

## 6 Загальні положення:

6.1 Партнери (районна рада, районна адміністрація та ПРООН) погоджуються укладати партнерські угоди з організаціями громад (ОГ) для впровадження проектів спрямованих на розвиток громад на території районної.

6.2 Угоди підписані ПРООН та ОГ є невід'ємною частиною даної Угоди.

6.3 Партнери погоджуються залучати треті сторони до впровадження спільних проектів базуючись на конкурсних умовах.

6.4 Районна рада та Районна адміністрація визнає, що ПРООН та її представники ніяким чином не давали підстав чи обіцянок щодо надання іншого фінансування окрім коштів передбачених в угодах з ОГ для впровадження погоджених проектів спрямованих на розвиток громади.

6.5 Жодні доповнення чи зміни до даної Угоди, вилучення будь-якої статті чи доповнення до умови не вважатимуться дійсними і не підлягатимуть виконанню, якщо вони попереднього не затверджені та не підписані у встановленому порядку обома Партнерами.

6.6 Дана Угода підписана у двох екземплярах, кожен з яких є рівноцінним англійською та українською мовами. У випадку розбіжностей в перекладі оригіналу тексту, пріоритет надається англійській версії.

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.

НА ПІДТВЕРДЖЕННЯ ВИЩЕЗАЗНАЧЕНОГО, повноважні постійні представники сторін ставлять персональні підписи під даною Угодою. Дату Угоди вказано під відповідними підписами.

**On behalf of UNDP:**  
**UNDP Resident Representative,**  
**and Resident Coordinator of the UN**  
**system in Ukraine**  
**Francis O'Donnell**

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

**On behalf of XXXX**  
**Rayon State Administration of XXXX**  
**Oblast:**  
Head of the XXXX Rayon State  
Administration  
XXXX X.X.

**Від імені ПРООН:**  
Постійний Представник ПРООН,  
Постійний координатор системи ООН  
в Україні  
**Френсіс О'Доннелл**

**Від імені XXXX Районної Ради:**  
Голова XXXX Районної Ради  
XXXX X.X.

**Від імені XXXX**  
**Районної Державної Адміністрації**  
**XXXX Області:**  
Голова XXXX Районної Державної  
Адміністрації  
XXXX X.X.

Date/Дата \_\_\_\_\_ 2008

Date/Дата \_\_\_\_\_ 2008

Date/Дата \_\_\_\_\_ 2008

#### Annex I

#### Focal Point in Rayon Administration

#### Додаток 1

#### Контактна особа в Місцевої Адміністрації

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 Mobilization Assistant 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 local improvement projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region;
- Work with COs members to initiate social/economic/environmental development strategies in community sites of the rayon;
- Assist in establishment Local Development Forum and in its effective of functioning;

з наміром забезпечити районну адміністрацію напрацюваннями Обласного Підрозділу Впровадження/Ресурсного Центру Громад (ОПВ/РЦГ), державний службовець, призначений районною державною адміністрацією, щоденно працюватиме з працівниками ОПВ/РЦГ, призначеними ПРООН, для здійснення дій які посилюють інтеграцію та розвиток в регіоні.

Під наглядом Районної державної адміністрації та Спеціаліста з мобілізації громад та загальним наглядом керівництва проекту контактна особа виконуватиме наступні функції:

- працюватиме на розширення партнерства та співробітництва між організаціями громад (ОГ) і владою району (в т.ч. сільською/міською радою, районною радою, районною державною адміністрацією) для впровадження проектів громад та інтеграції місцевих потреб, пріоритетів та ініціатив в вищий рівень планування розвитку району.
- працюватиме з членами організацій громад, щоб стимулювати розвиток соціальних/економічних та екологічних стратегій в районі;
- сприяти створенню Форуму Місцевого Розвитку та сприяти його ефективному функціонуванню;

- Assist in organizing special events on UN days and key EU/UNDP thematic events applicable to the rayon;
- Assist with donor visits, provides services of donor guide during donor visits and events;
- Liaise between the project and rayon council/state administration;
- Participate in training and knowledge exchange exercises;
- Perform other functions and duties as required by project management team.
- допомагати в організації спеціальних заходів пов'язаних з дням ООН та ключових заходів ООН/ПРООН; що мають відношення до району;
- допомагати у підготовці візитів донорів, супроводжувати їх під час візитів та подій;
- підтримувати зв'язок з проектом та районною радою/державною адміністрацією;
- брати участь в тренінгах та заходах з обміну знаннями;
- здійснювати інші функції та обов'язки, на прохання команди управління проектом.

***The main spheres of the supervision of the Focal Point***

- Selection of target communities
- Local Development Forums
- Community development plans and projects and their place at the district/municipal development plans
- Technical expertise and other support in the design of community lead projects
- Resources to community initiatives
- The community initiatives implementation in terms of participating in the selection of contractors, providing permits and compliance with regulations, etc.
- Handover and sustainability of the completed community-based projects

***Основні сфери нагляду контактної особи:***

- відборі цільових громад
- формування Форуму Місцевого Розвитку
- плани та проекти розвитку громад та їх місто в районних/муніципальних планах розвитку
- технічна експертиза та інша підтримка в розробленні проектів, орієнтованих на громаду
- ресурси на підтримку ініціатив громади
- впровадження ініціатив громади, в т.ч. участь у відборі підрядників, надання дозволів та погоджень тощо
- передача та подальше функціонування завершених ініціатив громад

Annex – V B  
Sample Partnership Agreement (bilateral) with Raiyon Authorities

**PARTNERSHIP AGREEMENT**  
between

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

This Agreement (hereinafter referred to as the "Agreement") has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell, UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with

- agreement between UN and the Government of Ukraine of 1992;
- the European Community Contribution Agreement with the United Nations Development Programme dated 4th September 2007 (hereinafter referred to as "UNDP");
- agreement between UNDP and **XXXX Oblast State Administration** dated **XX February 2008** and **XXXX Rayon State Administration of XXXXX Oblast**, represented by Mr./Ms. **XXXX .X.X.**, the Head of Rayon State Administration (hereinafter referred to as **Rayon Administration**).

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

and  
WHEREAS the **Rayon Administration** agrees 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 local development and resolving socio-economic, environmental problems in communities.

**УГОДА ПРО ПАРТНЕРСТВО**  
між

Програмою розвитку Організації Об'єднаних Націй  
та **XXXX Районною Державною Адміністрацією XXXX Облaсті**

Дана Угода про партнерство (далі Угода) складена між **Програмою розвитку Організації Об'єднаних Націй**, в особі пана Френсіса О'Доннелла, Координатора програм ООН, Постійного представника ПРООН в Україні, діючи у відповідності з

- Угодою між представництвом ООН та Урядом України від 1992 року;
- Угодою про спів-фінансування між Європейським Союзом та Програмою розвитку Організації Об'єднаних Націй від 4 Вересня 2007 (далі **ПРООН**);
- Угодою про Партнерство між ПРООН та **XXXX Обласною Державною Адміністрацією та XXXX районою державною адміністрацією XXXXX області** в особі п. **XXXX X.X.** Голови районної державної адміністрації (далі РДА).

ЗВАЖАЮЧИ НА ТЕ, що ПРООН та районна адміністрація бажають підтримувати впровадження ініціатив громад, в рамках проекту **«Місцевий розвиток орієнтований на громаду»**, що фінансується **Програмою Європейського Союзу «Тacіс» для України** (далі МРГ) та залучати **організацій громади (ОГ)** до впровадження проектів спрямованих на розвиток громади,

та  
ЗВАЖАЮЧИ НА ТЕ, що РДА погоджується що ПРООН підписує контракт з ОГ та залучає ОГ до впровадження проектів.

ТАКИМ ЧИНОМ, сторони дійшли згоди щодо наступного:

**Цілі Угоди**

- На районному рівні метою угоди є сприяння покращанню доступу населення до базових послуг
- Сприяння процесу формування жителями організацій громад, які сприятимуть розвитку та вирішенню соціально-економічних проблем громади.

- 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-environmental problems in communities where they reside.
- Improvement of the local budgeting system, mobilizing financial resources for implementing programs and projects, aimed at better service delivery, improvement in living quality, establishment of social equality and promotion of 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.
- Підтримка процесів врядування місцевими органами самоврядування, створення ефективної децентралізованої інституційної системи, котра надасть можливість жителям брати участь у вирішенні соціально-економічних проблем в громадах, де вони проживають.
- Сприяння вдосконаленню системи фінансування на місцевому рівні та мобілізації фінансових ресурсів для реалізації програм та проектів спрямованих на започаткування соціальної рівності та партнерства в громадах.
- Заохочувати організації громад (ОГ) до участі в прийнятті рішень, реалізації, управлінні та підтримці проектів, що впливають на їх життя.

## **1 Responsibilities of Rayon Administration**

- 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.
- 1.2 Assist in development of decentralized planning and governance.
- 1.3 Include prospective plans proposed by Community Organizations into the local development plan with support of rayon council.
- 1.4 To provide a staff, funded by the rayon administration, to serve as a focal point 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.
- 1.5 Contribute UAH ..... (..... hryvnas) from the budget of the Rayon Council for realization of community-based projects through community organizations.
- 1.6 Facilitate formation and functioning of the Local Development Forum in the rayon for designing, monitoring and sustainability of community projects.
- 1.7 Provide necessary administrative and technical assistance to community organizations to design and implement the joint projects and make it sustainable.
- 1.8 To ensure that the structures constructed/rehabilitated in the framework of the CBA project will be included into the inventory of

## **1 Обов'язки районної державної адміністрації:**

- 1.1 У співпраці з обласною державною адміністрацією, сприяти створенню/розвитку та реєстрації організацій громад відповідно до мети та завдань МРГ.
- 1.2 Підтримувати розвиток децентралізованого планування та врядування.
- 1.3 Включати плани розвитку, запропоновані організаціями громад, в план місцевого розвитку за підтримки районної ради.
- 1.4 забезпечити працівників, що фінансуватимуться районною адміністрацією, для виконання функцій контактної особи та щоденної роботи з персоналом обласного підрозділу впровадження (ресурсний центр громади), для реалізації заходів щодо посилення орієнтованого на громаду розвитку в регіоні . Див. додаток 1.
- 1.5 Робити внесок в розмірі ..... гривень (..... гривень) з бюджету районної ради для впровадження проектів громади через організації громад.
- 1.6 Сприяти формуванню та функціонуванню Форуму Місцевого Розвитку в районі для спільного планування, впровадження, моніторингу та забезпечення сталості проектів громад.
- 1.7 Надавати необхідну адміністративну та технічну допомогу організаціям громад для розробки та впровадження спільних проектів та забезпечення їх сталості.
- 1.8 Гарантувати, що споруди, побудовані/відновлені в рамках інфраструктурного розвитку, будуть включені до реєстру відповідних організацій для

	a relevant maintenance & operation organization, according to the legislation in force.		утримання та роботи згідно з діючим законодавством.
1.9	To facilitate capacity building of the small/medium entrepreneurs in the rayon for economic activities.	1.9	Сприяти посиленню спроможності малих/середніх підприємців регіону до економічного розвитку.
<b>2</b>	<b>Responsibilities of UNDP:</b>	<b>2</b>	<b>Обов'язки ПРООН:</b>
2.1	UNDP agrees to provide technical and financial support to community organizations to implement the community initiatives within the framework of the CBA project.	2.1	ПРООН погоджується надавати технічну та фінансову підтримку організаціям громад щодо впровадження ініціатив громади в МРГ.
2.2	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.	2.2	У співпраці з районною адміністрацією, сільськими/міськими радами та жителями громади, допомогти у створенні організацій громад з метою вирішення соціально-економічних проблем.
2.3	Provide consultative services of national and international experts to the Rayon Administration.	2.3	Надавати районній адміністрації консультаційні послуги із залученням національних та міжнародних експертів.
2.4	Organize trainings on planning, programming and local governance for deputies of Rayon Administration, local councils and members of community organizations.	2.4	Організовувати тренінги щодо планування, програмування та місцевого врядування для депутатів районної адміністрації, місцевих рад та членів організацій громади.
2.5	Attract resources from the international community for the realization of joint projects, aimed at resolving socio-economic-environmental problems in communities, on conditions that appropriate contributions will be provided from the side of Rayon Administration and village/city council.	2.5	Залучати ресурси міжнародної спільноти до впровадження спільних проектів спрямованих на вирішення соціально-економічних та екологічних проблем в громадах за умов, що відповідний внесок буде зроблено районною адміністрацією та селищними/міськими радами.
<b>3</b>	<b>Duration</b>	<b>3</b>	<b>Термін дії:</b>
3.1	The Present Agreement will come into force from the moment it is signed until <b>31 December 2010</b> . It can be extended, if necessary, by an amendment signed by both parties.	3.1	Дана Угода набуває чинності з моменту підписання до <b>31 December 2010</b> . Термін дії Угоди може бути продовжено шляхом внесення поправок затверджених підписами обох сторін.
<b>4</b>	<b>Correspondence</b>	<b>4</b>	<b>Кореспонденція:</b>
4.1	All further correspondence regarding the implementation of this Agreement should be addressed to:  <b>For UNDP:</b> 1 Klovsky Uzviz, Kyiv, 01024, Ukraine  <b>For the Rayon Administration:</b> ..... st., ..... City, ..... Rayon, ..... Oblast, Ukraine	4.1	Вся наступна кореспонденція щодо виконання цієї Угоди має надсилатись за такими адресами:  <b>До ПРООН:</b> Україна, 01024, Київ Кловський узвіз, 1  <b>До районної державної адміністрації:</b> вул. .... місто..... ..... району ..... області Україна

## 5 General Provisions

- 5.1 Partners (Rayon Administration and UNDP) agree to enter into agreement with community organizations (COs) for the implementation of community-based projects on the territory of the Rayon Administration.
- 5.2 The agreements signed between UNDP and the COs will be the integral part of this Agreement.
- 5.3 Partners agree to attract third parties for realization of joint projects through competitive bidding process.
- 5.4 The **Rayon Administration** 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.
- 5.5 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.
- 5.6 The present Agreement is signed in two 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**  
**Francis O'Donnell**

**Від імені ПРООН:**  
Постійний Представник ПРООН,  
Постійний координатор системи ООН в Україні  
**Френсіс О'Доннелл**

Date/Дата \_\_\_\_\_ 2008

## 5 Загальні положення:

- 5.1 Партнери (районна адміністрація та ПРООН) погоджуються укладати партнерські угоди з організаціями громад (ОГ) для впровадження проектів спрямованих на розвиток громад на території районної адміністрації.
- 5.2 Угоди підписані ПРООН та ОГ є невід'ємною частиною даної Угоди.
- 5.3 Партнери погоджуються залучати треті сторони до впровадження спільних проектів базуючись на конкурсних умовах.
- 5.4 Районна адміністрація визнає, що ПРООН та її представники ніяким чином не давали підстав чи обіцянок щодо надання іншого фінансування окрім коштів передбачених в угодах з ОГ для впровадження погоджених проектів спрямованих на розвиток громади.
- 5.5 Жодні доповнення чи зміни до даної Угоди, вилучення будь-якої статті чи доповнення до умови не вважатимуться дійсними і не підлягатимуть виконанню, якщо вони попереднього не затверджені та не підписані у встановленому порядку обома Партнерами.
- 5.6 Дана Угода підписана у двох екземплярах, кожен з яких є рівноцінним англійською та українською мовами. У випадку розбіжностей в перекладі оригіналу тексту, пріоритет надається англійській версії.

НА ПІДТВЕРДЖЕННЯ ВИЩЕЗАЗНАЧЕНОГО, повноважні постійні представники сторін ставлять персональні підписи під даною Угодою. Дату Угоди вказано під відповідними підписами.

**On behalf of XXXX**  
**Rayon State Administration of XXXX Oblast:**  
Head of the XXXX Rayon State Administration  
**XXXX X.X.**

**Від імені XXXX**  
**Районної Державної Адміністрації XXXX Області:**  
Голова XXXX Районної Державної Адміністрації  
**XXXX X.X.**

Date/Дата \_\_\_\_\_ 2008

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 Mobilization Assistant 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 local improvement projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region;
- Work with COs members to initiate social/economic/environmental development strategies in community sites of the rayon;
- Assist in establishment Local Development Forum and in its effective of functioning;
- Assist in organizing special events on UN days and key EU/UNDP thematic events applicable to the rayon;
- Assist with donor visits, provides services of donor guide during donor visits and events;
- Liaise between the project and rayon council/state administration;
- Participate in training and knowledge exchange exercises;
- Perform other functions and duties as required by project management team.

#### ***The main spheres of the supervision of the Focal Point***

- Selection of target communities
- Local Development Forums
- Community development plans and projects and their place at the district/municipal development plans
- Technical expertise and other support in the design of community lead projects
- Resources to community initiatives
- The community initiatives implementation in terms of participating in the selection of contractors, providing permits and compliance with regulations, etc.
- sustainability of the completed community-based projects

з наміром забезпечити районну адміністрацію напрацюваннями Обласного Підрозділу Впровадження/Ресурсного Центру Громад (ОПВ/РЦГ), державний службовець, призначений районною державною адміністрацією, щоденно працюватиме з працівниками ОПВ/РЦГ, призначеними ПРООН, для здійснення дій які посилюють інтеграцію та розвиток в регіоні.

Під наглядом Районної державної адміністрації та Спеціаліста з мобілізації громад та загальним наглядом керівництва проекту контактна особа виконуватиме наступні функції:

- працюватиме на розширення партнерства та співробітництва між організаціями громад (ОГ) і владою району (в т.ч. сільською/міською радою, районною радою, районною державною адміністрацією) для впровадження проектів громад та інтеграції місцевих потреб, пріоритетів та ініціатив в вищий рівень планування розвитку району.
- працюватиме з членами організацій громад, щоб стимулювати розвиток соціальних/економічних та екологічних стратегій в районі;
- сприяти створенню Форуму Місцевого Розвитку та сприяти його ефективному функціонуванню;
- допомагати в організації спеціальних заходів пов'язаних з дням ООН та ключових заходів ООН/ПРООН; що мають відношення до району;
- допомагати у підготовці візитів донорів, супроводжувати їх під час візитів та подій;
- підтримувати зв'язок з проектом та районною радою/державною адміністрацією;
- брати участь в тренінгах та заходах з обміну знаннями;
- здійснювати інші функції та обов'язки, на прохання команди управління проектом.

#### ***Основні сфери нагляду контактної особи:***

- відборі цільових громад
- формування Форуму Місцевого Розвитку
- плани та проекти розвитку громад та їх місто в районних/муніципальних планах розвитку
- технічна експертиза та інша підтримка в розробленні проектів, орієнтованих на громаду
- ресурси на підтримку ініціатив громади
- впровадження ініціатив громади, в т.ч. участь у відборі підрядників, надання дозволів та погоджень тощо
- передача та подальше функціонування завершених ініціатив громад



Annex – VI  
VC/CC Level Information Collection

Village/City Council:

Raiyon:

Oblast:

S. N.	Name of settlement/ micro-raiyon	HHs	Population	distance from rayon centre (km)	% of low income families	Local transportation		
						<i>transportation problems for school children</i>		
						availa ble	not available	needs to improve
	1	2	3	4	5	6	7	8
1								
2								

S. N.	Water management							
	<i>cold water supply system</i>			<i>hot water supply system</i>			<i>Need for micro- irrigation</i>	Other
	exists	Does not exist	needs improvement	exists	Does not exist	needs improvement		
							<i>please, comment</i>	
	9	10	11	12	13	14	15	16
1								
2								

S. N.	Health post		
	<i>doesn't exist</i>	<i>exist but not functional</i>	<i>function satisfactor y</i>
	17	18	19
1			
2			

Note:  
H = High degree  
M = Medium level  
L = Low level

S. N.	Environmental situation												
	sanitation problem			drainage sewerage			solid waste problem			radioactivity zone			other
	$H^i$	$M$	$L$	$H$	$M$	$L$	$H$	$M$	$L$	$H$	$M$	$L$	
	20	21	22	23	24	25	26	27	28	29	30	31	32
1													
2													

S. N.	Energy saving							
	Energy loss problem - comment	<i>access of gas supply</i>			<i>Hitting system</i>			other
		non exists	exists but not functioning	functioni ng well	non exists	exists but not functioning	functioni ng well	
1								
2								

Annex – VII  
**A Sample of Partnership Agreement between CBA Project and Village/City Council**

**Partnership Agreement  
Between United Nations Development Programme And  
..... Village/City Council**

This Agreement (hereinafter referred to as the “Agreement”) has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell, UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with agreement between UN and the Government of Ukraine of 1992, as well as in line with the European Community Contribution Agreement with the United Nations Development Programme of \_\_\_\_\_ (hereinafter referred to as “**UNDP**”) and .....**Village/City Council** of ..... Raiyon, represented by Mr./Ms. ...., the Head of Village Council (hereinafter referred to as **Village/City Council**).

WHEREAS UNDP and Village/City Council desire to provide funding to implement the community initiatives, in the context of project "**Community based approach to local development**" funded by the European Union's Tacis Programme for Ukraine (hereinafter referred as "CBA project"), and to engage the services of the **community organizations (CO)** by contracting them for realization of community-based projects in line with the agreement between UNDP and **XXXX** Oblast Council/State Administration dated **XX XXX** 2008 and **XXXX** Raiyon Council/State Administration

And

WHEREAS the **Village/City Council** agrees that UNDP signs the contract with the COs for the engagement of their services to implement the projects.

NOW, therefore, the parties hereto agree as follows:

**Objectives of Agreement**

- The overall objective of agreement on the level of the village/city council is assistance in improving basic services delivery.
- Assisting residents to form Community Organizations for development and resolving socio-economic-environmental problems in communities.
- 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-environmental 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.

