

## REPORT COVER PAGE

### JOINT EU-UNDP PROJECT

### FINAL REPORT

**Project Title :** COMMUNITY BASED APPROACH TO LOCAL DEVELOPMENT

**Country:** Ukraine

**Address :** Kyiv  
1, Klovsy Uzviz  
UKRAINE

**Fax number:** +38 044 253 26 07

**Authority:** Ms. Ricarda Rieger

**E-mail :** Ricarda.rieger@undp.org

**Contact person :** Ms. Oksana Remiga

**E-mail :** Oksana.remiga@undp.org

**Report Period :** December 2007 – 6 June 2011

**Date of report :** ... June 2011

**Author of report :** Jaysingh Sah  
jaysingh.sah@undp.org

## Table of Content

SN	Description	Page
1	Project Background	1
2	Resources	5
3	Results Achieved	5
	<i>Community resource centre established</i>	5
	<i>Community organisations formed</i>	11
	<i>Local development forums established</i>	17
	<i>Community initiatives implemented</i>	22
	<i>National networking established</i>	29
	<i>Sustainability mechanism of community projects</i>	31
	<i>Enhanced capacity of communities and local authorities</i>	33
	<i>Good practices documented and disseminated</i>	37
	<i>Enhanced EU visibility</i>	47
4	Challenges and Solutions	57
5	Financial Implementation	58
6	Asset Management	58
7	Lessons Learned	59
8	Annexures	60-63

## Abbreviation

ABD	Area Based Development Approach	MPP	Micro-project Proposal
ACMB	Association of Co-owners of Multi-apartment Building	MP	Micro-project
ARC	Autonomous Republic of Crimea	NAPA	National Academy for Public Administration
BSP	Bodies of Self-Organisation of Population	OCC	Oblast Coordination Council
CBA	Community Based Approach to Local Development/Project	OCRC	Oblast Community Resource Centre
CC	City Council	OIU	Oblast Implementation Unit
CDA	Community Development Assistant	PMU	Project Management Unit (of CBA)
CDP	Community Development Plan	OSA	Oblast State Administration
CDS	Community Development Specialist	OC	Oblast Council
CDU	Community Development Unit	QSC	Quality Supervision Committee
CIDP	Crimea Integration and Development Programme	RCRC	Rayon Community Resource Centre
CO	Community Organisation	RSA	Rayon State Administration
CO-MT	Community management team	RC	Rayon Council
CRDP	Chernobyl Recovery and Development Programme	SCMU	Secretariat of Cabinet of Ministers
ICPS	International Centre for Policy Study	SM	Social Mobilisation
KIIS	Kyiv International Institute of Sociology	SMT	Social Mobilisation Team
LDF	Local Development Forum	UAH	Ukrainian Hrivna
MGSDP	Municipal Governance and Sustainable Development Programme	VC	Village Council

## I. PROJECT BACKGROUND

### 1.1 Project Title: Community Based Approach to Local Development (CBA)

### 1.2 Objective:

Create an enabling environment for long-term self-sustaining social-economic and community development at local level by promoting local self-governance and community-based initiatives throughout Ukraine

### 1.3 Specific objectives:

- a) 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
- b) 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
- c) 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
- d) 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
- e) 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

### 1.4 Context:

Post orange revolution development scenario recognized prevalence of Soviet legacy of centralised system of policy, planning, budgeting and decision-making that is not geared towards accommodating the needs and priorities as perceived by citizens and local authorities and actively involving them in local development.

Following to the disintegration of the Soviet Union, dramatic increase in poverty level coupled with widespread collapse of public services, particularly in rural areas, took place leading to social, economic and environmental challenges. Local authorities could not do much to resolve the problems due to lack of resources and limited power to influence the situation.

These factors contributed to a downward spiral of general development and public welfare causing lack of trust and confidence among citizens towards government. They showed unwillingness to pay for already poor public services and did not feel responsible for their upkeep. Local authorities, unable to respond, focused on serving the interests of the state rather than the citizens.

Worse situation was experienced, especially in remote rural areas, in such sectors of basic human needs as health, water, energy, environment and education. Deteriorated health-post infrastructure with absence of/poor quality equipment; absence of/broken down water supply system; absence of/obstructed waste management system and sanitation/sewerage facilities; worn out/out of date highly inefficient energy supply/consumption system causing 25-40 percent energy loss and lack of transportation system for school children were but a few areas that devastated living condition of rural population.

Government of Ukraine adopted policies to ameliorate situations in above sectors. However, its financial capacity was far below the need and too lengthy bureaucratic procedures and old mindset of the people (as described above) constrained timely and sustainable solution of the problems. A need was felt to ensure better service provision and environment protection at the local level while ensuring consistency of

Ukraine's country planning policy at the local level and the way the EU implements its own local development policies - in line with the approach taken in the NIP 2004-2006, the EU-Ukraine Action Plan and the relevant EU policies and rules.

In above light, CBA Project was envisioned to promote local development and social services improvement throughout Ukraine by maximizing the involvement of local communities in addressing priority needs in partnership with public, private and non-profit entities – through use of 'Area Based Development Approach' practiced with success by UNDP/Ukraine since 2002 in Crimea and Chernobyl-affected areas. CBA aimed to -

- Lay the foundations for long-term development planning and participative democracy at the local level
- Provide opportunities to ensure consistency of Ukraine's country planning policy at the local level and the way the EU implements its own local development policies
- Disseminate community-based development methods to support the Government's efforts to revisit local development issues in an EU-compliant manner and delivering immediate results for longer-term regional development projects

### **1.5 Results to be Achieved:**

1. Community Resource Centres established in 24 oblasts and capable of mobilising local communities and other stakeholders for implementation of community-based approach
2. At least 1,000 self-governing community organisations capable of interacting with local authorities and carrying out self-help initiatives established
3. 200 Local Development Forums for decentralised participatory planning, decision-making and implementation mechanism supportive to local sustainable development established
4. At least 1,175 self-help initiatives for improving basic social and communal infrastructure and services and contributing directly to improved living conditions of the inhabitants of the settlements supported through seed grants from the project and local contributions (community members and local authorities)
5. Revival of the national network of primary health care points and improvements in water supply management, environmental protection, energy efficiency and local transport services
6. Sustainable management, monitoring, operation and maintenance systems in place for each completed facility
7. 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
8. 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>1</sup>
9. Visibility of the European Union enhanced at grass root level throughout Ukraine

### **1.6 Implementation Strategy:**

The strategic goal of the CBA is to build capacity for participation of the local communities and local authorities into joint decision making process and use this capacity for multi-stakeholders cooperation and multi-sectoral interventions that are geared towards strengthening of local governance and sustainable human development with ensured local ownership of the process. To this end, following strategies are followed to materialise the objectives of the Programme.

All oblasts of Ukraine and in Autonomous Republic of Crimea form the overall project area of CBA while selected rayons, village/city councils and local communities form the functional area. Selection is based on

---

<sup>1</sup> This is a separate yet complementary UNDP project which provides a knowledge management mechanism for local experiences and knowledge.

the level of socio-economic hardship facing them. Partnership based on willingness and commitment for cost sharing, form the basis of Project implementation in the selected area.

ABD approach is utilized to unleash the potentials of selected communities to help themselves and mobilise local authorities and other development partners in the locality to address common basic needs of the communities (e.g. health, environment, energy, water supply and local transportation) on a participatory basis. To this end, the selected communities are organised into ‘community organisation (CO)’ founded on norms of good governance.

Appropriate support structures are created at various levels to facilitate smooth implementation of the Project. Through networking of local communities, local/regional authorities, private sector and civil societies appropriate forums are established at rayon/oblast level so that they can hold regular dialogue on sustainable development envisioning, mainstreaming of community plans, deciding upon public-private partnership mechanism for implementation of local priorities and carrying out participatory monitoring. Networking of stakeholders at the national level enables overall monitoring and advisory support.

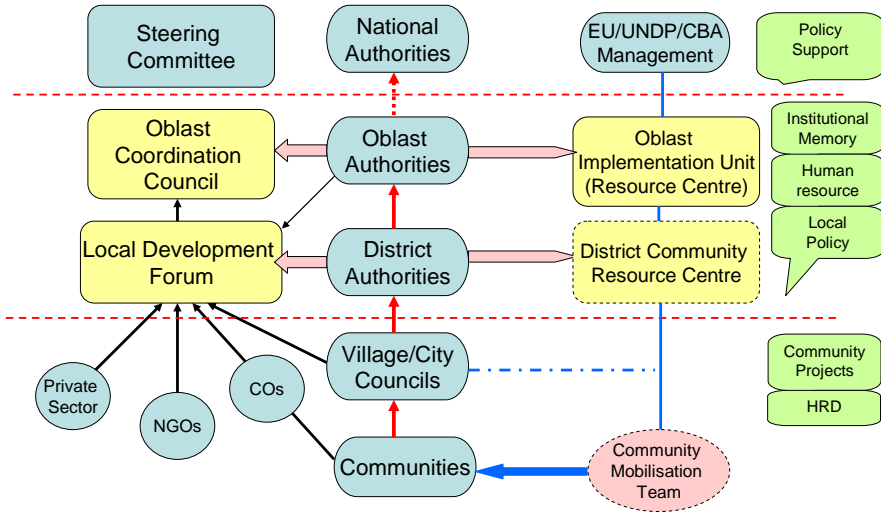


Chart – I: CBA model

Capacity of duty-bearers in the local communities, local government as well as national level officials is complemented through capacity building activities. Capacity of the COs is built in such a way that they are able to make joint decision with local authorities, mobilize resources, implement local priorities and sustain the result. Capacity of the partners (VC/CC, rayon/oblast etc.) is strengthened in terms of human resources to implement participatory approach propagated by the Project. Training, exposure visits, dialogues and small grants (for community projects), appropriate institutional mechanisms etc. are used as tools for building capacity.

Appropriate management and information systems (MIS) is established to make the stakeholders directly involved in the process of monitoring and assessment of the Project activities. It includes process monitoring, input monitoring, output monitoring and impact monitoring. Flow of information is bottom-up and participatory.

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

**1.7 Project Activities**

**Result-1: Community Resource Centre establishment**

- 1.1 Conducting pre-launching discussion on CBA Project among donors and government bodies
- 1.2 Conducting project launching conference in participation of national, regional stakeholders and donor communities

- 1.3 Establishing CBA Project Management Unit
- 1.4 Information campaign and local/national media strategy (web-site, information access on participatory tools, methods and best practices, electronic library, regular electronic newsletter, specific visibility tools);
- 1.5 Holding regional meetings, conducting regional seminars in 24 oblasts and signing partnership agreement with regional authorities;
- 1.6 Establishing Oblast Implementation Units / Community Resource Centres in 24 oblasts
- 1.7 Organising training for CBA Project staff and national counterparts on community based approaches, project strategy and methodology

***Result-2: Community Organisations formed***

- 2.1 Selecting target rayons (on average 8 per oblast) and signing Partnership Agreements with rayon authorities
- 2.2 Selecting target communities (on average 5 village/city councils per rayon and one local community per council)
- 2.3 Carrying out community mobilisation process to organise local communities
- 2.4 Facilitating formalization of community organisations
- 2.5 Organising trainings for building capacity of community organisations

***Result-3: Local Development Forums established***

- 3.1 Establishing Local Development Forums (LDF) in 200 target rayons
- 3.2 Assisting COs in preparation of community development plans outlining local needs and priorities
- 3.3 Developing mechanism for joint review/approval of community development plans and priority projects and defining implementation arrangements and local contributions

***Result-4: Community initiatives implemented***

- 4.1 Assisting COs in making detailed technical design of selected priority projects, including sustainable mechanisms for management, operation and maintenance
- 4.2 Supporting COs in implementation of priority projects and joint monitoring by community organisations, local authorities and CBA staff

***Result-5: National networking established***

- 5.1 First steering committee meeting
- 5.2 Second steering committee meeting
- 5.3 Third steering committee meeting

***Result-6: Sustainability mechanism of community projects***

- 6.1 Assisting COs in handing over of completed projects
- 6.2 Assisting COs to establish sustainable management, operation and maintenance mechanisms

***Result-7: Enhanced capacity of communities and local authorities***

- 7.1 Organising training/visit/roundtable for community organisations and local authorities
- 7.2 Providing logistic support to strengthen capacity of COs and local authorities
- 7.3 Developing demonstration sites at rayon and local level

***Result-8: Good practices documented and disseminated***

- 8.1 Evaluation/documentation/discussion of good practices and lessons learned, resulting in legal and policy recommendations to be presented to central-level policy- and decision-makers
- 8.2 Disseminating the findings of the assessment/policies study through publication, roundtables, etc.
- 8.3 Dissemination of community-based approach to other rayons/ municipalities and communities and implementation of policy/legal reforms

### **Result-9: Enhanced EU visibility**

- 9.1 Developing Donors' visibility guidelines
- 9.2 Preparing and disseminating visibility materials
- 9.3 Promoting role of EU in local sustainable development across Ukraine

### **1.8 Changes introduced in the implementation:**

No major change took place in Project implementation. Its methodology; budget and cost sharing; targets/results – all remained intact. However, number/duration of project staffs and inter-activity resource allocation were revised through addendum.

**1.9 Project starting date:** 05 August 2007

**1.10 Project duration:** 42 months + 3 months bridging period

## **II. RESOURCES**

*Total project budget is EUR 13,333,000 + 210,853 (bridging period) = 13,543,853*

*TACIS financing is EUR 12,000,000 + 0 = 12,000,000 (89%)*

*UNDP financing is EUR 1,333,000 + 210,853 = 1,543,853 (11%)*

## **III. RESULTS ACHIEVED**

### **Expected Result 1: Community Resource Centre establishment**

**1.1** A meeting Donor-Government thematic sub-group A4 "Regional Cooperation" (Thematic group A "Support to economic reforms") was held under chair of Deputy Prime Minister Mr. Volodymyr Rybak for the Presentation and discussion of the CBA Project. Recognising the cross-sectoral nature of CBA and its nation-wide operation, it was decided that Deputy Prime Minister for Regional Development and Secretariat of Cabinet of Ministers (SCMU) will be overall coordinator while Ministry of Regional Development and Construction (MRDC) and Regional Development Department of SCMU will be operational coordinators of CBA. This arrangement proved to be valuable during CBA implementation.

**1.2** National launching of CBA Project took place on 4 December 2007 in participation of representatives of Delegation of European Commission to Ukraine, UNDP, Secretariat of the Cabinet of Ministers of Ukraine, representatives of Ministries, central and local governments as well as other parties.

The plenary session was opened by *Mr. Ian Boag*, Ambassador and Head of the Delegation of the European Commission to Ukraine and *Mr. Francis M. O'Donnell*, United Nations Resident Coordinator and UN Development Programme Resident Representative in Ukraine. They opined a higher standard of living could really be achieved only through joint efforts implemented by different local stakeholders: the local community, local government officials, local businesses, media and NGOs. Relevance of CBA Project to the main priorities of the Ukrainian social and economic policy was assessed by *Mr. Vyacheslav Tolkovanov*, Deputy Minister, Ministry of Housing and Municipal Economy of Ukraine; *Mr. Mykola Soroka*, First Deputy Minister, Ministry of Regional Development and Construction of Ukraine; *Mr. Grygoriy Makhov*, Deputy Head, National Agency on Efficient Energy Use and *Mr. Sergiy Chelnokov*, Deputy Minister, Ministry of Economy of Ukraine.

The Conference resolved to form the CBA Coordination Council represented by the government, ministerial and other executive officials interested in the CBA implementation; to recommend the ministries and central executive bodies to establish working groups to promote project implementation and analyse the available sources of government financing for five priority areas of the CBA Project.

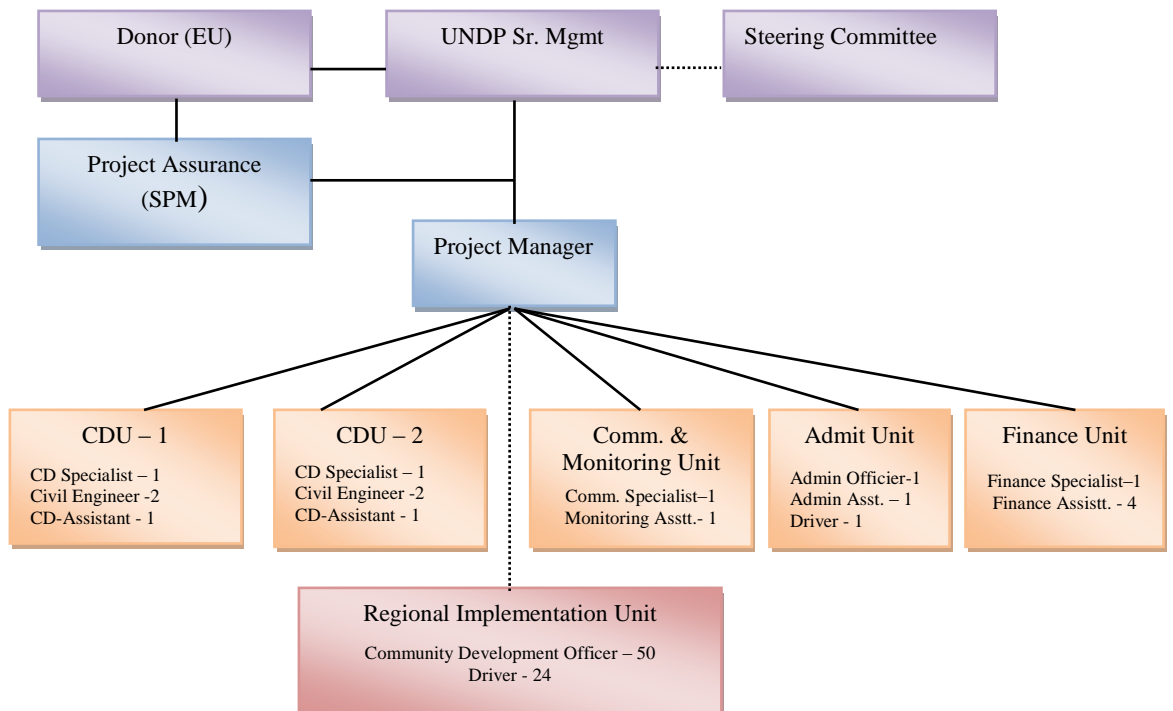


During the Launching Conference, a set of activities to be implemented by oblast and rayon authorities to support the CBA initiative was agreed.

Preparation took more than stipulated time for launching national seminar. Being end of the year, it was difficult to get time from key stakeholders

**1.3** Following to EC-UNDP Contribution Agreement on CBA, UNDP initiated process of recruitment of staffs for CBA Project Management Unit (PMU). Given the context of significant increase in living cost and benefit offered by competing agencies, recruitment of staffs took more time than stipulated. Re-advertisement was to be done again and again to attract quality candidates. To keep the Project implementation initiation rolling, 2 international and one national staffs from other UNDP-projects (namely Chernobyl Recovery and Development Programme and Municipal Governance and Sustainable Development Programme) were deputed besides continued support from officials from UNDP country office. Beginning January 2008 until March 2008, recruitment of CBA staffs took place one after another. Similarly, due to significant increase in rental value of apartments in Kyiv, it was difficult to get office premises with satisfactory security provision within the available resource. Effective July 2008, PMU team was in place along with office premises, necessary equipment and logistics.

**Chart-II: CBA Organogram**





As the CBA implementation proceeded and nature and quantity of work at PMU and regional offices were better understood, additional positions were created and full time human resource capacity of PMU was expanded from 12 to 19 during the course of Project implementation. Two short time positions were also created during the project implementation (Annex - I). This expansion proved valuable for timely completion of tasks.

**1.4** A series of activities were implemented, especially during first half of 2008, towards informational campaign, visibility and local/national media strategy. A visibility strategy and guidelines was drafted and put into effect upon approval from EU and UNDP. Following to the guidelines - brochures and leaflets were prepared; bi-lingual templates of media advisory, press release, newsletters, letterheads were developed including appropriate logo and messages of EU, UNDP and CBA; specific visibility tools (flags, signboards, banners, information stands, folders, notepads, posters etc.) were prepared and produced for central as well as regional offices; all equipment and physical logistics were marked with visibility stickers; CBA-website initiated in 2007 was developed further to the level of full fledge operation; DVD with UNDP/Ukraine's film "One Step Ahead: How the Ukrainian Communities Are Helping Themselves" and CDs with Documents of CBA Launching Conference were produced for wide dissemination; and CBA manual was drafted containing CBA principles and operational methodology. These materials were improved, re-produced and used over the project period with a purpose to maximize awareness and donors' visibility.

**1.5** Establishing partnership with regional authorities was an important milestone as it paved the way for establishing oblast implementation units and subsequent CBA implementation at local level. It included preparation, regional visits, regional seminar and signing of partnership agreement. National project launching conference served as a good background for initiating regional launching.

While preparing for regional launching, equal treatment to all oblasts and to both executive (Oblast State Administrations, OSAs) and elected institutions (Oblast Councils, OCs) was assured. For this purpose, identical letters were sent to both oblast governing bodies on 31 January 2008. To ensure sufficient awareness at the level of regional authorities about CBA, additional information were also sent namely project summary, report on national launching conference, draft agenda of the visit, draft programme for the regional seminar, list of organizational issues regarding hosting of regional seminar (e.g. availing logistics, inviting media, NGOs, businesses, all rayon authorities in the oblast and functional departments of the oblasts to participate in the seminar), draft partnership agreements.

Response from regional authorities to the proposal for visits and launching seminar was varied. Besides their regular business schedules, initial reluctance towards the ideology forwarded by CBA affected scheduling of regional launching. In most oblasts meeting of project management to regional authorities just preceded the seminar. At these meetings, representatives of oblast authorities (OSA and OC head/deputy head) assured their support for the CBA Project. However in some oblasts delay took place due to various factors such as change in leadership (new leader were not about the previous commitment on the seminar), change in focal person deputed for facilitating the process, level of focal person deputed for facilitating the process (too junior could not reach the leadership as frequently as needed), change in priority of the oblast authorities, conflict between OSA and OC etc.



Photo -: Meeting with Heads of Sumy OSA and OC

The seminars were hosted by Heads/Deputy Heads of Oblast State Administrations and Councils. Participants of the seminars included heads/deputy heads of OSAs, OCs, RSAs, RCs; representatives of NGOs and mass media and in some cases the heads/deputy heads of village/city councils. In average 65 officials and 6 media representatives attended the seminar.



Mr. Teixeira addressing session of PA signing event in Donetsk Oblast



Partnership Agreement being signed in Donetsk oblast

In general during the seminar, focus was placed on importance of participatory approach in global perspective; introducing the CBA Project and its modus operandi, highlighting experiences of EU Tacis and UNDP-projects on participatory approach. To sensitize the audience further, the film, “A Step Ahead: How Ukrainian Communities Are Helping Themselves” was shown featuring success stories of UNDP projects namely CRDP, CIDP and

MGSDP. These information were followed by discussion on terms of partnership (Box - I) with oblast and rayon authorities, call for application from the rayon authorities for partnership with the Project and criteria of rayon selection.

### Box – I: Key Terms of Partnership

Regional Authorities	CBA Project
<ul style="list-style-type: none"> <li>• To provide office premises for oblast implantation unit (community resource centre);</li> <li>• To depute a staff to support oblast implementation unit in carrying out day CBA implementation in the region;</li> <li>• To support partner rayon authorities and local councils in effective implementation of Project activities;</li> <li>• To ensure technical and organisational supports become available from relevant departments of regional/rayon authorities;</li> <li>• To mobilise financial resource in favour of community projects;</li> <li>• To coordinate with CBA partners and other stakeholders from government, non-government and private sectors for effective implementation of CBA;</li> <li>• To monitor CBA implementation in the region, resolve problems related with local policies and procedures;</li> <li>• ...</li> </ul>	<ul style="list-style-type: none"> <li>• To provide technical support to build capacity of CBA partners through training, equipment and logistics;</li> <li>• To provide grant for joint implementation of community initiatives;</li> <li>• To provide project necessary human resource and meet management cost;</li> <li>• .....</li> </ul>

To ensure that the participants carried enough information materials on the Project and partnership, information packs were distributed containing necessary information materials including Application Form for rayons, Draft Partnership Agreement with Rayons and Conclusions and Recommendations of Launching Conference. During the seminars, heads of oblast authorities took the opportunity to publicly express their support for CBA Project (Annex - II) and encouraged rayons to apply for partnership. Following to the seminar, media publicized the event, thus promoting transparent, competitive and participatory nature of CBA and informing the public about terms of partnership.

Project methodology being unique and new to several participants in the seminars, curiosity and queries very often received. Some of such queries were fundamental and deserved satisfactory response (Box - I).

### Box - II: Common Queries During Regional Seminar

- Why should people be asked to make decisions on development projects since they have already elected local authorities to make decision and carry out development activities on their behalf? (*Involvement of citizens in decision-making on local development agenda is indispensable in that they will get motivated to sustain the object(s) if created under their decision. Such contribution from people will ease pressure on local budget for sustainability of public service*)
- Communities are often poor and 5% cost sharing from them is difficult. Can some another agency pay this share on behalf of the community? (*Cost sharing from community should not be substituted by someone else. Because it creates ownership among the community members towards the micro-project and they will be motivated to maintain it in future. Moreover, community members in other projects of UNDP namely CIDP, CRDP, and MGSDP have demonstrated a cost sharing 13% - 40%. It shows that people will be able to share 5%. They must be given enough time to collect share capital*);
- There are already NGOs and community organizations in the villages. CBA should support them instead of creating new community organization (*It is not necessary to create additional community organization, if already*

there exists one that satisfy the criteria of full participation and good governance. CBA Project adopts the principle of grafting to adopt such existing organizations, after making an assessment)

- Many a times, we hear about such projects. Money comes and then forgotten. No one knows what happened to grant money. How can CBA Project assure public about use of the money it gives to the community? (CBA Project observes certain conditions that ensure high degree of transparency and accountability for the money it extends. First, the money transferred to a community is made public. Second, the money is transferred in installments – means no subsequent installment is provided without proper use of previous installment. Third, there is a quality supervision committee involving representatives from various corners to check the quantity and quality of work done from time to time. Report from this committee forms a basis to release an installment. Fourth, there is a system of public auditing, which requires the community members and key stakeholders to make a social audit of the micro-project and give a clearance if it is well done. Fifth, CBA Project has placed high emphasis on visibility, means media will be involved in the process from time to time so that the resource provided by the Project and the result obtained is widely known. Also, signboard will be placed at the micro-project sites so that public will be able to see the resource used and result obtained by the community. Sixth, there is a monitoring system in place and CBA Project staffs are to regularly supervise the progress and make the result public).
- Cannot CBA Project give the money to local authorities, which will then give it to local communities? (Framework of CBA Project requires the grant money to go directly to the community organizations)



Signing of partnership agreement, Zaporizka oblast

As a result of regional launching, all regions signed partnership agreement during 2008-09 period (Table–I). Some of them signed partnership agreement in course of the seminar while some took time to do it. In some cases only one regional authority (either OSA or OC) signed the Agreement while in some cases both authorities signed. It depended upon the relationship between the two regional powers.

**Table – I: Regional Launching and PA Signing Trend**

Activity	Q1/'08	Q2/'08	Q3/'08	Q4/'08	Q1/'09	Q2/'09	Q3/'09
Regional Seminar	8	14	0	3	0	0	0
Partnership Agreement	8	8	2	4	0	2	1

**1.6** Oblast Implementation Unit (OIU) was established in each oblast with recruitment of project personnel (2 community development assistants and a driver) and furnishing of resource centre with vehicle, logistics, office equipment, visibility items etc. All vehicles were also provided with necessary tools and logistics for day to day driving (e.g. road maps, GPS) as well as for emergency situations (rain, snow, car break down, accident etc.) and visibility. Care was taken to carry out timely technical maintenance of vehicle. These cars did not have air-conditioning system and thus the passengers of the car suffered especially during summer. 23 OIUs were established in the premises offered by oblast authorities. Kyiv Unit was housed in PMU. In case of ARC, the implementation unit was housed in the premises of CIDP, which also provided vehicle support and therefore separate car and driver was not arranged. In general, the project personnel were selected from the same region in that a local person knew local situation better and would take less time to kick-start the Project activities. As mentioned in section 1.3 and section 1.5, recruitment of community development assistants took time and repeated attempts required to search competent persons who came from within the region and agreed to undertake the task within the benefit offered by the Project. Despite difficulties, placing of project personnel in OIUs was fulfilled by July 2008.



UNDP Country Director Ms. Ricarda Rieger observing Rivnenska Oblast Community Resource Centre



Besides, 5 procurement assistants were recruited to support financial management undertaken by community organisations during implementation of community initiatives in cluster of 4-6 oblasts. Overtime it was realized that the role of procurement assistants didn't prove effective due to very large (and scattered) territorial coverage that took most of their time travelling around while the community development assistants demonstrated capacity to take care of managing the tasks of procurement assistants. As a result these positions were discontinued in course of implementation period.

**1.7** The recruited PMU staffs were trained in principles and methodology of CBA. They were provided with practical exposure to similar experience at MGSDP and CIDP. The recruited staffs of OIUs were trained in such areas as – theory of social mobilisation; application of social mobilisation tool for promoting participatory governance and sustainable development; principles and procedure of CBA implementation; community empowerment and institution development; bottom-up planning process and mainstreaming of community development plans; micro-project implementation; financial management; communication technique; conflict management; MIS and reporting; visibility etc. They were provided with necessary manuals, guidelines and handouts. Moreover, they were given practical exposure to CIDP, CRDP and MGSDP implementation sites so as to build confidence in them. At later stage, CBA Project developed its own demonstration sites in each region, where newly recruited staffs could be trained. Similarly, the drivers recruited for CBA were provided with necessary trainings with support from security unit and driving unit of UNDP/Ukraine. In total, 111 CBA personnel (including turnover and repetitions) received training/refresher training over 2008-10.

The officials (focal persons) from regional authorities were trained along with the community development assistants with a purpose to ensure uniformity in their understanding about CBA. Similarly, the focal persons from all rayons were provided training and refresher training on various aspects of CBA implementation at the local level. These focal persons got transferred from time to time as a part of regular administrative process or due to change in management of the oblast & rayon authorities. As a result, training for newly deputed focal persons were also organized accordingly.

**Box – III: OIU/OSA Staff Training – Overview of Topics**

- Social Mobilization and Community Based Approach: Global Experience
- EU and UN System in Ukraine and UNDP
- UNDP Experience on area based development approach through CRDP, CIDP, MGSPD
- Project area and partnership
- Developing Community Organization
- Participatory planning and coordination
- Implementing community plans
- Legal Forms for Community Organization (CO) in Local Development
- UNDP Finance and Admin Procedure
- EU/UNDP Visibility, Monitoring and Reporting System
- Post-project completion activities
- Study tour to CRDP and MGSDP project sites
- Learning from Rivne OSA and OIU
- Development of Work Plans for OIUs



In total, 1776 training courses were organized during 2008-May 2011. 37,367 persons attended the trainings including executives of community organisations (79.4%) and officials from local/regional/national authorities (20.6%).

**Table –II: Trainings Organised During 2008-May 2011**

Year	No of trainings	Total participants	of Total Participants*		of Total Participants*	
			Male	Female	CO-members	Local Authorities
Total in 2008	304	7375	2,831	4,544	5,584	1791
Total in 2009	507	10,965	4,390	6,575	8,640	2,325
Total in 2010	845	15,961	6,598	9,363	13,040	2,921
Total in 2011	120	3066	1567	1499	2401	665
<b>Cumulative</b>	<b>1776</b>	<b>37,367</b>	<b>15,386</b>	<b>21,981</b>	<b>29,665</b>	<b>7702</b>

\* Including repetitions

To ensure that the message of CBA got uniformly across CBA staffs and the regional counterparts, a peer-to-peer learning approach was adopted right from the beginning. It included organizing annual review meeting in participation of all CBA staffs and CBA-focal persons from the oblast (+ARC) authorities. This event allowed the staffs and counterparts in the region to compare their position compared to others; identify effective ways to make successful project implementation and learn from each other through inter-personal interaction. This arrangement proved very effective during 2009 and 2010 and paved the way for timely completion of the Project.



SPM Oksana Remiga addressing the audience of CBA 2009-Annual Review Meeting



UNDP Country Director Ricarda Rieger awards the certificate to the focal point of Luhanska OSA



UNDP management, CBA Project team and contact persons from OSA/OC – participants of CBA Annual Review Meeting, 20-21 December 2010, Kyiv

According to sociological survey<sup>2</sup>, these trainings contributed to increase in knowledge on the processes of local self-government (97%) and skills of working with communities (99%).

**Expected Result 2: Community Organisation Formed**

**2.1 Selection of target rayons:** Process of rayon selection was initiated during each regional launching seminar during which announcement was made for rayon authorities to send application forms to CBA office within 3 weeks. This announcement was for ensuring the principle of competition and transparency. As a follow up action to the announcement, the interested rayon authorities sent their application to the CBA office. The applications included information on social/economic/environmental hardship (access to water supply, access to medical services, environment situation, energy saving, school transportation) facing the rayon and level of commitment expressed by the rayon authority. Received rayon applications were reviewed and analysed by CBA Project in light of the information received from the rayon and oblast authorities. Based on analysis of these information rayons of each oblast were ranked according to the hardship facing them. Selection of the pilot rayons for each region was done by a ‘Rayon Selection Committee’ consisting of representatives from the respective oblast state administration and oblast council, UNDP and CBA Project.

**Table –III: Selection of Rayons for CBA Partnership**

SN	Activity	2008	2009	2010	Cumulative
1	Application received	338	8	7	353
2	Selected for partnership	193	14	2	209
3	Selected for reserve	79	-6	-	73
4	Signed partnership agreement	177	27	5	209

<sup>2</sup> KIIS sociological research, ‘Evaluation of Impact of Community Based Approach to Local Development, Realized by the UNDP Projects in Ukraine’

In total, 209 rayons were selected over 2008-2009 (Table - III) against target of 200 rayons. These rayons were among top most serious 8 rayons in the oblast – weak in term of revenue base, capacity and located far from the oblast capital. Selection of rayons was also followed by identification of alternative rayons (or reserve list) to back up in case a selected rayon could not continue CBA activities due to passivity, funding problem or other factors beyond its capacity. The rayons in reserve often followed the first 8 in the ranking list. Inclusion of more than target rayons was due to a decision to add rayons from 2008-flood-affected oblasts, which were heavily affected by flood and needed immediate rehabilitation support. Also, there were a few cases when a rayon could not absorb all its quota and additional rayon from the same oblast was selected from the reserve list to complete the target in the oblast.

Selection of rayons was followed by a media event in the region for the purpose of transparency. At this occasion, the regional authorities announced the selection process and the rayons selected for CBA.

Rayon selection was followed by rayon level seminars in each oblast to sensitize rayon officials and officials of village/city councils and make announcement for village/city council application. In the seminars, focus was placed on importance of participatory approach; introducing the CBA Project and its modus operandi, highlighting experiences of EU Tacis and UNDP-projects on participatory approach. To sensitize the audience further, the film, “A Step Ahead: How Ukrainian Communities Are Helping Themselves” was shown featuring success stories of UNDP projects namely CRDP, CIDP and MGSDP. These information were followed by discussion on terms of partnership with rayon authorities and village/city councils, call for application from the village/city councils for partnership with the Project and criteria of village/city council selection.

On average 32 persons attended the seminars. Officials of the OSAs and OCs were often the key speakers during the seminars along with the community development assistants (CDAs) and community development specialist (CDS) of PMU. Ownership showed by the oblast authorities in reaching rayons had strong positive effect on the result of the Project (Table - IV). Participation of CDS was mainly limited to initial backstopping, upon which the CDAs and oblast teams were able to continue with rayon seminars on their own.

**Table –IV: Participation in Rayon Seminars**

SN	Activity	2008	2009	2010	Total
1	Seminar held for pilot rayons	193	14	7	214
2	Participation level	6315	482	88	6885
	<i>RSA/RC, VC/CC, NGOs</i>	<i>5966</i>	<i>458</i>	<i>78</i>	<i>6502</i>
	<i>Oblast authorities</i>	<i>86</i>	<i>11</i>	<i>3</i>	<i>100</i>
	<i>Media</i>	<i>263</i>	<i>13</i>	<i>7</i>	<i>283</i>

During rayon seminars, issues were raised by the participants on various aspects of the Project including mechanism of the Project implementation, partnership, community selection procedure, financing, methods etc. The Project team clarified the issues with support from rayon and oblast representatives. Some of the frequently asked questions are given in Box -IIV: CBA officials and authorities satisfied the queries as necessary.

**Box -IV: Frequently Asked Questions During Rayon Seminars**

- What is the benefit for the EU & UNDP to support Ukrainian village?
- Why the people should trust the Project and make financial contribution? Who will collect the resources? Who is responsible for spending it?
- What should be the legal form of the community organisation?
- Can one community make more than one project proposal?
- Does the 5% share of the community include cost of project design estimates?
- Is the cost sharing uniformly applicable to all level of local authorities i.e. should the local budget give 45% of micro-project drawing 20% from oblast budget, 20% from rayon and 5% from village/ town council, for example?
- Some micro-projects are specific, for example, school bus purchase and maintenance. How will it come to the book of the entity of community organization? Is it acceptable in this case to transfer the transport facility to the book of the budget organization, e.g. rayon education department, which will maintain and repair it?
- In case of inflation or rise in price what is the way out for the project?
- If the community covers several priority areas of the Project is there more chance to succeed?
- Is the number of participants of community organisation regulated?
- Will other communities/village councils have the opportunity to participate in CBA Project?



Following to the rayon seminars, the head of rayon council and rayon state administration signed the partnership agreement in general. In some cases they signed that agreement later on. In total, all 209 rayons signed partnership agreement by 2009. Signing of partnership agreement laid foundation for initiating CBA activities at the level of village/city council and local communities. It also served as a basis for rayon authorities to provide financial, human and logistic resources in favour of CBA implementation.

**2.2 Selection of target communities** for local action, included selection of five village/city councils per rayon and selection of one community per village/city council. A target of 1000 village/city councils with 10,000 or less population and 1000 local communities (settlement, micro-rayon, multi-apartment buildings) from the partner village/city councils was set for CBA. Following process were adopted to reach the target: Establishing partnership with local councils is considered to be third milestone in CBA implementation at local level. It ensures commitment of the village/city councils to support participatory approach to local sustainable development and provides official basis to reach local communities. To establish partnership with local councils (a) Announcement was made during each rayon seminar for the village/city councils in the rayon to send application to the oblast community resource centre explaining their situations in terms of hardship on access to water supply, access to medical services, environment situation, energy saving and school transportation. They were also expected to express their commitment in terms of making financial and non-financial support. In general, one week was set as a time for making such application; (b) During 2008-2010, 2885 applications were received from village/city councils. The team of the oblast community resource centre analysed the information of the applications and information received from the respective rayon state administrations. Based on the analysis, they made a ranking of the participating local councils based on the level of hardship facing them. The analysis and ranking was further reviewed by related specialists of CBA/PMU; (c) meeting of the ‘village/city council selection committee’ in the oblast was held to make selection of 5 village/city council for CBA project. In general, the Meeting was presided by CBA focal point of Oblast State Administration. Other participants of the Meeting included representatives from Oblast Council, Rayon State Administrations, Rayon Councils, and CDAs in the oblast. The Committee reviewed the analysis of Village/city council applications; ranked them based on socio-economic hardship and commitment and selected 5 village/city councils for CBA project with alternatives; (d) in total, 1123 village/city councils from 209 rayons were selected as shown in Table –V. Coverage of VC/CC above target happened mainly due to (a) 2008-flood disaster in western part of Ukraine. Due to urgency of improving communal infrastructures in flood affected VCs/CCs that were not CBA-partners, management decision was taken to expand CBA support in those areas without compromising the procedure of selection; (b) the best performing rayons were provided with additional micro-project quota that could be utilised in additional VCs/CCs.

Of all the local councils selected, 86% were village councils, 12% were town councils and 2% were city councils. For transparency purpose, the list of selected village/city councils was placed on the website of rayon/oblast authorities and where possible, announcement was made through local media such as TV, radio and newspapers.

**Table –V: Selection of VC/CC for CBA Partnership**

SN	Activity	2008	2009	2010	Total
1	Application received	2478	184	211	2873
2	Selected for partnership	961	117	45	1123
3	Selected for reserve	561	60*	13	634
4	Signed partnership agreement	440	489	147	1076

\*Excluding 25 VC/CCs selected from reserve list, the net increment was 35 VCs/CCs only.

Seminar was held in each of the selected village/city council in participation of council members, VC/CC-executives, active citizens, NGOs and businesses from the locality. On average, 20 persons participated in the seminar. The seminar focused on sensitizing the local representatives with importance of community-based approach to local development and explaining them the relevant procedure and conditions to achieve concrete results. Representatives of oblast and rayon authorities often participated in these seminars. Their participation reflected their commitment towards citizens’ participation in decision-making process and raised effectiveness of the seminar. By 2010, 1277 VC/CC seminars were held (Table –VI).



**Table –VI: Participation in VC/CC Seminars**

SN	Activity	2008	2009	2010	Total
1	VC/CC seminar held	907	282	88	1277
2	Participation level	14,799	8,268	2,233	25,300
a	Rayon authorities	964	348	135	1447
b	Oblast authorities	62	15	9	86
c	VC/CC-authorities, CO-members	13773	7905	2089	23767

Following to village/city council level seminar, partnership agreement was signed between the council and UNDP officials – often at the point of convenience. In total 1076 partnership agreements were signed during the project period.

Due to various factors, there was often a time lag between launching of seminar at oblast/rayon/local council level and signing of partnership agreement. An analysis of the same has been presented in Box - V.

Following to the village/city seminar, a comparative situation assessment of the settlements belonging to the council was made jointly from the perspective of socio-economic hardship facing them e.g. water supply, health services, energy efficiency, environment and school transportation etc. Based on the ranking, one settlement was selected (with one reserve) for CBA Project. Maintaining reserve was necessary to ensure competition and attract the community which was the most willing and committed to apply self-help approach to resolve their problem. In total over 2008-2010, 1145 communities were selected for local action (Table - VII).



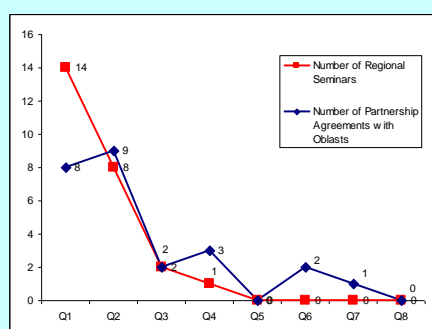
Sr. Programme Manager of UNDP, Ms. Oksana Remiga and a village council head of Donetsk oblast signing partnership agreement

**Table –VII: Selection of Communities for CBA Partnership**

SN	Activity	2008	2009	2010	Total
1	Community selected for partnership	876	222	47	1145
2	Community selected for reserve	276	234	58	578

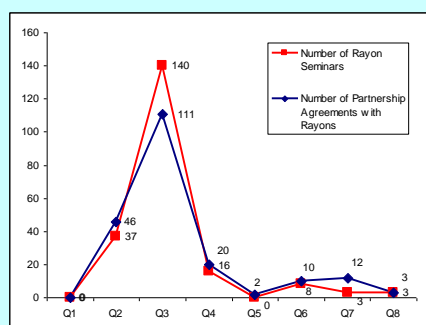
**Box –V: Time Lag Between Partnership Initiation and Signing of Partnership Agreement**

Experience during 2008-09 show that in general there is a gap between initiation of proposal for partnership by CBA and concrete formal establishment of partnership. There are many reasons for the gap as described below.



25 regional seminars were launched in total since 2008-09, mostly focused in first half of 2008. Some of the regional authorities signed Partnership Agreement during the seminar itself, while some took time. Delay in response was observed due to –

- Necessity for deep understanding of the project concept, strategy, terms of partnership;
- Internal consultation within relevant departments and experts;
- Understanding to be reached between OSA and OC;
- Time taken in seeking approval from the relevant ministry;
- Change in the leadership of the OSA;
- Old mindset of the officials;
- Placing of more value on money (grant) than on technology;

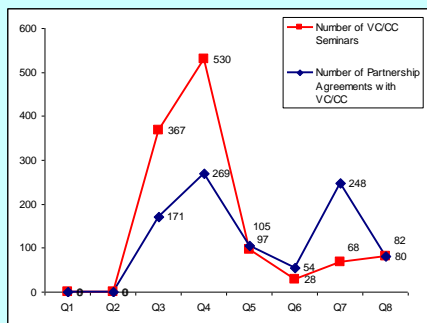


In total 207 rayon seminars were conducted in 2008-09, mostly done during 2<sup>nd</sup> half of 2008. 204 Partnership Agreements were signed during 2008-09. Many of the rayon authorities signed Partnership Agreement during the seminar itself. In some cases, they signed Agreement, in group, during the regional seminar itself. Some rayons took time to sign the agreement. The delay was mainly due to:

- Change in the leadership of the RSA;
- Waiting for OSA/OC to sign their Agreement first;
- Lack of budget for cost-sharing

Direct correlation is observed with the pattern of signing oblast-level Partnership Agreements and rayon-level Agreements in that the latter follows the former.





A total of 1189 VC/CC level seminars were held during 2008-09 with focus during 2<sup>nd</sup> half of 2008. In total, 929 of VCs/CCs signed Partnership Agreement during 2008-09. Almost no Partnership Agreement was signed during the seminar. The time gap was much bigger compared to that in case of regional and rayon. Main reasons for these gaps were:

- High focus of CBA on community level action, just after the VC/CC seminar, rather than on signing Partnership Agreement;
- Time taken at CBA/UNDP in designating the officials who would sign Agreement with VC/CC;

Rise in number of PA signatures in Q-4 and Q-7 was due to increased number of MPP which required VCs/CCs to sign Agreement in case their money was involved in cost-sharing.

**2.3 Community Mobilisation:** Pursuant to the community selection, dialogues (so called, ‘first dialogues’) were held with the selected communities to sensitise them about the need of collective action for improving their living condition and to familiarise them with the process to be followed in case they would like to go for it. During first dialogue community development officers strive to persuade the citizens about the importance of self-help and collective action to resolve local development issues in partnership with local authorities and other development agencies. To create an environment of trust for joint effort, the representatives of VC/CC, RSA/RC, and OSA/OC also participated in the dialogue sessions. Over 2008-2010, 3,831 first, second and third dialogues were held with target communities. As a result, the communities which believed the principles of collective action and which were active, got organised into self-governing community organisation (CO). In total, 1149 COs were formed/grafted during 2008-2010 (Table - VIII).



Democratic approach to decision-making in COs

Of all the households in the target communities, 79% households were represented in the COs (Table– VIII), thereby almost reaching the target of 80% HH participation level. Regional data reveals that 15 regions reached and/or exceeded the bottom line of 80% households’ participation with 10 oblasts ranging between 50-79%

**Table –VIII: CO Development in CBA Project Areas**

SN	Activity	2008	2009	2010	Total
1	CO formed	709	380	60	1149
2	Target households (cum.)	267,876	365,055	420,357	420,357
3	Households participated	82,122	262,480	331,442	331,442
	(Participation level- %, cum.)	31	72	78,8	78,8
4	Membership – Total	96,698	318,797	418,739	418,739
a	Female members (%)	60.1	60,5	58	58
b	Male members (%)	39,9	39,5	42	42

To manage the functions of COs, they selected five members (chairperson, treasurer, secretary, active members). This management team is often called as executive body or functional group, or CO-management team. Gender balance of CO-management team usually is shifted toward female with 58% of executive members being female.