<b>1</b>	<b>Responsibilities of Village/City Council - In collaboration with the Oblast and Rayon State Administration, Village/City Council of ..... oblast will:</b>	<b>1</b>
1.1	Provide assistance in creation and development 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 prospective plans proposed by Community Organizations into the local development plan.	1.3
1.4	Contribute ..... hryvnas (..... hryvnas) from the budget of the Village/City Council for realization of community-based projects through community organizations.	1.4
1.5	<b>Responsibilities of UNDP:</b> UNDP agrees to -	1.5
<b>2</b>	<b>Provide technical and financial support to community organizations to implement the community initiatives within the framework of EU funded project.</b>	<b>2</b>
2.1	Assist, in cooperation with the Village/City Council and community residents, in creating Community Organizations with the purpose of resolving socio-economic problems.	2.1
2.2	Provide consultative services of national and international experts to the Village/City Council.	2.2
2.3	Organize trainings on planning, programming and local governance for deputies of Village/City Council and members of Community Organizations.	2.3
2.4	Attract resources from the international community for the realization of joint projects, aimed at resolving socio-economic problems in communities, on conditions that appropriate contributions will be provided from the side of Village/City Council.	2.4
2.5	<b>Duration</b>	2.5
<b>3</b>		<b>3</b>
3.1	The Present Agreement is effective from the moment it is signed until _____. It can be extended, if necessary, by an amendment signed by both parties.	3.1
<b>4</b>	<b>Correspondence</b>	<b>4</b>
4.1	All further correspondence regarding the implementation of this Agreement should be addressed to: <b>For UNDP:</b>  <b>For the Village/City Council:</b> ..... Village/City Council, ..... st., ..... Settlement, ..... Raiyon, Oblast, Ukraine	4.1
<b>5</b>	<b>General Provisions</b>	<b>5</b>
5.1	Partners (Village/City Council and UNDP) agree to enter into agreement with community organizations (COs) for	5.1

the implementation of community-based projects within the jurisdiction of the Village/City Council.

- |     |   |     |
|-----|---|-----|
| 5.2 | The Agreements signed between UNDP and the COs will be the integral part of this Agreement.   | 5.2 |
| 5.3 | Partners agree to attract third parties for realization of joint projects through competitive bidding process.  | 5.3 |
| 5.4 | The <b>Village/City Council</b> 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. | 5.4 |
| 5.5 | 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.                             | 5.5 |
| 5.6 | The present Agreement is signed in two copies each being equally authentic in English and Russian language. In case of discrepancies in translation, priority is given to English language version  | 5.6 |

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:**

\_\_\_\_\_  
**Francis O'Donnell,**  
UNDP Resident Representative/  
UN Resident Coordinator in Ukraine  
Date \_\_\_\_\_ 2007

**On behalf of Village/City Council:**

\_\_\_\_\_  
.....,  
Head of ..... Village/City Council  
..... Raiyon, Ukraine  
Date \_\_\_\_\_ 2007

Annex – VIII  
**Profile of the Village/City Council**

**General Information**

Name of VC/CC:	Raiyon:	Oblast:
Address of VC/CC		
Name of the focal person:	Tel #	
Name of the VC/CC head:	Tel #	

**Demographic Information**

Name of main settlements (micro-raiyons) and associated minor settlements  
Total households/apartments by settlements (micro-raiyons)  
Total population:

- by settlements (micro-raiyons)
- by gender
- by age (children, pensioners)

**Social situation** (including key opportunities and challenges)

Number of households/apartments (or population) belonging to special category (such as low income, disability etc.)  
Ethnic distribution (if any) and situation of tolerance and cohesion  
Health related issues such as drug-addiction, HIV/AIDS

**Economic situation** (including key opportunities and challenges)

Key economic infrastructures and investments contributing to employment  
Issue of unemployment

**Ecological situation** (including key opportunities and challenges)

General ecological situation  
Specific ecological problems e.g. effect of Chernobyl disaster

**Accessibility of basic services (related with CBA Project) by settlement (micro-raiyons)** – as necessary, detail about (a) specific type of service infrastructure and service category, (b) % of population affected by the problem or level of severity of the problem e.g. low, medium, severe etc.

- Health service
- Energy related
- Environment related
- Water supply
- Transportation to rural schools

**Other agencies working in the VC/CC for the same priority area and scope of synergy or risk of duplication**

**Crude map of the VC/CC indicating key features**

Annex – IX  
Household Level Demographic Data

Settlement:

VC/CC:

Raiyon:

Oblast:

SN	Representative of HH/Apartment	Address	Age	Sex	Of total family population				Special family category (if any)	
					Male	Femal e	Childre n	Pensio ner	Low income	one or more disable member
1										
2										
3										
4										
5										

Annex – X  
**Sample Profile of the Target Communities**

**1. Basic Data**

Name of Settlement: \_\_\_\_\_ Village/City Council: \_\_\_\_\_  
Rayon: \_\_\_\_\_ Oblast: \_\_\_\_\_  
Total Population: \_\_\_\_\_ (a) Men: \_\_\_\_\_ (b) Women: \_\_\_\_\_  
(c) Children: \_\_\_\_\_ (d) Pensioners: \_\_\_\_\_ (e) Disabled: \_\_\_\_\_  
Total Households/Apartments: \_\_\_\_\_  
Number of households/apartments with: (a) one or more pensioner: \_\_\_\_\_ (b) belonging to low income category: \_\_\_\_\_  
(c) one or more disable: \_\_\_\_\_  
Contact person (if any) address: \_\_\_\_\_ Contact address: \_\_\_\_\_

**2. Economic Data**

What is the primary industry/employment provider in the village?

---

---

---

Number of officially unemployed community member: \_\_\_\_\_

**3. Social Services**

What is the status of following services in the community?

Service Type	Functioning well?		Remarks
	Yes	No	
FAP/Ambulatoria			
School			
Water Supply System			
Kindergarten			
Gas Supply			
Sewerage system			
Waste collection			
.....			
.....			

**4. Local Development Priorities**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**5. About other NGOs/INGOs working in the community**

Community Mobilisation Assistant \_\_\_\_\_ Date of Submission \_\_\_\_\_

## Annex – XI

### Some Dos and Don'ts in Community Mobilisation

For rapport building, one must keep in mind that this is an issue of interpersonal relationship and hence, demands meticulous attention to the cultural and traditional sensitivities of the communities and the peoples. All the good wishes and supports of later stages could become of little use if effective rapports can not be built during this initial phase. The point is about not to hurt the community members even inadvertently by one's attitude and behaviour, for which one needs to constantly remain careful and show due respect to their sensitivities. In this context some do's and don'ts are given hereunder:

Dos	Don'ts
<ul style="list-style-type: none"> <li>• Greet them whatever is appropriate to the community to greet or to be greeted while meeting</li> <li>• Take seat or keep standing as the community members wish to see you conveniently. Never show any physical or emotional inconvenience while selecting a seat or standing</li> <li>• Be appreciative of and respectful (but not overtly curious and intrusive) to their traditional lifestyle, customs and practices</li> <li>• Always keep in mind that you are there <u>to support</u> them, and <u>not to impose</u> your views/ideas/projects.</li> <li>• Take them as your equal (with body languages like hugging, laughing, smiling, or bowing as and when necessary).</li> <li>• Be inquisitive in your approach to know their real problems and sufferings</li> <li>• Sympathize with their situation</li> <li>• Always present your points positively when you are to point out alternatives (e.g. tell them there are these XX alternatives as solution to the XX problems rather than discounting outright of what they have been practicing and explain them why your alternatives <u>might be</u> better).</li> <li>• Be appreciative of and inquisitive about their traditional wisdom, skills and coping mechanisms</li> <li>• Appreciate, as much as possible, their views (even if they are on the wrong track)</li> <li>• Never disclose any of their wrongs or weak points to others in their presence</li> <li>• Honour the food/tea offered by the community (first time) with request not to offer such hospitality again</li> <li>• As far as possible, talk in open and in audible to all. It will create trust among the people</li> <li>• Go to the community with open mind. Appreciate the solutions (e.g. community project) found by them rather than prescribing one to them.</li> </ul>	<ul style="list-style-type: none"> <li>• Don't go there with an attitude of civilizing people (considering them ignorant). Always keep in mind that you are there <u>to empower</u> them, <u>not to civilize</u></li> <li>• Do not think and show in your behaviour/expressions that they are, in any way, inferior to you</li> <li>• Do not show in your behaviour/expressions that (some of) their practices/habits are bad</li> <li>• Do not bring or let any one bring agenda on politics, religion etc. for discussion.</li> <li>• Never take side while gathering information on or while the members are discussing on internal matters</li> <li>• Never think and show in your behaviour/expressions that you know more than them</li> <li>• Do not commit or express in your gesture what you can not do i.e. do not raise their expectations</li> <li>• Never make comments that may incite communal violence and destroy the fragile co-existence and peace among the communities</li> <li>• Do not take photographs of the community members without their permission. And always share the photographs whenever you meet them next or ensure to send them copy(ies) of the photos taken, by post or by other appropriate means</li> <li>• Avoid hospitalities from the communities as it costs their time and resources and cause deviation of both parties from fruitful learning from each other. Accepting frequent hospitality weakens moral strength of the Project team.</li> <li>• Avoid talking in person or whispering with the person whom you think to be very important in the community you visit or very important for success of your work. It will create suspicion among the people as they will take you aligned with that person or the ideology that person bears.</li> <li>• Do not go the community with a blue print approach i.e. do not prescribe the community the project they must undertake rather encourage them to find the solution of their problem</li> </ul>



## Annex – XII

### A Sample of Minute Book

Meeting No.: -----

Date :-----

Total Number of members in the CO:-----

Number of members attending the meeting :-----

Name of the chairperson or the chairperson – select (in absence of the chairperson): Mr./Ms. -----

S.N.	The Agenda for Discussions
1. 2. 3.	Financial status of the CO
	Discussions and Decisions made
1. 2.	

Signatures of members -----

Treasurer's signature -----

Chairperson's Signature -----

Community Mobiliser's suggestions, instructions & reaction:

Signature :-----

Dated :-----

Annex – XIII  
Sample Book Keeping Format for CO

**(A) Fee Register**

Memb er No.	Name of the Member	Month .....					Month .....				
		Comm itment Fee	CO Sustenan ce Fee	Sub- total	Cumul atiev Total	Signature of the member	Comm itment Fee	CO Sustenan ce Fee	Sub- total	Cum. Total	Signature of the member
1											
2											
<b>Total</b>											

**(B) Cash Transactions Register (in UAH)**

SN	Date	Description (Sources)	Income Side							
			Commitment Fee	CO Sustenance Fee	Contribution received for projects	Loan received	Grant received	Other Incomes	.....	Total (3 - 9)
	1	2	3	4	5	6	7	8	9	10
		<b>Total</b>								

SN	Expenditure Side							Balance (10 -17)	Balance Amount		
	In Investment/expenditure								Cash in hand	in Bank	Total (19+20)
	Management Cost	Project Implementation	Project O & M	Loan paid out	.....						
	11	12	13	14	15	16	17	18	19	20	21

**(C) Inventory**

Date	Description	.....			.....			.....			.....		
		Entry	Exit	Stock	Entry	Exit	Stock	Entry	Exit	Stock	Entry	Exit	Stock

#### Annex – XIV

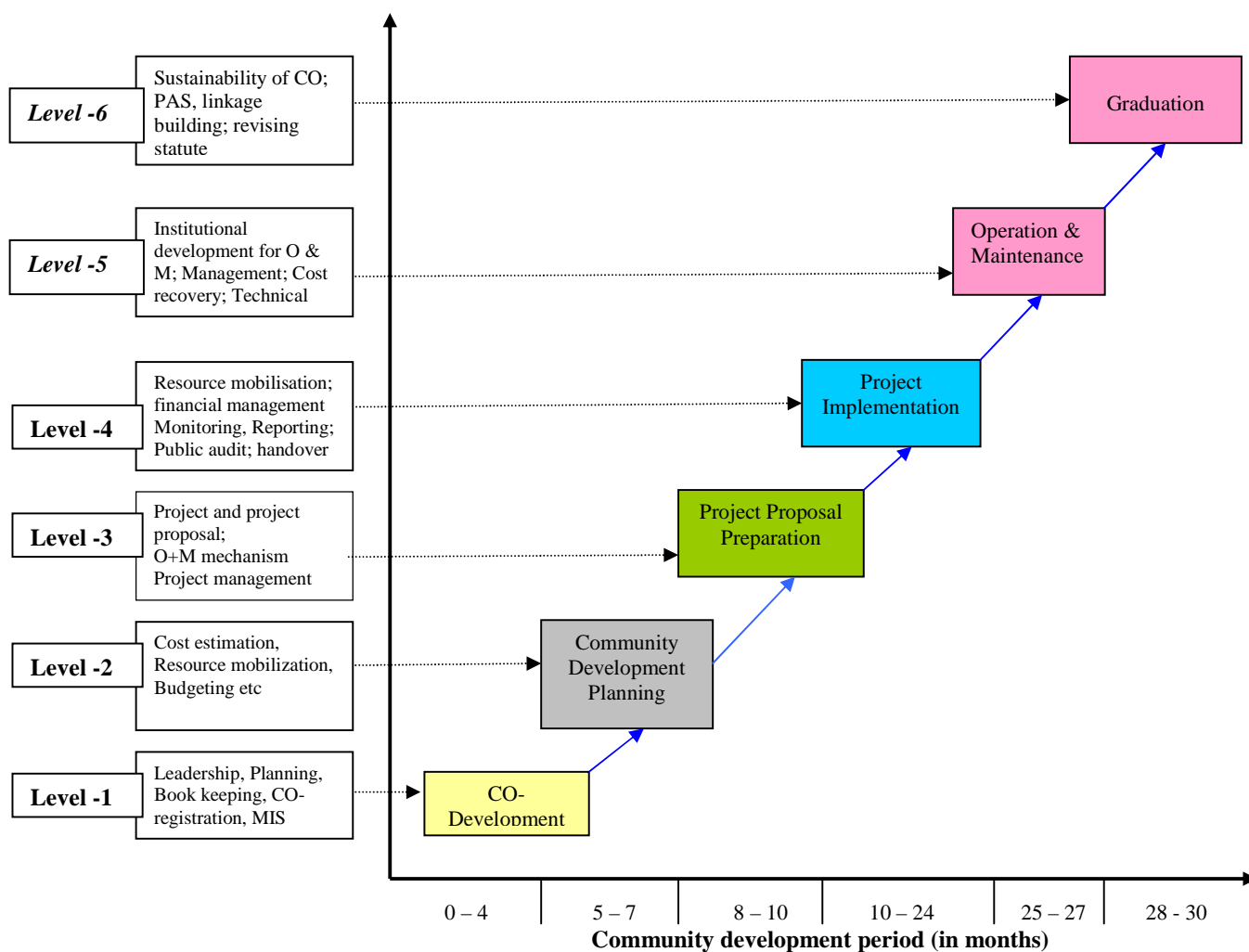
#### **Subject Matter Covered During the Training Conducted for the CO-MT**

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. Legal provisions for registration of Cos. Concept and framework of statute; sample CO-statutes
16. Concept of account/book keeping. Exercise on account/book keeping. Taxation and reporting
17. Others as desirable

- **For the treasurer only**

## Annex – XV 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 – XVI  
**Some Elements for Consideration in the Statute of CO**

<b>Clauses of Statute</b>	<b>Matter for discussion and inclusion</b>
Vision of the organization (CO)	Specify the common goal (e.g. improving living condition of the people in the neighborhood)
Name of a CO	Choose a name acceptable to all members
Eligibility of membership and election of governing bodies	Geographical area, member's character, membership duration (entry and exit criteria), responsibilities/commitments, age, gender etc.
Management Team of CO	Positions, eligibility criteria, responsibilities and authority, tenure (period), selection/election procedures etc. What if they fail to deliver expected service? What if the CO faces a loss due to them?
Meeting schedule	Time, place, periodicity. Number of members necessary to be present to take decisions, consensus based decision-making/voting model. Registration of absent members. Does an absent member have a right to deputize anybody? Does such a representative have a right to vote?
Area of activities to be carried out. Formation of sub-committees	Formation of Functional Groups/coordination committees etc, duties and responsibilities and accountability
Disciplinary measures	Disciplinary measures for management team and sub-committees (penalties, removal, etc.)  Disciplinary measures for the members: Causes and situations in which disciplinary action is required.
Formation of Capital Development Fund	Objective of the Fund, Sources of fund, Operation and utilization mechanism etc.
Commitment fees and fee to sustain the CO	Objectives of the collecting fees. Schedule and amount of fees (entrance and regular fees). Where do they have to deposit this fee? Procedures for using the collected money? What to do if they will lose their money?
Capital investments (if members agree and if the CO is authorized to do this)	The aim of investments, amount, conditions of making investment. Measures in case of loss of money.
Book-keeping	What to record? Who will keep books? How to audit?
Benefit	Policy on utilization of benefit. Benefit sharing.

**Annex – XVII**  
**Legal Options for a CO**

Depending on purpose for which an organization can be created and the functions it can perform, following legal options can be opted for:

SN	Legal Form	Strength	Weaknesses
1	Bodies of Self-Organization of Population	<ul style="list-style-type: none"> <li>• Registered by respective council;</li> <li>• Registration process simple;</li> <li>• No registration fee</li> <li>• No liability to look after the property created by it as the property goes to the balance of the respective council;</li> </ul>	<ul style="list-style-type: none"> <li>• CO cannot own a property and thus it loses strength of ownership;</li> <li>• Difficulty in getting its own bank account and stamp;</li> <li>• Cannot create regular income to maintain the system and so it has no control over sustainability of service delivery;</li> <li>• Full participation is not defined (acts on representative approach)</li> </ul>
2	Cooperative	<ul style="list-style-type: none"> <li>• Can have its seal, other necessary properties and also accounts in banks;</li> <li>• Can own property (including communal property);</li> <li>• Can perform economical activity for ensuring income to meet its own needs (such as O &amp; M of property created)</li> <li>• Can act as a non-profit organization and has no interest in receiving profit for distribution among its members</li> </ul>	<ul style="list-style-type: none"> <li>• Can act as a profit organization and members may have interest in receiving profit for distribution;</li> <li>• Full participation not defined (acts on representative approach);</li> <li>• Its communal role finishes upon completion of the community project and it must re-register to incorporate the role needed in 'O &amp; M period'</li> </ul>
3	Association of Co-owners of Multi-storied Building	<ul style="list-style-type: none"> <li>• Can have its seal, other necessary properties and also accounts in banks;</li> <li>• Can own property (including communal property);</li> <li>• Can perform economical activity for ensuring income to meet its own needs (such as O &amp; M of property created)</li> <li>• Is a non-profit organization and has no interest in receiving profit for distribution among its members</li> </ul>	<ul style="list-style-type: none"> <li>• Founded on representative mechanism of execution;</li> <li>• Members easily get skeptical about the responsibility (that ACMB means accepting the communal property, which is not mandatory);</li> </ul>
4	Public Organisation (NGO)	<ul style="list-style-type: none"> <li>• Created and operated on the basis of volunteerism;</li> <li>• Equality of its members (participants), self-governance;</li> <li>• Free in the choice of directions of their activity</li> <li>• Can have its own seal and bank account</li> </ul>	<ul style="list-style-type: none"> <li>• Cannot have economic activities to carry out O &amp; M of property;</li> <li>• Not able to own communal property;</li> <li>• Founded on representative (and not participative) system of management</li> </ul>

Annex – XVIII  
**A Sample of Request Letter for Getting the Organisation Enrolled into the Local Council**

Mr./Mrs. ....  
 Chairperson of ..... Village/City Council  
 ..... raion

**Subject: Request for Enrolment**

Apropos of the above context, we, the undersigned, have organised to form a community organisation named '-----' at ----- locality (settlement) -----under facilitation of the EC/UNDP-CBA Project, which is working in this Village/City Council. Motto of this community organisation is to carry out participatory-based developmental initiatives in partnership with the local authorities, line agencies and other development agencies. We, therefore, request you to enrol our organisation in your record book and assist us in our effort to carry forward developmental activities in our community.

**Members' Details**

S.N.	Name	Designation	Age	Signature
1		Chairperson		
2		Secretary		
3		Treasurer		
4		Active member		
5		Active member		
6		.....		
7		Member		
8		Member		
....		Member		
....		Member		
...		Member		
		Member		
		Member		
		Member		
		Member		
		Member		
		Member		

Date-----

Annex – XIX  
Sample Terms of Partnership with CO

<p style="text-align: center;"><b>Terms of Partnership Between UNDP/CBA and Community Organization ‘..... .....’</b></p>	
<p>This Terms of Partnership (hereinafter referred to as the “Agreement”) made this (date)..... between the <b>United Nations Development Program</b> (hereinafter referred to as “UNDP/CBA”) and <b>Community Organization</b> .....(hereinafter referred to as <b>CO</b>) of ..... Village/City Council, ..... Raiyon in the framework of implementation of the project "Community based approach to local development" funded by the European Union's Tacis Programme for Ukraine.</p> <p>WHEREAS UNDP/CBA and the CO are desirous to establish partnership for building capacity of the community organisation so as to enable it to promote governance at the local level, implement developmental activities based on community initiatives and enhance social cohesion in.....settlement and on the terms and conditions hereinafter set forth,</p> <p>and</p> <p>WHEREAS the <b>CO</b> is ready and willing to accept the engagement of services on the said terms and conditions.</p> <p>NOW, therefore, the parties hereto agree as follows:</p>	
<p><b>1    <u>Responsibilities of CO:</u></b> The CO agrees to manage and implement the community initiatives that will have a direct impact on the development of the community to a broader perspective in their localities. Specifically, the CO shall:</p> <p>1.1    Continue strengthening its governance by strictly observing the policies, rules and regulations developed by it for managing itself as an organisation</p> <p>1.2    Conduct regular meetings and discuss community problems and its solutions</p> <p>1.3    Ensure full participation of CO members while making decisions, working on development initiatives and distributing benefits accrued thereof</p> <p>1.4    Maintain high level of transparency in all the decisions and economic transactions through appropriate book keeping</p> <p>1.5    Carry out participatory planning annually to identify needs of its members and that of the community. Prioritise such plans, prepare the CO-level development plan and mainstream the plan at village/city council level</p>	<p><b>1</b></p> <p>1.1</p> <p>1.2</p> <p>1.3</p> <p>1.5</p> <p>1.6</p>



1.7	Mobilize resources (cash/kind) from community, local authorities, other development agencies, private sector etc. for implementation of the community-based initiatives identified by the members of the community	1.7	
1.8	Set up Functional Groups, if required, for implementation, operation and maintenance of the projects	1.8	
1.9	Sustain itself and its initiatives even after the expiry of the Programme	1.9	
1.10	Co-ordinate local efforts with different institutions (governmental and NGO) for successful implementation and operation of the project	1.10	
1.11	Monitor project implementation with the active participation of community members and the partner organizations and institutions	1.11	
1.12	Ensure timely and proper reporting to the community organization, funding agency and other relevant organizations	1.12	
1.13	Continue to maintain partnership with village/city council, regional administration and other development agencies for undertaking developmental initiatives	1.13	
<b>2</b>	<b>Responsibilities of UNDP/CBA:</b> If deemed essential, UNDP/CBA will -		
2.1	Provide technical support to the <b>CO</b> to implement the community initiatives;		
2.2	Provide training for enhancing the capacity of the <b>CO</b> for planning, linkage building and self-reliance as and when required;		
2.3	Provide financial assistance to realise community-based initiatives where CO has mobilized their own resources and ensures its sustainability mechanism		
<b>3</b>	<b>Duration</b>		
3.1	This Agreement will come into effect on ..... and shall expire on .....		
<b>4</b>	<b><u>Records, Information and Reports</u></b>		
4.1	<b>CO</b> shall maintain clear, accurate and complete records in respect of the saving, Commitment fees and other fund received from outside.		
4.2			
4.3	<b>CO's</b> books and records shall be maintained in such a manner that the receipts and expenditures of the funds will be shown separately on such books and records in an easily checked form.		
	<b>CO</b> shall furnish, compile and make available at all times to UNDP/CBA any records or information, oral or written, which UNDP/CBA may reasonably request in respect of the services performed by the <b>CO</b> .		