**2.4 Formalisation of COs:** The COs formed were enrolled with their respective village/city councils. Enrolment with local councils give them recognition for mutual cooperation for local development and opening an account at the council, if necessary, for receiving grants from state fund. They also went through legal registration with relevant agencies. Legal status is essential for the COs to carry out business in formal mode and to open bank account for financial transactions. Legal status also makes them eligible to receive grants from national/international agencies. Necessary training was provided from CBA project to all the CO-management teams in preparing statute and going through registration process. Elements of good governance formed a strong part of the statute of the community organisations. Registration process often took a few weeks to a few month. In cases of delay due to bureaucratic reason, the agenda was discussed in LDF meeting and pace of CO-registration could be substantially accelerated under decision of the LDF-head (often head of rayon state administration or rayon council).

Over 2008-2010 period, 1148 COs got enrolled with their respective VCs/CCs. Also, during the same period, 1143 COs were legally registered with appropriate registration agencies (Table - IX).

**Table - IX: Legal Forms of Pilot COs**

SN	Activity	2008	2009	2010	Total
1	COs enrolled with VCs/CCs	550	519	79	1148
2	COs legally registered	400	645	98	1143
a	ACMB	13	12	0	25
b	Public organization	321	573	93	987
c	BSP	46	17	4	67
d	Cooperatives	14	15	0	29
e	Other	6	28	1	35

The majority (90%) of communities choose public organization as an official form followed by body of self-organisation of population (BSP), cooperative, association of co-owners of multi-apartment buildings (ACMB) and other forms. Each legal form has its own specificity and is suitable in a particular context. For example, ACMB is appropriate for multi-storey buildings where one building reflects as one community. It has financial autonomy to form income and expenditures and accept communal property on its balance. Public organisation is relatively open to mobilising resources from various donors but has limitation in accepting communal property on its balance. BSP functions relatively under control of the local authorities and a cooperative has several benefits of administrative and financial rights as it can make profit and distribute dividends to its members.



Transparency is importance in a CO

**2.5 Building capacity of COs:** To raise the skill of CO-members/CO-MT, 1776 trainings were organized during 2008 – May 2011. About 27,264 persons (60% female) took part (including repetitions) in the trainings (*details in Table – II*). The trainings were devoted to CO management; planning; micro-project preparation, implementation and reporting; participatory assessment system, public audit and handover (Table - X). Trainings also included awareness about EU and UNDP and establishment of donor’s visibility. Minor logistics e.g. account registers, calculators etc. were provided during the training to ensure minimum capacity of the CO for operationalization of its activities.

**Table –X: Trainings Organized by Topics During 2008 – May 2011**

Year	No of trainings	Topics of the Trainings								
		CO Mgmt.	Planning	MPPs Preparation	Finance Reports	MPs Implementation	PAS	Public audit	Hand over	Other
2008	304	112	103	86	0	3	-	-	-	-
2009	507	124	120	124	32	101	-	-	-	12
2010	845	26	36	26	32	94	178	188	157	75
2011	120	-	-	-	3	-	54	22	28	40
<b>Total</b>	<b>1776</b>	<b>262</b>	<b>259</b>	<b>236</b>	<b>67</b>	<b>198</b>	<b>232</b>	<b>210</b>	<b>185</b>	<b>127</b>

Participatory assessment system (PAS) enables CO-members to assess their CO from time to time in light of its leadership quality, transparency of decisions and financial transactions, change in living conditions of the community members, sustainability of the CO and the community projects etc. Through training on public audit, CO-members learn to make serious check of the decisions, financial transactions and quantity and quality of community initiatives executed. Training on ‘handover’ enhances skill of the CO to professionally commission the implementation of micro-project and handover the resulting object to the balance of concerned local authority.



CO-members assessing their organization upon training

CBA Project provides leadership skill to CO-management team so that they can manage their COs effectively and provide development leadership to their communities. A variety of capacity building methods

are used, such as trainings, exchange visits, “learning by doing”. At the same time, leaders of community organizations learn more about the system of local governance, its functions and mechanisms. As a result, many local activists feel empowered enough to run for local elections. 54 of CO leaders ran for local elections in spring 2010. Of them, 33 were elected as village council heads.

Following lessons were learnt in course of organizing training during CBA implementation:

- In an environment of time and target constraint, the process/sequence of trainings to be distributed over project implementation cycle tends to be accelerated or merged resulting into risk of lower effectiveness
- Training modules revised from time to time taking into account feed-backs from the target beneficiaries render higher effectiveness
- Demonstration sites created in each oblast serve as effective learning ground. Exposure visits to such sites result in high motivation among stakeholders to adopt CBA methodology fast and properly
- It is difficult to get high-skilled accountant in all the villages. To ensure satisfactory financial management at CO level, it is necessary to conduct condensed training course for unskilled CO-accountants before they are charged with the responsibility of managing CO-financial business in line with the financial guidelines of UNDP or Ukrainian financial code
- Peer to peer exchange of experience is effective in fast dissemination of know-how.

### Expected Result 3: Local Development Forums established

**3.1 Establishment of LDF:** A Local Development Forum (LDF) was established by the decree of the head of rayon authority in each rayon supported covered by CBA. In total 209 LDFs were formed (Table -XI). A LDF normally consists of representatives of the rayon leadership and heads of relevant units; heads of village councils (covered by CBA) in the rayon and CO-chairpersons. LDF aims to facilitate dialogue, coordination, planning and decision-making at local level between the oblast and rayon authorities and communities for promoting integration and development. Specifically, functions of the LDF included the following:

- Assisting COs in legal registration
- Making decision on drafting of necessary documentation for community projects
- Assisting COs in receiving local financing
- Approving community development plans
- Helping in preparation of cost-estimate documentation for community projects
- Approving micro-project proposals
- Approving replacement of village/city councils and communities
- Reviewing progress of CBA implementation in the rayon
- Provide help in technical investigation of the constructions
- Supporting handover of community projects
- Organization of public audit & sustainability

LDFs met regularly to discuss local development issues such as mainstreaming of community plans, mobilising resources for implementation of community priorities, providing guidance and technical backstopping to the COs during community project implementation etc. In total 1,589 sittings of LDFs took place over the project period (7 meetings/LDF in average), which signifies that the LDFs were active and effective during project period (Table -XI).

**Table -XI: Formation and Function of LDFs**

SN	Activity	2008	2009	2010	2011	Total
1	No. of LDFs formed	98	106	5	-	209
2	No. of sittings held	107	654	726	102	1589

#### Box -VI: Opinions of Stakeholders About Local Development Forum

“Firstly, LDF gives us a possibility to obtain information about the progress in the Project implementation and experience of neighbouring COs in the CBA realization. And it makes us more active, does not let us be sluggish. We analyze the Project realization dispassionately; make concrete decisions for future activities. LDF ensures visibility of activities carried by every Project structure unit, namely CO - Village/ City Council – Rayon Council – Rayon State Administration – Rayon Community Resource Center – Oblast Community Resource Center – Media – Finance Department – Rayon Sanitary Inspectorate – Rayon Police – State Tax Inspectorate - Administration of Justice - Public Register - Public Utility Company Architectural Agency.”

*M. Marunchak, Deputy Head of Executive Personnel Rohatynska RC.*



“Holding a meeting of LDF is our means to help local communities. As a rule, at the meeting we approve co-financing of community projects, discuss concurrence of projects by different state bodies and try to remove obstacles that prevent local communities from successful work. At the same time local communities make reports on the work conducted, outline problems and achievements in realization of community projects.”



LDF meeting in Sambirskiy rayon, Lvivska oblast

*L. Zhovtylo, Head of Malovyskivska Rayon Council, Kirovohradska oblast*

“Local Development Forum and Quality Supervision Committee become the only way to monitor activities conducted to realize community micro-projects. In case of contractor’s improper work or problems within a community in the process of MP realization, we can always hold Forum and discuss future activities.”

*L.Fastonets, Deputy Head of Bilozerska Rayon State Administration, Khersonska oblast*

“All communities need LDF, as they help them to inform about the problems communities meet, as well as to find ways out, answers to any questions, and feel concrete support from rayon council, the Project and their colleagues from villages; and have consultations on territories development problems.”

*O. Chernykh, activist of CO Velykochemihivska perlyna, Chernihivka village, Stanychno-Luhansky rayon, Luhanska oblast*

### Rayon Community Resource Centers

In the process of CBA implementation, *Rayon community resource centres (RCRC)* emerged following the initiative of rayon authorities. In practice, all 209 partner RSAs/RCs were expected to establish a Resource Centres (even though it was not mandatory target). Of them, 176 RCRCs were established formally. The RCRCs are carrying out various functions (e.g. secretariat of LDFs, local plan mainstreaming, building capacity of local communities, coordination etc.) so as to ensure effective implementation of CBA. Experience shows that RCRCs extended their activities beyond CBA, serving other communities interested to get organized and implement self-help initiatives.

RSA/RC staff coordinating activities of these Resource Centres have participated in trainings organized by the Project and have developed their capacity of working with local communities through ‘learning by doing’. In order to strengthen the technical capacity of rayon community resource centres, a vision was developed by CBA Project to help enhance their outreach to target communities with higher effectiveness. It was envisioned to support high performing 25 RCRCs in 2010 based on such key criteria as: formal establishment with clear identity and functional jurisdiction; appointed coordinator; delivering minimum services to its stakeholders (especially to COs, OCRC); supporting activities (e.g. training, visits, experience dissemination etc.) for promotion of CBA methodology etc.

Of 92 applicants, 25 RCRCs from 22 oblasts were selected. They received \$1000 worth technical equipment (computers, scanners, copy machines, furniture etc.) according to the needs and purposes of RCRC activities.

The work of Rayon Community Resource Centres is highly appreciated by local communities and authorities (Box -VII). Support structures, in general, promoted by the project are all effective (Box- VIII, IX, X).

### **Box – VII: Opinion of Stakeholders on RCRC**

“RCRC provides our community with necessary information; for instance, it informs us about the possibility of participation in other projects and competitions. We come there, take information together with RCRC coordinators; have consultation how to use this information to solve community problems. Should a need arise they help us to prepare necessary documents, calculate budget, write letters.”

*O. Nesmachnyi, active member of CO Pan Yepifan, Yepifanivka village, Kreminsky rayon, Luhanska oblast*

“We come to Svativsky RCRC to receive help in preparing micro-projects documents (keying documents, calculating budgets etc.), as well as in solving problems with rayon executive bodies, for instance, with State Treasury, Rayon State Administration etc”

*N.Sklyarenko, active member of CO Tempo, Mistky village, Svativsky rayon, Luhanska oblast*



Malovyskivskiy RCRC of Kirovohradska oblast

“Any time we can receive necessary information, use computer, fax or copier at Community Resource Center. And the Project coordinator can hold consultation or give help.”

*I. Hechko, head of CO Local Development Agency of ArlamivskaVolya village, Lvivska oblast*

“Creation and functioning of Rayon Community Resource Center is an important step in rayon development for our rayon, as well as in assisting local communities through holding consultations about donor programmes and application forms.”

*V. Kozyrev, Head of RC, Mykolaivska oblast*

“Social work is difficult unpaid work, and in a village it is sometimes difficult to find time for it. And when Rayon Community Resource Center was created in our rayon, it facilitated our work greatly. There is a separate room, all documents, recommendations and information about other communities, about competitions. And what is the most important, Mrs Oksana, the Project coordinator, is always ready to tell and show everything...”

*I. Halukha, head of COVeres, Korost village, Sarnensky rayon, Rivnenska oblast*

“Not only partner communities but also all interested people and organizations can feel benefit from RCRC. As of today, we have created jointly with Oblast Community Resource Center all conditions to support and develop all our communities. And only a lazy person will lose his/her chance.”

*S. Chornyi, Deputy Head of Koretska RSA, Rivnenska oblast*

“After creation of RCRC in Skvyrivska RSA, village heads have changed as well. They started to bombard us with proposals and prepared projects. Soon a competition to select participants of joint EU/UNDP CBA Project will be more serious than to the most prestigious university in Kyiv.”

*V. Hrysha, First Deputy Head of RSA, Skvyrivsky rayon, Kyivska oblast*

### **Box VIII –: Support Structures: Effectiveness and Perspectives for Sustainability**

According to sociological research<sup>3</sup>, the support structures promoted by CBA Project are considered to be an efficient tool for local development. Each of the structures is assessed as effective by more than 80% of surveyed regional experts of CBA<sup>4</sup>. Oblast coordination council is assessed as very or rather effective by 88% of regional experts, LDF – by 93%, Oblast Resource Centres – by 84%, and RCRC – by 80% of experts. Community organizations, created voluntarily by community members, are assessed as very or rather effective by 90% of experts. Similarly, issue of sustainability of created support structures is important because effectiveness of community based approach highly depends on them. According to regional experts, these structures have quite high probability of existence after termination of the Project. 84% of experts believe that community organizations will continue to work after the end of the Project, 83% are sure about future of RCRC, 77% believe in continuation of oblast community centres, 77% for future existence of LDFs, and 80% of them believe in continuation of OCC.

### **Box – IX: Changes in Relations Between Community Members and Local Authority**

One of the impacts of CBA Project is improvement in relations between citizens of pilot communities and local authorities. As sociological research revealed<sup>5</sup>, 58% of surveyed CO-members reported about increased level of authorities' transparency and their readiness for dialogue with communities compared with only 28% of non-pilot (control group) community members (the difference is statistically significant,  $p < 0.05$ ). The same tendency was traced regarding cooperation of citizens with local authorities: 65% of pilot CO-members reported about increasing level of positive cooperation while only 20% of community members from control group were sure about this (the difference is statistically significant,  $p < 0.05$ ). More than a half (57%) of pilot CO-members in comparison to 21% of citizens from non-pilot communities, believe that the effectiveness of local authorities' activity increased (difference is statistically significant,  $p < 0.05$ ) as a result of CBA implementation. Also, there was increase in level of trust to local authorities. Citizens from CBA-communities demonstrated significantly higher level of trust to local authorities than those from non-CBA communities (50% compared to 23%).

### **Box – X: Social Cohesiveness, Trust, and Satisfaction as Significant Effects of CBA**

Increase of social cohesiveness in pilot communities is among significant effects of the Project implementation. As sociological research revealed<sup>6</sup>, participation in community organizations, common work on micro-project implementation, common decision-making and problem solution contributed a lot into community cohesiveness.

According to survey results –

- 56% of respondents from pilot COs think that cohesion among community's citizens noticeably increased in comparison with only 18% of members of non-pilot communities having the same perception;
- Citizens of pilot communities demonstrated significantly higher level of trust to their community fellows (with 7.9/10 level of index) in comparison with lower level of trust in control group (6.1/10 scale);
- Members of pilot communities are significantly more satisfied with perspectives of future development of their community than those of non-pilot communities with 3.9/5 scale versus 2.4/5 scale respectively;
- Citizens of CBA communities opined significantly higher level of satisfaction (3.4/5) in contrast to control group (2.3/5) regarding satisfaction on public life in a community.

<sup>3</sup> KIIS sociological research, 'Evaluation of Impact of Community Based Approach to Local Development, Realized by the UNDP Projects in Ukraine'.

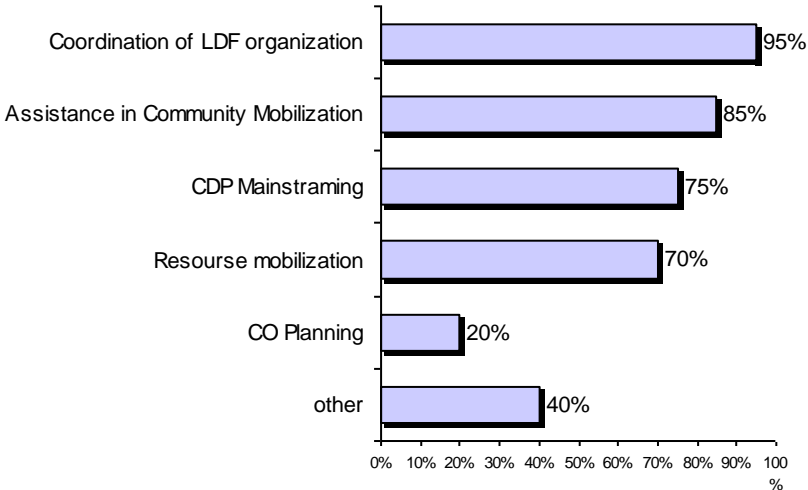
<sup>4</sup> Regional experts of CBA are oblast focal persons, rayon focal persons, and community development officers

<sup>5</sup> KIIS sociological research, 'Evaluation of Impact of Community Based Approach to Local Development, Realized by the UNDP Projects in Ukraine'

<sup>6</sup> KIIS sociological research, 'Evaluation of Impact of Community Based Approach to Local Development, Realized by the UNDP Projects in Ukraine'

As estimated by Community Development Officers of CBA, rayon focal persons are mostly engaged in coordination and organization of LDF (in 95% of oblasts) and assistance in community mobilization (in 85% oblasts). They also assist in mainstreaming community plans (in 75% oblasts) and mobilization of resources (in 70% oblasts). Details are given in Chart -III.

**Chart –III: Role of Rayon Focal Points on CBA Activities**



Oblast Coordination Council Sitting, Chernihivska oblast

Establishment of Oblast Coordination Council (OCC): To take the CBA implementation process beyond rayons, role of oblast authorities becomes indispensable. An oblast coordination council (OCC) was formed under the chair of deputy head of oblast state administration (OSA)/oblast council (OC) and in participation of representatives of the local development forums (LDFs) in the region, relevant departments of the OSA, selected VCs/CCs, COs, NGOs and business sector. An OCC coordinates project financing; ensures proper awareness of regional and local governments; carries out joint monitoring of CBA implementation in the oblast and provides strategic advice on its implementation and solves local policy issues.

The target of OCC foundation was reached by first quarter of 2010. In an average the OCC meeting was held twice a year in each region (Table - XII).

**Table -XII: Formation and Function of OCCs**

SN	Activity	2008	2009	2010	2011	Total
1	No. of LDFs formed	6	18	1	-	25
2	No. of sittings held	8	59	62	2	131

Key agenda of the sittings were focused on the following issues:

- Accelerating the pace of implementation the micro-projects;
- Reinforcing partnership with rayon authorities
- Mitigating the effect of financial crisis on cost-sharing by allocating oblast budget for community projects. Although contribution from regional authorities was not a mandatory as per the term of partnership, 8 of 25 regions contributed 5.6 million UAH to supplement the cost sharing of rayon authorities in the micro-projects thanks to the effectiveness of OCC;
- Adopting CBA methodology for community based micro-project support;
- Policy/procedures on handover of completed micro-projects;
- Documentation of experience on Project implementation in the region.



### ***Lessons Learnt:***

- Rayons, village/city councils and communities are competing for best performance so as to acquire additional opportunities from the Project.
- Enhanced awareness among local communities is visible along with significant reduction in passiveness; it is already influencing local development processes.
- Structure of cooperation established by CBA (CO – LDF – OCC) proved to be efficient for involving communities and authorities into cooperation
- Creation of RCRC was the initiative of local authorities as a recognition of the value of the Project’s approach. They proved to be efficient and helpful to local communities. RCRC demonstrate great potential for further expansion and consolidation of CBA methodology
- Created RCRCs need technical support to build capacity of RCRCs and the coordinators of RCRCs through equipment, logistics and training support.

### **3.2 Preparation of community development plan (CDP):**

Upon initial set up of organizational, formalization and management aspects of community organization, the focus of community members was placed to solving community problems. The CO-MT were trained in the area of participatory planning, prioritization of plans and mainstreaming of community plans into local development plan of the government. To have a common understanding, the officials of local authorities were also involved in the training. Following to the training, dialogue was held in each CO (in total 3,831 dialogues were held between CBA team and the CO-members) to familiarize CO-members with the process of participatory planning and bottom-up planning process that involved identifying community needs and prioritization of needs. They were also sensitized to observe human rights in priority setting such that weaker section of the society were not let out from the stream of benefits and more than 80% of the members got benefit from their plan in general.



Based on training and sensitization, the CO-members identify their development needs, set priority and prepared community development plan (CDP). The CDP generally included 3-5 priority sectors. The COs utilized various methods, depending on size of its members, to collect opinions of their general members e.g. (a) a census survey whereby each member opined his/her perception about the community needs, (b) making a general meeting of 80% or more members to collect proposals and agree/disagree by vote, (c) collecting priority areas of residents of each street covered by the CO, aggregating street level priorities at apex level and then setting the priorities by representatives of each street. This later case was when the settlement was very large and it was not possible to hold general assembly of all members (or all potential beneficiaries such as in case of healthpost) at one location. In either case the purpose of participatory planning through involvement of general community members was achieved. An analysis of 4,559 sectoral priorities of 1098 COs in mid-2010 show that 39.1% of priorities were related with energy saving, followed by water supply (13.3%), health post (10.1%), environment (10.6%), school transport (2.6%) and others (24.4%). While setting priorities, the CO-members also carried out ranking of the priorities – the most pressing priority occupying the first place with the least pressing need as the last.

### 3.3 Mechanism of joint review/approval of CDPs:

The CDPs were debated at the concerned village/city councils in participation of local authorities, local communities and other stakeholders in the locality. First stage matching of community priority and development vision of local authorities took place at this level. Upon approval from village/city councils, CDP-priority was submitted to the LDF for review. CDPs from various communities were debated at the LDF meeting and most appropriate plans were approved. At this stage, reconciliation of community plan with development vision of state authorities took place fully with recommendations for rayon budget allocation for the community priorities that were approved jointly. In many a cases, the two stages

of CDP reviews were merged at LDF level for practical reasons. Under this process, 1146 CDPs were submitted by COs all of which were approved by respective village/city councils while 1143 of them were approved at LDFs (Table - XIII). The approval was based on the condition of cost sharing among COs, local authorities (village/city council, rayon & regional authorities), CBA Project and private businesses. Thus, CDPs contribute to village /city council development plans which, in their turn, contribute to rayon development plan. As practice shows, discussion on CDPs at LDF contributes a lot to the process of bottom-up planning at rayon level. After these discussions CDPs are included into rayon development plan, and financing for their needs are allocated from rayon/oblast budget.

#### Box – X: Defining of Community Priorities: Results of Sociological Research

As sociological research<sup>7</sup> revealed, the majority (63%) of CO members reported about their conviction in crucial role of community members' opinion in the process of priority setting. This issue is strongly correlated with the level of knowledge about CO activity: the highest the level of knowledge, the more citizens are inclined to state about the key role of community members.

As research revealed, authority representatives did not interfere into a process of community priority defining. Instead, their role was mainly to provide information and organizational support for a community.

**Table -XIII: Community Organizations with CDPs**

SN	Activity	2008	2009	2010	Total
1	COs with CDPs	389	662	95	1146
2	CDPs approved at VC/CC	389	658	106	1146
3	CDPs approved by LDF	232	786	126	1143

“Mechanism of bottom-up planning, proposed by CBA Project appeared to be very effective since it allows getting solid information about real problems village communities have. It was not easy to find an efficient mechanism of cooperation, therefore, local development forums and oblast coordination councils became of great importance.”

*M. Kruglov, Head of Mykolaivska Oblast State Administration*

## Expected Result 4: Community Initiatives Implemented

**4.1 Designing of Priority Projects:** Upon approval of CO-priorities from LDF, COs prepared micro-project proposals (MPP) with support from technical departments of their respective rayon state administrations, officials of the community resource centres and private companies. CBA Project provided necessary training and coordinated the process of proposal preparation. The proposals included cost estimate, technical documentation/drawings, commitments on cost-sharing, sustainability mechanism etc. Competitive pricing in the cost estimation was ensured through quotations/preliminary tendering. General meeting of the COs discussed upon the project design and cost estimate and approved them if found satisfactory.

The CBA Project had a target of 1175 micro-projects for the entire project period. To begin with, all partner regions were allocated with equal share of 40 micro-project quota (worth about USD 4,000,000). This flat rate was fixed in line with the target of 1000 village/city councils which would get one micro-project each. It gave 5 micro-projects per rayon (as each rayon was given a quota of 5 village/city council) and 40 micro-projects per oblast/region (as each region was given a quota of 8 rayons). The remaining 175 micro-project quota was to be distributed among the regions in course of Project implementation subject to specific situations (Table – XIV). In course of the Project implementation, additional quotas were allocated as follows:

<sup>7</sup> KIIS sociological research, 'Evaluation of Impact of Community Based Approach to Local Development, Realized by the UNDP Projects in Ukraine'



- a) **Flood quota** was designed to help alleviate the consequences of flood in summer 2008. 56 flood quota was distributed in 2009 to flood-affected western regions (Chernivetska, Ivano-Frankivska, Lvivska, Ternopilka and Zakarpatska). Special cost sharing proportion was adopted for flood quota: CO–5%, CBA–70% and local budget–25%.
- b) **Quota 40+**: Due to inter-regional variation in utilization of resources additional 158 micro-project quota (called 40<sup>+</sup> quota) was allocated to each regions in 2009 to ensure that each region could fully utilize \$ 400,000 allocated for it. Norms of cost sharing for ‘40<sup>+</sup> quota’ remained the same as in normal condition: CO–5%, CBA–50% and local budget–45%.
- c) **Quota 40++**: 104 additional micro-project was allocated to those regions which demonstrated excellent performance and commitment to internalize CBA methodology. According to this quota, 119 additional micro-projects were distributed to 14 oblasts. Cost sharing ratio for these projects is: CO-5%, CBA-65% and local budget-30%.

**Table –XIV: MP Target and Approval Achievement**

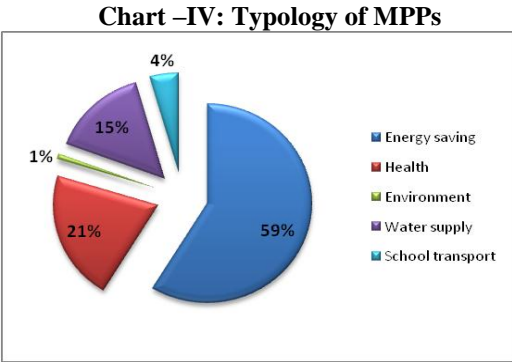
Oblast	Original MP-Quota		40+ MP-Quota		Flood Quota		40++ Quota		Total Quota		
	Target	Approved	Target	Approved	Target	Approved	Target	Approved	Target	Approved	%
ARC	40	39	6	5	0	0	3	1	49	45	91,8
Cherkaska	40	40	9	9	0	0	5	5	54	54	100
Chernihiv	40	39	6	4	0	0	3	2	49	45	91,8
Chernivtsi	40	39	3	2	10	9	0	0	53	50	94,3
Dnipropetrovska	40	39	6	6	0	0	10	10	56	56	98,2
Donetska	40	40	5	5	0	0	6	6	51	51	100
I-Frankivska	40	40	8	8	16	16	5	5	69	69	100
Kharkivska	40	39	7	7	0	0	2	2	49	49	95,9
Khersonska	40	40	10	10	0	0	5	4	55	54	98,2
Khmelnysky	40	40	7	7	0	0	3	3	50	50	100
Kirovohradska	40	40	8	8	0	0	5	5	53	53	100
Kyivska	44	44	8	8	0	0	3	3	55	55	98,2
Luhanska	40	40	9	9	0	0	6	6	55	55	100
Lvivska	40	39	4	3	10	10	2	2	56	56	96,4
Mykolaivska	40	40	7	7	0	0	5	5	52	52	100
Odeska	40	40	3	3	0	0	2	2	45	45	100
Poltavska	40	40	6	6	0	0	5	4	51	50	98
Rivne	40	40	6	6	0	0	6	3	52	50	94,2
Sumska	40	40	5	5	0	0	4	4	48	49	102,1
Terpnopilska	40	40	5	5	10	10	8	8	63	63	100
Vinnyska	40	39	7	2	0	0	0	0	47	43	87,2
Volynska	40	40	3	3	0	0	7	14	50	57	114
Zakarpatska	40	40	6	6	10	10	4	5	60	61	101,7
Zaporizka	40	40	8	8	0	0	5	5	53	53	100
Zhytomyerska	40	40	6	6	0	0	0	0	46	46	100
<b>TOTAL</b>	<b>1004</b>	<b>997</b>	<b>158</b>	<b>148</b>	<b>56</b>	<b>55</b>	<b>104</b>	<b>104</b>	<b>1320</b>	<b>1310</b>	<b>98,8</b>

During project period, 1339 MPPs were prepared by community organizations. The proposals were reviewed by CBA-team in the region and concerned departments of the RSAs. Review and initial approval from these departments was necessary to ensure that technical documents met quality standard of the government. This also allowed them to use the state resources (in form of cost sharing) for the same micro-project as well as accept the final result on their balance. CBA-team ensured quality documents and availability of necessary recommendations and financial guarantee (especially from rayon authorities and local councils). At the 2<sup>nd</sup> stage, the MPPs were appraised from institutional and technical perspective by the experts at CBA/PMU and approved for funding by a project approval committee of UNDP/Kyiv. Over the project period, a total of 1327 MPPs, submitted by COs, were appraised and 1303 MPPs were approved for funding (Table - XV).

**Table - XV: Micro-Project Proposal Approval**

SN	Activity	2008	2009	2010	Total
1	MPPs prepared by COs	122	902	315	1339
2	MPPs approved by LDFs	122	889	326	1337
2	MPPs submitted by COs to CBA	62	899	367	1327
3	MPPs approved for funding by CBA	47	832	431	1310

Of total approved MPPs, 59% were devoted to energy saving, followed by health-post 21%, water supply (15%), school transport (4%), and environment (1%) (Chart -IV).

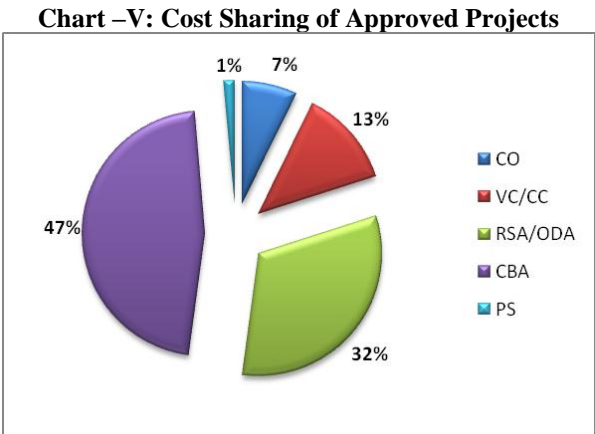


Energy saving included several types of interventions including modern energy-efficient technologies using gas or electricity or solar power as the source of energy. In other cases, it was prevention of energy loss through such support as (a) replacement of old (worn out wooden) windows & doors with plastic-based energy-saver windows & doors; (b) repair/replacement of roof with energy saving materials. Still in other cases it was combination of the two techniques. Support for environment improvement included improvement of sanitation system, sewerage/drainage system and waste management with higher demand for waste management. Experience of UNDP/MGSDP showed that social mobilisation is the pre-requisite for waste management. Without changing the mindset of the people and without raising their awareness, it would be difficult to pursue sustainable waste management system. Therefore, the COs and local authorities which opted for waste management project, were first exposed to successful sites of UNDP/MGSDP before they were provided the support. Later, successful demonstration sites emerged in CBA communities for conducting visit for the next generation of COs opting for waste management initiative.

**Box –XI: Innovative Technologies in CBA**

- In Poltavaska oblast (Novi Matynovychi village, Pyryatynsky rayon), a micro-project on street lighting with alternative (solar) source of energy was implemented. Among its advantages are: absolute autonomy, ecological safety, simplicity of exploitation.
- In Odeska oblast (Kaharlyk village, Bilyaivsky rayon) experimental project was implemented on installation of solar collectors in kindergarten. As a result, over 46'000 UAH is economized annually on the maintainance of kindergarten.
- In Khersonska oblast (Oleksandrivka village, Novotroitsky rayon) in framework of a micro-project on water supply, a frequency converter was installed instead of a water tower. This mechanism allows to maintain an even level of pressure in the pipes, and reduces the risk of breaks and extends the service endurance of water pipes. Substantial amount of money is economized on repair works. 30-80% of electricity is economized. Payback time is 10-18 months.

Total cost of all approved MPPs was about UAH 196.3 million. According to the cost-sharing arrangement, micro-projects were co-funded by local budget (45%) with 12.8% contribution from village/city budget, 29.3% from rayon budget and 2.9% from oblast budget; CBA share constituted 46.5%, community share was 7.2% and support from private sector was 1.3 % (Chart -V ).



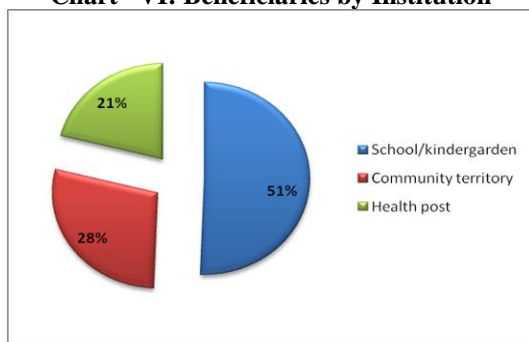
The approved micro-projects are meant to bring improvement either in communal entity or on community territory so that community members could ultimately benefit.

From the perspective of population, the micro-projects benefited 1,201,638 persons (55% female) reflecting following sectoral distribution:

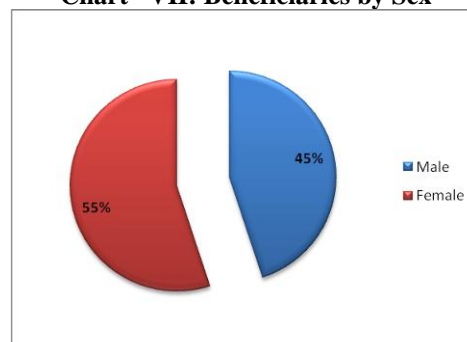
- Energy saving – 57%
- Health – 29%
- Water supply – 9%
- School bus – 3%
- Environment – 2%

From the perspective of institution, the beneficiaries included 51% school/kindergarten, 21% health post and 28% community territory (e.g. community resource centres, streets for street lighting, water supply, waste disposal etc.).

**Chart –VI: Beneficiaries by Institution**



**Chart –VII: Beneficiaries by Sex**



**4.2 Implementation of community priorities:** Implementation of approved micro-projects involved a series of steps. COs were entrusted with full responsibility to carry out implementation process. This was the crucial part of the process in that the community members had a concrete opportunity to learn about details of communal infrastructure development by doing. For majority of them this was the first experience and therefore training and technical backstopping was to be provided from time to time.

Approval of MPP from CBA Project was followed by signing of grant agreement between the COs and the UNDP. The general members of the COs were informed about the agreement through various means. The most common was holding of signing event at a general CO-meeting. Whenever signing event was organized elsewhere such as in the rayon office or in the local council, media were often present. The general members were informed at a later date. High level of transparency about the terms and conditions included in the agreement was essential to ensure accountability and ownership among the community members. It would motivate them to participate in the implementation work enthusiastically and keep an eye upon utilization of resources. The COs also entered into agreement with local authorities and private sponsors whenever the latter decided to transfer their part of cost sharing amount into the account of the COs. In general, local authorities and private sponsors opted for parallel funding, they did not need agreement with COs as they provided goods/services directly for the implementation of the community project, following their own financial/administrative procedures. To this end they either contracted their part of the work to a vendor or provided construction goods to the company contracted by the COs.

Grant agreement between UNDP/CBA and the COs required release of grant amount in 3 tranches: 15% (to initiate), 75% (to implement) and 10% (upon completion). Under this condition, first installment of the grant amount was transferred into account of the COs. CO-MT (or functional group, if such a special team was formed by COs to implement the micro-project), officials of local council and focal persons of rayon authority were familiarized with financial management policy and procedures established by CBA Project for utilization of grant amount and amounts that were transferred into COs' account by other sponsors, including the CO-members themselves.



CO-leader and UNDP Country Director after signing of grant agreement

As a first step, the COs formed a tender committee to identify and select a competent tender for procurement of goods and services required for implementation of the micro-project. The committee announced tender in the local media (often in the rayon/oblast level newspapers and occasionally at display boards of the local councils, websites of the RSA and OSA and website of CBA Project), conducted transparent process of competition and recommended the best bid. Representatives from CBA, local councils and rayon authorities participated in the tender opening process as observers. The tender committee presented the case in the general meeting of the COs for approval of the result. Pursuant to the approval, the COs entered into contractual arrangement with the winner company. Local authorities/private sponsors became a part of tender committee and signatory of the contractual document only if they transferred their amount into the account of the COs and if they wanted to be a part of the decision-making process. In case the work (fully/partially) did not require a contractor the COs made procurement of goods and services through quotations etc. as per the established financial procedures.





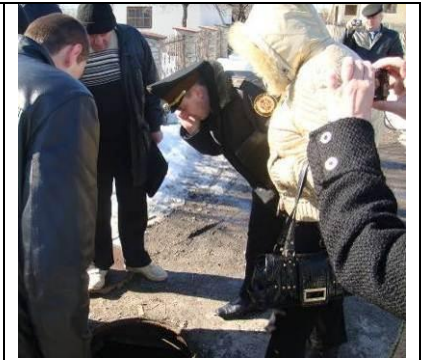
Tender in CO of Novosevastopol, Mykolaiivska



Working together for community: CO- members often contribute to their initiatives in-kind (through labour)



To carry out a joint monitoring of the micro-project implementation, a rayon level 'quality supervision committee (QSC)' was established in all rayons where COs received CBA funding. This committee comprised of rayon focal person, rayon technical specialist, CBA-staff in the region, VC/CC-head and the CO-chairperson. Mandate of QSC was to ensure the quality of micro-project implementation. For this purpose, QSC-members visited the project site from time to time and provided necessary instructions to the COs and the vendors for quality results. Its report was taken into consideration every time CBA Project disbursed 2<sup>nd</sup> and 3<sup>rd</sup> installments.



Quality supervision committee inspecting micro-projects on energy saving and water-supply, Rivnenska oblast

**Table - XVI: Micro-Project Implementation**

SN	Activity	2008	2009	2010	2011	Total
1	Grant agreement signed					1310
2	Funding provided					
	<i>First tranche</i>	16	688	599	-	1303
	<i>Second tranche</i>		415	849	39	1303
	<i>Third tranche</i>		268	891	144	1303
3	Micro-projects completed	-	165	1090	48	1303

Of total 1310 MPPs approved for funding, grant agreement was signed for implementation of 1310 of them. However, only 1303 of them could get into implementation. It happened when the local budget could not be secured due to severe financial crisis facing the local authorities or when the project approval/agreement signing happened to be during last quarter of 2010 and it was recognized that the task could not be accomplished within the project period, which would expire by 6<sup>th</sup> June 2011. It was in light of the fact that generally a micro-project took one year or more to pass through all stages of implementation.



A school after renovation



The completed micro-projects went through public audit whereby the functional group (micro-project implementation team) of the CO presented to the general CO-members quantity and quality of the work done and financial transaction carried out to accomplish the tasks against the estimated targets. Often representatives of local authorities from VC/CC and rayon and other people from localities (not the member of COs), CBA representatives and the vendor were present during this event. Participation of higher level of authorities from the rayon and oblast along with media representatives also took place if public audit and inauguration of the completed micro-project reconciled. As reflected in Table -XVII, COs carried out public audit for 1302 of 1303 micro-projects they implemented. In an average, 132 persons participated in public audit exercise involving 125 CO-members, 31 non-CO-members and 2 local authorities.

During the public-audit meeting, functional group presented final progress report to the CO. The CO members were invited to inspect the quality of physical output of the sub-project and financial transactions. They critically reviewed the quantity and quality of the work done and quality of financial management undertaken. They received clarification on queries and made suggestions. Upon finding the micro-project implementation satisfactory, the CO-members made a public clearance of the tasks accomplished. The clearance was recorded in the minute and signed by all the beneficiaries. A brief summary of the report was to be displayed to public on a signboard.

There were cases when vendor had to carry out additional task(s) as pointed out during public audit to be considered eligible for signing of act of performance (which is a certificate of completion of assignment – to be certified by the CO, as client of the task). CBA Project received copy of the public audit protocol and released the 3<sup>rd</sup> (final) tranche only if the protocol reflected satisfactory result.

Idea of public audit being a new concept, CBA Project had to orient community members about the concept and procedure of conducting public audit. Nonetheless, it was experienced that it will take some time for common citizens and local authorities to recognize the value of public audit promoted by CBA and internalize this idea into their functions.

**Table - XVII: Public Auditing**

SN	Activity	2008	2009	2010	2011	Total
1	No. of public audit conducted	-	60	1145	97	1302
2	No. of participants in the public audit					
	<i>COs</i>	-	17561	104709	6618	128888
	<i>Non-COs</i>	-	28205	12223	954	41382
	<i>Local Authorities</i>	-	238	1799	189	2226

***Resource mobilisation through synergy***

Synergy was established with other UNDP projects to attract additional micro-project quota for COs that were developed by CBA. UNDP/Coca-Cola Project ‘Every Drop Matters’ supported 8 micro-project quota (worth 40,000 \$ grant) for improving water supply from rehabilitation/creation of water springs. Similarly UNDP/CRDP Project supported 4 micro-project quota (worth about 40,000 \$ grant amount) to the COs in Chernobyl affected areas. These support followed CBA methodology with advisory and technical support from CBA Project.

### Box - XII: Community of Krasnaya Polyana Takes Pride in Their Newly Equipped and Repaired Ambulatory

On 23 April 2009 first local community project was inaugurated in Krasna Polyana Village of Krasnohvardiysky rayon, ARC. The community invited representatives from local authorities, Verkhovna Rada of ARC, Secretariat of the Cabinet of Ministers of Ukraine and UNDP Managers to attend the inauguration ceremony.

The guests were impressed with the active position of community members who enthusiastically presented the whole process of micro-project implementation, beginning with the very first steps in self-organization, project preparation and up to its completion. Like most population of rural areas, Krasna Polyana villagers had a vast number of problems: terrible condition of local outpatient clinic, unavailability of kindergarten, problems with field irrigation even though there is Dnipro canal just nearby.

*“We decided to do something about it, because waiting for help can last long,”* says head of local community organization Borys Zahirny. *“So we gathered together, decided to create a community organization and finally solve all our problems, one by one. Villagers voted that overhaul and purchase of new equipment for local outpatient clinic is the most pressing problem that needs to be solved in the first place. Community organization then started to collect membership fees, referred to village head for support and started cooperation with CBA Project.”*

CBA Project team helped to get organized and provided a series of trainings on organizational and financial issues, as well as on preparation of project proposals and project implementation. This was a vital factor that favoured formation and maturity of the community organization.

Head of functional group, who took care of the project implementation process, said that the biggest obstacle at the very beginning was disappointment and passivity of people. *“It was very difficult to convince people in their strength, and that we are able to implement such a project. First funds were raised, and invested. People then realized that a lot depends on their personal participation and started to work more enthusiastically. For instance, after the end of working day, local men were busy purchasing and covering linoleum, villagers made an asphalt path in front of the entrance to the clinic. During this period, our community gathered and invested more than UAH 12 000.”*

Village council head supported community initiative and facilitated allocation of about 70% of project cost village budget. UAH 35 000 were given from rayon budget. The CBA Project committed about UAH 45 000 used for purchase of medical equipment and partially for repair works.

Local outpatient clinic staff proudly demonstrated repaired surgeries and new equipment that will make provision of medical services quicker and of better quality. Clinic provides medical services to people from 8 villages of Petrivska v/c. For example, now people can make all the necessary tests urgently and come to rayon hospital physicians only to get diagnosis and recommendations.

Chief doctor of Krasnohvardiysk rayon hospital Mykola Vokhmintsev mentioned: *“This outpatient clinic was in terrible condition: it was cold, dark and very humid in it. People used to freeze here in a few minutes! We are grateful to medical staff who resisted and remained to work here despite terrible conditions, because many physicians simply resigned, and now the problem we have is shortage of qualified medical personnel. But we hope that now there will be numerous professionals willing to work in such an exemplary clinic. Moreover, village head promised to help and guarantee a decent salary.”*



Having completed such an important project, *Vidrodzhennya* community organization is going to continue its activities. At a recently held meeting, villagers discussed further priorities of their village development. Votes are divided between re-establishment of a kindergarten and establishing of irrigation system. Given such a split, community decided to collect and count votes in written form.

CO treasurer Valentyna Isupova explained that the community decided to regularly collect membership fee of 3UAH. per month, of which 50 kopecks will go to a special fund to sustain the outpatient clinic in future, i.e. to purchase medicines, equipment, stationary etc.

### Box –XIII: Vox Populi on Results of Micro-project Implementation

*“For a long time, we didn’t believe that the result is possible. We attended the meetings, but did not believe. When the works on water-supply system started, hope was actually born. Now you see the improved conditions. This is happiness, happiness created by our own hands, jointly – by community organization, authorities and CBA Project”,* - shares her impressions Natalya Sergienko, member of community organization of Lysivka village. *“People are more confident in our organization, and that the future of our village is in our hands.”*

*Lyudmyla Martynenko, head of CO “Dzherelo” in Donetsk oblast*



“When the Project was launching, we were not fully confident, but we started to work and contribute. And now I work in a totally different environment in a new outpatients’ clinic where everything is made for people. It is clean, warm and I do not want to go on pension!”

*V. Sadykova, chief doctor of Kairska outpatients’ clinic, Khersonska oblast*

“I have been working in this school for 20 years and this winter it is the first time I feel warm here. It is the first time when children do not have to wear coats in classrooms, thus, they have become more lively and active. Teachers cannot stop admiring it. Though the school has only new windows, it looks as though it has been completely repaired.”

*Y. Trokhymchuk, school master in Kurozvany village, Hoschansky rayon, Rivnenska oblast*

“Our community does not stop at what we have achieved, we are creating Community Development Fund and we feel that people will understand its necessity: we will have funds to solve all local problems. Result of cooperation with CBA was not only improvement of living conditions, but also change in the way of thinking.”

*A. Mykytas, head of CO Dmytrivska Association of Citizens, Berdyansky rayon, Zaporizka oblast*

“We started to look at our village in a different way. We felt that it was very difficult to realize the Project, but difficulties united us. Community’s victory is the most important effect. Now we aim to reach such economic development, so that local community unassisted, without donors’ assistance could provide proper living.”

*M. Shevchuk, CO Dzhereho (meaning ‘a spring’), Ulashanivka village, Slavutsky rayon, Khmelnytska oblast*

“We called our project Clean Environment. It was unbelievable at the beginning, but thanks to active position of community members we managed, and now we have set seen a re-equipped dustcart, and then new refuse containers. Stray dogs no longer dig in semi-spontaneous dumps. We are approaching Europe. Our success inspired us to realize our new project, namely, lighting streets of our settlement.”

*V. Boiko, active member of CO Smolinsky aktyv, Kirovohradska oblast*

“When we started, we had many fears: that local authorities would not keep their word, that we would not collect funds from community members. But when we saw the first results, our community believed in this idea, and we managed to collect even more money than we hoped for. Also, at the end of the year we received UAH 4,000 from oblast budget. And these funds helped us to install 5 additional windows and to perform face-lift in the hospital. As of today, community members completely trust this idea of self-help, they constantly ask what we are going to do next, as there are a lot of objects in our village to repair, namely local school, kindergarten, roads and culture center... We believe that in few years our village will change completely.”

*O. Gava, head of community organization, Cherkaska oblast*

“Thanks to the Project children keep their classrooms better; they help senior pupils to clean classrooms, as they understand that much work and funds were used to reach such results.”