	<p>All further correspondence regarding the implementation of this Agreement should be addressed to:</p> <p><b>For UNDP/CBA:</b>  .....  .....</p> <p><b>For the Community Organization:</b>  .....  .....</p>		
<b>5</b> 5.1 5.2 5.3 5.4	<p align="center"><b>General Provisions</b></p> <p>The <b>CO</b> acknowledges that UNDP and its representatives have made no actual or implied promise of funding except for the specified projects that may be contracted to the COs for implementation of a agreed community-based projects.</p> <p>The <b>CO</b> shall carry out all services under this Agreement with due diligence and efficiency.</p> <p>Either party before completion of the Agreement may terminate this Agreement by giving thirty (30) days written notice to the other party.</p> <p>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.</p>		
IN WITNESS WHEREOF, representatives of the partners have in person signed the present Terms of Partnership:			
<b>On behalf of UNDP/CBA:</b>  Name: Title: <b>International Project Manager</b>  Date:		<b>On behalf of Community Organization:</b>  Name: Title:  Date:	
<p align="center"><b>Witness</b></p> <p>..... Chairperson, ..... Village Council, ..... Raiyon ..... (sign)</p> <p>Date:</p>			

## Annex – XX

### Details on Need Prioritisation

At an appropriate time, call meeting of the general dwellers, ensuring participation of 80% or more of the apartments/houses on the territory. Invite the representatives of VC/CC, raion to take part in the meeting as they will provide useful information on problem ranking and will share experience of other communities in the area.

Present the result of the analysis (Section 4.2.2, Table – II) and seek opinion of the participants on the analysis and invite them to identify genuine problems (i.e. real need) that require immediate attention of the dwellers or to forego those problems which emerge as ‘wants’ and could be addressed by outsiders at some point of time in future.

Expectedly, some of the problems will be dropped out from the list upon full consensus (due to such reasons as not being a common problem, too costly, too complicated etc.). Reaching full consensus about dropping or ranking of the problems may not be easy. Hot debate may arise among the dwellers. OIU-team must remember that they are there to facilitate the process of decision-making and not to impose their own idea or subjective judgment to reach agreement abruptly or by command. To avoid any imposition, the dwellers must be asked to respond on the scientific methodology as given in Table - IV (below). The end result will automatically drive to ranking of the problems.

**Table – IV: Prioritisation of Local Needs**

List of identified projects	Intensity of need	Productivity		Equity		Sustainability		Ownership	Total score	Rank
		Increase in income or decrease in family expenses	Basic need fulfilment	Gender balance, disabled, vulnerable groups	% of the apartments or houses will benefit	Do-ability	Will the beneficiaries operate and maintain the project	Dweller's participation in the cost of the project		
1	2	3	4	5	6	7	8	9	10	11

**Weightage for scoring:** 5 for the highest importance to 1 for the lowest importance while the middle importance could be weighted between ‘4 and 2’ score depending upon the case. Specifics are given below:

- **Column 1:** List derived from Table – II (in section 4.2.2)
- **Column 2:** Score 5 if the severity of the problem is very high to score 1 if there is no urgency to resolve the problem;
- **Column 3:** Score 5 if the solution of the problem significantly adds income to/reduces living cost of the beneficiary families to score 1 if such contribution is of little significance;
- **Column 4:** Score 5 for the basic need such as drinking water, hot water supply, gas supply, electricity supply, sewerage (as defined in Ukrainian context) to score 1, if the need is non-basic need;
- **Column 5:** Score 5 if the need is fully for meeting the needs of the women (e.g. maternity) or other vulnerable groups to score 1 if need will serve only men and non-vulnerables;
- **Column 6:** Score 5 if 100% of the dwellers will benefit upon solution of the problem to score 1 if less than 80% of the apartment/ house owners will benefit;
- **Column 7:** Score 5 if the problem can be solved fully by the dwellers to score 1 if it must be solved fully by outsiders;
- **Column 8:** Score 5 if the beneficiary dwellers operate/maintain the system (upon solving the problem) by themselves to score 1 if the system will be maintained by outsider (e.g. city council or state body) under minor cooperation from them;
- **Column 9:** Score 5 if the beneficiary apartments/houses will contribute 25% or more of the cost (including both cash and non-cash costs) to score 1 if they contribute less than 5% of the total costs;

It should be noted that for a small and homogenous (like minded) locality such a lengthy process (as mentioned above) may not be needed and total process may be accomplished in one meeting. Whereas for heterogeneous and large number of dwellers several meetings may be required to reach consensus.

Annex - XXI  
**Aggregation of Plans at VC and Raiyon Level**

Upon finalisation of household level plan and community level need assessment and prioritisation (*see* section - , Annex - ..), process is initiated for mainstreaming of community plans at local council and raiyon level. For it, aggregation of the community plans becomes necessary. Following is the aggregation format:

**(A) Community Plans (Social/economic/environmental) – Aggregated at Council (VC/CC) level**

SN	Name of the CO	Address	Type of Project	Total HHs	Beneficiary HHs	Total estimated cost (UAH)	Share of CO (UAH)	External support (UAH) required	Training support needed
	<b>Total</b>								

**(D) Community Plans (Social/economic/environmental) – Aggregated at Raiyon Level**

SN	Name of the VC/CC	Address	Type of Project	Total HHs	Beneficiary HHs	Total estimated cost (UAH)	Share of CO (UAH)	Share of VC/CC	External support required (UAH)	Training support needed
	<b>Total</b>									

Annex – XXII  
**Package of Training for Functional Group**

- EU and UNDP
- Human Rights Based Development
- Sustainable Development
- Budgeting and Planning
- Book/Account Keeping
- Effective Communication
- Conflict Management;
- Proposal Writing
- Technical Subject related with the project
- Tendering and Procurement Under UNDP Norms
- Reporting and Public Audit
- Other as necessary

### **Annex – XXIII Details on Tender**

In course of project implementation the CO acts as a customer for procuring materials, works or services. It negotiates and signs a contract with the company selected during the Tender and becomes accountable for the use of financial resources received from external agencies. Therefore, the Tender Committee shall be formed from the community members. Tender Committee shall consist of minimum five persons. Tender Committee's members shall elect a Head and a Secretary of the Tender Committee. The Head coordinates the Committee members' activities. Decisions of Tender Committee are made by simple majority of votes of its members. The decisions shall be registered by protocols signed by the Committee members participated in voting. To simplify the matter, CO may decide to recognize the functional group to serve as tender committee.

Ideally, the CO shall call, conduct and decide upon the tenders. However, it is recommended to invite the VC/CC or respective specialist from the department and other donors also to participate in or facilitate the tender process. They will serve as observers

It is preferable that high degree of transparency is maintained during bidding finalization by involving media, local authorities and civil societies etc. as observers.

Tender Committee shall (a) obtain technical documentation required for implementation of the project; (b) formulate specifications for works and materials required for implementation of the project; (c) prepare and place ads in local newspaper/informational board of VC/CC/RSA informing about the Tender; (d) contact, if necessary, potential vendors and invites them to participate in the Tender; (e) receive tendered offers (sealed bids); (e) hold the Tender; (f) prepare protocols on Tender's results; (g) submit protocols with information about results of the Tender to the community's executive board/general meeting for further actions.

Practically, it may not be always possible to make local announcement for the vendors (as newspapers may not exist in the rural areas) or three bidders may not exist in the locality. In such a case, practical action should be taken (*see* section 5.3.4).

Annex – XXIV  
**A Sample of Project Proposal and Effort for Resource Mobilisation**

**1. Information about Village/City Council**

Name of the Council:                      No. of settlements/micro-raiyons:                      Total population:

Name of the head of the Council:

Contact Tel/e-mail:

**2. Information about Community Organization (CO)**

Name of the territory (settlement/micro-raiyon/street/building):

Name of CO:    CO formation date:

Total households on the territory:                      HHs/Apartments under special category:

Total HH/Apartment member:                      Member HHs/Aptt belonging to special category:

Total members of CO: ----- (Male: ----- Female: ----- )

Registration Number (if any):                      Legal category (BSP, Coop, ACMB, NGO):

Name of CO-MT (executive) members:

    Chairperson:    Contact Tel -

    Treasurer:    Contact Tel -

    Secretary:    Contact Tel -

    Active Member:

    Active Member:

    Active Member:

Balance of community development fund –

- Membership/commitment fee:
- CO-sustenance fee:
- Community Project Fund
- Other income

Whereabouts of the available fund

- In investment (evidence required)
- In bank (evidence required)
- In hand (as cash)

**3. Information on Community Development Plan**

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

- a. Social development projects: -----
- b. Economic development projects: -----
- c. Environment development projects: .....

Type and name of projects prioritised by CO in development plan

SN	Name of project	Type of project (Social, Economic, Environmental Infrastructure etc.)	Priority № of the project (as per Ranking in Annex-XIV )

*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

Name of Project:

Context and Justification of the project (describe):

Criteria for the selection of the project:

Duration of the project (starting and completion date):

Total beneficiaries: (i) HHs: ---- (ii) People: ---- (a) Male: --- (b) Female:---- (iii) HHs of special category: ...

Total Cost: Per capita cost:

##### Proposed Cost Sharing Arrangement

S.N	Implementing Partners	Type and amount of contribution (UAH)			Remarks
		Cash	Kind*	Total	
1	Community Organization				
2	Village/City Council				
3	Raiyon Administration				
4	UNDP/CBA				
5	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

Date of Functional Group formation (include minutes of meeting):

Names of the FG-members

Chairperson:

Contact Tel -

Treasurer:

Contact Tel -

Technician:

Contact Tel -

Active Member:

Active Member:

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

#### 6. Financial Monitoring and Reporting

Schedule for submission of financial statement to CO members

Schedule for submission of financial statement to CRC/CBA and Village or City Council/Raiyon Administration

Schedule for submission of progress reports

##### Endorsements by Local Authorities

The Village/City Council of .....fully agrees and supports the above-mentioned community projects proposed by the ----- CO. Therefore, the Village/City Council agrees to provide a cost-sharing contribution in the amount of -----UAH and to recommend to CBA to co-fund the projects.

Signature

Name of Head of Town/Village Council

Date:

Annex – XXV  
**A Sample of Cover Letter for Submission of a Project Proposal to LDF/RSA**

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

**Subject: Submission of Project Proposal**

The .....community organization has prepared a local development plan, which has been approved by the community members and endorsed by .....Village/City Council. We would be grateful if the LDF approves the local development plan and make a recommendation to incorporate the proposed projects into the raiyon development plan. The Community Organization requests the LDF to make a recommendation to the Raiyon State Administration and CBA Project to allocate 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/Community Resource Centre , .....Oblast



Annex – XXVI  
**A Sample of Cover Letter for Request for Funding**

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

**Subject: Submission of Project Proposal**

The .....community organization has worked out the local development plan, which has been approved by the community members and endorsed by .....Village/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 recommended to Oblast State Administration to incorporate in the regional plan for the year ..... The Raiyon Council/ State Administration has also approved and allocated the budget in amount of ----- hryvnas for the following projects. However, the budget allocated by Raiyon State Administration and Village/City Council is not adequate to complete the project. Therefore, I would appreciate if EU/UNDP - CBA Project could fund the following project:

The recommended project for the funding is:

- .....

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

Thanking you.

\_\_\_\_\_  
Name

Chairperson of Raiyon State Administration and LDF

Date:

Annex – XXVI A  
**A Sample of Cover Letter for Submission of a Project Proposal to CBA Project**

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

**Subject: Submission of Project Proposal**

The .....community organization has prepared a community project proposal “ .....”. The proposal has been approved by the community members and endorsed by .....Village/City Council and ..... LDF/Raiyon State Administration based on the principle of cost sharing. We would be grateful if the CBA Project approves the proposal and supports our community organization to implement the project through small grant and training.

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

Yours sincerely,

\_\_\_\_\_  
Name

Chairperson of the CO  
Date:

Annex – XXVII  
EU/UNDP – CBA Project .....Oblast Implementation Unit

**Project Proposal Evaluation**

**Date:**

S N	Description	Facts Found
1	Project name	
2	Project location	
3	Name of implementing partner (community organization)	
4	Information about the implementing partner (CO)	
a	Date of CO creation	
b	Membership	Total -      Male -      Female -
c	No. regular meetings till the date of application	
d	Average level of participation in the meeting (% of members)	
e	Community development initiatives taken by CO	Number-      Amount (UAH) spent
f	Type of legal form as per registration	
g	Date of registration	
h	Statue was prepared by incorporating the recommendation of CBA guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	Community development fund generated (until date of application)	
a	Membership/commitment/CO-sustenance fee	
b	Community project cost sharing	
6	Status of community development fund	
a	Utilised	
b	Advance paid to vendors	
c	In bank	
d	In cash (with the CO-MT)	
7	Community development planning	<input type="checkbox"/> Yes <input type="checkbox"/> No
a	If yes, number of plans	<input type="checkbox"/> social <input type="checkbox"/> economic <input type="checkbox"/> ecological
b	Endorsed by CO meeting ( minutes available)	<input type="checkbox"/> Yes <input type="checkbox"/> No
c	Prepared by using ranking method	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Information about the proposed project:	
a	Name of the project	
b	Project Type	
c	Beneficiary HHs	<input type="checkbox"/> Below 60% <input type="checkbox"/> 60- 80% <input type="checkbox"/> Above 80%
d	Are the HHs of special category fully included in benefit If No, justify ..	<input type="checkbox"/> Yes <input type="checkbox"/> No
e	Relevant to CBA	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, justifications:		
9	Is the FG formed? (supported by the minutes from the CO meeting)	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Cost estimation	
a	Prepared by with the support of .....	

b	Following the current market prices for the cost of material and labor ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c	Discuss in the CO meeting?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11	Resource mobilization	UAH	USD %
a	CO		
b	Village Council		
c	Rayon Administration		
d	Other Sponsors		
e	Requested for Grant		
12	Implementation as well as operation and maintenance management (Need to elaborate : Detailed plans for future operation and maintenance, Service fee, Other source of revenue, Are all the revenue meets the expenses of the projects)		
13	Are there significant threats which might cause the termination of the project or the after-project phase? If yes please specify	<input type="checkbox"/> Yes	<input type="checkbox"/> No
14	Availability of a full set of necessary documents:		Remarks
a	Letter of support from the CO	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b	Completed Project Proposal form, including project description	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c	Project cost estimate	<input type="checkbox"/> Yes	<input type="checkbox"/> No
d	Partners' contribution in the project	<input type="checkbox"/> Yes	<input type="checkbox"/> No
e	Relevant schemes, maps and site drawings	<input type="checkbox"/> Yes	<input type="checkbox"/> No
f	Minutes of the CO meetings:		
i	On the election of CO - MT	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ii	On determining project priorities	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iii	On determining total project cost and CO contribution	<input type="checkbox"/> Yes	<input type="checkbox"/> No
g	Letter from:		
i	Village/City council	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ii	Rayon State Administration	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iii	Other sponsor	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Any Remarks

Prepared by:

Name:

Signature

Annex – XXVIII

**A Sample of Agreement Between UNDP/CBA And Community Organisation**

**AGREEMENT .....**  
**BETWEEN EU/UNDP-CBA PROJECT AND**  
**CO “.....”**

This Agreement (hereinafter referred to as the “Agreement”) has been made between the **United Nations Development Programme**, represented by Mr. Francis O'Donnell., UNDP Resident Representative and UN Resident Coordinator in Ukraine, acting in line with agreement between UN and the Government of Ukraine of 06.10.92 as well as in line with the European Community Contribution Agreement with the United Nations Development Programme dated 4th September 2007 (hereinafter referred to as “**UNDP**”) and CO “.....”, represented by chairperson ..... that acts on the basis of certificate # ..... of ..... (hereinafter referred to as **CO**).

WHEREAS **UNDP** is acting in line with the Country Programme Action Plan (CPAP), signed in 17<sup>th</sup> August 2006; Community Based Approach to Local Development (CBA) project document, signed on 22<sup>nd</sup> August 2007 and CBA 2008 Annual Work Plan (AWP) signed on ....., 2008

WHEREAS UNDP desires to provide funding to implement the community initiatives, in the context of project “**Community Based Approach to Local Developed**” (hereinafter referred as “CBA project”) to the CO based on the Partnership Agreement signed with ..... oblast state administration/council, ..... rayon state administration/council, ..... and ..... village/city council signed on ....., ..... and ..... respectively and to engage the services of the **CO** in the context of implementation of community initiative “.....”, financed **by the European Union's Tacis Programme for Ukraine** and on the terms and conditions hereinafter set forth,

And

WHEREAS the **CO** is ready and willing to accept such funds from **UNDP** for the activities described in Annex A of this Agreement on the said terms and conditions.

NOW, therefore, the parties hereto agree as follows:

**1 Responsibilities of CO as recipient institution:**

**УГОДА IF- NO – 01/07**

**МІЖ МПВСР/ПРООН ТА ОЖР «БУДИНКОВИЙ**  
**КОМІТЕТ ПО ВУЛ. ЦЕЛЕВИЧА, 5А»**

**TO BE IMPROVED**

Цю Угоду (що далі іменується “Угодою”) укладено між **Програмою Розвитку Організації Об’єднаних Націй** в особі пана Френсіса О’Доннелла, Постійного представника ПРООН й Координатора ООН в Україні, що діє відповідно до угоди між ООН та Урядом України від 06.10.92 року (що далі іменується “ПРООН”) та **ОЖР «БУДИНКОВИЙ КОМІТЕТ ПО ВУЛ. ЦЕЛЕВИЧА, 5А»**, в особі Керівника організації пана Р. Р. Стасюника, що діє на підставі свідоцтва про державну реєстрацію № 34623545 від 19.10.2006 (далі іменується БК).