*H. Bodnarchuk, secretary of charity organization Pikhuvalna Rada Chesnykyivskoi shkoly, Ivano-Frankivska oblast*

“Parents and personnel of local kindergarten could not repair sewerage system unassisted. Leaking of sewage conduits caused dampness in the basement that negatively affected children’s health. Now everything has changed: we have a dry basement in the kindergarten, healthy children and proper sanitary conditions of their teaching.”

*N. Zaklinska, head of public organization Open Your Heart to People, Ivano-Frankivska oblast*

“We have been waiting for this Project for a long time, and now local kindergarten is covered with new roof, we can start to perform face-lift, but this year it will not be spoilt with leaking roof and rainy weather! We are grateful to the Project not only for its help to repair local kindergarten, but first and foremost, for return of our self-confidence. We are ready to work, to collect money, to organize concerts for our children, as we have a united community where every member works for common good.”

*H. Zelenska, active member of CO Nadiya (meaning ‘hope’), Daryivka village, Bilozersky rayon, Khersonska oblast*

## **Expected Result 5: National Networking Established**

To bring the grassroots level experience of CBA implementation to the attention of national stakeholders, to solicit national level coordination and to seek advisory support for smooth CBA implementation, national level stakeholders were networked in 2008. This network emerged in form of steering committee constituting 24 members from CBA-related ministries, parliamentary committees, national associations of local self-government bodies, secretariat of cabinet of ministers and donors namely EU and UNDP (details given in Annex - III). The steering committee met annually as follows:

**5.1 First meeting of CBA steering committee** was headed on 9 October 2008. Co-chaired by Operations Manager of EU Delegation to Ukraine, Ms. Laura Garagnani and Deputy Resident Representative of UNDP, Ms. Joanna Kazana, the Committee received the report from the Project team and noted its achievements and the results. It also took note of some concrete challenges and problems frequently connected with administrative support or support of local authorities. The Committee members offered a number of suggestions on how to improve coordination between CBA Project and other initiatives through different mechanisms on the governmental side. In particular, the Project received suggestions on administrative support from the Secretariat of the Cabinet of Ministers and also the suggestion from the Ministry of Regional Development to make use of the coordination mechanisms for distribution of information and implementation of the Project in the regions. Propositions were also received from the Ministry of Agrarian Policy on ways of closer coordination, from the Association of Village and City Councils of Ukraine - on ways of exchange of information about communities which are ready to undertake similar work. On this occasion, deputy minister of the Ministry of Regional Development and Construction, Mr. Vyacheslav Negoda noted that even though the majority of work is to be done at domestic level, the international assistance is greatly appreciated. A strengthened local democracy is the baseline for further introduction of all the reforms. However, there remains a question of technical and financial basis for functioning of local governance, which is crucially important to support any constitutional changes in this domain.



CBA Steering Committee Meeting (2008) in progress



Second Steering Committee Meeting (2009) of CBA in progress

**5.2 Second meeting of the CBA Project Steering Committee** was held on 15 October 2009 in participation of national stakeholders. The meeting was chaired by Mr. Olivier Adam, UNDP Resident Representative. The Committee noted the achievements of the Project made during 2<sup>nd</sup> year of the Project. It also took note of the challenges and opportunities facing the Project implementation. Most of them were related to mechanisms of co-financing of micro-projects. The Committee members shared a number of suggestions on how to improve coordination between CBA Project and other initiatives through different mechanisms on the governmental side. In particular, the Project received suggestions from the Secretariat of the Cabinet of Ministers, Ministry of Economy, Ministry of Environmental Protection and the Ministry of Regional Development and Construction. At this occasion Governor of Poltavaska oblast Mr. Asadchev appreciated the results produced by CBA Project in the region, in general, and in the local communities in particular. He opined that spheres the Project works in are of a great significance for the oblast. Following to the suggestions, a list of COs and micro-project information was sent to Ministry of Economy and a series of meeting was held with Ms. Tetyana Matyichyk, Deputy Head of Unit of Cooperation with Local Governments and their Associations/SCMU to finalise the matter that required support of SCMU for effective implementation of CBA in the regions. Also following to the Meeting, discussion was held with Mr. Mykola Filipchuk, representative of the State Ecological Academy of the ministry of ecology and environmental protection to explore possible cooperation.

**5.3 The third meeting of CBA Steering Committee** was held on 12 October 2010, in participation of national stakeholders. The Meeting was co-chaired by Mr. Olivier Adam, UN Resident Coordinator and UNDP Resident Representative and Mr. Leon Lora Jose Roman, Head of Operations Sub-Section, EU Delegation to Ukraine. The main aim of the Meeting was to present annual report of the Project activities, to concur and improve mechanisms of cooperation with national counterparts and local authorities, as well as to discuss perspectives of the Project's further activities. During this meeting deputy minister of Housing and Communal Services, Ms. Olha Romanyuk opined that successful experience of CBA methodology ought to be widely disseminated so as to capitalize its effectiveness in overall development of the country. Similarly, Governor of Cherkaska oblast Mr. Serhiy Tulub expressed his gratitude for perspectives that Ukraine and Cherkaska oblast had gained thanks to implementation of the CBA Project. Mr. Jose Leon Lora expressed



his gratitude to UNDP, national and regional partners participating in CBA implementation. It is important that the Project is implemented timely and in compliance with the rules, but it is more important that the spirit of community development is preserved. Minutes of the 3rd Steering committee meeting can be retrieved from: <http://cba.org.ua/library/documents?lang=ua>.



Deputy Minister of Housing and Communal Services Olha Romanyuk emphasized the need of dissemination of CBA methodology



Members of Steering Committee endorsed the report on CBA activities in Year-III



Meeting was co-chaired by UN Resident Representative and Head of Operations Sub-Section, EU Delegation in Ukraine

The Committee members noted the importance of formulation and advocacy of necessary policy change as the current phase of CBA was approaching its end.

## Expected Result 6: Sustainability Mechanism of Community Projects

**6.1 Assisting COs in handing over of completed micro-projects:** CBA project document required that the completed micro-project be handed over to the concerned local council/department of RSAs that is the owner of the communal infrastructure that went through renovations under CBA support. From this perspective, COs were trained to conduct commissioning of completed micro-projects together with local authorities, contractor and other sponsors involved in implementation. Commissioning required relevant departments of the authorities verify the quality and quantity of work accomplished as per the technical documents and mark it appropriate for accepting on balance if found satisfactory. Upon successful commissioning the relevant local authority would accept the object on its balance and issued appropriate letter/certificate on completion of handover. Over the Project period, 1303 micro-projects were handed over by the COs (Table - XVIII).

**6.2 Assisting COs in establishing sustainable mechanism:** CBA Project promoted the principles of sustainable development all through the period. The idea was that the citizen should receive public services (from the communal infrastructures created/rehabilitated by them) on sustained basis. It required sustainability of the rehabilitated object and sustainability of the services derived from it. Ukrainian legislation requires minimum warranty period from the company that carries out construction/rehabilitation tasks. For short term of 1-2 years, maintenance of the object is carried out by the company free of charge as per the contractual arrangement. Often authorities and CO-members feel relaxed about short term sustainability of such objects. However, CBA has been promoting sustainability in medium/longer term perspective.

Ownership of the object, operation and maintenance of the object and meeting of service delivery cost were the three elements that were recognized as crucial for local sustainable development. A series of discussions were held with COs, local authorities and field-based CBA staffs on how to put the idea into action. Based on provisions in the project document, existing experience in CIDP and elsewhere and based on the conclusions of the brainstorming with CBA-stakeholders, following ideas were developed for sustainability mechanism of CBA-supported micro-projects:

- Ownership of the micro-project should, by and large, remains with the local authorities (village/city council, rayon state administration) responsible for the sector of the micro-project. However, the COs could opt for ownership if they decided to so provided their legal form allows for it (otherwise they would have to re-register in appropriate legal form) and provided country's legal provisions allow for it. For example, an association of multi-apartment building or a cooperative could opt for owning communal property, maintaining it and delivering services out of it. But a CO in the form NGOs cannot go for it.
- In case, the CO is the owner of the object created/rehabilitated by it, it should establish a sustainability mechanism for operation & maintenance and service delivery on full cost recovery basis. It could carry out the responsibility itself or utilize services of competent service providers.

- In case, the ownership of the object remains with the local authority, then COs should establish a maintenance fund. This fund could be in form of small but regular contribution from the CO-members and that would be used solely for the maintenance of the object – only when the local authority did not have budget or had inadequate budget at the time of need. Besides cash contribution, the COs should be willing to offer kind contribution (often in form of labour) as they did during micro-project implementation. For this joint co-operation, COs and local authorities should enter into agreement.
- Even if local authorities are owner of the object, COs must be involved as a key partner while establishing the mechanism for operation & maintenance and service delivery. CO must be involved in setting the full tariff rate (i.e. no subsidy) and monitoring of quality of service delivery. COs must ensure that CO-members to pay the tariff on time. Local authorities would use its existing body (responsible department) or existing local entrepreneur.
- In case the authorities consider to go for a new entrepreneur for service delivery then it could consider using community based private entrepreneur under a tri-partite agreement between authority, CO and the private entrepreneur. In such case, the private entrepreneur emerges out of the community – often the technical person who was involved in creation/rehabilitation of the object. Such entrepreneur functions under guidance of the CO-members and enjoys their full support in case of object maintenance and full cost recovery of the service delivery.
- The COs must establish mechanism for their own sustainability because they ought to be sustainable to take care of sustainability of the object and services derived from it. For it they must establish a CO-sustenance fund built out of small but regular contribution of the CO-members.

The Project succeeded in motivating the COs and the local authorities to accept above ideas. However, it also recognized that action would take some time considering the mindset of the people and authorities and old habit of receiving highly subsidized services. Moreover, the current regulation poses difficulty for COs (in NGO or BSP mode) to form income by collecting service fees or maintenance fee and keep the collected amount in the bank account without hassles of reporting and taxation. Nonetheless during the first stage of the effort, practice was left up to the COs and the local authorities to decide mechanism suitable for them while CBA project would provide necessary technical backstopping. In any case, full result of the sustainability idea will be visible in years to come.

From the above perspective, sustainability fund was established by 1141 COs (Table -XVIII).

**Table - XVIII: Sustainability Mechanism of Community Projects**

SN	Activity	2008	2009	2010	2011	Total
1	No. of MPs completed	-	165	1090	48	1303
2	No. of MP handed over	-	70	1085	147	1303
3	No. of MP with maintenance arrangement	-	82	705	354	1141

**Box – XIV: Establishment of O&M Mechanisms**

**In AR Crimea**, upon implementation of micro-project of water supply, BSP *Zvizdne-L* decided at a general meeting to create O & M Fund to support repaired water supply system. Within the year BSP *Zvizdne-L* functioned as a service company: water consumption was calculated, payments were received according to adopted at general meeting tariffs, and the system was maintained. At a general meeting, community decided to create an additional organization attached to the BSP – a private enterprise or a nonprofit maintenance cooperative to sustain local water supply system in future.

**In Sumska oblast**, the majority of projects implemented in Sumska oblast is on water supply. Taking into consideration technical complexity of such sites and specificity of their operation, sustainability and O&M of the projects is quite pressing. Thus, at a special LDF meeting decision was taken to sign an agreement between village council and local COs while handing the object over. Pursuant to the agreement, CO performs public audit of the use of water supply system. After conducting a tender, an agreement was signed with a vendor that is obliged to operate the water supply system. At general CO meeting, tariffs were approved and individual agreements were signed.

## Expected Result 7: Enhanced Capacity of Communities and Local Authorities

Capacity building was one of the crucial activities of CBA Project. It involved such activities as trainings, exposure visits, dialogues, roundtables and various other forms of techniques utilized for skill enhancement/knowledge transfer. The purpose was to enable local communities, local authorities and other partners to adopt and practice the approach promoted by the Project.

**7.1 Organising training/visit/roundtable for COs and local authorities:** During Project period, training was organised for 27,264 community members and 7,037 officials from local councils and state authorities. Majority of trainings' participants were female (59%).

**Table – XIX: Trainings Organised During 2008-2010**

Year	No of trainings	Total participants*	of Total Participants		of Total Participants	
			Male	Female	CO-members	Local Authorities
Total in 2008	304	7375	2,831	4,544	5,584	1791
Total in 2009	507	10,965	4,390	6,575	8,640	2,325
Total in 2010	845	15,961	6,598	9,363	13,040	2,921
Total in 2011	120	3660	1567	1499	2401	665
<b>Cumulative</b>	<b>1776</b>	<b>37,367</b>	<b>15,386</b>	<b>21,981</b>	<b>29665</b>	<b>7702</b>

\*Excludes 67 and 44 project staffs trained during 2008 and 2009 respectively

Trainings in 2008 and 2009 were mostly devoted to CO management; planning; micro-project preparation, implementation and reporting while training in 2010 was mostly devoted to such areas as participatory assessment system, PAS, public audit, and handover.



Training in Pereyaslav, Kyivska oblast

Training for community members, Rivnenska oblast

Training in Antoniny, Khmelnytska oblast

### Box – XV: Assessment of Capacity Building Component of CBA: Pilot Study

In an attempt to assess the use of trainings conducted for CO members and rayon focal persons, a pilot monitoring study on human development was conducted in Kyivska oblast. Fifty questionnaires were disseminated to CO heads (response - 36), and eight questionnaires among rayon focal persons (response - 5). Respondents were asked to evaluate the quality of trainings they participated in, and utilization rate of knowledge and skills.

The results revealed the following (data given in Table –):

- All trainings provided by CBA are highly estimated both by CO heads and rayon focal persons. The majority of CO heads and focal persons are satisfied or rather satisfied with those trainings they participated in.
- The impact of capacity building is highly estimated by the participants: majority of CO heads and focal persons mentioned that knowledge and skills increased significantly or to some extent as the result of trainings.
- Utilization rate appeared to be high: majority of CO representatives indicated that the knowledge and skills they got through trainings were used in their activities.
- Most respondents indicate the need for further capacity development activities, prioritizing training on legal issues , taxation and financial issues. The need to exchange experience with other COs is also pointed out.

**Topics and Estimation of Trainings\***

Topic	CO heads (average) N=36	Focal points (average) N=5
CO management	5.0	5.0
Joint planning	5.0	5.0
Finance management	5.0	4.8
MP Preparation and implementation	4.9	5.0
Participatory assessment	5.0	5.0
Micro-project handover	5.0	4.8
Public audit	4.9	5.0
<b>Total (Average)</b>	<b>4.9</b>	<b>4.9</b>

\* 1 – fully unsatisfied; 5 – fully satisfied

Besides training, a series of exposure visits were organized within Ukraine and in other countries for the officials of local councils and state bodies. Resource was mobilized from other donors and other UNDP funded projects for some of the exposure visits as described below:

7 elected and state officials at rayon & oblast level were provided training in the field of decentralization in collaboration with UNDP/MGSDP. Resource persons were the experts from within and outside government. As a result, the effectiveness of training was high. Also, east-west exchange visit organized in collaboration with UNDP/MGSDP. 7 officials participated in the visits. The visits served as good opportunity for peer to peer learning and helped in accelerating the pace of CBA implementation. Similarly, two international visits were organized to Czech Republic for officials from rayon/oblast/national level authorities. The visits were focused on decentralization and energy saving and proved useful for Ukraine. These visits were supported by Czech Trust Fund and UNDP/Bratislava Regional Centre under a competitive award of about US \$ 32,800 won jointly by CBA, CRDP and MGSDP . Besides, a series of internal exposure visits were carried out for CO-members – within the same oblast or at inter-oblast level. The participants included CO-members and village council officials from passive communities. Upon visiting active CBA-communities and hearing their experience, the passive communities turned to be active.

During 1-3 April 2009, 5 representatives of CBA partners<sup>8</sup> participated in training on “Decentralization and Effective Local Self-Government” organized by UNDP Municipal Governance and Sustainable Development Programme under support from the Swiss Agency for Development and Cooperation. Training was organized in Yaremche (Ivano-Frankivska oblast). It brought together mayors and representatives of local councils in order to raise their qualification in the following subjects: local self-government and decentralization, citizens’ participation, strategic planning, operational planning, financial planning, social mobilization and establishment of the quality management system for municipal services in accordance with the international standards ISO 9001:2000.

During 10-16 May 2009, study visit to Czech Republic was organized for 7 Ukrainian authorities of national, regional and local level under support of UNDP/Bratislava Regional Centre and Czech Trust Fund (CTF). The main objective of the study tour was to strengthen capacity of the representatives of Ukrainian authorities to undertake pro-active role in promoting participatory governance, sustainable energy production and utilization and emergency preparedness.

<sup>8</sup> Heads of Lypovodolynsky Rayon Council (Sumska oblast), Novomyrhorodskyi Rayon Council (Kirovohradska oblast), Sofiyskyi Rayon Council (Dnipropetrovska oblast), Deputy Mayor of Rzhyschiv city (Kyivska oblast), Head of Department of Krasnogvardiyskyi rayon, ARC.





Ukrainian delegation on study visit to Czech Republic

The agenda of the visit combined lectures, field visits and meetings with authorities of national and local level focusing on (a) emergency planning, (b) co-operation between state and local authorities and Dukovany nuclear power plant operators, (c) access to information and (d) involvement of local population in safety arrangement.

The participants<sup>9</sup> greatly appreciated the meetings with their counterparts from Czech ministries, regional administrations and municipalities to learn innovative ways of administration and governance arrangement, and to observe functioning of the Czech system of public administration and governance (Box – XVI)

### Box – XVI: Lessons Learnt From CTF Study Visit

The best practices and lessons learnt from the study visit to Czech Republic (CR) for application in Ukrainian context are -

- Czech experience can serve as example for further decentralization and strengthening of local government in Ukraine.
- Energy saving and the more extensive use of alternative sources of energy should become a priority and realized in practice. Leading role in this process should be attributed to local governments. But policies should be elaborated at national level to promote and support creation of the same, based on lessons learnt by CR, whose experience should be taken into account so as to avoid mistakes and inefficiencies.
- Czech experience of introduction of biomass boilers for providing energy/heat to local population can be recommended for introduction in pilot communities of the region.
- Experience of EU/UNDP CBA Project in Rohatynskiy rayon (Ivano-Frankivska oblast) which was presented by Head of Rayon Council Mr. Mykhailo Popel during the study visit should be more extensively used in other regions.

A study tour and training for 13 Eastern CBA partners from Luhanska, Kharkivska, Poltavska, Cherkaska, Chernihivska and Kyivska oblast was organized during 7-9 July 2009 to exchange the experience of project implementation between East and West regions of Ukraine. During the visit, the team interacted with the authorities of Ivano-Frankivska oblast and Rohatynskiy rayon and community



Officials of Eastern Ukraine interacting with community in Rohatynskiy rayon of Ivan-Frankivska oblast

organization of Vyshyniv and Obertyn village. This visit has exposed to the participants how the oblast and rayon authorities are supporting and empowering the communities to undertake their initiatives in the oblast and rayon and the community development process adopted by CBA.



Oblast authorities during East-West Exchange Visit

Similarly, an exchange visit was organised during 22-27 July for 9 officials of oblast authorities with administrative and financial support of MGSDP. Under ‘east-west exchange visit’ the officials visited Ivano-Frankivsk and Dolyna cities. Besides learning about local culture and history, they had opportunity to learn from city authorities regarding concrete results achieved in participation with local communities. As a result of this visit, the participants, upon their return, acted effectively in moving the process of CBA initiation in their oblasts.

<sup>9</sup> (a) Nadia Bondarchuk, Deputy Director of Department of Regional Policy, Ministry of Regional Development and Construction (MRDC), (b) Oksana Vetlynska, Executive officer of Regional Policy Department, Secretariat of the Cabinet of Ministers of Ukraine, (c) Dmytro Orlov, HOD, international affairs, Poltavska oblast state administration, (d) Viktor Pavlichenko, Deputy head, Cherkaska oblast council, (e) Vasylyl Baitsym, Deputy Head, Volynska oblast state administration, (f) Oleg Obushnyi, Deputy Head, Chernihivska oblast council, (g) Mykhailo Popel, Head, Rohatyn rayon council, I-Frankivska oblast



Learning from best practices: study visit of Donetsk oblast delegation to Luhanska oblast communities

Study-tour for rayon-level focal persons from Donetsk to Luhanska oblast was organized on 8 December 2009. Representatives of 8 pilot rayons visited Kreminskyi rayon of Luhanska oblast, held meetings with their counterparts from

rayon level who perform the functions of Rayon Community Resource Centres coordinators. The delegation also visited two pilot communities: Varvarivka (implementing micro-project on water-supply) and Yepifanivka (working on improvement of healthcare services via modernization of local health post).

Similarly, study tour was organized during 15-16 December 2009 for 18 officials of Cherkaska and Kirovogradska oblasts. Another visit was held on 17-18 December 2009 to Zaporizhka oblast for 22 officials of Rivnenska, Volynska, Ternopilska and Ivano-Frankivska Oblasts. During this exchange visit, officials from eastern/southern region observed quality of rayon resource centres and CO-activities in Rivnenska oblast while officials from western region observed Project activities (OCRC, RCRC, COs) in Zaporizhka oblast. This visit proved useful in that the participants could recognize –

- Effective process of establishing a RCRC and its role in promoting community based approach
- Effective role (e.g. technical support, CO-financing) of local/regional authorities in CBA implementation
- Experience of local communities in implementing CBA methodology and micro-projects

*“They say: one eyewitness is better than two hear-so’s. Rayon Community Resource Center in Sarny, Rivnenska oblast, impressed us greatly. We wanted to create similar structure in our rayon and now we know how to do it. We are grateful to managers of the CBA Project”*

Serhiy Mykolaiovych Sovenki  
Deputy head of Novomyrhorodska rayon council,  
Kirovogradska oblast

**7.2** Providing logistic support to strengthen capacity of COs and local authorities: Rayon community resource centres (*details in section 3.1*), established in rayon state administration to coordinate CBA activities proved to be useful for non-CBA communities as well. The RSA/RC staff responsible for resource centres was provided with trainings in relevant field by the Project. they developed their capacity of working with local communities through ‘learning by doing’. However, they were often constrained by equipment and other logistics. In order to strengthen the technical capacity of rayon community resource centres, it was envisioned to support high performing 25 RCRCs in 2010 based on such key criteria as: formal establishment with clear identity and functional jurisdiction; appointed coordinator; delivering minimum services to its stakeholders (especially to COs, OCRC); supporting activities (e.g. training, visits, experience dissemination etc.) for promotion of CBA methodology etc. Of 176 RCRCs established over Project period, 92 RCRCs applied for equipment/logistic support. 25 RCRCs from 22 oblasts were selected. Each of them received \$1000 worth equipment (computers, scanners, copy machines etc.), furniture and other logistics according to the needs and purposes of RCRC activities.

In course of providing training to CO-executives, logistic support was provided for effective functioning of the COs. The supports were in term of small items e.g. calculator, accounting register, folders, visibility items and so on. This support was essential since the COs did not have adequate income at the time of formation to buy logistic items.

**7.3** Developing demonstration sites at rayon and local level: It is recognized that peer-to-peer learning has greater impact over the results to be achieved. This was true in case of CBA also. Exposure visits held for CBA stakeholders to CIDP, MGSDP and CRDP areas proved useful in effective initiation of the Project. However, time and resource constraints did not permit to organize similar exposure visits to other UNDP projects for thousands of CBA stakeholders. Therefore, it was envisioned to develop demonstration sites in each oblast including ARC (and preferably in each rayon) covered by CBA. It meant strengthening capacity of those oblast & rayon authorities; village/city councils and COs which followed CBA methodology effectively and demonstrated themselves as successful case. These partners were provided with additional

training and logistic support (where necessary) so that they could receive visitors from other areas, explain the process, show the results and advise the visitors about best way of implementing community based approach based on their experience. As of Project period, 65 demonstration sites were developed. Some examples of peer-to-peer learning is given in section 7.1.

**Box - XVII: Effectiveness of Demonstration Sites: a Case of ZaporizkaOblast**

CO ‘Vladivske ob’ednannja gromadian’ (Union of Vladivka Community) of Vladivka village, Chernihivskyj rayon, Zaporizka oblast implemented 2 micro-projects within frameworks of cooperation with CBA Project. Successful implementation of these micro-projects and significant results in community mobilization activity caused several high-level visits to this community. Besides, leaders of CO participated in seminar for non-pilot rayon where presented their experience on successful implementation of micro-projects.

After completion of micro-projects community continues its activity on improving living conditions in their village, implementing other initiatives. Using community resources and with assistance of village councils community members changed 9 windows in the village health post. Community organization has its own office in premise of village councils, collcts fees for maintenance their organization. Successful results of implemented initiatives inspire community members for further activity.

**Expected Result 8: Good Practices Documented and Disseminated**

**8.1 Evaluation and documentation for policy recommendations:** Studies were carried out, as per provision in the Project document as well as independently from UNDP system, during the Project period to assess the effectiveness of CBA methodology and make policy recommendations. Followings are the summary of these studies:

**Regional Documentation:** In light of necessity to ensure ownership and lay the foundation for future policy recommendations, documentation of experience was carried out under regional leadership in each region by a study team involving focal person from regional authorities and RSAs/RCs, specialists from legal, technical and PR departments of the regional authorities or partner RSAs/RCs. Draft reports of expert groups were discussed with a range of stakeholders and were published for wider dissemination among local and national stakeholders and partners. Within the framework of this activity, all regions produced video-film on experience and results of CBA activities in the region. The regional documentation and the related films could be found at <http://cba.org.ua/one/ua/library/experience>. Overall findings of the reports are given in Box –

**Box - XVIII: Documentation of Regional Experience: Main Findings**

Community based local development approach is estimated as an effective mechanism of local development. Its mechanisms and results are considered to be efficient for serving the purposes of local development.

All regions involved in the Project successfully implemented micro-projects, and some of them performed beyond the expected target (more micro-projects implemented, wide dissemination of information about the Project and methodology replication took place etc.). Summarizing regional reports on documentation of experience several crucial problems and challenges were defined key achievements were highlighted as described hereunder:

Challenges encountered in the realm of cooperation with local authorities are as follows:

- Bureaucratic procedures;
- Different scheme of co-financing from budget side;
- Lack of financial resources in rayon and village budgets;
- Conflicts between legislative and executive branches of power;
- Frequent rotation of authority representatives (as a result of elections).

During community mobilization several obstacles were encountered:

- Passivity of community members, disbelief in their ability to influence community development;
- Distrust both to local authority (traditionally) and international donors (because of lack of information);
- Lack of special knowledge necessary for successful micro-project implementation (technical skills, experience of work with documentation);
- Traditional vision and approach to planning (first money should be received, and then activity planned).

Several lessons learnt were summarized by the working groups:

- key factors for successful self-organization and micro-project implementation are the clear intention to change their life and willingness to take up responsibility ;
- To be capable to solve existing development problems, community should be united and establish cooperation with local authorities;



- Speed and success of self-organization and micro-project implementation is directly correlated with the degree of activeness of community members;
- Micro-project implementation requires various special skills and knowledge, thus, community activist should be ready to learn and acquire new knowledge and skills;
- Level of community's activeness may be influenced by various historical factors (positive or negative experience of cooperation with authority, repressions, resettlement, other social-historical factors). OIU coordinators should take these factors into account while mobilizing a community.

Following achievements were pointed in the reports of regional experience documentation:

- Establishing of efficient mechanisms of partnership between the organized communities and local governments resulted in tangible achievements (jointly implemented projects) as well as non-tangible achievements (improved relations and increased trust between authorities and citizens);
- Changes in collective mindset of the participants and partners;
- Community members obtained substantial valuable experience of cooperation with local governments, work with documents, project implementation, and financial matters;
- Changes in collective mindset of community members from perceiving themselves as 'objects of influence' to 'subject of activity'. Tangible results of common work (successful implemented micro-projects) also contributed to developing and strengthening of confidence of community members;
- There are changes in citizens' attitude towards communal property renovated in their participation. Investing their own money, time, and work people feel responsibility for the objects and tend to maintain them;

On the whole, community based approach appeared to be quite an efficient method promoting local development. Successful implementation of micro-projects and tangible results obtained demonstrate real potential for community development, social mobilization of citizens and civil society development in Ukraine.

**UNDP HQ Evaluation Mission:** In May 2010, CBA Project was evaluated within the framework of UNDP Global Thematic Review of Decentralization and Global Governance. The mission included Ms. Katherine Lowery (Monitoring and Evaluation consultant), Nagel Urs (Evaluation Advisor). The team reviewed project documents, made field visits and interviewed key stakeholders in course of the assessment. Key *initial findings* of the missions are as follows:

- *Efficiency of the Project:* Transparent procedures, quality control with community involvement and strong training support were marked as successes of the Project. At the same time, inflexibility in making amendments to approved micro-projects, time lag in delivery of funding and grant ceiling/micro-project were noted as shortcomings.
- *Effectiveness of citizen engagement:* Increased trust and cooperation between local authorities and communities, and visible sense of empowerment among individuals were strong success factors. It happened because the COs were given responsibility to manage their micro-projects. The mission noted the potential for more opportunities of UNDP to facilitate dissemination of CBA experience within the country.
- *Effectiveness of service delivery:* The Project has demonstrated a concrete difference in service delivery at reduced cost.
- *Sustainability issue:* Cases of local/regional authorities to adapt CBA methodology and Project's plan to establish operation and maintenance mechanism for completed micro-projects and trained local/regional officials offer high opportunity for sustainability of development efforts at local level.
- High turnover in government officials has posed a challenge in smooth implementation of the Project.

**Sociological Survey:** A sociological survey on community based development approach across Ukraine was commissioned during July 2010 through Kyiv International Institute of Sociology (KIIS). The main goal of this *sociological research* was to assess effectiveness and impact of the community based approach on: (a) local governance, (b) service delivery in the sectors supported by these projects, (c) change in living quality of target population.

The survey interacted with 8 focus groups (allowed revealing a spectrum of opinions represented by different target groups), 150 expert interviews (allowed getting solid opinions of experts) and survey of 400 community members (200 from pilot communities and 200 from non-pilot ones as a control group).

Analysis of the data revealed that –

- Community based approach is quite an efficient mechanism of local development. Community priorities are defined mostly by community members, with minor influence of power representatives. Supporting structures established within frameworks of the Project are considered as very effective,



necessary and are expected to function after the Project's termination. The probability of the structures' viability is assessed as quite high. Besides, created structures are evaluated as being transparent.

- Bottom-up planning, a key element of community based approach, is assessed as an efficient mechanism for local development. Community development plans partially or in full are included into village, and rayon development plans.
- One of the most important impact of the Project's implementation is increasing level of trust to local authorities. Citizens of pilot communities are significantly more tend to trust their respective authorities in comparison to citizens of non-pilot communities. Besides, the level of cooperation between pilot communities citizens and local authorities is significantly higher than in non-pilot ones. Moreover, as heads of COs report, it became much easier for them to communicate with authority, and to understand each other.
- Participation in micro-projects implementation contributed a lot into increase of social cohesiveness within communities, increase level of trust to community members within communities, and believe in positive perspectives of village/town development.
- In general, there are several key factors influencing successfulness of the Project's implementation: duration of support (the longer Project supports rayon/village/community, the better results are reached there); involvement of local authorities (the more active cooperation with authorities is, the more sustainable supporting structures are tend to be).
- A set of policy actions ought to be undertaken to fully exploit the potentials of CBA methodology including (a) recognition of the feature of COs developed under CBA, (b) necessity to internalize LDF, community resource centres etc., (c) considering appropriate budget code to make community financing possible.

***Policy Study:*** A policy study was commissioned in 2010. The purpose was to assess current status and formulate policy recommendations that would enable COs to effectively participate in local development process in Ukraine. Inter-budgetary relations, legal framework for development and decentralisation of power, current distribution of responsibilities between different levels of authorities were among the factors to be analyzed. The study was carried out by International Centre for Policy Studies. Key findings of the study are as follows:

- none of the forms of community organizations currently legislated offers all the necessary options for communities to be most actively engaged in the local development
- preparing the documents necessary to register all forms of community organizations requires considerable outlays of time and money
- current mechanisms for communities and local governments to cooperate does not guarantee that the communities' positions will actually be taken into account
- none of the current legislated forms of community organizations offers the possibility of receiving money from all permissible sources of funding unhampered and tax-free
- the outcomes of community projects can prove unsustainable because community participation in maintaining of generated or renovated property is not properly regulated

### ***EU Monitoring***

**Mission-I:** On 7 February – 6 March 2008, an EU Monitoring mission led by Mr. Anatoliy Shanchuk, assessed progress of CBA implementation during first 6 months of Project inception. The mission noted delay in start of the Project, difficulties in achieving the targets in due time due to various risks and complex nature of the project.

**Mission-II:** Second monitoring of CBA was carried out during July – August, 2009 by EU Delegation. The mission, led by Mr. Anatoliy Shanchuk, reviewed documents and interacted with project officials, UNDP officials and local/rayon/ regional and national partners in course of evaluation. The mission submitted its report to ECDO on 12/08/09. The mission found overall implementation of the Project as satisfactory with concern raised about timely completion of the community projects due to ambitious target and on-going financial crisis in the country.

**Mission-III:** Monitoring of CBA activities was carried out by the EU Delegation Office during 1-8 April 2010. The mission, led by Ms. Katherina Pirozhenko, reviewed CBA documents and made performance monitoring in the regions. Based on findings of the mission, Project's relevance and quality of design and

impact prospects were estimated as “excellent”, while efficiency of implementation, effectiveness and potential sustainability received “good” scores. Highlights of the mission’s findings are given below:

- *Implementation efficiency:* The Project has overcome the effect of delayed start and on-going financial crunch through its flexible approach and has succeeded in achieving more than the targets. Handing-over of completed projects, establishing of sustainability mechanism and quality aspects should be the areas of focus in future.
- *Institutional effectiveness:* Role of community resource centres is effective in mobilization local communities and local authorities and realization of crucial elements of sustainable local development, namely joint decision-making, bottom-up participatory planning and rehabilitation of communal infrastructures. However, these resource centres and related officials lack capacity and therefore activities ought to be carried out to enhance their capacity.
- *Impact prospects:* The Project has demonstrated strong possibility of creation of enabling environment for long-term self-sustaining social-economic and environmental development at local level throughout Ukraine. Local communities and local/regional authorities support the Project in all regions, Incorporation of partnership mechanism as an element of a local governance policy and the awareness of community opportunities are among positive effects of the Project.
- *Potential sustainability:* Establishment of local institutional structures based on feeling of ownership of project results; sustainability of micro-projects based on co-financing mechanism involving community and public resources; the idea of regional development fund and trained community members and officials of local/regional authorities offer strong potential for sustainable development at local level. COs, however, need additional training in financial procedures and fund-raising skill.

Mission-IV: Fourth mission of EU monitoring took place during 16-26 May 2011. Mr. Andre Hermelin, the mission leader, visited central office of the Project, conducted interviews with project personnel, visited three communities in Vinnytska oblast and members of steering committee and representatives of regional authorities. The report of the mission is being awaited.

### **UNDP Audit**

In line with the corporate policy of the UNDP, two audit missions were commissioned during the project period - first during August - September, 2008 and the second during July 2010. The auditors reviewed CBA-related documents, made necessary verifications and submitted report with findings and recommendations, according to which the overall performance of CBA Project was satisfactory without any major shortcoming.

### **8.2 Regular dissemination of information about CBA**

In order to disseminate information about the Project among stakeholders, potential participants and wider public audience, following actions were undertaken:

**Newsletters:** Since inception of the Project, OIUs published 365 issues of regional newsletter, which was printed and disseminated both electronically (17,506 copies) and printed copies (61,572 copies), according to the distribution list including oblast administration and council, rayon administration and councils, village councils, local communities, local media and NGOs.

**Table - XXVI: Various Outlets of Information on CBA**

SN	Activity	2008	2009	2010	2011	Total
1	Regional Newsletters (OIUs)					
a	• Issues published	48	144	124	49	365
b	• Copies distributed	8,207	25,617	20,198	7550	61,572
c	• Copies sent electronically	3,624	7,478	3,919	2485	17,506
2	Progress reports (PMU)	12	12	13		
a	• Monthly	8	8	8	2	26
b	• Quarterly	2	2	3	1	8
c	• Annual	1	1	1	-	3
d	• Ad hoc special	1	1	1	1	4

**Progress reports:** CBA/PMU regularly brought out progress reports on monthly, quarterly and annual basis. Where as monthly reports were for internal use, quarterly and annual reports were meant for wider

circulation. During the project period, 41 progress reports were prepared. The progress reports are placed on CBA website: <http://www.cba.org.ua/one/ua/library/project-reports>

**Web portal and internet sites:** New web-site was created and launched. Besides news, library and database of MP and COs, the portal contains a community-building component, a platform allowing registered users to share information, discuss Project-related issues at forum, create interest groups etc.

CBA web-portal (<http://cba.org.ua/one> ) was enriched with information open for public use. It included information about the partners, database (profile) of COs and micro-projects, and library that includes all key documents and reports of CBA. Similarly, sites like YouTube was used for dissemination of CBA related information. One can find CBA related information at <http://www.youtube.com/user/cbaorgua>.

Websites of partner oblast/rayon authorities were linked where possible for disseminating CBA related information, may it be tender or media events or CBA-newsletters. Cooperation of communication departments of these authorities has been appreciative.

**8.3 Dissemination of findings and policy recommendations:** Following activities were carried out to disseminate the findings of the documentation and policy recommendations:

**Regional dissemination:** In each region, a regional level roundtable was held during 2010 to disseminate the findings of regional documentation among the regional/local stakeholders. Participant of the roundtables were high level officials from regional and rayon authorities, local councils, officials from the relevant state departments.

**National dissemination:** A national level roundtable was held on 31 May 2011 to disseminate findings of KIIS study and policy recommendations made by ICPS study. Representatives of state authorities, UNDP projects, and local authorities from three oblasts familiarized with results of sociological research conducted by Kyiv International Institute of Sociology and discussed results and recommendations of policy study conducted by International Center for Policy Studies. Participants appreciated solid analysis and recommendations, however, mentioned also room for further work.

**8.3 Dissemination of community based approach to other non-CBA territories:** Effort was placed to expand the dissemination of CBA experience/methodology beyond the Project target area. It included stakeholders within Ukraine and abroad. Followings are some events in this direction:

#### ***CBA Methodology in Academia***

During overall period of CBA implementation, interest of academic institutions was evoked to introduce theory of area-based approach into the curriculum. More than half a dozen universities signed partnership with CBA for this purpose. By motivating academia and national training institutes to recognize value of CBA, it is hoped that several thousands of elected officials, civil servants and university graduates will be exposed to CBA principles and methodology in years to come. Key activities on academia are given hereunder:

- With an aim to discuss perspectives of cooperation, on 28-29 April 2010, a two-days-seminar was held in Chernihiv in participation of representatives of universities from Lviv, Uzhhorod, Ternopil, Sumy, Lutsk and Chernihiv. Objective of the seminar was to familiarize representatives of 6 academic institutions with CBA activities and discuss perspectives of cooperation aimed at introduction of optional courses on community-based approach in teaching programme / academic curriculum. In this context, field visit was also organized to Kulykivka village of Chernihivska oblast.



Participants of seminar for academia, 29 April 2010, Chernihiv

After the seminar, Memorandum of Understanding was signed by Chernihiv Institute of Labour and Social Work; Lviv Politehnika National University; Uzhgorod National University; Volyn University; Sumy National University;.

### **Box – XIX: Partnership with Academia for Sustainable Local Development: Case of Chernihiv oblast**

In Chernihivska oblast, cooperation with Chernihiv State Institute of Law, Social Technologies and Labour helps to attract additional non-finance resources to community development activities. Students had internships in OIUs of Chernihivska, Kirivihradska, Zhytomyrska oblasts and PMU; helped to hold trainings, conducted research and produced articles and reports on CBA related process and activities.

On 3<sup>rd</sup> November, IPM Dr. Jaysingh Sah participated in the conference “Actual Issues on Sustainable Development” organized by Chernihiv State Institute of Law, Social Technologies and Labour. As member of the panel, CBA IPM presented UNDP’s experience of applying community based development approach to attain sustainable development and gave a master class on social mobilization.

It is planned that in the CBA II involvement of universities in processes of local development will be strengthened.

- On 1 September 2010, UNDP Resident Representative, Mr. Olivier Adam and Mr. Oleksandr Povazhnyy, Rector of Donetsk University of Management signed memorandum of understanding for mutual cooperation and support of UNDP in enriching curriculum of the University in the framework of CBA Project. On this occasion, Mr. Adam gave a talk to the faculty and students of the University.



- On 24-25 November, a field visit to Rivne oblast was organized for 4 representatives of National Academy of Public Administration: Chair of Regional, Municipal and Local Governance and Institute of Re-training of Civil Servants. Objective of the visit was to expose representatives of NAPA to CBA activities and discuss potential directions of cooperation, namely introducing modules on Community Based Development Approach to NAPA’s Master’s programme and training modules for Institute of Re-Training of Civil Servants. Under joint cooperation of UNDP/MGSDP, CBA Project, SDC/DesPro projects and NAPA, development/updating of training modules for NAPA was initiated in 2011. The training modules focused on decentralisation, strategic planning and community based approach to local development. Main contribution of CBA was to prepare the module on social mobilisation that is foundation for community based approach. It is expected that upon adoption of the training module CBA methodology will be disseminated to several thousands of state & elected officials by NAPA in the years to come.
- On 3 December, a Round Table was held with representatives of regional academic institutions (Institute of Humanities and Social Science, National University "Lviv Politecnica", Sumy State University, Zakarpattia National University, Lutsk National Technical University, Chernihiv State Institute of Law, Social Technologies and Labour, Donetsk National University of Management, Volodymyr Dal East-Ukrainian National University Academy of Municipal Governance), representatives of Taras Shevchenko National University of Kyiv, National University of ‘Kyiv Mohyla Academy’. Objective of the Round Table was to discuss the scope of cooperation between CBA and academic institutions. It included a) introducing teaching modules on community based development approach/a course on sustainable development; b) internships in CBA regional/central offices; c) support to research in the area of community based development approach, creation of a research network and (d) cooperation with regional and national knowledge hubs which will be established during CBA-II.

### ***Knowledge Transfer***

During project implementation, knowledge about CBA was extended to various interested authorities from within Ukraine and outside. A brief description of the same is presented hereunder:



- In March 2011, CBA became a partner of ‘Do you know Europe?’ project developed within framework of ‘Ukraine-EU: Competition on cooperation and local development among senior pupils of Ukraine’. As a part of the project several teams of schoolchildren will visit pilot CBA communities to study about EU/UNDP activity in Ukraine in the realm of local development. After the visits each team is expected to develop a project paper of initiative or program for their village/city.
- Field visit of stakeholders of UNDP/ICRIN project from Ukraine, Russia, Belarus was held on 2 February 2010 to CBA activity in Kyivska Oblast. UN part of the team was represented by Mr Oliver Adam, UNDP Resident Representative in Ukraine. During the visit, the participants met with rayon authorities of Skvyrskyi rayon and discussed issues of Project implementation in the rayon. The team also visited community of Shaliivka village, interacted with the CO-members and observed micro-project opening.
- Expert support was provided to UNDP Afghanistan during 4 - 14 February 2009. During the mission, IPM, Jaysingh Sah prepared a project document for cities of Afghanistan, based on community based approach to local development implemented through UNDP Ukraine.
- During 15-18 February 2010, a study visit to Volyn oblast was organized for team of community development project of EU/UNDP Belarus to share CBA experience and best practice in promoting local development activities in Ukraine. Members of Belarusian delegation - Representatives of Ministry of Economy, Ministry of Emergency, Regional and district authorities, and team of EC-UNDP project “Area-Based Development of the Chernobyl-Affected Areas of Belarus.
- On 13 March, CBA presentation and field visit to Zavodske community (Lvivska oblast) was organized for a group of 30 students and 2 professors of College of Europe, Natolin. CO presented their organization’s activities and Community Development Plan. Representative of Rayon state administration in her speech focused on the value of EU’s and UNDP’s support to Ukraine’s rural communities. Students eagerly engaged in the discussion with local citizens and visited the project site: kindergarten where windows were replaced with energy saving ones.
- Due to strong impression created by the visit on the mindset of European students, a second visit was organised for 30 students and 5 professors of College of Europe during 18 March 2011. The visit took place in Univ village of Lvivska oblast where they participants could see various dimensions of positive impact that is produced by CBA over time, besides implementation of micro-project.



- During March 2010, CBA/community development expert, Yugesh Pradhanang, visited UNDP Belarus and UNDP Afghanistan and provided expert support for implementation of community based approach to local development in these countries. In both countries, he developed strategy for implementation of CBA methodology in these countries.
- Briefing on CBA was made to Ms. Kori Udovicki, Assistant Secretary-General, Assistant Administrator of UNDP and Director of the Regional Bureau for Europe and Commonwealth of Independent States (CIS).
- In order to share experience and best practices of CBA, Project modality was presented and/or field visits were organized from time to time during the year for various experts and authorities from UNDP including Ms. Gina Lucarelli, from UNDP-HQ and Mr. Balazs Horvat and Ms. Clare Romanik from UNDP/Bratislava Regional Centre (13 July); Ms. Minna Tyrko (10 August); Mr. Sanjar Tursaliev,

programme manager, Central Asia (17 December). The officials made field visit to observe CBA implementation at the ground.

- CBA Communications and Monitoring Specialist served as a resource person in the national training of young civil servants in Chernivtsi (20-22 July), organized by National Academy of Public Administration / League of young Civil Servants;
- On 6 November 2009, briefing was made about CBA to Ms. Annie Demirjian, Practice Leader of Democratic Governance Practice, UNDP/Bratislava Regional Centre. Ms. Demirjian appreciated the amount of experience available in Ukraine in the field of community based approach to local development. She expressed her determination to explore the possibility of transferring Ukrainian experience in other countries in the CIS.
- CBA, jointly with CRDP Oxford Volunteers Programme, supervised the activities of an official UNDP intern during her 2 months assignment (July – August 2010) on research and analysis of capacity building component in local development processes.
- On 11 November, interaction was held with Mr. Elinor Bajraktari, Assistant Resident Representative, UNDP Belarus to share CBA experience and explore possibility for supporting Belarus UNDP in implementation of newly introduced community based project in Belarus.
- Support was provided to UNDP Belarus in its effort to implement community based approach to combat the negative effects of Chernobyl disaster. CBA experience was shared 22-23 December 2009 with officials of UNDP Belarus through interaction and site visit in Rivnenska oblast where the local communities, rayon authorities and oblast authorities elaborated firsthand experience to the Belarus team.
- Mr. Olivier Adam, UN Resident Coordinator and UNDP Resident Representative, briefed about CBA experience in Ukraine to the participants of the annual resident representatives' meeting held in Bratislava on 8-12 December 2009. The annual meeting was chaired by UNDP administrator, Ms. Helen Clark and the briefing was made in context of scaling up of regional experience.
- Ms Oksana Remiga briefed the board of directors of the National Association of Village Council Heads about CBA project, its approach, current activities and results. Discussion was launched as to the extension of project activities and replication of the approach.

### *Replication of CBA Methodology*

One of the multiplier effect of CBA implementation was that communities and authorities recognized the value of CBA methodology and tried to replicate the approach on their own (especially in non-CBA areas) or under CBA motivation (in CBA areas). Followings are some examples in this direction:

- a) **Expanded Regional Partnership:** In July 2010, meeting was organized between the governor of Donetsk oblast, Mr. Anatoly Blyznyuk, and UN Resident Coordinator Mr Olivier Adam to define the scope of mutual cooperation and discuss perspectives of CBA methodology internalization. In this framework, proposal on establishment of pilot Local Development Fund was initiated. The concept paper was prepared and shared with Donetsk oblast administration partners for review.