Беручи до уваги, що **ПРООН** діє у відповідності з Планом дій програми ПРООН в Україні (ПДПУ), підписаним 17 вересня 2006 року, проектним документом Муніципальної програми врядування та сталого розвитку (МПВСР), підписаним 18 жовтня 2006 року, та робочим планом МПВСР на 2007 рік, підписаним 1 лютого 2007 у рамках Угоди про спільне фінансування між ПРООН та Івано-Франківською міською радою, підписаною 24 січня 2007 року, а також в рамках Угоди про партнерство між ПРООН та Івано-Франківською міською радою, підписаною 26 травня 2004 року,

Беручи до уваги, що **ПРООН** бажає фінансувати діяльність **БК** у межах Муніципальної програми врядування та сталого розвитку та залучити послуги **БК** для реалізації місцевої ініціативи із підтримки сталого розвитку “**Реконструкція підвальних розгалужень (холодного та гарячого водопостачання, систем опалення і каналізації)**”, фінансованої **ПРООН** на визначених нижче умовах,

та

Беручи до уваги, що **БК** виявляє готовність і бажання прийняти від **ПРООН** фінансові кошти на виконання діяльності, зазначеної у Додатку А цієї Угоди, на визначених нижче умовах,

Сторони склали таку Угоду:

**1 Обов’язки ОЖР/мережі як установи-реципієнта:**

- |   |   |
|---|---|
| <p>1.1 The <b>CO</b> agrees to undertake the activities described in the attached project proposal Annex A, which forms an integral part of this Agreement and the subsequent release of funds in tranches. None of the funds provided pursuant to this Agreement may be used by <b>CO</b> for any purpose other than those expressly set forth in Annex A.</p>                   | <p>1.1 <b>БК</b> погоджується виконувати види діяльності, зазначені у проектній пропозиції та Додатку А, що є невід’ємними складовими цієї Угоди, з наступним отриманням коштів окремими траншами. <b>БК</b> не може використати кошти, надані згідно з цією Угодою, в будь-яких інших цілях, окрім тих, що викладені у Додатку А.</p>                                |
| <p>1.2 All procurement procedures made under this Agreement should follow the rules of UNDP, according to principals of transparency and competition.</p>   | <p>1.2 Усі закупки, що здійснюються у рамках цієї Угоди повинні здійснюватись згідно правил ПРООН, відповідаючи принципам прозорості та конкурентності.</p>   |
| <p>1.3 The <b>CO</b> identifies the priority development activities and agrees to arrange cost-sharing contribution for implementation of the prioritised projects from <b>CO</b> funds.</p>  | <p>1.3 <b>БК</b> визначає пріоритетні напрямки діяльності з підтримки сталого розвитку та погоджується взяти участь у розподілі витрат, пов’язаних з реалізацією пріоритетних проектів, зробивши внесок із власних коштів <b>БК</b>.</p>  |
| <p>1.4 The <b>CO</b> undertakes to provide progress and finance reporting, including final report, over the activities and funds received. Reports should be accompanied with complete set of the supporting documentation proving correct funds utilization.</p>   | <p>1.4 <b>БК</b> зобов’язується надавати необхідну фінансову звітність і звітність щодо ходу виконання проектів, в тому числі остаточну, стосовно здійснення запланованих заходів і використання наданих коштів. Звіти повинні бути надані з повним набором супровідної документації на підтвердження належного використання коштів.</p>                              |
| <p>1.5 The <b>CO</b> undertakes to set due oversight function over resources allocated by UNDP. In case of not meeting requirements of the present agreement, the <b>CO</b> recognizes that the payment under the present agreement may be decreased.</p>   | <p>1.5 <b>БК</b> зобов’язується запровадити належні механізми нагляду за використанням ресурсів, наданих <b>ПРООН</b>. <b>БК</b> визнає, що у разі невиконання вимог цієї Угоди, може бути скорочено надходження коштів, передбачене цією Угодою.</p>   |
| <p>1.6 The <b>CO</b> agrees to reach the performance targets contained in the Annex A. If the <b>CO</b> fails to meet its responsibilities, then this will be considered as ground for the <b>UNDP</b> to suspend any further financing. This suspension shall remain in effect until the <b>CO</b> has achieved the target.</p>  | <p>1.6 <b>БК</b> погоджується виконати поставлені завдання, передбачені у Додатку А. Невиконання своїх зобов’язань з боку <b>БК</b> розглядатиметься як підстава для призупинення подальшого фінансування з боку <b>ПРООН</b>. Призупинення буде чинним, доки <b>БК</b> не виконає відповідні завдання у повному обсязі.</p>  |
| <p>1.7 The <b>CO</b> undertakes to inform <b>UNDP</b> about any problems it may face in attaining the objectives agreed upon in the present agreement.</p>  | <p>1.7 <b>БК</b> зобов’язується інформувати <b>ПРООН</b> відносно будь-яких проблем, що можуть виникнути у зв’язку з виконанням завдань, передбачених цією Угодою.</p>  |
| <p><b>2 Responsibilities of UNDP:</b></p>   | <p><b>2 Обов’язки ПРООН</b></p>   |
| <p>2.1 <b>UNDP</b> agrees to provide non-returnable financial assistance to the <b>CO</b> for implementation of the community projects and make the payments specified in Article 4 below.</p>  | <p>2.1 <b>ПРООН</b> погоджується надати <b>БК</b> безповоротну фінансову допомогу для виконання місцевих проектів і здійснювати виплати у порядку, визначеному у Статті 4.</p>  |
| <p>2.2 <b>UNDP</b> reserves the right to suspend, cancel and transfer the fund from non-performing <b>CO</b> to high performing <b>CO</b>.</p>  | <p>2.2 <b>ПРООН</b> зберігає за собою право призупиняти, скасовувати або передавати фінансування, призначене для <b>БК</b>, яка не виконує поставлені завдання, іншій, успішно діючій <b>БК</b>.</p>  |
| <p>2.3 <b>UNDP</b> will provide the support to the <b>CO</b> to implement the community initiative projects by providing advisory and financial assistance. The <b>UNDP</b> support includes the seed grant to implement such development projects initiated by the community organisation as well as training for enhancing the capacity of the <b>CO</b> for self-reliance.</p> | <p>2.3 <b>ПРООН</b> надасть <b>БК</b> підтримку у здійсненні проектів місцевої ініціативи у формі консультативної та фінансової допомоги. Підтримка з боку <b>ПРООН</b> включатиме надання початкових грантів на здійснення проектів з підтримки сталого розвитку, ініційованих організаціями житлових районів чи їхніми мережами, а також проведення тренінгів з</p> |

	підвищення організаційної спроможності та самостійності БК.		
<b>3</b>	<b>Duration</b>	<b>3</b>	<b>Термін дії Угоди</b>
3.1	The present Agreement will come into effect upon signature by both parties and shall remain effective until ..... covering the anticipated term of the project. It can be extended, if necessary, by an amendment signed by both parties.	3.1	Ця Угода набуває чинності з моменту підписання обома сторонами та діє до <b>31 грудня 2007 р.</b> , охоплюючи весь період реалізації проекту. У разі необхідності, дію Угоди може бути подовжено, з внесенням до неї відповідної поправки, підписаної обома сторонами.
<b>4</b>	<b>Payments</b>	<b>4</b>	<b>Виплати</b>
4.1	<b>UNDP</b> shall provide funds to the <b>CO</b> , in the amount up to <b>UAH</b> ..... (..... <b>hryvnas</b> ), <b>without VAT</b> , according to the schedule of the project budget set out in Annex B and scheme set below. Payments are subject to the <b>CO</b> meeting the outputs as specified in the Annex A:	4.1	<b>ПРООН</b> надасть <b>БК</b> кошти, у розмірі до <b>146329 (сто сорок шість тисяч триста двадцять дев'ять) гривень, без ПДВ</b> , що надходять згідно з графіком здійснення виплат, наведеного у Додатку В, і зазначеної нижче схеми. Здійснення виплат залежатиме від виконання <b>БК</b> поставлених завдань і досягнення результатів, передбачених у Додатку А:
(i)	<b>20%</b> of the Agreement amount – up to UAH ..... within 30 banking days upon receiving the resources from the municipality and signing of this Agreement.	(i)	<b>15%</b> передбаченої Угодою суми – до 21949 грн. протягом 30 днів після отримання коштів від міської ради і підписання цієї Угоди.
(ii)	<b>70%</b> of the Agreement amount - up to UAH ..... upon submission of a periodic progress and financial report and signature of Intermediate Certificate of Performance (Public Auditing) on completion of Activity-1 mentioned in the Annex-A.	(ii)	<b>75%</b> передбаченої Угодою суми до 109747 грн. – після подання проміжного звіту про хід виконання проекту та фінансового звіту й підписання Проміжного акту виконання робіт (громадський аудит) по завершенні першого виду діяльності, передбаченого у Додатку А.
(iii)	<b>Remaining amount</b> of the Agreement amount – up to UAH ..... upon submission of final progress and financial report and signature of Certificate of Performance (Public Auditing) on completion of <b>100%</b> of the works mentioned in the Annex-A.	(iii)	<b>Решта передбаченої Угодою суми</b> до 14633 грн. – після подання остаточного звіту про хід виконання проекту та фінансового звіту й підписання Акту виконання робіт (громадський аудит) по завершенні <b>100%</b> робіт, передбачених у Додатку А.
4.2	Payments are effected in Ukrainian Hryvnas.	4.2	Виплати здійснюються в українській національній валюті (гривнях).
4.3	The amount of payment is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the <b>CO</b> in the performance of the Agreement.	4.3	Розмір виплат не підлягає перегляду чи зміні у зв'язку з коливанням цін чи курсу валюти, або розміру реальних витрат <b>БК</b> на виконання цієї Угоди.
4.4	All payments to the <b>CO</b> shall be made in the form of bank transfers into account of the <b>CO</b> : Account # ..... Bank Address ..... MFO ..... Identification Code .....	4.4	Всі виплати та перерахування коштів здійснюються на рахунок <b>БК</b> Рахунок № р/р 260099720 в Райфайзен банк Аваль МФО 336462 Інд. код 34623545
<b>5</b>	<b>Records, Information and Reports</b>	<b>5</b>	<b>Облік, інформація та звітність</b>
5.1	<b>CO</b> shall maintain clear, accurate and complete records in respect of the funds received under this Agreement. <b>CO's</b> books and records shall be maintained in such a manner that the receipts and expenditures of the funds will be shown separately on	5.1	<b>БК</b> веде чіткий, точний і повний облік коштів, отриманих за цією Угодою. Облікова бухгалтерська документація БК ведеться окремо для надходжень і витрат коштів у такий спосіб, що дозволяє легко її перевірити.

- such books and records in an easily checked form
- 5.2 **CO** shall furnish, compile and make available at all times to **UNDP** any records or information, oral or written, which **UNDP** may reasonably request in respect of the services performed by the **CO**.
- 5.3 All further correspondence regarding the implementation of this Agreement should be addressed to:  
**For UNDP:**  
 Community Based Approach to Local Development  
 .....  
 Kiev,..... Ukraine  
**For the CO:**  
 .....  
 CO “.....”  
 .....  
 ..... Ukraine
- 5.4 The **CO** should provide **UNDP** with progress and finance reporting for obtaining further financing under set payments scheme.
- 5.5 Within ten days after completion of project activities the **CO** shall provide **UNDP** a final report with respect to all expenditures made from such funds and indicating the progress made toward the goals of the activities undertaken, utilizing the reporting format contained in the annex to the present agreement.

## 6 General Provisions

- 6.1 This Agreement and the Annexes attached hereto shall form the entire Agreement between **CO** and **UNDP**, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.
- 6.2 The **CO** shall carry out all services under this Agreement with due diligence and efficiency.
- 6.3 Both the qualities of work and the progress being made towards successfully achieving the goals of such activities shall be subject to review by the **UNDP**. If at any time **UNDP** is not satisfied with the quality of work or the progress being made toward achieving such goals, the **UNDP** may to: (i) suspend payments of funds until in its opinion the situation has been rectified; or (ii) declare this Agreement terminated by written notice to the **CO**, and/or seek any other remedy as may be necessary. The **UNDP**'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 **CO** insofar as further payments are concerned.
- 6.4 **UNDP** undertakes no responsibilities in respect of life, health, accident, travel or any other insurance

- 5.2 **БК** збирає, зберігає та надає на прохання **ПРООН** будь-які облікові документи чи інформацію стосовно послуг чи робіт, що їх виконує **БК**, в усній чи письмовій формі.
- 5.3 Вся подальша кореспонденція, пов'язана з виконанням цієї Угоди, надсилається на таку адресу:  
 Для **ПРООН**:  
 МПВСР  
 Київ, 01010, Інженерний пров. 4б  
 Україна
- Для **БК**:  
 Стасюник Р. Р.  
 ОЖР «Будинковий комітет по вул. Целевича 5а»  
 вул. Целевича, 5-А, м. Івано-Франківськ  
 76000 Україна
- 5.4 Для отримання подальшого фінансування відповідно до узгодженої схеми виплат **БК** подає до **ПРООН** проміжні звіти про хід виконання проекту та фінансові звіти.
- 5.5 Впродовж десяти днів після завершення робіт за проектом **БК** подає до **ПРООН** остаточний звіт із зазначенням усіх витрат, здійснених із наданих коштів, і результатів виконання усіх видів діяльності, передбачених цією Угодою. Звіт укладається за формою, поданою в Додатку до цієї Угоди.

## 6 Загальні положення

- 6.1 Ця Угода та Додатки до неї складають зміст Договору між **БК** та **ПРООН**, і замінюють собою зміст будь-яких інших переговорів та/чи домовленостей, усних чи письмових, стосовно предмету цієї Угоди.
- 6.2 **БК** надає послуги, передбачені цією Угодою, з належною старанністю та ефективністю.
- 6.3 **ПРООН** перевіряє як якість роботи, так і поступ у досягненні цілей за всіма видами діяльності. Якщо на будь-якому етапі виконання Угоди якість роботи або поступ у досягненні цілей не задовольнятимуть **ПРООН**, остання може: (i) призупинити виплати, доки, на її думку, ситуацію не буде виправлено; або (ii) оголосити про припинення дії цієї Угоди, надіславши відповідне письмове повідомлення до **БК**, та/чи вжити інших необхідних заходів. Рішення **ПРООН** щодо якості виконуваних робіт чи поступу в досягненні цілей є остаточним, обов'язковим і визначальним для **БК** в тому, що стосується здійснення подальших виплат.
- 6.4 **ПРООН** не несе відповідальності за покриття витрат на страхування життя, медичного страхування,



coverage for any person who may be necessary or desirable for the purpose of this Agreement or for any personnel performing services under this Agreement. Such responsibilities shall be borne by the **CO**.

- 6.5 The rights and obligations of the **CO** are limited to the terms and conditions of this Agreement. Accordingly, the **CO** 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.
- 6.6 The **CO** shall be solely liable for claims by third parties arising from the **CO**'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.
- 6.7 Equipment (assets) purchased by the **CO** with funds supplied by **UNDP** shall be the property of the **CO** unless otherwise agreed in writing between **UNDP** and the **CO**, and shall be used for the purpose indicated in the project proposal.
- 6.8 The **CO** shall promptly return all funds that remain unutilised after completion of project activities to **UNDP**.
- 6.9 Either Party before completion of the Agreement may terminate this Agreement by giving twenty (20) days written notice to the other party. In this case the **CO** shall promptly return any unutilised funds to **UNDP**.
- 6.10 The **CO** acknowledges that **UNDP** and its representatives have made no actual or implied promise of funding except for the amounts specified by this particular Agreement. Although programme related documents may indicate a total amount of funds that could be available for this **CO**, actual disbursements will be based upon the **CO** meeting performance targets. If any of the funds are returned to **UNDP** or if this Agreement is rescinded, the **CO** acknowledges that **UNDP** will have no further obligation to the **CO** as a result of such return or rescission.
- 6.11 No modification of or change in 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.
- 6.12 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

страхування від нещасних випадків і будь-яких інших видів страхування будь-яких осіб, залучення яких може виявитися необхідним чи бажаним для виконання цієї Угоди, або будь-яких працівників, що надають послуги за цією Угодою. Така відповідальність покладається на **БК**.

- 6.5 Права та обов'язки **БК** обмежені умовами і положеннями цієї Угоди. Відповідно, **БК** та персонал, що надає послуги від її імені, не мають права на пільги, виплати, компенсації, тощо, окрім тих, що спеціально передбачені цією Угодою.
- 6.6 **БК** несе одноосібну відповідальність перед третіми особами за виконання чи невиконання **БК** своїх зобов'язань перед ними, що виникли у зв'язку із виконанням цієї Угоди. **ПРООН** не несе такої відповідальності перед третіми особами за жодних обставин.
- 6.7 Обладнання (активи), придбане **БК** за рахунок коштів, наданих **ПРООН**, є власністю **БК**, якщо інше не передбачено відповідною письмовою угодою між **ПРООН** й **БК**, та використовується у цілях, визначених у проектній пропозиції.
- 6.8 **БК** без зволікань повертає до **ПРООН** усі кошти, що залишилися невикористаними по завершенні проекту.
- 6.9 До кінцевого терміну виконання цієї Угоди кожна сторона може розірвати її, надавши іншій стороні відповідне письмове повідомлення за двадцять (20) днів. У такому разі **БК** без зволікань повертає до **ПРООН** усі невикористані кошти.
- 6.10 **БК** визнає, що **ПРООН** та її представники не робили жодних явних чи неявних обіцянок щодо будь-якого фінансування, окрім надання коштів у обсягах, що визначені цією Угодою. Хоча програмні документи можуть містити загальну суму коштів, що надаються цій **БК**, безпосереднє здійснення виплат залежатиме від виконання нею поставлених завдань. **БК** визнає, що у разі повернення будь-яких коштів до **ПРООН** або розірвання цієї Угоди **ПРООН** не матиме подальших зобов'язань перед **БК** в результаті такого повернення або розірвання.
- 6.11 Будь-які зміни чи доповнення до цієї Угоди, відміна будь-яких з її нинішніх положень чи внесення нових набувають чинності лише за умови попереднього письмового погодження обох сторін даної Угоди або уповноважених представників сторін на такі зміни, які приймаються у формі поправки до цієї Угоди, належно підписаної обома сторонами.
- 6.12 Будь-які суперечки чи претензії, що впливають з цієї Угоди чи у зв'язку із нею, або будь-які порушення умов Угоди розглядаються та розв'язуються відповідно до Положень про арбітраж UNCITRAL у чинній редакції, у випадку, якщо сторони не можуть вирішити їх шляхом прямих

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. 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.

6.13 Nothing in or relating to this Agreement shall be deemed a waiver of any privileges and immunities of the United Nations or **UNDP**.

This agreement forms part of overall framework Agreement between the **UNDP** and Municipality.

6.14 The present agreement is signed in two 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:**

\_\_\_\_\_  
**Francis O'Donnell,**  
UNDP Resident Representative/  
UN Resident Coordinator in Ukraine

Date \_\_\_\_\_ 2007

**On behalf of NO:**

\_\_\_\_\_  
CO "....."

Date \_\_\_\_\_ 2008

**Witness:**

\_\_\_\_\_  
.....  
.....

переговорів. Якщо в результаті прямих переговорів сторони досягнуть мирової угоди щодо улагодження зазначеної суперечки, спору чи претензії, таке улагодження відбувається відповідно до Положень про улагодження суперечок UNCITRAL у чинній редакції. Будь-яке рішення арбітражу щодо зазначеної суперечки, спору чи претензії є остаточним і обов'язковим для виконання сторонами.

6.13 Жодне положення цієї Угоди не розглядається як відмова від будь-яких пільг чи імунітету Організації Об'єднаних Націй чи **ПРООН**.

Дана угода є частиною загальної рамкової угоди між **ПРООН** і муніципалітетом.

6.14 Ця Угода укладається й підписується у двох примірниках англійською та українською мовою, які є однаково автентичними. У разі невідповідності у перекладі пріоритет надається варіанту угоди, складеному англійською мовою.

На підтвердження чого уповноважені представники сторін, що підписалися нижче, власноручно підписали цю Угоду на дату, зазначену під їхніми підписами.

**Від імені ПРООН:**

\_\_\_\_\_  
**Френсіс Одонелл,**  
Представник ПРООН/  
Координатор ООН в Україні

Дата: \_\_\_\_\_ 2007 року

**Від імені БК:**

\_\_\_\_\_  
Стасюник Р. Р.  
ОЖР «Будинковий комітет по вул. 5а Целевича»

Дата \_\_\_\_\_ 2007

**Свідок:**

\_\_\_\_\_  
**Б. І. Білик**  
Складено: Муніципальним координатором проекту,  
Івано-Франківська міська рада

<b>Annex – A: Description of Services and Activities</b>	<b>Додаток – А: Характеристика послуг та видів діяльності</b>
<p>In partnership with UNDP the CO “.....” shall manage and implement the community project “.....”, aiming at to improve the living condition of the community and improve the quality of governance.</p>	<p>«Будинковий комітет по вул. Целевича 5а», у партнерстві з ПРООН, здійснює місцевий проект «Реконструкція підвальних розгалужень», спрямований на поліпшення умов життя територіальної громади району, удосконалення якості управління та навколишнього середовища.</p>
<p><b>Specific Activities that the CO shall perform:</b></p> <ol style="list-style-type: none"> <li>1. After the first tranche the Implementing Agency shall accomplish the following: <ol style="list-style-type: none"> <li>a) Select, on competitive bases, a licensed specialized company to perform the required works;</li> <li>b) Negotiate and sign a Contract with the selected company;</li> <li>c) .....</li> </ol> </li> <li>2. After the second tranche the following shall be accomplished: <ol style="list-style-type: none"> <li>a) .....</li> <li>b) .....</li> <li>c) Public audit shall be conducted and report available.</li> </ol> </li> <li>3. After the third tranche the following shall be accomplished: <ol style="list-style-type: none"> <li>a) Final payment to Contractor shall be made.</li> <li>b) Handover of the project shall take place;</li> <li>c) Display and communication materials shall be prepared.</li> <li>d) Institutional mechanism of project’s O&amp;M shall be developed and implemented.</li> </ol> </li> </ol>	<p><b>Особливі види діяльності, які виконуватиме ОЖР/мережа:</b></p> <ol style="list-style-type: none"> <li>1. Після першого траншу, такі види діяльності будуть виконані: <ol style="list-style-type: none"> <li>a) Вибір на конкурентній основі ліцензованої компанії для виконання необхідних робіт.</li> <li>b) Підписання контракту з обраною компанією.</li> </ol> </li> <li>2. Після другого траншу, такі види діяльності будуть виконані: <ol style="list-style-type: none"> <li>a) Замінено труби систем центрального опалення, водопостачання і каналізації.</li> <li>b) Систему протестовано.</li> <li>c) Проведено громадський аудит та наданий відповідний звіт.</li> </ol> </li> <li>3. Після третього траншу, такі види діяльності будуть виконані: <ol style="list-style-type: none"> <li>a) Проведено остаточні розрахунки із підрядником.</li> <li>b) Відбулася передача об’єкту на баланс, підготовані демонстраційні та інформаційні матеріали про проект.</li> <li>c) Розроблено та впроваджується відповідний інституційний механізм утримання та обслуговування об’єкту.</li> </ol> </li> </ol>

On behalf of UNDP:  
Від імені ПРООН: \_\_\_\_\_

On behalf of CO:  
Від імені ОЖР/Мережі: \_\_\_\_\_

<b>Annex B: Project Budget of NO/Network</b>	<b>Додаток Б: Бюджет проекту ОЖР/Мережі</b>
Project Number: .....	Номер проекту: IF-NO- 01/07
Project Title: .....	Назва проекту: <b>Реконструкція підвальних розгалужень</b>
Name of the CO: .....	Назва ОЖР/мережі: Будинковий комітет по вул. Целевича 5а»
Total Amount of Funds under the Agreement: UAH .....	Загальна сума фондів згідно угоди: 146329 грн.
Date of signature of the Agreement:	Дата підписання угоди:

General category of expenditures Види видатків:		2008	Total/Разом	Remarks/Примітки
1	Manpower/Labour/Material/ Оплата праці ,матеріали	.....		
2	Training/Seminar/Workshops/Т ренінги,конференції,семінари	0		
3	Contract/контракти	0		
4	Equipment/обладнання	0		
5	Services/послуги	0		
6	Consumables/Витратні матеріали	0		
7	Miscellaneous/Contingency/Різ не, непередбачені витрати	0		
<b>Total/Разом</b>		.....		