Meeting between UN Resident Representative Olivier Adam and Head of Donetsk Oblast State Administration Anatoliy Blyzniuk. Donetsk,

**Box – XX: A Case of CBA Methodology Replication: Volynska oblast**

Upon announcement of additional 40++ quota of the CBA Project, Volyn oblast authorities eagerly supported the idea of implementing more community projects, and in this way ‘rewarded’ successful communities. It obtained a quota of 7 additional micro-projects from CBA. Thus, Volyn Coordination Council came forward with a proposal to attract 7 new communities, and to implement 14 micro-projects with an increased input from local budget: US 5,000 (CBA) + US 5,000 (oblast budget) + contribution from rayon budgets and local communities. With this arrangement, Volynska oblast managed to absorb the quota of 7 micro-projects, and to implement 14 initiatives thus disseminating CBA methodology to non-pilot areas. Moreover, it managed to exceed the planned target of micro-projects for the oblast.

- b) Methodology Dissemination to Non-CBA Rayons/Non-CBA communities:** Successful results of the Project implementation in regions, and perspectives for its second phase motivated representatives of non-pilot communities as well as authorities of non-pilot rayons of several regions to search for more detailed information about CBA methodology and opportunities to participate in the second phase of the Project. Taking into account the interest from non-pilot areas, community development officers launched a series of special seminars for non-pilot rayons and communities. Such seminars were held in Donetska, Luhanska, Zaporizka, Mykolaivska, Cherkaska oblasts. Besides, in Cherkaska oblast three extended sittings of OCC were held with participation of heads of all rayon and village councils. This form of OCC allowed to present results of the Project’s implementation and to disseminate information about to all rayon authorities in the oblast. In some cases participants also visited pilot communities, where CO-activists presented their successful experience on self-organization and micro-project implementation.

**Table - XXVII: Seminars for Non-pilot Rayons**

Oblast	Number
Donetska	3
Luhanska	2
Zaporizhska	3
Mykoivska	3
Cherkaska	1

Results of the methodology dissemination are given hereunder:

- **Emergence of Non-pilot Community Organizations:** Following the example of CBA pilot COs, other communities started to get organized and form their community organizations to solve local problems collectively. In 2010 and 2011, 360 COs were formed by non-pilot communities in 20 oblasts; 280 of them were registered in village/city council and 239 were registered as legal entities (Table – XXVIII). These COs received methodological advice from oblast and rayon community resource centres.

**Table - XXVIII: Legal Forms of Replicated COs**

SN	Activity	2008	2009	2010	2011	Total
1	CO formed	n/a	n/a	99	261	360
2	COs enrolled with VCs/CCs	n/a	n/a	74	206	280
3	COs legally registered	n/a	n/a	56	183	239

- **Development of Local Development Forums:** The rayons that replicated CBA methodology also tried to establish LDF and community resource centres so that they could ensure effectiveness and quality of replication. In total, 209LDF and 176 RCRC were established during the project period.
- **Support to community initiatives:** An internal research conducted by CBA monitoring unit in July 2010 revealed that in 7 oblasts 32 MPPs of non-pilot communities were considered by the LDFs of CBA. Out of these MPPs 25 were recommended for inclusion into Rayon Development Plan, 9 of them were recommended for financing from local budget, and 5 of them got the financing. Similarly, some of the non-CBA rayons (that replicated CBA methodology) also mainstreamed community development plan and funded the community organisations for implementation of community priorities.
- **Communities’ Initiatives Beyond CBA:** In parallel or after implementation of micro-project within CBA frameworks some pilot COs start other initiatives, and apply for grants from other donors or/and participate in regional competitions. During three years of CBA activity, 354 pilot COs

applied for various programs and competitions for financing/co-financing of their initiatives; of them, 189 (53%) received grants, which included cost sharing mechanism similar to that promoted by CBA. It was revealed that implementation of activities under CBA support built capacity of the COs. As a result, quality of their proposal and confidence to implement community initiatives among them was quite high. As a result, their applications met high probability of getting selected.

**Table - XXII: No. of Competitions Pilot COs Participated**

Activity	Number
Applied for grants from other donors	354
Received grants	189

**Box - XXI: Functioning of Local Development Forums Beyond CBA**

Local Development Forums are used as a platform for exchange of experience between COs involved in CBA Project, presentation of information about existing possibilities to attract funding for solving pertinent problems. Besides, experts from different spheres related to those COs work in are invited to participate in LDF and present information that might be useful for communities. For example, it became obvious that implementing micro-projects on energy saving, some members of several COs do not really understand what does it mean except changing the windows. Understanding this, experts in the realm of energy saving and alternative energy was invited to participate at LDF. In the result of the forum experts became interested in the CBA activity and cooperation with it.

In this way LDF became more informative and specific, became more useful for all participants. COs and rayon stakeholders got possibility to know new information and possibilities for realization for their micro-projects (for instance, it was first time they heard about new thermo protection material). KIIS led assessment study has highlighted on this expanded role of LDF and continuity of its functions beyond CBA.

**Box –XXII: Examples of Community Initiatives, in Parallel to MPP Implementation**

**Cherkaska oblast:** In 2009, CO *Our Town* organized celebration of Chehyryn day. It happened that Cabinet of Ministers prohibited gambling business last year. As a result, budget of Chehyryn town was almost empty, as gambling business constituted a considerable part of budget income. So the celebration of Chehyryn day there was a danger. But thanks to fruitful cooperation of city council with CO *Our Town*, there was a proposal to attract local community and community organization to collecting funds for celebration. And they have managed to do it. Business and community eagerly donated funds to organization, while CO management spent all attracted funds to organize public events. It turned out to be simple; there were no obstacles and problems that usually arise when working with State Treasury. In future, this CO will help the town to solve community problems.

**Kharkivska oblast, CO *Vidrodzhennya*:** CBA Project financed only replacement of windows. But at the same time local sponsors and community financed repair works. Community actively collected funds. There was a sealed box in village council and every villager could donate money throwing it into the box. As the box was transparent, people could see how active collection of money was. Besides, local businessmen helped in cash and in goods.

**Khmelnyska oblast:** Korchivska community of Krasylivsky rayon realized a new joint project on their own expense, replacing a front door in local school. The project cost UAH 5,000.

**Rivnenska oblast:** Communities attracted sponsors' funds:

- CO *Mriya* (meaning 'a dream'), participated in the programme of Rivnenska Oblast Community Resource Center and Revival Fund called *Micro-grants to Realize Community Initiatives in Rivnenska Oblast* and received a UAH 12,000 grant to realize its project on improvement of sanitary conditions in local school;
- CO *Leleka* (meaning 'a stork'), participated in the programme of Rivnenska Oblast Community Resource Center and Revival Fund called *Micro-grants to Realize Community Initiatives in Rivnenska Oblast* and attracted UAH 10,930 to create a sports and fitness complex *Leleka*
- CO *Nadiya* (meaning 'hope') participated in the programme of Rivnenska Oblast Community Resource Center and Revival Fund called *Micro-grants to Realize Community Initiatives in Rivnenska Oblast* and received a grant amounting UAH 13,830
- Community organization *Nadiya* (meaning 'hope') attracted UAH 3,000 from local sponsor Close Corporation *Merchandise Market* to co-finance its new project on replacement of windows in local school

**Zakarpatska oblast:** After legal registration in 2009, CO *Zirochka* (meaning 'a small star') started implementation of joint Ukrainian/ Romanian project on cleaning Tisza River. The Project is financed by European Union. Velykyi Bychkiv urban village is situated on the border with Rumania with the Tisza River as a border. The Project presupposes that local community will hold competitions and actions to change people's outlook on throwing garbage to the river. Quantity of garbage in the Tisza river is planned to decrease after the project's realization.

**Zhytomyrska oblast:** CO *Chervona Voloka* attracted sponsors' funds. The local sponsors and community spent UAH 70,000 to do repair works in local kindergarten (inside finishing and replacement of windows). Also the CO has succeeded in connecting the village to gas supply system at the expense of local sponsor.



### **Box – XXIII: Communities’ Initiatives Beyond CBA: the Case of Volynska Oblast**

In Volynska oblast, following COs were able to mobilize resources from other donors and undertook additional micro-projects beyond CBA support:

#### **Ratnivskyj rayon - CO ‘Zabrody’, Zabrody village**

- Arrangement of playground for children. The project is co-financed by CO and VC (13,000 UAH) and Volyn Youth Rights Protection Association.
- Project ‘Our Transnational Border’ in cooperation with VC, Polish and Belorussian partners was designed. Within the project, capital repair of school building is planned, as well as arrangement of conference hall, information centre, and centre of history and culture.
- Implementation of the project ‘Improvement of conditions for pre-school education in Zabrody, Luchychi, and Yakushiv villages’. The project is partially financed by village councils and community (182,000 UAH), and partially with grant received from ‘All-Ukrainian competition for local development project and programs’ (480,000 UAH).



#### **CO ‘Gubyn Village Committee’**

Project ‘Informational Mutual Aid Of Village Citizens’ co-financed by community members (10,000 UAH) and Embassy of the Netherlands in Ukraine (50,000 UAH) was implemented.

#### **CO ‘Kolpytivska’, Kolpytiv village**

Project ‘Save Traditions With Hope For Future’ (sport- and playground arrangement; ‘Vertep’ theatre performance) was implemented. The project is co-financed by community members (2,792 UAH), and Volyn Youth Rights Protection Association and IRF (7,600 UAH).

#### **CO ‘Stohid’, Kysylyn village**

Project was implemented with components such as competition on the best festival scenario, information campaign ‘If Not Me, Then Who?’, arrangement of sports ground, festival organization. The project was co-financed by community (4,941 UAH) and Volyn Youth Rights Protection Association and IRF (6,600 UAH).

#### **CO ‘Spryjannja’, Zaliznytsja village**

Two project proposals (‘Sports Ground Reconstruction’ and ‘Health centre Foundation’) are under consideration of International Chernobyl Research and Information Network selection committee.

#### **CO ‘Nadija’, Perevaly village**

Project ‘Improvement of Living Conditions In Schools Of Perevaly And Novosilky Villages’ was implemented. The project is co-financed by CO members (10,000 UAH) and IRF (38,200 UAH).

## **Expected Result 9: Enhanced EU Visibility**

### **9.1 Developing donor’s visibility guidelines:**

Visibility and Communication Guideline was prepared for CBA. The guidelines included various features as recommended by the EU Visibility Guidelines and in line with specific requirement of CBA. The guidelines was reviewed and approved by communication experts of EU and UNDP. Focus of the Guidelines was on visibility and communication tools e.g. logo, flags, banner, signboard, press release, leaflets, brochures, newsletters, stickers, letterhead, commemorative plaque, posters, media events, website, folders, video film and progress reporting on CBA. It ensured that donors’ visibility is adequately and properly reflected.

### **9.2 Preparing and disseminating visibility materials:**

Visibility tools such as banners, flags (of EU, UN and Ukraine), information stands, office signboards, micro-project plaques, videos on CBA process were produced and distributed among stakeholders by the CBA or by the stakeholders. The community organisations often used temporary plaque before/during implementation and permanent plaque after completion of the micro-project. Location of these plaques were chosen to make highest possible donors’ visibility e.g. on the road, wall of the building or entry of the village. Similarly, oblast/rayon team maintained display boards with various information materials and adequate donor’s visibility.



Temporary display of 'Repair of water supply system', Yerkivtsi village of Kyivska oblast



Permanent plaque for 'Improvement of Vysokoe healthpost' of Zhytomyrska oblast



Permanent boards also installed at the entry point of Chesnyki village of Ivano-Frankivska to commemorate partnership

Following visibility materials were prepared and disseminated as required in line with the visibility guidelines:

- Small & big flags of EU, UNDP & Ukraine – for PMU and all OIUs – 675
- Small flags of EU, UNDP and Ukraine disseminated all oblast & rayon partners – 702
- Visibility banner and display boards in all OIU office premises, PMU and selected RCRCs – 226
- Stickers for all inventory of CBA (at PMU, OIUs, RCRCs) – 6000
- Temporary and permanent visibility plaque for all 1303 micro-project supported by CBA – 2606
- Notebooks, folders, pens for training, roundtables and conferences – 24050

### 9.3 Promoting role of EU in local sustainable development efforts:

Various activities (e.g. donor/partner visit, media event etc.) were carried out during the project period in order to promote EU in local development of Ukraine. Followings are highlights of key activities in this area:

**Donor/Partner Visit:** Visits of the donors and partners to the CBA implementation sites were organized during the year. These visits proved useful in that they offered the opportunity to observe utilisation of resource and its impact on life of the people. On the other hand, such visits empowered the local communities and enhanced their confidence to keep undertaking community activities together. In total, 23 visits took place during the project period (Table – XXIII).

**Table - XXIII: Donors/Partners Visit to CBA (Number)**

SN	Activity	2008	2009	2010	2011	Total
1	Donor's visit (EU, UNDP)	1	6	3	6	16
2	Partner's visit	0	1	1	3	5
3	Combined (donor & partner)	0	1	0	1	2
	<b>Total</b>	<b>1</b>	<b>8</b>	<b>4</b>	<b>10</b>	<b>23</b>

Key visits taken place during project period are highlighted below:

**On 29 January 2009**, representatives of the European Commission to Ukraine visited Ternopil. Mr. David Stuilik, Press and Information Officer of the EU Delegation to Ukraine gave a press briefing to inform about EU's activities in the region. Among others, he talked about CBA Project. CBA Community Development Officers also participated in the briefing.



**On 28 February 2009**, Head of EU Delegation to Ukraine Mr. Jose Manuel Pinto Teixeira and delegation of European Ambassadors visited community of Zvizdne village in ARC and observed CBA activities at local level.



**On 23 April 2009**, Mr. Volodymyr Vitka, representative of Secretariat of the Cabinet of Ministers of Ukraine, Department of Regional Policy and Ms. Nataliya Mykolaivna Morozova, Member of Local self governance committee of parliament of ARC visited CBA community of Krasnaya Polyana (krasnogvardeyskiy rayon of ARC) and attended opening ceremony of local ambulatory. Upon the visit, the guests had opportunity to interact with representatives of partner rayons and learn about the Project performance in the ARC.



**On 23 May 2009**, a delegation composed of UNDP Officer-In-Charge, UNDP Deputy Resident Representative, Head of the EU Delegation to Ukraine and Ambassadors of Great Britain and Sweden visited inauguration of community project “School Bus” in Vyshgorodok village, Ternopilska oblast. Similarly, on 24 May, UNDP and EU Delegation senior management visited CBA Kysylyn village, Volynska oblast to meet and interact with local community and observe the status of their micro-project implementation. During these visit the oblast/rayon authorities highlighted importance of CBA methodology in improving the life of the people.



**On 29 May 2009**, Head of EU Delegation to Ukraine and representatives of British, Hungarian, German and Polish visited Vodiane village, Dnipropetrovska oblast. The CBA community explained the visitors about their experience on working as a community. They explained about the process of CO formation, consensus based identifying and prioritizing and

undertaking health related activities for improvement in order to meet the CBA pilot community and interact with them on the subject of their involvement with CBA Project.

**On 18 June 2009**, Mr. Jens Wandel, Deputy Director, UNDP Regional Bureau for Europe and the CIS and Mr. Ercan Murat, Officer-In-Charge, UNDP Ukraine visited Pereyaslav-Khmelnyskiy rayon of Kyivska oblast. They held a meeting with rayon authorities and visited Yerkiivtsi village where they observe micro-project site and interacted with community organization and observe their project site. Similarly, on 20 June, they visited Luhanska Oblast Community Resource Centre of CBA and held meetings with oblast authorities to discuss progress and perspectives of community based projects in the region.



**On 26-27 August 2009**, UNDP Country Director Ms. Ricarda Riegel visited CBA activities in Rivnenska oblast. During this visit, she visited local community ‘Leleka.’ of Hoshansky rayon to see the on-going reconstruction of local health post supported by CBA. She participated in oblast council coordination meeting to learn from rayon and oblast authorities about the status of CBA implementation in the oblast. During the meeting, Oblast Governor Mr. Viktor Matchuk, deputy head of oblast state administration Mr. Stepan Pavlyuk and deputy head of oblast council Mr. Valentyn Ivanovych Kroka confirmed that the CBA methodology has come as an useful tool of local development in the oblast.





**During 8-9 October 2009**, partner visit was organized in participation of officials from CBA-donor and the partner ministries with a purpose to familiarize them with the process promoted by CBA and the results obtained at the local level.

The representatives visited communities of Vykoke village (Zhytomyrska oblast) and Sapozhyn village (Rivnenska oblast), observed functioning of local development forum, participated in oblast coordination council meeting and interacted with local authorities.

**On 3 December 2009**, Mr. Olivier Adam, UN Resident Coordinator and UNDP Resident Representative visited CBA implementation in Periyeslav-Khmlentsky rayon of Kyivska oblast. The visiting team included first deputy head of Kyivska oblast administration, Mr. Kovbasyuk, heads of rayon state administration and rayon council of Periyeslav-Khmlentsky rayon, UNDP/Sr. Programme Manager Ms. Oksana Remiga and Project Manager, Mr. Jaysingh Sah. The state authorities shared their experience of implementing CBA methodology and the value it has added in the process of local development in the rayon. The partners made a site visit to Yerkiivtsi village where they were briefed by the CO-executives and the village council head about the CBA activities in shaping the life of the community people especially through the micro-project on drinking water supply. The visiting officials inaugurated the water supply system.



**During 3-4 June 2010**, UNDP Deputy Resident Representative Ms. Joanna Kazana-Wisniowiecka visited Donetsk oblast, During this visit Ms. Kazana observed the Project implementation in the community and participated in the oblast coordination council meeting.



The meeting was chaired by Anatoliy Blyznyuk, Head of Donetsk oblast state administration, and Ms. Kazana-Wisniowiecka. Participants of the meeting were also heads of the key departments from oblast state administration and oblast council, leadership of 8 pilot rayons, representatives from NGOs and media. The meeting was followed by press-conference.

Mr. Anatoliy Blyznyuk presented results of the Project activities in the oblast and outlined perspectives of implementation of community initiatives. In Governor's view, community based approach proved its efficiency, therefore there is now a big demand among rayons to adopt CBA methodology for local development. Ms. Kazana-Wisniowiecka remarked the outstanding progress of Donetsk oblast in realization of CBA Project implementation. UNDP and Donetsk oblast leadership expressed their determination for strengthening partnership and discussed perspectives of expanding the Project's geography to encompass more rayons in the oblast within phase-2 of CBA Project.



**On 11 August 2010**, UN Resident Coordinator and UNDP Resident Representative, Mr. Olivier Adam, participated in OCC meeting in Dnipropetrovsk chaired by Head of Oblast Council Mr. Yevgen Udod. Leaders of pilot rayons reported on status of CBA implementation. Authorities of 8 pilot rayons presented the results of the Project's implementation. On this occasion, Mr. Udod emphasized significance of the Project's activities in context of regional development. In his opinion, the main impact of CBA is the revival and self-organization of communities. Mr. Adam took note of the activeness and enthusiasm of oblast and rayon authorities in the realm of local development. In particular, Dnipropetrovska oblast provided the highest amount of co-financing for community projects, allocating 1,8 mln UAH to support community initiatives. Mr. Adam and Mr. Udod agreed to continue dialogue and expand the area of cooperation, including other UNDP agencies. Following to this meeting, Mr. Adam visited a rayon resource centre and interacted with members of CBA pilot community of Pryvovchanka village.



Mr. Adam and Mr. Udod during OCC meeting in Dnipropetrovska oblast

**On 1 September 2010**, UN Resident Coordinator and UNDP Resident Representative, Mr. Olivier Adam, visited Donetsk oblast to participate in a meeting with Oblast Administration and Oblast Council to explore scope of cooperation; visited three pilot CBA pilot communities to observe micro-project implementation and participated in opening of MP in Lysivka village. On behalf of UNDP, Mr. Adam signed MoU with Donetsk State University of Management.



**In October 2010**, partner visit was organized to Cherkaska oblast for members of Steering Committee. The main purpose of this visit was to familiarize Steering Committee members with field realities of CBA implementation before the Meeting itself. In Cherkaska oblast they visited local communities, partner rayons, oblast state administration and oblast council and learnt from the experience of Cherkaska oblast in CBA implementation.



Members of CBA Steering Committee visiting kindergarten, refurbished by local community



Visitors in Rayon Community Resource Centre



Steering Committee members visiting repaired local health post

**On 10 February 2011**, Deputy Country Director, Ms. Elena Panova visited 4 CBA communities in ARC with aim to observe the results of CBA activity. In each community a round table was organized with participation of community members to discuss their opinion about cooperation with the Project and satisfaction with results obtained.

**On 21 February 2011**, Ms. Laura Garagnani, Head of Operations of the Delegation to the European Union to Ukraine and Mr. Olivier Adam, UN Resident Coordinator visited Univ village in Lvivska oblast. During their visit to Lvivska oblast, Mr. Olivier Adam and Ms. Laura Garagnani met with Deputy Head of Lvivska oblast state administration and Head of Lvivska oblast council to discuss results of cooperation and perspectives for further implementation of common EU/UNDP Project CBA. Officials of Sambirskyi and Starosambirskyi rayons presented their results of cooperation with CBA Project and reported about self-organization of community on local development.



Ms. Laura Garagnani and Mr. Olivier Adam visited Univ village, Lvivska oblast

**On 28 March 2011**, Ms Nuzhat Ehsan, Country Director, Ukraine, Bulgaria, Bosnia and Herzegovina, United Nations Population Fund and Mr. Pavlo Zamostian Assistant Representative, United Nations Population Fund visited Studenytsya village, Zhytomyrska oblast. During the visit participants met with representatives of CO 'Dovira-1', representatives of village council and other members of Studenitsya community. Mr. Viktor Gradovsky, Head of International Relations Department, OSA, and Nadiya Osinska, Head of Economic Department, Korostyshev RSA presented results of the Project implementation in Korostyshev rayon and Zhytomyrska oblast..

**On 11 April 2011**, visit to pilot CBA community in Kaharlyk (Kyivska oblast) was organized for Mr. Mar Till, Desk Officer for Ukraine from European Commission, Brussels; Ms. Myroslava Didukh, and Mr. Dominik Pappenheim, Project Managers from EU Delegation to Ukraine. The aim of the visit was to observe practical results of the Project.

**On 19 May 2011**, Ms. Olga Kryvenko, deputy minister of economic development and trade of ARC visited pilot CBA community in Saksyky rayon with an aim to familiarize with results of micro-projects implementation in communities of Orekhove and Syzovka villages.

**On 23 May 2011**, participants of project 'Eurobus: European youth to Ukrainian communities' visited community of Svyatogorivka village, Dobropilskyj rayon, Donetsk oblast, and conducted trainings for Ukrainian youth. The main topics were integration of Ukraine to EU, information about EU, activity of youth, common work in community.

**On 24-25 May 2011**, Mr. José Roman Leon Lora, Head of Operations Section 2, EU Delegation visited Ivano-Frankivska and Ternopilaska oblasts. During his visit Mr. José Roman Leon Lora visited community of Halych city of Ivano-Frankivska oblast, and community of Velyky Hovyliv village, Ternopilaska oblast. He also met with authorities of Ternopil Oblast State Administration. CBA methodology was demonstrated to and appreciated by Head of Operations, EU Delegation.



**On 26-27 May 2011**, delegation of representatives of AR Crimea visited Mykolaivska oblast. Aim of the visit was experience exchange in the realm of implementation of initiatives with community participation. The delegation consisted of Mr. Konstantin Baharev, first deputy head of Verkhovna Rada of ARC, deputy minister of economic development and trade ARC Ms. Olga Kryvenko, representatives of rayon state administrations and councils, and Ms. Adeline Gone, UNDP representative in ARC. During the visit participants familiarized with experience of micro-projects implementation in pilot communities, and visited also non-pilot rayon that replicated CBA methodology.