**Payments Schedule: Графік здійснення виплат:**

Milestones Основні етапи	Installments Виплати	Amt. Сума (грн.) (UAH)	Date foreseen Термін
<u>1</u>	<b>20%</b> of the Agreement amount within 30 banking days upon receiving the resources from the municipality and signing of this Agreement. <b>20%</b> передбаченої Угодою суми протягом 30 днів після отримання коштів від міської ради і підписання цієї Угоди <b>Balance Баланс</b>	..... .....	
<u>2</u>	<b>70%</b> of the Agreement amount upon submission of a periodic progress and financial report and signature of Intermediate Certificate of Performance (Public Auditing) on completion of Activity-1 mentioned in the Annex-A. <b>70%</b> передбаченої Угодою суми після подання проміжного звіту про хід виконання проекту та фінансового звіту й підписання Проміжного акту виконання робіт (громадський аудит) по завершенні першого виду діяльності, передбаченого у Додатку А. <b>Balance Баланс</b>	..... .....	After satisfactory utilisation of the 1 <sup>st</sup> tranche Після доцільного використання 1-го траншу
<u>3</u>	<b>Remaining amount</b> of the Agreement amount upon submission of final progress and financial report and signature of Certificate of Performance (Public Auditing) on completion of <b>100%</b> of the works mentioned in the Annex-A. <b>Решта передбаченої Угодою суми</b> після подання остаточного звіту про хід виконання проекту та фінансового звіту й підписання Акту виконання робіт (громадський аудит) по завершенні <b>100%</b> робіт, передбачених у Додатку А. <b>Balance Баланс</b>	..... 0.0	After satisfactory utilisation of the 2 <sup>nd</sup> tranche Після доцільного використання 2-го траншу

On behalf of UNDP:  
Від імені ПРООН: \_\_\_\_\_

On behalf of CO:  
Від імені **ОЖР/Мережі**: \_\_\_\_\_

**Annex C: Interim Report on the Use of Funds**  
**Додаток С: Проміжний звіт про використання коштів**

Project Number/Номер проекту : .....  
 Project Title/ Назва проекту : “.....”/ “Встановлення приладів обліку теплової енергії”  
 Date/ Дата:

Name of the CO/ Назва ОЖР/мережі: “.....”\”Хоробрий ” (Konovalt’sya 62/Коновальця 62)  
 Total Amount of Funds Under the Agreement: UAH .....  
 Загальний бюджет за Угодою  
 Date of signature of the Agreement: .....\19 жовтня 2004  
 Дата підписання Угоди

FOR THE PERIOD COVERING FROM ..... TO .....  
 ЗА ПЕРІОД З 28.12.2004 ПО 05.03.2005

General category of expenditures/ Загальна стаття витрат	Global Budget/ Загальний бюджет	Expenditures/ Витрати	Balance/ Баланс	Amount Requested/ Сума запиту
Manpower/Labour/Material/ Оплата праці/Матеріали				
Training/Seminar/Workshops/ Тренінги/Конференції /Семінари				
Contracts/ Контракти				
Equipment/ Обладнання				
Services/ Послуги				
Consumables/ Витратні матеріали				
Miscellaneous/Contingency/ Різне/непередбачені витрати				
<b>Total/ Разом</b>				

Total Budget approved/ Загальна вартість схваленого бюджету: UAH .....  
 Funds already advanced/ Сума коштів, що вже були надані: UAH .....  
 Amount of expenditures/ Сума витрат: UAH .....  
 Funds requested/ Сума коштів, на яку подано запит: UAH .....  
 Balance (if exists)/ Баланс (якщо такий є): UAH .....

Date of the next request for funds/ .....  
 Дата наступного запиту про надання коштів: Березень, 2005

Certified by/ Затверджено: ...../ Поришнев І. С.

Name and signature of the Representative of CO/  
 Ім'я та підпис представника мережі \_\_\_\_\_

CO is responsible for compiling and providing all supporting documentation or information related to this report at the request of UNDP/ОЖР є відповідальною за складання та надання всієї супровідної документації або інформації, пов'язаної із цим звітом, на прохання з боку ПРООН

<p><b>Annex D: Final Progress Report</b></p> <p><u>FINAL REPORT</u> <u>Contractor</u></p> <p>Name of organization providing the report:</p> <p>Address:</p> <p>Person in charge of the progress report:</p> <p><b><u>Identification of the project</u></b>  Name of the project:  Agreement number:  Type of project:  Start-up Date:  Completion Date:</p> <p><b><u>Participants/beneficiaries</u></b>  Number of females:  Number of males:  Number of children (under 21):</p> <p><b><u>Capacity Building/Training</u></b>  Number of females:  Number of males:  Number of children (under 21):</p> <p><b><u>Budget and finance</u></b>  Total Project Cost: UAH  Amount received under this Agreement: UAH  Amount received from other sources of funding: UAH  Contribution of NO/Network: UAH</p> <p><b><u>Activities</u></b>  Activities Performed under this Agreement:</p> <p><b><u>Results:</u></b>  Describe to what extent the objectives of the Agreement were accomplished:</p> <p>Prepared by _____  Date: _____</p>	<p><b>Додаток D: Остаточний звіт про виконання проекту</b> <b><u>ІНСТРУКЦІЇ</u></b></p> <p><b><u>ОСТАТОЧНИЙ ЗВІТ</u></b>  <b><u>Підрядник</u></b>  Назва організації, що надала звіт:  Адреса:</p> <p>Особа, відповідальна за укладання звіту про хід виконання проекту:</p> <p><b><u>Ідентифікація проекту</u></b>  Назва проекту:  Номер Угоди:  Вид проекту:  Дата початку:  Дата завершення:</p> <p><b><u>Учасники/бенефіціанти</u></b>  Кількість жінок:  Кількість чоловіків:  Кількість дітей (до 21 року):</p> <p><b><u>Розбудова потенціалу/тренінги</u></b>  Кількість жінок:  Кількість чоловіків:  Кількість дітей (до 21 року):</p> <p><b><u>Бюджет і фінанси</u></b>  Загальна вартість проекту (витрати за проектом): грн.  Кошти, отримані за цією Угодою: грн.  Кошти, отримані з інших джерел фінансування: грн.  Внесок з боку ОЖР/мережі: грн.</p> <p><b><u>Види діяльності</u></b>  Види діяльності, виконаної за цією угодою:</p> <p><b><u>Результати:</u></b>  Рівень досягнення цілей і виконання завдань Угоди:</p> <p>Підготовлено: _____  Дата: _____</p>
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Annex – XXIX  
**Documents to be Submitted by CO for Tranches**

***For release of the 2<sup>nd</sup> tranche***

The amount for the 2<sup>nd</sup> tranche will be released by UNDP upon submission and verification of the utilization of the first tranche and completion of other commitments for this phase as mentioned in the MoA. Following key documents ought to be submitted to CBA for release of 2<sup>nd</sup> tranche:

- Request letter from CO
- Recommendation letter from OIU
- Recommendation of quality supervision committee
- Act of performance on previous installment (as mentioned in Annex – A and Annex – B of the MoA)
- Interim financial report (Annex – C of the MoA)
- Agreement with contracted company(ies), if applicable
- Evidence of payment of the 1st tranche to the contracted company and other vendors
- Tender documentation (3 quotations, tender advertisement or announcement, tender committee's protocol, CO's protocol on tender procedure) – if applicable
- Evidence that the CO has utilised its share (partly/in full) if any
- Documents on utilization of share from raion and oblast authorities
- Documents on utilization of share from other sponsor (if necessary)
- Evidence of visibility of donors' support
- Evidence of proposed mechanism for operation and maintenance of the sub-project

If necessary staffs of UNDP/MGSDP and MSU will make site visit to confirm the quantity and quality of output from the first tranche.

***For release of the 3<sup>rd</sup> (final) tranche***

The amount for the 3<sup>rd</sup> (final) tranche will be released by UNDP upon submission and verification of the utilization of the 2<sup>nd</sup> tranche and completion of other commitments defined for the 2<sup>nd</sup> and 3<sup>rd</sup> phase. Documents to be included with the request include followings:

- Request letter from CO
- Recommendation letter from OIU
- Recommendation of quality supervision committee
- Public audit report
- Final financial report (Annex – D of the MoA)
- Protocol of the CO
- Act of performance on the previous installment (as mentioned in Annex – A and Annex – B of the MoA)
- Evidence of payment of the 2<sup>nd</sup> tranche to the contracted company and other vendors
- Evidence that the CO has utilised its share in full
- Documents on utilization of share from raion and oblast authorities
- Documents on utilization of share from other sponsor (if necessary)
- Evidence that the CO has established a satisfactory mechanism for operation and maintenance of the project so that the members will keep receiving benefit from the project
- Participatory Assessment Report

Annex – XXX  
**Sample Book Keeping Format for Functional Group**

**(A) Labour mobilisation**

A) Labour mobilisation														
SN	Name	House No.	Labour contribution (in hours or day) during ..... month of 200__											
			1	2	3	4	5	6	7	.....	.....	30	31	Total

**(B) Inventory**

Date	Description	.....			.....			.....			.....		
		Entry	Exit	Stock	Entry	Exit	Stock	Entry	Exit	Stock	Entry	Exit	Stock

**(C) Cash Transactions (in UAH)**

Date	Description of transaction	Income	Expenditure	Balance	Whereabouts of the balance		
					Cash	With FG	In bank

Annex – XXXI  
**UNDP Rules for Procurement**

- Payments of goods and services for less than 100\$ should be made from Petty Cash (in line with Petty Cash provisions);
- Payments of goods and services for 101\$-1000\$ must be made through invoice. An invoice must contain: #, date, payer: UNDP Ukraine, duly signed and stamped;
- Payments of goods and services for 1001\$-2500\$ must be based on quotation-based competitive procurement. Documents required are - Invoice + 2 alternative invoices from different suppliers (the cheapest variant should be chosen);
- Payments of goods and services for above 2500\$ must be based on tender procedure (*see Annex – for details on tendering*).

Annex – XXXII  
**Sample of Logbook to be Maintained at OIU and CO**

Name of the Organisation (OIU/CO):			Location:		Oblast:
Date of visit:	Name of visitor:		Purpose of visit:		
Activity	Problems observed	Problem solutions proposed	Due date to complete Follow-up action	Responsibility for follow up	



## Annex – XXXIII

### Participatory Assessment of the CO

Once a year, the CO-executive should encourage general members to assess their organization. Each CO-member assesses quality of the organisation in terms of governance and the services delivered to the members as mentioned below:

- Ownership (*Whether or not members are willing to own CO*)
- Level of transparency (*Whether or not decisions, transactions and information are transparent*)
- Equity consideration (*Whether or not the benefit has been enjoyed by all/most of the members*)
- Accountability (*Whether or not the members and executives are accountable to the decisions made*)
- Performance of CO in fulfilling the needs/interest of CO-members (*by improving governance, service delivery and living condition*)

The assessment is participatory, whereby each member opines on a set of indicators giving value based on his/her own judgement. The final result shows strength and weaknesses of the CO and provides room for improvement.

Before assessment, one of the executive members of the CO is charged with the responsibility of conducting the assessment procedure. The responsible official sends a set of printed questions (*A sample given below*) to each CO-member. The members respond to the questions and return to the responsible member of the executive committee. The collected questionnaires are analysed and tabulated. On a suitable date, a general meeting is called for participatory assessment. In this meeting, the results are presented and opinion of the members are sought to undertake action(s) to make the CO better.

Following 7 factors are considered important to judge effectiveness of the community organisation. Each factor is assessed through five variables. Each variable is reflected by one of three possibilities (options). The person making assessment ought to choose one of the three options in each variable based on his/her experience on functioning of the CO. Eight factors (given in the end) will show how strong (effective) is the CO in serving the inhabitants. It also indicates which factors are weak and need attention for improvement.

#### Part A: Questionnaire for the General Members

Please give your perception in context of the organisation (association of co-owner of multi-apartment building or housing committee or bodies of self-organisation of population, cooperative or other public organisation) that is supporting in improving living quality in the neighbourhood –

<b>1</b>	<b>Organisational Development</b>				
1.1	Participation of houses/apartments in the CO	> 90%		80-90 %	< 80%
1.2	Meeting of the organisation is held	Regularly		Occasionally	Seldom
1.3	Attendance of the members in the meetings	> 80%		60 - 80%	< 60%
1.4	Participation of the members in discussion	Almost all		> half members	< half members
1.5	% of members informed about the decisions	> 80%		50 - 80%	< 50%
<b>2</b>	<b>Leadership Development</b>				
2.1	A system to evaluate office bearers is	in place		being developed	yet to be discussed
2.2	Distribution of responsibilities among CO-members is	in place		being developed	yet to be discussed
2.3	System of leadership rotation/change is	in place		being developed	yet to be discussed
2.4	A system to respect office bearers for their work is	in place		being developed	yet to be discussed
2.5	Office bearers follow rules and perform their duty	very well		moderately	unsatisfactory
<b>3</b>	<b>Organisational Sustainability</b>				
3.1	Do you pay 'Commitment & CO-sustenance fees'?	regularly		occasionally	seldom
3.2	Need of your organisation in future is	a lot		not much	no more
3.3	Account book of the organisation is maintained	very well		satisfactory	poor
3.4	Do you feel the money given to the CO by members	is safe		not very safe	unsafe

3.5	Rules of the CO are followed by the members	Very well		moderately		Poorly
<b>4</b>	<b>Community Project Implementation</b>					
4.1	In one year the organisation has carried out projects	2 or more		one		none
4.2	Members are confident to undertake more projects	very much		moderately		none
4.3	System of fee to maintain the project output is	in place		being developed		not developed
4.4	Priority to benefit low income and other vulnerable groups from the projects	very high		moderately		no special priority
4.5	Involvement of members from beginning to end of the project undertaken by the CO is	very high		moderately		poor
<b>5</b>	<b>Gender and Development</b>					
5.1	Participation of female in the organisation	> 50%		25 - 50%		< 25%
5.2	Expression of opinion by female members in meetings	high		moderate		low
5.3	Violence and discrimination against women is	ended		decreasing		same or increased
5.4	Participation of female in the CO-executives and in the functional group	> 50%		25 - 50%		< 25%
5.5	Women's participation in planning process	very high		moderate		low
<b>6</b>	<b>Change in Living Quality in the Community Due to -</b>					
6.1	Health post related services	better now		somewhat better		no change
6.2	Energy saving facilities (heating system, gas supply etc.)	better now		somewhat better		no change
6.3	Environment related measures (drainage/sewerage/waste management etc).	better now		somewhat better		no change
6.4	Water management measures (hot/cold water supply, micro-irrigation etc.)	better now		somewhat better		no change
6.5	Transport facility for school children	better now		somewhat better		no change
<b>7</b>	<b>Participatory Planning/Linkage</b>					
7.1	Linkage of CO with local authorities is	better now		same as before		worse than before
7.2	Linkage of CO with other development agencies is	increased		same as before		worse than before
7.3	Linkage with similar organisations in the area is	excellent		moderate		weak
7.4	CO-members participate in planning process	almost all		> half		< half
7.5	Village/City council level planning takes place	regularly		occasionally		seldom/never

**Note:** CO-members may collectively provide the information in Part – B (below) if above method is practically difficult

## Part B: Analysis of the Participatory Assessment

### 1. Organisation Development (Total Possible Points: 15)

SN	Sub-Indicators	Status	Score
1.1	Participation of HH/Appt. in the organisation	More than 90 percent	3
		80 - 90 percent	2
		Less than 80 percent	1
1.2	Scheduled Meetings	Meetings are held regularly	3
		Meetings are held sometimes	2
		Meetings are seldom held	1
1.3	Attendance in the Meetings	Full attendance almost always	3
		High attendance almost always (60-80%)	2
		Less than 60% attend	1
1.4	Participation in Discussions	Almost all the members participate in discussions	3
		More than half participate	2
		Less than half participate	1
1.5	Information About Decisions (Transparency)	More than 80% members informed	3
		50 - 80% members informed	2
		Less than half members are	1

**Total Score :**

### 2. Leadership Development (Total Possible Points: 10)

SN	Sub-Indicators	Status	Score
2.1	A system to evaluate office bearers	Is in place	3
		Need for developing the system strongly felt	2
		Need for developing the system not felt yet	1
2.2	Distribution of responsibilities among CO-members (Shared leadership)	Developed adequately	3
		Need for distributing the responsibility strongly felt	2
		Need for distributing the responsibility not felt yet	1
2.3	Techniques for handing over of leadership (leadership rotation)	Developed adequately	3
		Need for developing the system strongly felt	2
		Need for developing the system not felt yet	1
2.4	A system to respect office bearers for their work	Well-established	3
		Beginning to feel the necessity to recognise them	2
		Necessity not felt yet	1
2.5	Office bearers follow rules and regulations and perform their duty	Very well	3
		Moderately	2
		weakly	1

**Total Score :**

### 3. Organisational Sustainability (Total Possible Points: 15)

S.N	Sub-Indicators	Situation	Score
3.1	Commitment & Organisation Sustenance fees deposited by	All the members	3
		More than 80 % of the members	2
		Less than 80 % of the members	1
3.2	Clarity about utility of the CO	Almost all members are clear	3
		More than half are clear	2
		Less than half are clear	1
3.3	Account book	Well maintained	3
		Satisfactorily maintained	2
		Very weak	1
3.4	Feeling secured about the money given to the CO by	All the members	3
		Most (80% or more) of the members	2
		Less than 80 % of the members	1
3.5	Following of rules and regulations	Satisfactorily followed	3
		Followed at moderate levels	2
		Only very little	1

**Total Score :**

### 4. Sustainable Development Initiatives (Total Points: 15)

S.N.	Sub-Indicators	Situation	Score
4.1	CO has carried out/in process of undertaking	Two or more communal projects	2
		One communal project	1
		None	0
4.2	Confidence gained to undertake similar social/communal activities	Highly confident	2
		Moderately confident	1
		Non-confident	0
4.3	System of users' fee to maintain such infrastructure is	Well developed	2
		Moderately developed	1
		Not developed	0
4.4	Priority given to less income households and other vulnerable groups	High priority	2
		Moderate priority	1
		No especial priority for them	0
4.5	Involvement of members from beginning to end of the project	High involvement	2
		Moderate involvement	1
		No involvement	0

**Total Score :**

### 5. Change in Living Quality (Total Points = 15)

S.N	Sub-Indicators	Situation	Score
5.1	Health post related services	Better now	3
		Somewhat better	2
		No change	0
5.2	Energy saving measures	Better now	3
		Somewhat better	2
		No change	0
5.3	Environment improvement measures	Better now	3
		Somewhat better	2
		No change	0
5.4	Water amangement	Better now	3
		Somewhat better	2
		No change	1
5.5	School transportation	Better now	3
		Somewhat better	2
		No change	0

**Total Score :**

### 6. Women Development (Total Possible Points: 10)

S.N.	Sub-Indicators	Situation	Score
6.1	Participation of female in the CO	More than 50% members female	2
		25-50% members are female	1
		Less than 25 % members are female	0
6.2	Expression of opinion by female members is of	High level	2
		Moderate level	1
		Low level	0
6.3	Violence and discrimination against women is	Completely put to an end	2
		Decreasing in general	1
		Same level/has even increased	0
6.4	Participation of female in the CO-executives and FG	50% or more	2
		25 – 50%	1
		Less than 25%	0
6.5	Women's participation in planning process	Very high	2
		Moderate	1
		allow level	0

**Total Score :**

### 7. Participatory Planning/Coordination/Linkage (Points = 15)

S.N	Sub-Indicators	Situation	Score
7.1	Linkage of CO with local authorities	Better now	3
		Same as before	2
		Worse than before	0
7.2	Linkage of CO with other development agencies	Better now	3
		Same as before	2
		Worse than before	0
7.3	Linkage with similar organisations in the city is	Excellent	3
		Moderate	2
		Not good / weak	0
7.4	CO-members participate in planning process	Almost all of them	3
		More than half of them	2
		Less than half of them	1
7.5	Municipality level planning process takes place	Regularly takes place	3
		Occasionally takes place	2
		Seldom take place	0

**Total Score :**

### Part C: Drawing Conclusion

#### a) Summary Statement

SN	Indicator	Full mark	Score
1	Organisation Development	15	
2	Leadership Development	15	
3	Organisational Sustainability	15	
4	Sustainable Development Initiatives	15	
5	Women Development	10	
6	Change in Living Quality	15	
7	Participatory Planning/Linkage	15	
	<b>Grand Total</b>	100	

#### b) Score and Status

Score less than 19	means	Serious
Score between 20 – 39	means	Weak
Score between 40 – 59	means	Moderate
Score between 60 – 79	means	Satisfactory/Good
Score between 80 – 100	means	Excellent/Sustainable

Annex – XXXIV  
**Key Job Description of Various Positions of CBA Project**

SN	Position	Key Function
1	Project Manger	<ul style="list-style-type: none"> <li>• Manage the CBA Project activities;</li> <li>• Promote a team spirit and cooperative efforts</li> <li>• Develop and implement result-based workplan</li> <li>• Make substantive managerial and financial reporting</li> <li>• Make overall supervision of the CBA staffs at all level</li> <li>• Lead project team and provide professional opinions in areas of expertise</li> <li>• Guide and supervise policy-based relations between the Project and the Government</li> <li>• Coordinate program's activities with local partners and other agencies</li> <li>• Implement the Social Mobilization concept throughout all components of CBA</li> <li>• Mobilize resources for the program to meet the overall objectives</li> <li>• Represent the project at public events</li> </ul>
2	Community Development Specialist	<ul style="list-style-type: none"> <li>• Supervise and monitor the work of Community Mobilization Assistants</li> <li>• Work to expand partnership and cooperation between COs and local/regional levels of government for the implementation of Project activities</li> <li>• Provide professional mentorship, training and support to community mobilization assistants and local authorities.</li> <li>• Work to establish network at oblast level and raiyon level of CBA programme area.</li> <li>• Prepare progress reports, and other reports as per required by the organization</li> </ul>
3	Communications Specialist	<ul style="list-style-type: none"> <li>• Design, and implement communication/information strategy for the project, ensuring implementation of EU visibility strategy;</li> <li>• Prepare and implement annual/quarterly communication work-plans as a part of the project plans;</li> <li>• Participate in preparation of the project reports and plans, donor proposals and reports;</li> <li>• Maintain project media relations for reaching main donors, partners and general public audiences</li> <li>• Promote project through stories, articles and other PR activities;</li> <li>• Organize special events based on key UN days or UN/UNDP themes</li> <li>• Prepare and update project website regularly</li> <li>• Develop project promotion materials such as leaflets, brochures, newsletters, and produce them</li> <li>• Assist with donor visits, provides services of donor guide during donor visits and events</li> </ul>
	Engineer	<ul style="list-style-type: none"> <li>• Technical and methodological backstopping of community projects</li> <li>• Conduct technical appraisal of proposed infrastructural projects</li> <li>• Monitoring of technical aspects of implementation of community projects</li> <li>• Support proper hand-over of completed project</li> </ul>
4	Admin/Finance Manager	<ul style="list-style-type: none"> <li>• Liaise on procurement and finance related issues.</li> <li>• Supervise work of finance staff of the Project</li> <li>• Preparation of financial reports to EC and UNDP management</li> <li>• Review CO's procurement and finance practices and make recommendations for improvement</li> <li>• Keep abreast of UNDP corporate rules and regulations</li> </ul>
5	Finance/Admin Assistant (PMU)	<ul style="list-style-type: none"> <li>• Monitor and review reporting documents from COs</li> <li>• Maintain and update the procurement and finance filing system,</li> <li>• Create vendors, requisitions and purchase orders;</li> <li>• Carry out budget checking, dispatching and closing purchase orders for CBA in compliance with UNDP procurement and financial procedures</li> </ul>
6	Community Mobilisation Assistant	<ul style="list-style-type: none"> <li>• Mobilise local communities in the target area and assist them in getting organized into a sustainable and capable CO. Institute management information system, participatory assessment system and public auditing system at CO</li> <li>• Work with CO members and local/regional authorities to institute participatory planning and mainstreaming of community plans;</li> <li>• Work with COs for implementation of local improvement projects, design of sustainable operation and maintenance of planned facility or service improvements.</li> <li>• Work to expand partnerships and cooperation between COs and levels of government of particular region for the implementation of local improvement projects</li> </ul>

		<ul style="list-style-type: none"> <li>• Work as a trainer and resource person in the training</li> <li>• Work to establish network at village/municipality, rayon and oblast levels and represent the Project on such networks</li> <li>• Prepare progress reports, and other reports as per required by the organization.</li> <li>• Promote project through stories, articles and other PR activities , ensure implementation of EU visibility strategy;</li> <li>• Organize special events based on key UN days or UN/UNDP themes in particular region;</li> <li>• Assist with donor visits, provides services of donor guide during donor visits and events;</li> <li>• Liaise with focal persons from oblast state administration and rayon state administration to utilize their expertise in the Project activities</li> </ul>
	Finance/Procurement Assistant	<ul style="list-style-type: none"> <li>• Liaise with PMU in Kyiv on procurement and finance related issues.</li> <li>• Provide training to newly established COs on budget preparation and reporting requirement of the Project</li> <li>• Maintain and update the procurement and finance filing system</li> <li>• Assist COs in budget estimation, procurement planning, and most suitable contractual modalities.</li> <li>• Monitor and review reporting documents from COs, procurement and finance practices</li> <li>• Keep abreast of UNDP corporate rules and regulations as well as best practices in the area of procurement and personnel.</li> </ul>
	OSA – Focal Person	<ul style="list-style-type: none"> <li>• Work to expand partnership and cooperation between COs and oblast level of government for the implementation of local improvement projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region.</li> <li>• Assist RSA-focal person and CMAs in working with CO members to initiate social and economic/environmental development strategies</li> <li>• Assist in establishment and functioning of Oblast Coordination Council. Participate in the activities of OCC as necessary</li> <li>• Represent OSA/OC on the LDF</li> <li>• Assist in organizing special events based on UN days and key EU/UNDP thematic events applicable to the oblast</li> <li>• Assist with donor visits, provides services of donor guide during donor visits and events;</li> <li>• Liaise between the Project and oblast as well as rayon council/state administration for effective implementation of the Project activities</li> <li>• Participate in training and knowledge exchange exercises</li> <li>• Liaise with the focal person from the rayon state administration for effective implementation of CBA Project activities</li> </ul>
	RSA-Focal Person	<ul style="list-style-type: none"> <li>• Work to expand partnerships and cooperation between COs and rayon level of government for the implementation of local improvement projects and to have local needs, priorities and initiatives integrated into higher level of development planning in the region.</li> <li>• Work with CO members to initiate social and economic/environmental development strategies</li> <li>• Assist in establishment and functioning of local development forum. Participate in the activities of LDF as necessary</li> <li>• Assist in organizing special events based on UN days and key EU/UNDP thematic events applicable to the rayon</li> <li>• Assist with donor visits, provides services of donor guide during donor visits and events;</li> <li>• Liaise between the Project and rayon council/state administration for effective implementation of the Project activities</li> <li>• Participate in training and knowledge exchange exercises</li> <li>• Liaise with the focal person from the oblast state administration for effective implementation of CBA Project activities</li> </ul>

## Annex – XXXV(A)

**Management Information System – At VC/CC Level**

Name of the VC/CC: ..... Raiyon: ..... Oblast: .....

**(A) About Participation**

SN	Name of The CO	Date of initiation	Address	No. of Meeting conducted	No. of HHs in community	Member HHs	No. of Members			No. of active CO-MT		of the left out HHs		Members trained	
							M	F	Total	Total members	Active members	Eligible HHs	Reasons for not joining	M	F
1	2	3	4	5	6	7	8	9	10	11	12	13	14		
	<b>Total</b>														

**(B) About Financial Status**

SN	Name of the CO	Address	Financial Status (in UAH)								
			Balance of commitment Fund	Balance of CO-S fund	Balance of CP - Fund	Balance of O & M Fund	Balance of other income	Available capital with CO (15+16+17+18+19)	Status of available capital		
									In Investment	In Bank	Cash in hand
1	2	3	15	16	17	18	19	20	21	22	23
	Total										

CO-S = CO sustenance; CP = Community project

**(C) About Physical Infrastructure Development**

SN	Name of the CO	Address	.....Scheme								.....Scheme							
			Total cost (UAH)	CO's share (UAH)	CBA's share (UAH)	VC/CC & RA (UAH)	Others (UAH)	Status	Beneficiary HH	Disbursement (UAH)	Total cost (UAH)	CO's share (UAH)	CBA's share (UAH)	VC/CC & RA (UAH)	Others (UAH)	Status	Beneficiary HH	Disbursement (UAH)
1	2	3	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39
	<b>Total</b>																	

**(D) About Other Activities (Economic, Social, Environmental) of the CO (if any)**

(2) About Self-Initiatives (Economic, Social, Environmental) of the CO (if any)																	
SN	Name of the CO	Address	Self-initiative 1.....					Self-initiative 2.....					Self-initiative 3.....				
			Beneficiaries		Quantity	Amount Invested (UAH)	Remarks	Beneficiaries		Amount Invested (UAH)	Quantity	Remarks	Beneficiaries		Amount Invested (UAH)	Quantity	Remarks
			Male	Female				Male	Female				Male	Female			
1	2	3	40	41	42		43	44	45	46		47	48	49	50		51
	<b>Total</b>																

Annex – XXXV (B)  
**Management Information System – At Raiyon Level**  
**Name of the Raiyon: ..... Oblast: .....**

**Reporting Period: .....**

SN	Description	Unit	Progress by VCs/CCs					Raiyon Total	Remarks
			VC/CC1	VC/CC2	VC/CC3	.....	.....		
<b>1</b>	<b>Programme Area</b>								
A	Total Settlement (communities)	No.							
	Target communities								
B	Total HHs in target communities	No.							
<b>2</b>	<b>Date of Initiation</b>								
<b>3</b>	<b>Self - organisation/Participation</b>								
A	Community Organisation formed	No.							
B	Settlement participated	No.							
C	Household Participated	No.							
D	COs registered	No.							
E	Members	No.							
i	Male	No.							
ii	Female	No.							
<b>4</b>	<b>Financial Status</b>								
A	Commitment/membership fee	UAH							
B	CO-maintenance - fund	UAH							
C	Balance of CP-fund	UAH							
D	Balance of O & M fund	UAH							
E	Other income/inflow	UAH							
	Sub - total	UAH							
G	In Investment	UAH							
H	In Bank	UAH							
I	In Cash	UAH							
	Sub - total	UAH							
<b>5</b>	<b>Community Project Development</b>								
A	Schemes initiated	No.							
i	Health	No.							
ii	Energy	No.							
iii	Environment	No.							
iv	Water management	No.							
v	School Transport								
B	Total Cost	UAH							
i	Shared by CO	UAH							
ii	Shared by from CBA	UAH							
iii	Shared by VC/CC/RSA	UAH							
iv	Shared by others	UAH							
C	Beneficiary HHs	No.							
D	Completed Schemes	No.							
E	Handed over schemes	No.							
F	Amount disbursed from CBA	UAH							
<b>6</b>	<b>Human Resource Development</b>								
A	Regular Course conducted (including exposure visits)	No.							
B	Participants – female	No.							



	Participants – male	No.							
C	Refresher Course conducted	No.							
D	Participants – female	No.							
	Participants – female	No.							
E	Actual number of persons trained (after avoiding double counting)								
i	Female	No.							
ii	Male	No.							
F	CO-MT among '6E'	No.							
i	Female	No.							
ii	Male	No.							
G	Local Technicians among '6E'	No.							
i	Female	No.							
ii	Male	No.							
H	LDF meeting held	No.							
I	OCC meeting held								
<b>7</b>	<b>Economic Activities (from external capital)</b>								
A	Beneficiary COs	No.							
B	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
C	Amount Invested	UAH							
D	Recovery Rate	%							
<b>8</b>	<b>Economic Activities (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>9</b>	<b>Social activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>10</b>	<b>Environmental activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							

Annex – XXXV (C)  
**Management Information System – At Oblast Level**  
**Name of the Oblast: .....**

**Reporting Period: .....**

SN	Description	Unit	Progress by Raiyons					Oblast Total	Remarks
			Raiyon1	Raiyon2	Raiyon3	.....	.....		
<b>1</b>	<b>Programme Area</b>								
A	Total Settlement (communities)	No.							
	Target communities								
B	Total HHs in target communities	No.							
<b>2</b>	<b>Date of Initiation</b>								
<b>3</b>	<b>Self - organisation/Participation</b>								
A	Community Organisation formed	No.							
B	Settlement participated	No.							
C	Household Participated	No.							
D	COs registered	No.							
E	Members	No.							
i	Male	No.							
ii	Female	No.							
<b>4</b>	<b>Financial Status</b>								
A	Commitment/membership fee	UAH							
B	CO-maintenance - fund	UAH							
C	Balance of CP-fund	UAH							
D	Balance of O & M fund	UAH							
E	Other income/inflow	UAH							
	Sub - total	UAH							
G	In Investment	UAH							
H	In Bank	UAH							
I	In Cash	UAH							
	Sub - total	UAH							
<b>5</b>	<b>Community Project Development</b>								
A	Schemes initiated	No.							
i	Health	No.							
ii	Energy	No.							
iii	Environment	No.							
iv	Water management	No.							
v	School Transport								
B	Total Cost	UAH							
i	Shared by CO	UAH							
ii	Shared by from CBA	UAH							
iii	Shared by VC/CC/RSA	UAH							
iv	Shared by others	UAH							
C	Beneficiary HHs	No.							
D	Completed Schemes	No.							
E	Handed over schemes	No.							
F	Amount disbursed from CBA	UAH							
<b>6</b>	<b>Human Resource Development</b>								
A	Regular Course conducted (including exposure visits)	No.							
B	Participants – female	No.							

	Participants – male	No.							
C	Refresher Course conducted	No.							
D	Participants – female	No.							
	Participants – female	No.							
E	Actual number of persons trained (after avoiding double counting)								
i	Female	No.							
ii	Male	No.							
F	CO-MT among '6E'	No.							
i	Female	No.							
ii	Male	No.							
G	Local Technicians among '6E'	No.							
i	Female	No.							
ii	Male	No.							
H	LDF meeting held	No.							
I	OCC meeting held								
<b>7</b>	<b>Economic Activities (from external capital)</b>								
A	Beneficiary COs	No.							
B	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
C	Amount Invested	UAH							
D	Recovery Rate	%							
<b>8</b>	<b>Economic Activities (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>9</b>	<b>Social activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>10</b>	<b>Environmental activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							

Annex – XXXV(D)  
**Management Information System – Programme Level**

**Reporting Period: .....**

SN	Description	Unit	Progress by Oblast					Total	Remarks
			Oblast1	Oblast1	Oblast1	.....	.....		
<b>1</b>	<b>Programme Area</b>								
A	Total Settlement (communities)	No.							
	Target communities								
B	Total HHs in target communities	No.							
<b>2</b>	<b>Date of Initiation</b>								
<b>3</b>	<b>Self - organisation/Participation</b>								
A	Community Organisation formed	No.							
B	Settlement participated	No.							
C	Household Participated	No.							
D	COs registered	No.							
E	Members	No.							
i	Male	No.							
ii	Female	No.							
<b>4</b>	<b>Financial Status</b>								
A	Commitment/membership fee	UAH							
B	CO-maintenance - fund	UAH							
C	Balance of CP-fund	UAH							
D	Balance of O & M fund	UAH							
E	Other income/inflow	UAH							
	Sub - total	UAH							
G	In Investment	UAH							
H	In Bank	UAH							
I	In Cash	UAH							
	Sub - total	UAH							
<b>5</b>	<b>Community Project Development</b>								
A	Schemes initiated	No.							
i	Health	No.							
ii	Energy	No.							
iii	Environment	No.							
iv	Water management	No.							
v	School Transport								
B	Total Cost	UAH							
i	Shared by CO	UAH							
ii	Shared by from CBA	UAH							
iii	Shared by VC/CC/RSA	UAH							
iv	Shared by others	UAH							
C	Beneficiary HHs	No.							
D	Completed Schemes	No.							
E	Handed over schemes	No.							
F	Amount disbursed from CBA	UAH							
<b>6</b>	<b>Human Resource Development</b>								
A	Regular Course conducted (including exposure visits)	No.							
B	Participants – female	No.							
	Participants – male	No.							

C	Refresher Course conducted	No.							
D	Participants – female	No.							
	Participants – female	No.							
E	Actual number of persons trained (after avoiding double counting)								
i	Female	No.							
ii	Male	No.							
F	CO-MT among '6E'	No.							
i	Female	No.							
ii	Male	No.							
G	Local Technicians among '6E'	No.							
i	Female	No.							
ii	Male	No.							
H	LDF meeting held	No.							
I	OCC meeting held								
<b>7</b>	<b>Economic Activities (from external capital)</b>								
A	Beneficiary COs	No.							
B	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
C	Amount Invested	UAH							
D	Recovery Rate	%							
<b>8</b>	<b>Economic Activities (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>9</b>	<b>Social activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							
<b>10</b>	<b>Environmental activities carried out (from internal capital)</b>								
A	Beneficiary Members	No.							
i	Female	No.							
ii	Male	No.							
B	Amount Invested	UAH							

## TECHNICAL NOTES

Technical Note – I  
**Community Empowerment and Social Mobilisation (SM)**

Community is a fraction of the whole - in terms of boundary, ethnicity, professions etc. One can define community as “a group of people living side by side in a common geographical location, irrespective of their ethnic, religious or other affiliations and share common communal issues.”

**A) Empowerment of a community**

Community Empowerment is an increase in its strength and improvement in its capacity (ability) to achieve its (development) goals using its own resources and the help of other partner organizations. A community is strong if it has adequate ‘wealth’ to meet its expenditures and ‘power’ to influence decisions. Impact of these three elements namely wealth, power and capacity are best reflected if building blocks of the community (families in general, marginalized groups like poor, women, and youth in particular) as well as community as a whole (in its institutional form) have enough of these elements. It is a two way dynamics whereby the people make sacrifice (in terms of cash/kind resources, trust, respect, unity etc.) for others in the community and for community as a whole while the community (as an institution) delivers community members needful services that could not obtained by them individually. For it, the community (as institution) utilises collective power of its members and influences external forces. To derive ‘power’, a community must be founded on ‘participatory democracy’ whereby participation of every member of the community matters and need of every member is respected. It leads to a need to observe ‘good governance (e.g. equity, transparency and accountability)’ and ‘human rights based approach’ to development.

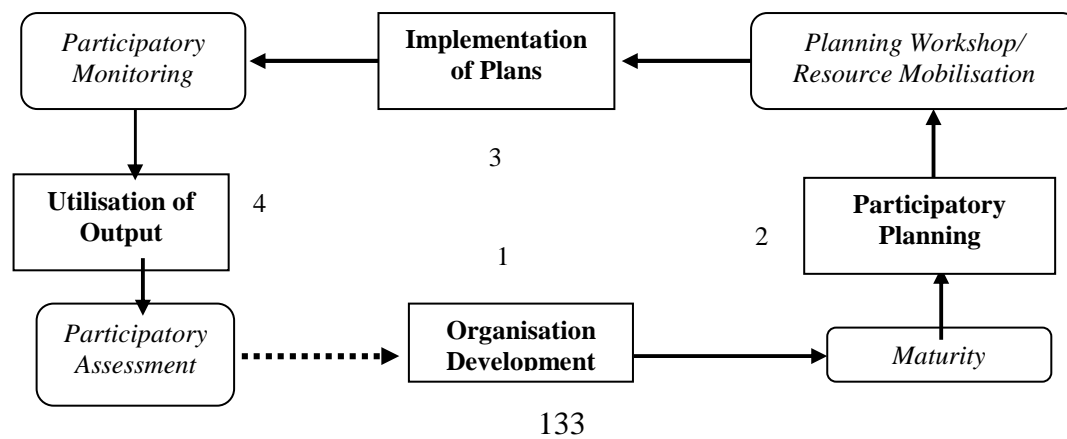
It is well understood that charity does not work to empower a community. The community must generate wealth, power and capacity by itself. External supports are needed to ‘boost’ its effort such that it becomes ‘self-reliant’ at the end and not ‘dependent’. Therefore, the community must be given an opportunity to ‘struggle’ around its common goal and achieve what it wants to achieve. In the process of ‘learning by doing’ it will become stronger and capable to move ahead on its own (and with confidence), with/without external support.

**B) Social Mobilisation Approach**

Social Mobilisation is the tool which enables a community to become empowered. It is a dynamic process to harness potentials of the people to help themselves. The underlying assumption is that people are willing and have potential to do many things themselves for the well being of their own, their families and their community. However, they need social/technical guidance to harness their potentials to –

- Organise themselves for pooling resources and achieving economy of scale;
- Identify genuine activists from among themselves. (It is only they who can harness the potential of the people, and not outsiders);
- Identify and prioritise what people are willing to undertake in terms of opportunities and needs;
- Undertake feasibility 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,
- Monitor, lobby and establish linkages between communities, local authorities, development agencies including NGOs and donors.

The above is accomplished in 4 stages: Institutional development; bottom-up planning; implementation of plans; sustainable utilisation of output (flow chart – VIII). Each stage empowers community in one way or the other.



**Chart – VIII: Cycle of Community-Based Development**

The process of social mobilisation is divided into two components – Conceptual Package and Programme Package. Conceptual Package is universally applied without compromise. It includes organisation development, capital generation and skill enhancement. It is followed by 'programme package', which includes local specific social/economic activities that people undertake to improve their well-being using the capacity built through implementation of the conceptual package.

Result of the social mobilisation could be measured in terms of community empowerment, which can be further judged by assessing 15 key elements mentioned below:

Altruism, Common values, Communal Services, Communication, Confidence in community, Enabling environment, Self-managed, Quality of intervention, Leadership, Networking, Shared leadership, Political power, Skills, Trust, Unity, Wealth

The more any community or organization has of each of the elements mentioned above, the stronger it is, the more capacity it has, and the more empowered it is. Details on these elements are given in Technical Note – I (a).

1. Definition From Literature

SM is about changing mind set of the people –  
“ A process in which major clusters of old social, economic, and psychological commitments are eroded or broken and people become available for new patterns of socialisation and behaviour (Karl Deustch, 1963)”

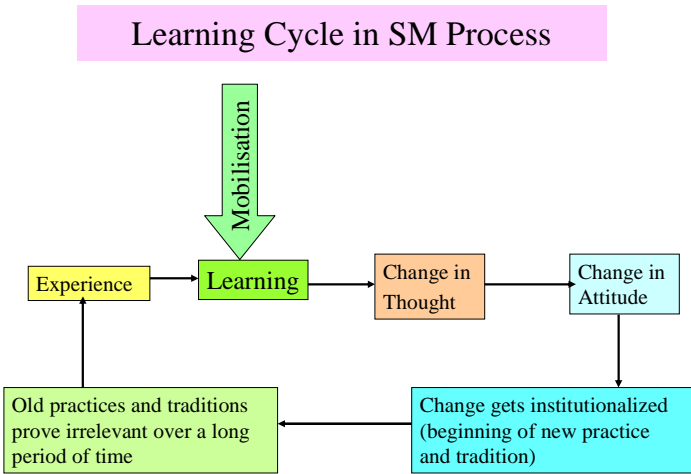
SM is about tapping people’s potential –  
“ A process to harness the dormant potential and willingness of the people to help themselves (Khan, 1999)”.  
Details on this definition is given in section ...

“ A process of exploiting latent energy of the people for collective action (Barua, 2001)”.

*Social Mobilisation*, in a broader sense, means: Organising people living in the same community with a specific purpose. Purpose may be – religious, social, economic, environmental, political, cultural, empowerment and so on. However, all or most of the people in the society are affected, directly or indirectly, by the process

1. Social mobilization is a dynamic process

Message of social mobilisation teaches new lessons to the people, which bring change in their traditional thinking pattern. Change in the thinking pattern changes their attitude signifying the beginning of a new tradition, which gets institutionalised in the society if a large population adopts it. However, the society is dynamic. A lot of other changes do take place constantly in the society. Such changes affect the 'institutionalised new tradition' making it obsolete after passage of time. Upon realising this stage, the message of social mobilisation should be improved upon and re-disseminated amongst the people in the form of new learning. Nonetheless, the central objective of social mobilisation ought to remain the same even after amending the procedural part to suit the time, place and environment.



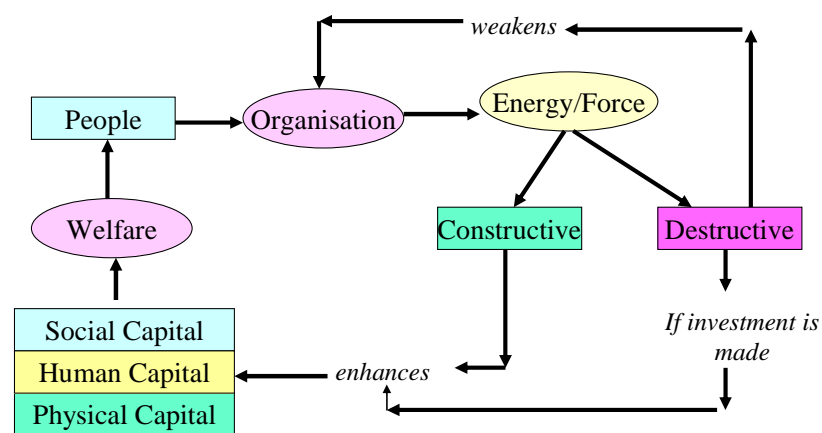


### 3. Social Mobilisation Releases Latent Energy of the people

Social mobilisation empowers people from three perspectives:

- a. **Social Perspective** - The target communities become socially empowered through increase in their social status as a result of:
  - Increase in the feelings of collectivism/group solidarity;
  - Enhancement of their management skills;
  - Increased participation of the deprived groups in social activities;
- b. **Financial Perspective** – The target communities become financially empowered through creation of environment that enables them to attain economic self-reliance through:
  - Increase in economic activities (e.g. through creation of community development fund) to reach economies of scale;
  - Access to information, technology, and external resources;
  - Strengthened capacity to withstand pressures of market forces;
  - Reduced dependence on the local moneylenders and the elites;
- c. **Political Perspective** - Capacity of the target population is enhanced and they are able to make/influence decisions on the matter related with them. It is due to -
  - Increase in leadership skills;
  - Increased 'voice' of the people due to weight of the number/organisation;
  - Enhancement in the capacity to resist exploitation;
  - Increase in the ability to get into political structure/stream;

Thus, social mobilisation creates energy/force. If constructive, this force enhances social, human and physical capital in the society, which raises the welfare of the people. On the contrary, the welfare of the people is reduced if this force takes a destructive form and hampers social, human and physical capital in the society. Both possibilities are pertinent because empowerment of one group in the society often causes disempowerment of some another group, giving rise to a 'win-loss' situation. There is always a possibility for the loser to counter the process. However, if managed well, with various types of investments in favour of the disadvantaged/disempowered, a 'win-win' situation may be created. In such a situation, the energy/force created is maximised, ultimately leading to the maximisation of the welfare of the people (Chart – IX).



Flow Chart – IX: Social Mobilisation and People's Welfare

### 4. Application of Social Mobilisation Approach

From application point of view, SM approach can be categorised in two packages – (a) Conceptual package; and (b) Programme Package. Conceptual package is universal (irrespective of model). It

prepares ground for implementation package to take place. The Programme Package is a set of activities that is introduced to the community for obtaining the pre-defined objective (empowered community).

- b. **Conceptual Package** - This package consists three fundamental elements -
- **Organisation Development** - people get organised into groups commonly referred to as Community Organisation (CO);
  - **Capital Formation** - capital is formed through ‘regular financial contribution’ of the organised peoples;
  - **Skill Enhancement** - Skills of the people are enhanced in order to raise their efficiency to do things

The three elements, namely organisation, capital (savings) and skill are also referred to as the three *mantras* of social mobilisation.

- c. **Programme Package** - Under this package, an environment is created to enhance the capacity of the CO and to develop/strengthen the social capital. With enhanced capacity and social capital, the organisation will serve as an effective forum for villagers to gain various social and economic benefits.

In order to build the capacity of the COs and keep them cohesive, **investment** is made in their organisation to create opportunities to allow them to take part in various kinds of activities including – community infrastructure development, income generating activities, skill enhancement activities, linkage building activities.

5. Social Mobilisation and Time Factor

Depending upon the objective (result to be obtained) social mobilisation approach is implemented in short term, medium term and longer term perspective.

- Short Term - Social mobilisation, which takes a very short period of time to achieve a specific goal, falls under this category e.g. administration of polio drops.
- Mid Term - Social mobilisation that takes approximately three to five years to achieve the goal. Examples include: sericulture development, rural energy development, etc.
- Long Term - Social mobilisation, which takes ten years or even more to achieve the desired goal. Examples of long-term social mobilisation include poverty alleviation, women’s development, etc.

6. Typology of Social Mobilisation Programmes

Based on the target population and the pre-defined entry point (activity) around which social mobilisation is carried out, a social mobilisation programme may fall in one of the four categories mentioned below:

Sector Activities	Beneficiaries	
	Targeted	Broad based
Single Sector	<b>Beneficiaries &amp; activities targeted</b> (e.g. youth & HIV/AIDS )	<b>Beneficiary inclusive &amp; activity targeted</b> (e.g. Drinking water, forestry, irrigation)
Multi Sector	<b>Beneficiary targeted - activity inclusive</b> (e.g. poverty reduction programme,)	<b>All inclusive (Holistic)</b> (e.g. CIDP, CRDP, MGSDP, CBA)

7. Area-Based Development (ABD) Approach

UNDP Ukraine has promoted ABD Approach based on its experience in CIDP and CRDP. Through social mobilisation, ABD approach addresses specific development issue over a specific territory. Even though practiced in several countries over several years, this approach is gaining recognition in recent days.

ABD approach is defined as “targeting specific geographical areas in a country, characterized by a particular development problem, through an integrated, inclusive, participatory and flexible approach”. It aims to achieve full coverage in terms of sector, gender, deprivation and geographical area, and ultimately builds a sound basis for good governance – and makes life better for *everybody* in the community. This approach falls into 4<sup>th</sup> bracket of above Table.

8. Social Mobilisation Requires A Team Approach – SM is effective in a team especially when it is a holistic form. People are impressed to see the team of experts approaching them as they can easily perceive the varieties of opportunities and options that they might get by cooperating with the team.

9. Success Factors<sup>13</sup> – Success of Social Mobilisation depends on various factors summarised in broader form as follows:

- 1. *Simplicity* – Our messages/teachings should be simple enough to be understood by the target group;
- 2. *Economical* – Our teachings should be cost effective in terms of time and resources expended;
- 3. *Demand-Based* – Our teachings should embody aspirations of the target group;
- 4. *Resource Availability* – Money/resources is important for implementation of social mobilisation. It is difficult but not impossible to get funds;
- 5. *Personnel* – Employees/cadres possessing the following '4-Cs' are indispensable for success of social mobilisation:
  - a) Competent in his/her field of specialisation
  - b) Creative enough to translate difficult technical knowledge into a simpler form to be understood the masses, including illiterate people.
  - c) Committed to achieve the goal irrespective of time it takes and struggle it requires
  - d) Character – able to maintain an ideal character as perceived by the society.

The attributes of the cadres/staffs involved in the community social mobilisation process are further elaborated (based on brainstorming of stakeholders in Asian perspective, in Box given below:

**Box – XXVII: Some Important Attributes Possessed by a Person Involved in Social Mobilisation**

- Have a good character without indulgence in any bad habits
- Neutral in terms of partisan politics, caste/ethnicity, religion, nepotism, regionalism, prosperity etc.
- Exemplary – presents himself/herself in role model
- Have a clear vision
- Logical, analytical, capable to motivate others
- Healthy, bright personality
- Educated
- Patient with the willingness to listen others’ views
- Bold, outspoken and truthful
- Able to make decisions
- Polite, well behaved and cheerful
- Comprehensive - capable to work with all classes and sections of population
- Willing to learn and capable of teaching
- Honest, non-greedy
- Well-versed with the accounting system and be able to teach the same to others
- Responsible and accountable
- Committed to serve the society
- Sensitive to local conditions
- Laconic
- Creative

<sup>13</sup> Taken from James B Mayfield (1986). Go to the People: Releasing the Rural Poor through People's School System, Kumarian press, USA

10. Institutional Growth

Social mobilisation promotes institutional growth – both horizontally and vertically (Chart – X). Horizontal expansion takes place basically due to demonstration effect while vertical growth takes place to fulfil needs of the local communities that cannot be fulfilled by the grassroots level community organisation alone. Thus, vertical growth takes place along the administrative level (such as local council level, Rayon level, Oblast level, country level) to mobilise the opportunities existing at that level. Often vertical growth remains limited to local council or next higher level. In limited case it reaches regional level and in rare case it reaches national level.

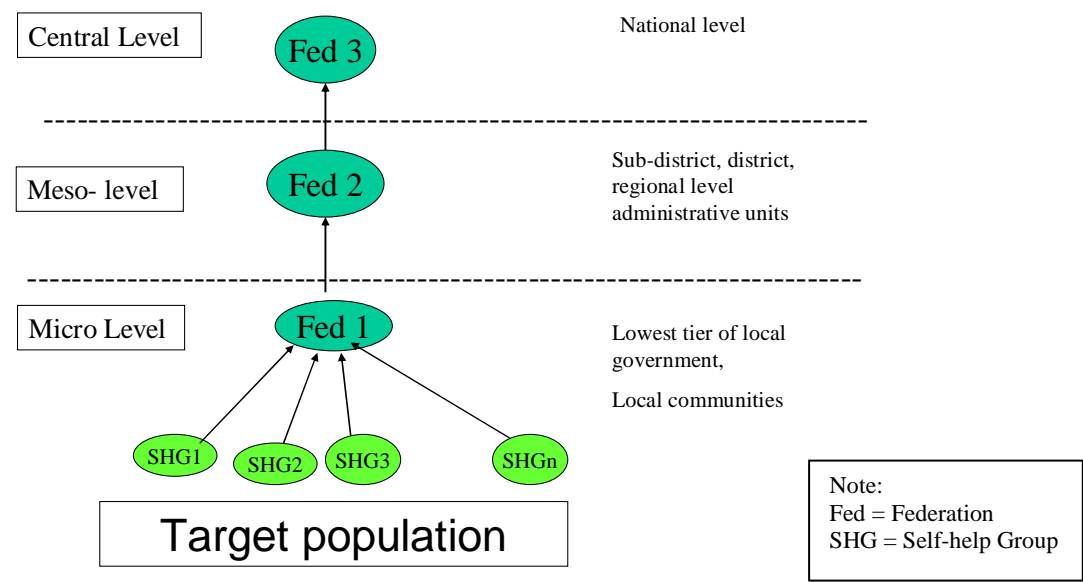


Chart – X: Institutional Growth of Community Organisations

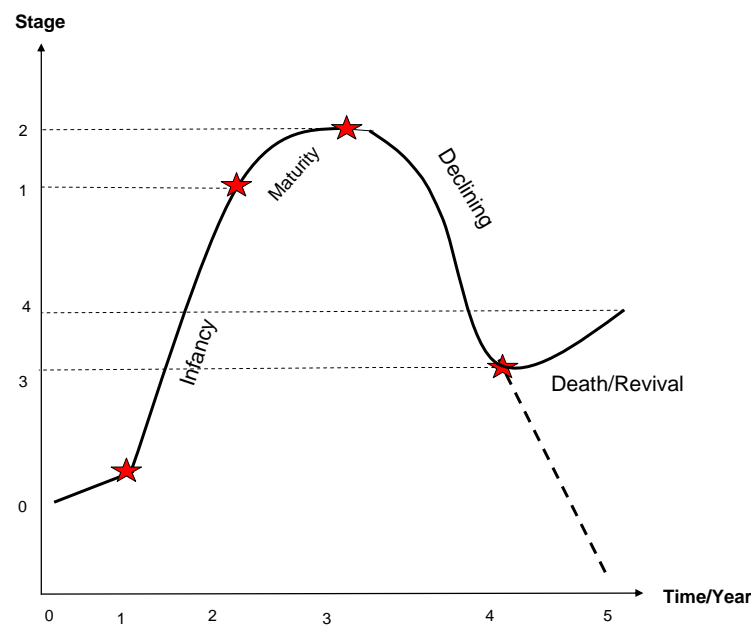
11. Stages in Social Mobilisation

While assessing the response of the CO-members and the process of institutional development over a period of 5 years, following situation is often observed:

**Stage – I: Period of infancy (establishment)** - During the very early days, participation of the people in the organisation development is found to be lower because it takes some times for them to understand the matters related with social mobilisation and also it takes some times for development of an environment of trust between the people and social mobiliser. Thereafter, progress in social mobilisation takes place at faster rate. Social mobilisers are charged with the feelings of ‘making some contribution to the society’ while an environment of hope and enthusiasm prevails among the people. Training, planning, exposure visits, credit capital, seed grants, development activities that can be carried out from savings, social integration etc. make the things move in a right direction. This period of enthusiasm can be termed as ‘infancy’. This period remains for about two years.

**Stage – II: Maturity** – Generally, all the aspiring households fulfil their basic needs with the help of micro-credit<sup>14</sup>/grant. Formation of capital is significant. Significant level of investment is found to have taken place through internal/external resources. Production/income increase takes place at the household level. Services/facilities needed at the community level are available. In total, there is improvement in the living condition of the people. Now, opportunities for exposure visits, training and grants is not available same as before

<sup>14</sup> Some social mobilisation based projects include micro-savings, micro-credit, micro-insurance as a vital component. The community organisations in such cases work like a ‘mini bank’ or ‘mini insurance company’. In those projects, loan default also takes place.



Loan delinquency occurs albeit at low level. Implementation of community-projects gets slower due to conflicts. Status of the households belonging to lower most brackets remains to increase to the level of satisfaction. Quality of some of the CO-chairpersons, treasurers etc and community para-technicians (CPTs) do not stand to the level of expectation. Attendance in organisation-meetings gets thinner. People come to know some of the weaknesses of the CMT. Very often the community organisation, the federation of COs and the CMTs witness agenda of problematic nature. Nevertheless, process of development still moves forward. People and the CMTs are satisfied from the achievements. This stage remains for about 2-3 years.

**Stage – III: Declining/Deterioration** – In cumulative term, capital formation is on increase but the rate of micro-savings and internal capital formation (community development fund) is on decline. Investment opportunities also decline. Most of the households are found to have improved their living conditions/income level by making use of small credit. But most of the ultra-poor households remain to experience significant improvement in their lives. Capital keeps on revolving in the hands of a few CO-members. There is decline in transparency and consensus-based decision making. Executives (especially the chairpersons and treasurer) are in a position to become authoritative. Political and ethnic interests get rooted into the organisation. Due to increase in workload, the treasurer/chairperson insists to hold meetings monthly or even on quarterly basis. Majority of the members and especially the ultra-poor and marginal ethnic families, become inactive and abandon attending meetings. Nevertheless, savings and credit activities keep going. The CO gets established as a forum for saving credit activity only and bears no attraction for the members. There is turn over of local facilitators. The new community facilitator finds it difficult to improve the situation. This is a declining stage. Generally, this stage appears in 4<sup>th</sup> year.

**Stage – IV: Death/Revival** – To bring improvement in stage – III, the COs ought to be consolidated through special motivation. The general members should be re-sensitised through awareness, resolving their complaints, organising refresher training for leaders of the community organisations, introducing new technologies, building market infrastructures, etc. If improvement could be brought from these measures, the organisation gets revitalised and moves again along the path of progress. Otherwise, it gets closed.

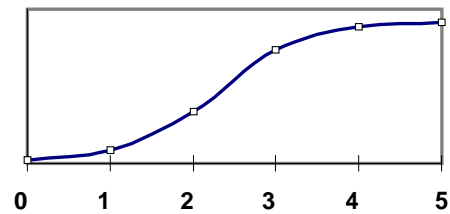
## 11. Typology of COs

Considering various stages mentioned above, the community organisations falling within an age of 5 years, can be classified as follows:

- Rising fast and reaching a plateau
- Rising fast, deteriorating and recovering
- Progressing steadily
- Low but steady growth
- Recurring rise and fall

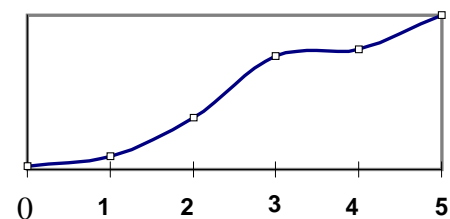
**a. *Rising fast and reaching a plateau***

This kind of organisation has a dynamic leadership. The majority of the CO-members are educated. With initial enthusiasm, the organisation grows fast, capital generation is high, and many social and economic activities are carried out. The CO earns a lot of appreciation. Consensus-based decision making, transparency and equity are observed. Overtime, however, this type of organisation becomes a bit stagnant. The organisation-leaders show elitism in their behaviour. Consensus-based decision making and transparency get deteriorated. Capital revolves in the hands of a few members. Common members turn passive. The leaders show little interest towards betterment of the poor members. The economic gap between the poor and the non-poor gradually widens.



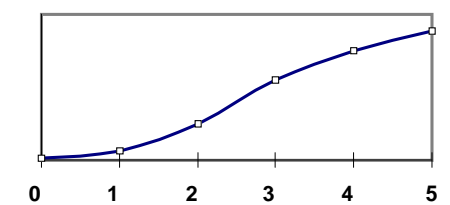
**b. *Rising fast, deteriorating and recovering***

This type of organisation has a dynamic, educated and assertive leadership that works hard to keep the organisation moving at a fast pace. As a result the organisation rises but as the organisation-members become passive due to dominating leadership, it loses its momentum and turns stagnant. Transparency decreases, as well as there is decline in consensus-based decision making. Capital revolves only amongst some organisation-members. The gap between the poor and the non-poor tends to widen. The leadership, however, realises the worsening situation and revitalises the organisation by involving all the members in various kinds of activities. An assistant leadership is established to enhance the efficiency.



**c. *Progressing steadily***

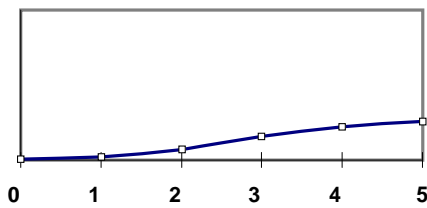
This type of CO maintains a steady upward momentum right from the beginning. The leadership is educated and assertive but committed towards welfare of all its members. Consensus on any agenda is reached after adequate discussion takes place among the members. The equity in sharing of benefits is high. Assistant leadership is established from earliest stage of the CO. Once they become capable, the CO-leadership is replaced by these assistants. Transparency is appreciable. The CO-members are very much aware of the activities of the CO and really own the organisation. Income gap between the poor and the non-poor gets narrowed over time.



**d. *Low but steady growth***

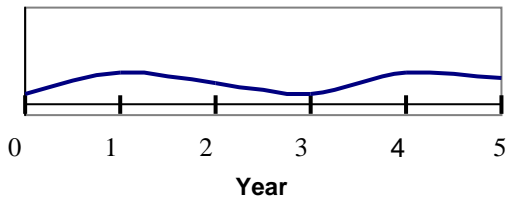
This type of CO very often exists in a poor village marked by low literacy. Its membership base is the low-income people belonging to tribal or occupational castes, females with a low literacy rate. It is characterised by low savings rate, a small CO-fund, small-scale economic/social activities, a lower credit and seed capital absorptive capacity. However, the leadership is committed and the CO-members are active. Equity, transparency and consensus-based

decision making is observed. The growth trend of this type of CO is slow but steady and the income gap between the poor and non-poor narrows over time.



**e. Recurring rise and fall**

This type of CO is led by an assertive leadership and shows an appreciable progress in the beginning. But at a later stage the leadership loses the trust. The financial discipline of the CO-leaders, policies and account books are not transparent. Effective consensus-based decision-making does not occur. Frequent internal conflicts take place due to partiality and selfish attitudes. At times, the men dominate the women groups and cause closure of the WO or merger of WO in the MO. Thus, momentum of the CO cannot be kept and the CO disintegrates. Since initial enthusiasm prevails among the members, such CO revives again if the members are re-sensitised. But the CO disintegrates again after some time. It revives if the members are re-sensitised again by the social mobilisation team. Thus, such a sequence of disintegration and revival continues.



**13. Kinds of support deemed essential for keeping the COs active**

The social mobilisation team ought to provide support to each of the above-mentioned 5 types of COs in a balanced manner keeping their situation in view. Too much or too little support/care proves counterproductive. For example, the first two (a and b) types of COs can be made effective again by time to time motivation of the CO-leadership, re-sensitisation of the CO-members with a purpose to make them aware and empowered, establishing assistant leadership and strong CO-monitor and getting the CO audited regularly. Similarly, the COs of types c and d require motivation, strong monitoring, regular audit and limited resources. Care should be taken not to let a shock occur. This may be enough.

**14. Benefit and Cost of Community Empowerment**

Analysts often get puzzled in measuring its benefits and costs associated with social mobilisation because of difficulty in capturing a large number of qualitative variables, many of which remain hidden. A significant level of works, therefore, is still required to establish sound basis for accounting benefit and costs of social mobilisation.

Followings are some costs and benefits related with social mobilisation, based on Syangja experience:

**Cost of Social Mobilisation**

**1. Direct (i.e. Financial) Cost**

(a) **Management Cost** (Salary and allowances of staff, inventory, reporting costs, Office operation and maintenance, Duty travel, Sundries, Training of project staff)

(b) **Programme Cost (out of resources mobilised from all sources)**

- Direct support to communities in terms of (training, exposure visits, small grants)
- Raising awareness of other stakeholders (at the local/district level) through orientation, training and exposure visits etc.

- Facilitation (social mobilisation, model demonstration etc.)
- Scaling-up of the model (training material development, training of officials from replicating agencies)

**2. Hidden Costs** - The communities participating in social mobilisation projects and programmes also incur “hidden” costs, which are usually intangible and cannot be figured in monetary terms. Examples of this type of costs include:

- **Time:** The opportunity cost of the time spent for the programme which could instead be used to earn wages
- **Hosting programme staffs and Visitors:** In terms of hospitality
- **Voluntary Contributions:** Participants’ contributions of material, cash and labour for participatory projects;
- **Cost of Disempowerment and Power Shift:** Empowerment of oppressed groups like poor, women, ethnic minorities is likely to result in disempowerment of the dominant ones and domestic or community discord because of the changes in power balance.
- **Loss of Competitive Advantage:** Volunteering to share skills and ideas might lead to loss in future income
- **Cost of Negotiation:** Negotiation especially when there are various stakeholders involved will cost time and effort. .
- **Cost of Sustaining:** The community is expected to carry on some of the activities introduced by the project even after the project is over. It may require additional cost.
- **Cost of Expatriate Advice:** Many a times expatriate advices are sought through CTAs, foreign consultants etc. Cost of such advisory is significantly high in national currency. Incorporation of such a cost is often difficult.

### Benefits of Social Mobilisation

- 1. Direct Benefit:** In financial term, ‘Direct support to communities’ under Programme cost the direct benefit received by the beneficiaries. Also, multiplier effect caused by this
- 2. Indirect Benefit:** Indirect benefit, in financial term, is the outcome of the direct benefit. Such as increase in production due to additional irrigation facility, increase in income due to enhanced efficiency created through training or technology transfer
- 3. Hidden Benefit:** Followings are some hidden benefits often found difficult to measure in monetary term:
  - Increase in confidence and self-respect of the marginalized ones in the society
  - Liberation from fear: Because of project intervention, the beneficiaries are liberated of such fears as oppression, superstitions etc
  - Improvement in health status due to health related interventions of the project
  - Improvement in level of education, both quantitatively and qualitatively
  - Rise in level of awareness through access to information
  - Increase in social integration, trust, tolerance and unity
  - Reduction in social evils
  - Enhanced status of deprived/minority section of society
  - Social capital formed and the ownership of successful interventions
  - Improvement in governance through enhanced transparency, accountability, equity etc.
  - Linkage with local government and other development agencies
  - Reduction in interest rate in the informal money market (in case of micro-finance related projects)
  - Freedom from debt trap of the money lenders (in case of micro-finance related projects)
  - Improved service delivery through local para-technicians
  - Spill over effect due to model replication/adoption by other agencies
  - Conservation of bio-diversity or environmental improvement

### Analysing Cost Effectiveness of the Programme

As seen above, there are many pertinent costs and benefits, which are ‘hidden’ because their value cannot be computed easily in monetary term. Therefore, it is a general practice to use quantitative value for analysis of cost effectiveness of the Programme while just making a note of the qualitative achievements. Followings are some approaches of showing cost effectiveness:



**1. Simple Input-Output Approach:** Under this approach the total input is measured against total output. An example is given below based on five year experience of a UNDP Project on poverty alleviation.

Financial Achievements		
	Currency (Million)	
CO-capital Generated	11.7	
Physical Infrastructures Created	32.9	
Increase in Animal Stock	38.9	
Increase in household income	162.9	
Some other Achievements	Before Project Intervention	After Project Completion
% of HHs living under poverty	63.8%	55.9%
% of HHs that did not borrow from moneylender	16.2%	40.1%
% of HHs that borrowed from COs	-	88.0%
% of HHs with sanitation facilities	27.2%	70.9%
% of HHs with bio-gas facility	2.1%	8.6%
% of HHs with access to piped drinking water within 15 minutes distance	46.1%	83.4%
% of HHs with increased intake of nutritious foods	-	68.0%
% of HHs with improvement in housing condition	-	48.8%
% of HHs feeling improvement in overall living conditions	-	65.5%
Fruit saplings planted	16759	36077
Fodder plants planted	127187	162812
No. of persons in out-migration	3553	2836
No. of village cadres actively serving the villages	-	944
No. of persons trained in social mobilisation (in context of scaling-up)	-	972

..... For all these to happen, the project spent ... Rs. 52.6 million

**2. Ratio Approach:** Various cost benefit ratios are calculated and compared against a standard norm (if one exists in the country). Followings are some examples:

SN	Indicator	Type of Ratio	Standard Value	Scored Value
1	Management efficiency	Programme Cost - Management Cost Ratio		
2	Management cost efficiency	(a) Other Agency Investment + project's seed grant - Management Cost Ratio		
		(b) Proportion of Salary/Allowance in Management Cost		
		(c) Proportion of Salary/Allowance in Total project cost		
		(d) Proportion of Social Mobilisation and Training cost in Total project Cost		

Technical Note – I (a)  
**Indicators of Community Empowerment**

The more any community or organization has of each of the elements mentioned below, the stronger it is, the more capacity it has, and the more empowered it is.

SN	Elements	Description
1	Altruism	<p>The proportion of, and degree to which, individuals are ready to sacrifice benefits to themselves for the benefit of the community as a whole (<i>reflected in degrees of generosity, individual humility, communal pride, mutual supportiveness, loyalty, concern, camaraderie, sister/brotherhood</i>).</p> <p>As a community develops more altruism, it develops more capacity. (<i>Where individuals, families or factions are allowed to be greedy and selfish at the expense of the community, this weakens the community</i>).</p>
2	Common values	<p>The degree to which members of the community share values, especially the idea that they belong to a common entity that supersedes the interest of members within it.</p> <p>The more the community members share, or at least understand and tolerate, each others values and attitudes, the stronger their community will be. (<i>Racism, prejudice and bigotry weaken a community or organization</i>).</p>
3	Communal Services	<p>Communal facilities and services <i>e.g. roads, markets, potable water, access to education, health services</i>), their upkeep (<i>dependable maintenance and repair</i>), sustainability, and the degree to which all community members have access to them.</p> <p>The more the members have access to needed communal facilities, the greater their empowerment.</p>
4	Communication	<p>Willingness and ability of the community to communicate within community, between communities and outside. It includes communication facilities, communication media and art of communication (<i>tact, diplomacy, willingness to listen as well as to talk</i>)</p> <p>As a community gets better communication, it gets stronger. Poor communication means a weak organization or community.</p>
5	Confidence in Community	<p>Level of confidence shared by individuals about an understanding that the community can achieve what ever it wishes to do.</p> <p>It includes positive attitudes, self motivation, enthusiasm, optimism, self-reliant rather than dependency attitudes, willingness to fight for its rights, avoidance of apathy and fatalism, a vision of what is possible. Increased strength includes increased confidence.</p>
6	Enabling Environment	<p>A community will become stronger, more able to get stronger and sustain its strength more if it exists in legal/policy regime that supports community-based development approach. This environment includes (1) political element (<i>including the values and attitudes of the national leaders, laws and legislation</i>) and (2) administrative element (<i>attitudes of civil servants and technicians, as well as Governmental regulations and procedures</i>).</p>
7	Information	<p>Strength of the community to process and analyse available information; the level of awareness, knowledge and wisdom found among key individuals of the community and within the group as a whole.</p> <p>When information is more effective and more useful, not just more in volume, the community will have more strength.</p>
8	Self-managed	<p>Degree to which the community is capable to manage its affairs on its own; its ability to deal with various partners without being patronised by outsiders</p>
9	Quality of intervention	<p>Degree of stimulation from inside to activate the community members for communal activities to be undertaken one after another.</p> <p>Is the intervention sustainable or does it depend upon decisions by outside donors who have different goals and agendas than the community itself? When a community has more sources of stimulation to develop, it has more strength.</p>
10	Leadership	<p>To what extent CBO-leaders are genuine. Leaders have power, influence, and the ability to move the community. The more genuine its leadership, the more stronger is a community. The most effective and sustainable leadership (<i>for strengthening the community, not just strengthening the leaders</i>) is one that operates so as to follow the decisions and desires of the community as a whole, by taking an enabling and facilitating role.</p>

		Leaders must possess skills, willingness, and some charisma. The more effective the leadership, the more capacity has the community or organization. ( <i>Lack of good leadership weakens it</i> ).
11	Networking	<p>Linkage within the organisation and with others. It is not just "<i>what you know</i>," but also "<i>who you know</i>" that can be a source of strength. What is the extent to which community members, especially leaders, know persons (<i>and their agencies or organizations</i>) who can provide useful resources that will strengthen the community as a whole?</p> <p>The useful linkages, potential and realized, that exists within the community and with others outside it. The more effective the network, the stronger the community or organization. (<i>Isolation produces weakness</i>).</p>
12	Shared leadership	<p>Degree of responsibility shared among members. The degree to which different members of the community see themselves as each having a role in supporting the whole including in decision making processes, effectiveness, division of labour and complementarity of roles and functions.</p> <p>The more organized, or more effectively organized, is a community or organization, the more capacity or strength it has.</p>
13	Political power	<p>Influence in decision-making of the local, regional, national government. Just as individuals have varying power within a community, so communities have varying power and influence within the district and nation.</p> <p>The more political power and influence a community or organization can exercise, the higher level of capacity it has.</p>
14	Skills	<p>Technical, managerial, organisational, motivational skills. The ability, manifested in individuals, that will contribute to the organization of the community and the ability of it to get things done that it wants to get done.</p> <p>The more skills (<i>group or individual</i>) that a community or organization can obtain and use, the more empowered is that community or organization.</p>
15	Trust	<p>Among the members and on the leaders. The degree to which members of the community trust each other, especially their leaders and community servants, which in turn is a reflection of the degree of integrity (<i>honesty, dependability, openness, transparency, trustworthiness</i>) within the community.</p> <p>More trust and dependability within a community reflects its increased capacity. (<i>Dishonesty, corruption, embezzlement and diversion of community resources all contribute to community or organizational weakness</i>).</p>
16	Unity	<p>Level of tolerance the differences and willingness to cooperate and work together. A shared sense of belonging to a known entity (<i>ie the group composing the community</i>), although every community has divisions or schisms (<i>religious, class, status, income, age, gender, ethnicity, clans</i>), the degree to which community members are willing to tolerate the differences and variations among each other and are willing to cooperate and work together, a sense of a common purpose or vision, shared values.</p> <p>When a community or organization is more unified, it is stronger. (<i>Unity does not mean that everyone is the same, but that everyone tolerates each others' differences, and works for the common good</i>).</p>
17	Wealth	<p>Income earning resources to support itself. The degree to which the community as a whole (<i>in contrast to individuals within it</i>) has control over actual and potential resources , and the production and distribution of scarce and useful goods and services, monetary and non monetary (<i>including donated labour, land, equipment, supplies, knowledge, skills</i>).</p> <p>The wealthier a community, the stronger it is. (<i>When greedy individuals, families or factions accrue wealth at the expense of the community or the organization as a whole, that weakens the community or organization</i>).</p>

Source: <http://www.scn.org/>

## Technical Note – II

### Grafting of an Organisation

**Grafting** is a method of [plant propagation](#) widely used in [horticulture](#), where the tissues of one plant are encouraged to fuse with those of another. **Grafting** is also done in animals and human beings e.g. skin grafting, bone grafting. **Grafting** can only be done between reasonably closely related plants/animals.

- When two similar organisations are mixed into one to serve the same purpose;
- When an existing organisation is fine-tuned to suit the requirement of another supporting organisation to serve the similar purpose
- If the *community* is already organized as CO or any other form, then effort is made to graft the same rather than forming a new one.

Following elements should be considered while grafting an organisation:

1. Amend the statute and operational procedures of the CO to meet the key principles of participatory governance/good governance;
2. Ensure *Equity in Participation* by involving 80% or more of the apartments/houses in the CO;
3. Institute *Participative Decision-making* by making room for frequent (fortnightly/monthly) General Assembly meeting to make all key decisions approved by 80% or more members
4. Ensure that the genuine leaderships are given chance to lead the CO
5. Make *executive board* to function on the participatory decisions
6. Ensure women and vulnerable sections are not excluded from participation in decision-making and benefits. If necessary, make special provision for them
7. Adopt principles for consensus-based decision-making. Voting should be followed if consensus does not occur.
8. Standard clause for electing/re-electing officials of the executive body should be there with provision for expelling an officials anytime he/she is found guilty or he/she is found not performing satisfactorily
9. Provide room to ensure that decisions made are known to all members;
10. Institute *transparent accounting* system and the provide room for the members to regularly/frequently know about income-expenditure and whereabouts of the balance cash/kind owned by the CO;
11. Incorporate a system of public audit and participatory assessment of the activities of the CO;
12. Institute mandatory *membership/commitment fee* - to be collected from the members to ensure ownership and sustainability of the CO;
13. Make members and executive body accountable to the decisions made and loss occurred
14. The General Assembly of the CO must ratify the amendments and commit for observance of the norms/principles of good governance
15. If necessary, re-register the statute of CO with the concerned agency

### Technical Note – III Reaching the Vulnerable

A community will be empowered if its current situation of ‘inequality’ is gradually changed towards ‘equality’ and ‘equity’, means ‘all should get benefit but those who need more should get more’ – through affirmative actions.

**Violation of Equity** in community empowerment programmes often takes place in 3 areas: *Geographic Coverage, Participation of Households, Benefit Distribution*.

- **Geographical Coverage:** Tendency of the programmes to work in accessible/semi remote Areas
- **Participation of Household:** Programme is there but vulnerable targets get excluded from joining
- **Benefit Distribution:** Vulnerable targets join but do not get tangible benefit

**Reasons of Violation of Equity** – Followings reasons are often attributed for violation of equity in above three areas:

- **Geographical Coverage-** Failure of Local Government to coordinate with social mobilization agencies (due to lack of information, political reasons etc.); Higher cost of programme implementation in remote areas; Attitude of the field staffs (who influence decision of area selection)
- **Participation of Vulnerable Households-** is affected by external as well as internal (their own) causes as given below:

External	Internal
<ul style="list-style-type: none"> <li>- Poor accountability of the programmes</li> <li>- Limited sectoral coverage by the Programme mandate</li> <li>- Poor commitment/inadequate motivation for the staff</li> </ul>	<ul style="list-style-type: none"> <li>- Physical inability of the vulnerable (in terms of <i>opportunity cost/time constraint, lack of money for community saving, absenteeism, Age etc.</i></li> <li>- Lack of faith on the Program</li> <li>- Village environment that discourages the vulnerable</li> <li>- Geographical isolation of their house making it difficult to participate in regular activities of the programmes</li> </ul>

- **Non-Participation of Vulnerable Households in Benefit Distribution** - is affected by external as well as internal (their own) causes as given below:

External	Internal
<ul style="list-style-type: none"> <li>- Assistance policies not pro-vulnerable</li> <li>- Training (module, cost of participation) not pro-vulnerable</li> <li>- Credit (purpose, duration etc.) not pro-vulnerable</li> <li>- Grant (Technicalities, compensation etc.) not pro-vulnerable</li> <li>- Insensitive/exploiting nature of the group (CO) leaders</li> <li>- Lack of pro-vulnerable monitoring system</li> </ul>	<ul style="list-style-type: none"> <li>- Lack of capacity <ul style="list-style-type: none"> <li>▪ To raise voice</li> <li>▪ To handle cash</li> <li>▪ Pay back loan in short duration</li> <li>▪ To cope with training contents</li> <li>▪ .....</li> </ul> </li> <li>- Fear of project failure and indebtedness</li> <li>- Farming trap</li> <li>- Low credibility</li> </ul>

#### Ways to Reach Vulnerable

1. Ensure physical participation of the vulnerable. Bring them in the decision-making row through -
  - a. Liberal policies,
  - b. Targeted motivation
  - c. Separate group (if they cannot be accommodated in current beneficiary groups)
2. Ensure access in benefit through -
  - a. Establish equity norm rigidly
  - b. Change policies and procedures of –
    - Training (reservation, module, cost etc.),
    - Grant (totality approach, compensatory approach, housing, education, health etc.)

3. Introduce disaggregated (pro-vulnerable) MIS.
4. Introduce Special Package if necessary e.g. insurance (technology, health)
5. Enhance access to locally available natural resources (land, water, forest)
6. Divert to non-farm activities (use young generations)

**In Summary,**

Positive discrimination (Human Right Based Approach) is required in terms of -

- Allocation (of Budget) – provide resources that can be accessed only for the vulnerable
- Participation (Full inclusion) – Ensure by various ways that the vulnerable participate
- Preparation (for access to resources) – Create environment to enable them to have access to resources
- Distribution (in equity term) – Introduce social justice and ensure that they get benefit (on the ground that they have equal share on the grant or natural resources)

Technical Note – IV  
**Public Auditing of Sub-Projects**

**Public Auditing** is gaining importance in recent days. It is practiced differently in different context and different countries.

In macro perspective, the scope of traditional auditing system is enlarged. It goes beyond mere financial auditing to other tangible/intangible aspects involving qualitative forms like performance, governance, social capital etc. Also, the work of professional auditors is combined with involvement of stakeholders from public sector (e.g. citizens, parliamentarian, councillors, academicians, civil society organisations and so on) to debate on the Audit Report.

In micro perspective, the formal auditing is narrowed down to informal mode whereby the community members themselves evaluate the performance of their own organization (represented by executive body) from the perspective of various development activities carried out by it. Public auditing has been found effective in –

- Strengthening social capital – by improving quality of organization and leadership
- Strengthening good governance – by promoting above 5 factors (equity, transparency, accountability etc.)
- Enhancing mutual trust (among the partners)

It is taken as learning opportunity whereby community members will recognize factors contributing to success and failure of participatory approach.

Public auditing should be conducted by some one (from the community) who is trusted by the community or some one (such as community facilitator) from the funding partners known for his/her impartiality and knowledge about the local culture, history and process of the development activities carried out by the community.

**Role of facilitator:**

- The process of this activity is very sensitive; therefore facilitator should be polite and articulate well. S/he should be able to tactfully divert irrelevant and conflicting issues in the discussion in a positive and constructive manner
- Be impartial and maintain balance between executive committee members/functional group (duty bearers) and general members (right holders)
- Be extrovert in communication
- Ensure adequate participation. Encourage common members to place their views, concerns and issues and focus their issues for discussion and consensus building
- Facilitate executive committee members for specific answers rather than theoretical and philosophical answers to the questions raised by general users.
- Examine/identify probable questions and issues in advance and share with executive committee members so that they are better prepared to answer the questions of the common groups
- Allocate sufficient time for discussion rather than formal sessions
- Some members may be reactive and may raise questions frequently in a negative manner. Facilitator should be tactful enough to motivate him/her for constructive discussion
- Facilitate for critical assessment of the program/activities on their effectiveness in equitable benefit sharing

**2. The Process**

**a. Preparation**

1. ***Orientation:*** Orient the members of the executive committee/functional group on the public auditing, its overall process/steps, its importance and far reaching effects and motivate/encourage them to conduct this activity.
2. ***Document review:*** The facilitator should study all the documents/transactions related with the organization/network and the project activities carried out by it. It might involve –
  - Statute of organizations/network and the functional group
  - Minutes of meetings and assemblies
  - Project proposals, appraisals and approval
  - Agreements
  - Workplan and progress reports
  - Financial transactions, account books and bank statement
  - Certifications of performance/job completion
  - Written complains/suggestions from stakeholders
  - Other necessary official records.

Alternatively, the facilitator should work with the members of the CO to depute person(s) other than executive/FG-members for sectoral committees (for the sectors/aspects given below) to review the documents and prepare subject wise brief reports (each report limited to one page).

- Financial aspect (income, expenditure, account books, financial norms, bank balance etc.)
- Physical aspect (quantity and quality of work done based on technical specification etc.)
- Institutional/organisational aspect (adequacy of norms established, level of participation of the members in meetings/decision-making, participation of the members in communal activities etc.)
- Impact aspect (direct and direct beneficiaries, social economic and environmental impact, impact on social cohesion/community feeling, relationship/linkage with other development agencies, impact on municipal governance etc.)

During the review period, the person(s) of above sectoral committees working on these aspects should collect views/concerns of general members, if necessary.

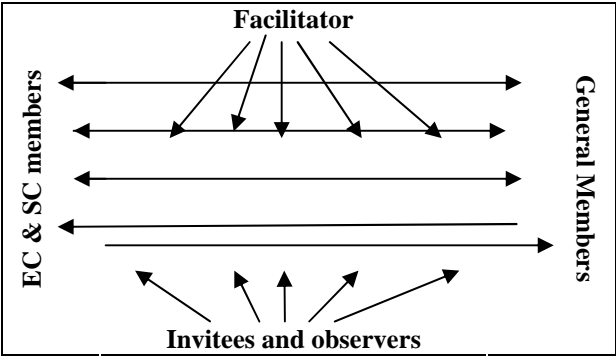
3. **Time:** Right time for conducting this activity would be soon after completion of the project. Fix a suitable date<sup>15</sup> for public auditing and inform all members of the CO/Network.
4. **Inviting observers/other stakeholders:** List out other important participants (such as LDF-member, representatives of OIU, VC/CC) and invite them to participate in the session.
5. **Materials for distribution:** The key reports prepared by sectoral committee should be reproduced for distribution to the general members during public auditing.
6. **Agenda:** Agenda including specific activities of the public auditing is prepared

**b. Conducting public auditing**

The facilitator, the executive committee/FG-members, the sectoral committee members, invitees, and general members of the CO should assemble on the schedules date/time and place. As far as possible, the place should be chosen at the site where work was accomplished.

**1) Sitting arrangement**

The facilitator ensures appropriate sitting arrangement (if possible) for them such that the groups of stakeholders are able to make effective two-way communication. A sample of the sitting arrangement is given below:



**2) Steps of conducting public auditing**

The facilitator -

- Briefly welcomes the participants and introduces the reason of assembling.
- Loudly reads the agenda of the meeting
- Invites one or two capable persons for attendance and systematic minute of the issues raised, suggestions/ recommendations provided and decisions made during the discussion
- Announces norms of the public auditing, if any. It is necessary to introduce the approach of positive inquiry (or do no harm approach), whereby the questions and answers are put in a very positive manner without hurting the feelings of any one or creating an aggressive environment.
- Invites the responsible official among the executive committee/functional group members to briefly present the project activity (how it began, what process were adopted, income and expenditure, work output,

<sup>15</sup> The date/time the members are able to participate in the activity without difficulty.



appreciation for cooperating persons/agencies and expression of grievances or difficulty faced etc.). The official can offer all the major documents to be seen by any one interested.

- Invites the sectoral committee members to present his/her report in brief. During this session the copies of their reports should be circulated among the participants as well.
- Announces a break for all to give a look at the work done and the documents available
- Requests for re-assembling and continues the session by making the floor open for issues to be raised and suggestions to be made. Encourage the common members to express their feelings
- Invites the executive committee members, sectoral committee members, service providing agencies, donors and others as appropriate to respond on the issues raised
- Makes arrangement for further verifications/validations if needed
- Invites speakers from beneficiaries, donors, local authorities etc. to appreciate the executive members/functional group for the work done
- Invites the executive committee members to thank the participants for the support provided and appreciation made
- Invites the minute taker to loudly read the minute and make correction if needed
- Invites all the participants to sign the minute
- Expresses thanks for participation and cooperation in the session of public auditing and declares closure of the session.

### **3. Post public auditing**

Upon completion of the public auditing, the EC-members should make correction(s) as suggested (if any) and post the report at a place where general members could see/read. Also, the report should be sent to concerned donors, local authorities etc. for their record.

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