**On 27 May 2011**, delegation of EU Ambassadors Mr. Jose Manuel Pinto Teixeira, Ambassador, Head of EU Delegation to Ukraine, Mr. Pieter Jan Wolthers, Extraordinary Ambassador of the Netherlands in Ukraine, and Mr. Duncan Allan, First deputy of Ambassador of the British Embassy in Ukraine visited pilot CBA community in Sumska oblast. The delegation learned about development activities carried out by the community members. They made family visit to see how CBA support has changed life of the people. On this occasion, Mr. Teixeira noted that it was striking that most of the residents of Pobivanka grew up and lived in Soviet times, when the government took decisions for the community, and public action was punished. Nevertheless, they were able to change their outlook, take responsibility for the betterment of their community and because they followed principles of transparency, accountability, and the democratic model of decision making in the community



**Communication, visibility and public relation (PR) activities** are designed as a part of Project implementation strategy with a purpose to maximize transparency about the Project activities and to lobby for the cause it aims to promote. Specific activities include media events, media coverage, web portal, communication dissemination, visibility tools etc. details of which are described below:

**a) Media Events**

Media events include seminars and press conferences. During the reporting period, 620 media events were held in participation of senior management of OSAs and OCs, RSAs and RCs, village/city councils, representatives of local NGOs and mass media (Table - XXIV). Each media event was announced through media advisory distributed to local media. During the event, press releases and information packs were distributed containing more detailed information on the CBA Project with appropriate donors' visibility.

**Table – XXIV: Media Events**

SN	Event	No. of events				
		2008	2009	2010	2011	Total
1	Regional seminars	25	-	-		25
2	Press conferences and rayon seminars	224	115	209	47	595
	<b>Total</b>	<b>249</b>	<b>115</b>	<b>209</b>	<b>47</b>	<b>620</b>

Key media events<sup>10</sup> that took place during project period are given below:

- **On 18-19 March 2010**, inter-regional conference “Community Initiative in Action: Local Development under support of EU and UNDP” was held in Zaporizhya to present CBA methodology and achievements in 5 regions: Luhanska, Dnipropetrovska, Kharkivska, Mykolaiivska and Zaporizka. Purpose of the conference was to familiarize journalists about community based approach to local development.

Representatives of 5 community organizations from these regions presented the results of their work, their organizations and micro-projects. In their presentations, focal points of CBA from local authorities (rayon and oblast level) focused on the support provided by local administrations/councils to introduction of community-driven development methodology, benefits of involving communities in local decision-making, institutionalization of cooperation and future replication of this practice in their work. EU delegation in Ukraine was represented by Ms Claudia Fischer, Head of Operations Section of the EU Delegation to Ukraine). UNDP Ukraine was represented by Ms. Ricarda Rieger, UNDP country Director.

<sup>10</sup> Excludes large number of regional/rayon seminars and conferences on CBA, that were mostly organised by regional and local partners to inform stakeholders about activities of CBA. Such events did include participation of media at the level. Details on such media events are given in various sections of this report.



National partner – the Government of Ukraine – was represented by Ms. Oksana Vetlynska, Department of Regional Policies of SCMU. Besides, 14 representatives of national and 16 regional media; village/city councils and rayons of Zaporizhska oblast, teachers and students of local universities and local NGOs were invited to participate in the conference.

“The community-based approach empowers Ukrainian communities to provide local solutions to local problems. This approach is extremely important to the EU, evidenced by our substantial contribution of EUR 12 million to the Project. EU funding has helped citizens across Ukraine to improve their everyday lives by upgrading local infrastructure. The lessons learnt from CBA Project show that local communities with support from their local governments take charge of their own development, use their local resources and pursue a particular plan of action towards their development and their prosperity.”

**Claudia Fisher**, Head of programs development department of EU Delegation to Ukraine

“In the context of Ukraine’s political development, it also promotes democratic accountability. We see that local leaders are being held accountable for delivering on the promises that they make to their people. And citizens also understand better the challenges of leadership and appreciate better the qualities of good leadership, which helps them eventually in democratic election process.”

**Ricarda Rieger** Country Director UNDP Ukraine

- **On 19 March 2010**, press tour was organized for 7 representatives of national and 13 regional media. Resulting these 2 media events (conference and media tour) was an extensive coverage of 52 articles in printed/electronic media and TV and radio reportages.
- **On 19 May 2010**: CBA was presented at conference “Southern Ukraine in the process of European Integration” organized by Odessa oblast state administration. Conference was attended by UNDP Senior Programme Manager, Oksana Remiga. Coordinators of 5 Oblast Implementation Units of CBA (ARC, Kherson, Odessa, Mykolaiiv, Zaporizhya) and focal points of CBA from 5 oblast state administrations participated in the event. Perspective of international technical support utilization was one of the key issues discussed at the conference. Representatives of CBA project team presented Project activities, achievements, and experience of cooperation with local authorities in their regions.
- **On 1 October 2010**, 15 journalists from EU countries visited 2 communities of Kyivska oblast to meet with local community organizations and visit the project sites: school of Zhovtneve village where energy saving windows were installed, and local health post/ kindergarten/ school of Shevchenkove village. The journalists observed micro-project carried out by the community members. They interacted with CO-members and students of the schools to learn from first-hand experience about the result and impact of CBA.
- **On 22 February 2011**, the interregional conference ‘Community Initiative in Action: Local Development under Support of EU and UNDP’ was held in Ivano-Frankivska oblast state administration. The main goal of



South of Ukraine in the Process of European Integration, conference in Odessa



EU journalists interacting with CO-members & Students



the event was to present the results and exchange success stories generated by the joint EU/UNDP Community Based Approach to Local Development Project. Representatives of local communities from 5 Western oblasts of Ukraine shared their experience in self-organization, establishing cooperation with local authorities, designing and implementing initiatives aimed at improving living conditions in their communities.



The Conference was opened by **Ms. Laura Garagnani**, Head of Operations of the Delegation of the European Union to Ukraine and **Olivier Adam**, UN Resident Coordinator, UNDP Resident Representative took part in the conference. On this occasion Mr. Adam noted that “*Community based approach supports self-organization of local citizens and establishment of their successful partnership with local authorities for joint planning and implementation of local development initiatives. For over 10 years, the approach has been successfully implemented by UNDP Ukraine in cooperation with local authorities and other donors. Successful experience of the nation-wide CBA Project is well-known abroad, it is important to disseminate the experience to other Ukrainian communities*”. Similarly, Ms. Garagnani appreciated the effort of the communities and authorities in making joint effort in strengthening the process of democratic governance and improving living condition of the citizens. She noted that EU should be considered not as donor, but rather as a partner: ‘the role of EU is not only to provide finance resources. It is very important for us to be partners in all issues and to be a part of development processes in Ukraine’.

- **On 25 February 2011** Olivier Adam, UN Resident Coordinator and Ms. Myroslava Didukh sector manager of EU Delegation to Ukraine, attended the conference “CBA Project in Donetsk Oblast: Results, Perspectives, Innovations” marking the closure of the first phase of CBA Project, and outlining the perspectives of further cooperation.

During the meeting a letter of intent was signed between Olivier Adam, UN Resident Coordinator and Anatoliy Blyznyuk, Governor of Donetsk oblast outlining such priorities as promoting community based approach and creative effective participatory governance, building local and regional capacity for decentralized development etc. Among the participants of the conference was Mykola Zagorujko, Head of Association of local self-governance in Donetsk oblast. Heads of RSA of pilot rayons and heads of pilot COs presents results of cooperation with the Projects.



- **On 14-15 April 2011**, CBA Communication and Monitoring Specialist and Civil Engineers participated in the *European Union Sustainable Energy Week*, organized by EU Delegation in Ukraine. Best practices of CBA in energy saving/energy efficiency were presented. Leaflets about innovative approaches to energy saving in community projects were distributed.
- **During March-April 2011**, Study visit of pupils and teachers from secondary schools to CBA pilot COs took place in all oblasts and ARC. In various regions team included from 2 to 4 pupils and one teacher. Visits were organized in framework of cooperation with EU-funded project ‘EU-Ukraine: Competition on Cooperation and Regional Development among Ukrainian Pupils’.

- **On 19 May 2011**, participants of project ‘Eurobus: European youth to Ukrainian communities’ visited community of Pochetnoe village, Krasnoperekopskyj rayon, ARC. During the visit, young Europeans participated in round table and discussed four project proposals prepared by community citizens. Among the participants of the round table were also representatives of rayon authorities.

## b) Media Coverage

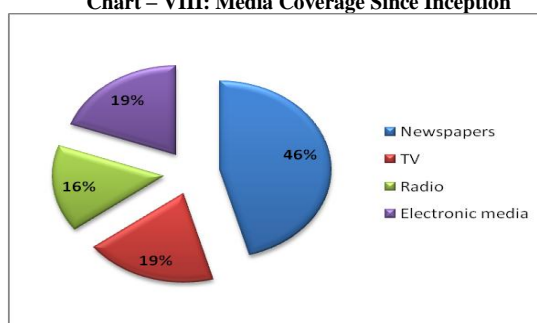
Since inception of CBA Project 3442 cases of media coverage were fixed. Not all the media coverage could be registered by the Project due to lack of its capacity to collect report on media coverage taking place throughout the country. It included printed and electronic editions, radio and TV reportages. Among all, newspaper dominated the dissemination on CBA activities by occupying 43.2% of the total coverage. It was followed by TV with 23.5% of the total coverage and electronic media with 20.2% of the total coverage. Radio occupied minimum strength with 13.1% of the coverage (Table –XXV, Chart - VIII).

**Table - XXV: Media Coverage of the Project**

SN	Event	No. of events				
		2008	2009	2010	2011	Total
1	Newspapers	342	501	437	203	1483
2	TV	105	186	231	119	641
3	Radio	102	165	175	128	570
4	Electronic media	204	248	152	141	745
	<b>Total</b>	<b>753</b>	<b>1130</b>	<b>995</b>	<b>591</b>	<b>3442</b>

As it is presented in Table - XXV, newspapers dominated the dissemination of information, followed by TV, then electronic media and radio.

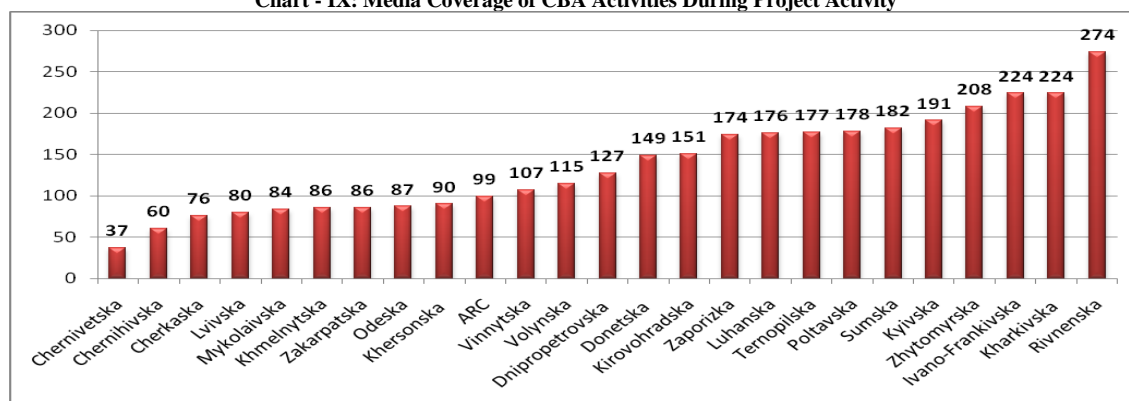
**Chart – VIII: Media Coverage Since Inception**



In general, the reporting focused on such topic as regional seminar, signing of partnership, rayon selection, community projects, perspectives of cooperation with CBA Project for communities and local authorities, support of the EU and UNDP in enhancing living condition in Ukrainian communities.

Media coverage was found to be the highest in Rivnenska, Ivano-Frankivska, Kharkivska, and Zhytomyrska oblasts (see Chart - IX). Focus of oblast/rayon authorities to media and activeness of the oblast/rayon focal persons and CBA-staffs in the region played significant role in media coverage.

**Chart - IX: Media Coverage of CBA Activities During Project Activity**



## IV. CHALLENGES & SOLUTIONS

The project faced various challenges during its implementation. Some of them were resolved immediately, some took time to get resolved and some could not be resolved during the project period. Details are given hereunder.

- At the outset of the project, recruitment of staffs emerged as a challenge due to competitive labour market. The salary provision in budget (was based on 2006 level) was small. It took about 6 months to fill in most of the positions. Re-advertisement, head hunting, connections and strong bargaining were commonly utilised to attract potential candidates. At appropriate time, salary rate was revised upward through addendum.
- OIUs were to be established in the office premises to be given by oblast authorities free of cost. At the outset, several oblast authorities could not provide space due to lack of willingness and/or procedural difficulties. Once concrete results started appearing, their trust to CBA increased and they managed to give office space after which CBA's implementation picked up.
- The volume of work envisioned by the project was found to much higher than capacity of the project staff to cope. The management recognized this problem and overtime additional positions were created to fulfill the need.
- The project was ambitious in term of task (which was huge) and time (which was short). Decentralization and simplification in business process of UNDP; timely response from EUDO/Ukraine, team approach and support from oblast/rayon officials came as solutions of the challenge;
- The project required various partners to transfer resources to COs as a part of the cost sharing arrangement. Difficulty was often faced in case of local authorities. They faced challenge in transferring money into account of the COs. It was because, financial decentralisation in Ukraine lag behind the pace of administrative decentralisation. Local/regional authorities explored practical solutions to co-finance community projects. A unified national solution is yet to be found.
- Political instability and two national elections resulted into challenge. Most of senior level officials in the region, rayon and local councils got changed. It was difficult to receive adequate attention from them towards CBA. Co-financing from local budget ran into risk. However, proper orientation and involving them to field visits could resolve this issue to great extent.
- National financial crisis caused budget crunch and local authorities were not able to provide their part of the cost sharing. Oblast authorities came as savior. They made extra-ordinary budgetary support from oblast budget and coordinated with rayon authorities in searching resources in favour of the COs.
- Large number of policy makers, executives, practitioners and academia still unaware of/unable to appreciate the value of participatory approach. As a result, policy recommendations will take longer time to come into effect. It requires strong familiarization scheme to take them to field and let them see the impact of CBA.
- Difficulty in establishing operation and maintenance mechanism (for completed micro-projects) at CO-level due to lack of appropriate legal provision, lack of object ownership, taxation problem for COs to raise maintenance fund. Several of the COs and local authorities explored practical solution to the issue. However, long term solution is to be found through legal arrangement. Policy study commissioned by the CBA project offered legal solution for this purpose. However, it will have to pass through lengthy process of legislation formation.

## V. FINANCIAL IMPLEMENTATION

Based on 4<sup>th</sup> addendum, total budget of CBA Project was € 13,543,853 of which 89% (€ 12,000,000) came from EU and 11% (€ 1,543,853) was shared by UNDP. By end of Project period (i.e. 31 May 2011), 99.9 % of the budget was utilized in course of Project implementation (Table - XXVI). Of this amount € 0.00 remained in commitment.

**Table - XXVI: Financial Status of CBA Project by 31 May 2011**

#	Item	Budget €	Expenditure €	%	Remarks
1	Human Resources	2,871,794	2,905,182.45	101.16	
2	Travel	113,800	101,548.71	89.2	
3	Equipment and Supplies	475,332	489,843.49	103.1	
4	Local Office Costs	592,650	583,228.16	98.4	
5	Other costs, services	174,400	174,465.73	100.03	
7	Other	8,530,643	8,529,277.64	99.98	
8	<i>Subtotal: direct project costs (1-7)</i>	12,758,619	12,783,546.19	100.19	
9	Administrative costs	785,234	751,200.00	95.67	
	<b>TOTAL COSTS (1-9)</b>	<b>13,543,853</b>	<b>13,534,746.19</b>	<b>99.9</b>	

## VI. ASSET MANAGEMENT

During the Project period, assets were procured worth US \$ 452,754.42 as per the need perceived for effective implementation of the Project. Broad category of the assets and their whereabouts is given in Table - XXVII. Since 2<sup>nd</sup> phase of CBA Project is underway, destination of these assets and their use will continue to hold good. 16 asset items worth \$ 4,267.47 were disposed-off due to factors like wear & tear etc.

**Table - XXVII: Status of CBA Assets**

SN	Asset Category	Quantity	Value (\$)	Current Destination				Disposed	
				PMU	OIUs	RCRCs	Others	Quantity	Value (\$)
1.	Vehicles	25	277,912.89	1	24				
2.	Work Stations	172	63,126.17	45	81	46			
3.	Printers/copiers/M FPs/faxes/scanners	85	23,221.95	12	51	22		2	496.78
4.	Projectors	30	19,733.48	1	26	3		1	705.39
5.	Mobile phones	67	4,197.78	17	50			5	617.80
6.	Photo cameras	34	6,811.00	2	25	7		1	165.76
7.	Furniture	501	46,753.10	139	335	27		4	686.19
8.	Others	106	10,998.05	11	95			3	1,595.55
	<b>Total</b>	<b>1020</b>	<b>452,754.42</b>	<b>228</b>	<b>687</b>	<b>105</b>		<b>16</b>	<b>4,267.47</b>



## VII. LESSONS LEARNED

The Project generated significant amount of experience that could be filtered in form of lessons. Some lessons are mentioned hereunder –

- Change in mindset of the local citizens and authorities is clearly observed in terms of partnership and cooperation between citizens and authorities, and more responsible attitude towards communal infrastructure.
- Authorities practicing participatory governance enjoy more efficient decision-making and implementation, and more dynamic local development.
- Positive impact of the Project activity lies in creating environment for better health, quality school education and energy saving. Living conditions are improved.
- CBA Project has succeeded in drawing strong appreciation from local/rayon/regional partners to the community-based development approach. Demand has been received from large number of CBA partners for further expansion of the Project activities.
- More than 4000 have people have acquired know-how to implement CBA methodology at local level. Their skill could be utilised for further expansion of the project or adaptation of the CBA methodology
- Pilot demonstration sites are very effective in motivating stakeholders through peer-peer learning process. During CBA implementation, several demonstration sites emerged at the local level for dissemination of CBA methodology in practice
- Supporting structures (local development forum, oblast and rayon coordination council, community resource centers, COs) created under CBA framework are serving not only proved effective for CBA communities but they served communities beyond CBA and are expected to do so in future.
- Several academic institutions have expressed willingness to study CBA methodology and incorporate the knowledge in their teaching curriculum
- Local/regional media are found enthusiastic in reporting on local development activities conducted under participation of local communities
- Cooperation with oblast level authorities appeared to be crucial for timeliness and quality of results. It proved to be particularly important for allocation of co-financing for community projects. It is critical to have tri-partite partnership with administration as well as councils, especially at oblast level
- CBA partnership with oblast authorities constituted a solid platform with a potential for an extended cooperation between OSA/OCs and UN/UNDP in a wide range of areas.
- One of the key factors for success in CBA implementation was the acceptance of the methodology in the complexity of its components. This is reflected in the quality of micro-project implementation, efficiency of citizens-authorities partnership, level of community development and sustainability of the results.
- Community development processes initiated by CBA created favourable conditions for the natural leaders to unleash their potential to the extent that they often intend to stand for local elections to village councils.
- Pilot communities of CBA are able and efficient in cooperating with other donors and implementing other initiative beyond CBA.
- It is necessary to consolidate and disseminate more widely the information about innovative technologies. This will be especially relevant in context of CBA II, which is oriented at introduction of new energy saving technologies and alternative energy sources.
- The role of private sector in local processes is yet underestimated. Cooperation with local business is to be strengthened the so as to develop positive attitude towards the idea of support to the self-help initiatives of local communities.

Annex - I  
**Personal Management in CBA Project**

SN	Full Time Position	Number of Project Personnel		
		Initial	Change	Total
1	PMU Community Development Specialists	2	0	2
2	PMU Engineers	2	2	4
3	M&E, Reporting & Visibility Specialist	1	0	1
4	OIU Community Mobilisation Assistants	49	1	50
5	Community Development Assistants	0	2	2
6	Administrative/ support staff	0	1	1
7	Admin/Finance Manager	1	-1	0
8	PMU Finance Specialist	0	1	1
9	PMU Administrative Officer	0	1	1
10	PMU Finance Assistants	2	1	3
11	PMU Receptionist/Clerk	1	-1	0
12	PMU Drivers	1	0	1
13	PMU Cleaner	1	-1	0
14	OIU Finance/Procurement Assistants	6	-6	0
15	Monitoring Assistant	0	1	1
16	Procurement Assistant	0	1	1
17	OIU Drivers	24	0	24
18	International Programme Manager	1	0	1
	<b>Total</b>	<b>91</b>	<b>2</b>	<b>93</b>

Excludes - (a) PMU Community Development Specialist (Int'l), (b) Trainer, (c) Legal Advisor, and (d) IT assistant. These positions were created and utilised for short period during the project implementation

Annex – II  
**Opinion of Regional Authorities During Regional Seminar**

During the time of CIDP activities in the Autonomous Republic of Crimea, its citizens learnt what self-organization means and realized their involvement in the betterment of their region. It is very important to continue that practice so that it becomes a tradition. CBA will contribute to this end.

*Anatoliy Hrytsenko, Head of Supreme Council of ARC*

We are particularly pleased to know that the rayons that were selected for participation in CBA Project are located far away from Kyiv. These are the rayons which really need support, and we are very thankful to you to have sensed so accurately the problems of our region.

*Vira Ulyanchenko, Head of Kyiv Oblast State Administration*

It's a substantial amount of money for village communities. What is good is that the spheres in which money will be invested are diverse: it can be used for procurement of medical equipment, school buses, introduction of energy-saving technologies etc.

*Valeriy Asadchev, Head of Poltava Oblast State Administration*

There is a range of pertinent issues in our oblast which cannot be solved without community participation. Community is very crucial part of local development. If we try to solve local problems through community, we can achieve much more than trying it through the state budget only. There are many good models of local development in European countries; it is good for us that CBA brings such an exemplary model. Let us use this Project to learn more and solve more problems. We do not need to wait for long for the system to get our problems solved. Real power and resources has to be given to local self-government bodies. CBA Project will greatly contribute to this process.

*Borys Silenkov, Head of Kherson Oblast State Administration*

Development projects can be implemented effectively, if it is done with support of oblast and rayon authorities with a close dialogue between self-governments and local communities. It is because local level problems cannot be solved without support of the local communities. Therefore, we should try to solve local problems together. In this context, support of CBA Project is valuable as it brings methodology for us to carry out local development jointly.

*Petro Haman, First Deputy Head of Cherkasy OSA*

It is not the finance offered by the Project that matters but its support for strengthening self-governance that enables communities to solve their problems has more value. The CBA Project will help us re-discover ourselves. It has offered equal opportunity for all rayons through competition-based participation.

*Oleksandr Belskyi, Deputy Head of Chernihiv OSA*

Annex – III  
**Terms of Reference for Steering Committee**

1. The Committee will be formed by representatives of the following institutions:

- The Ministry of Economy of Ukraine
- Secretariat of Cabinet of Ministers of Ukraine
- The Ministry of Regional Development and Construction of Ukraine
- The Ministry of Labour and Social Policies of Ukraine
- The Ministry of Agrarian Policy of Ukraine (Department of Rural Development)
- The Ministry of Housing and Communal Services of Ukraine
- The Ministry of Transport and Communications of Ukraine
- The Ministry of Healthcare of Ukraine
- The Ministry of Environmental Protection of Ukraine
- The Ministry of Education and Science of Ukraine
- The National Agency of Ukraine for Efficient Use of Energy
- Parliamentary committees on regional policy and local self-government, health, energy, environment and social policy
- The State Fund of Local Self-Government of Ukraine
- The Ukrainian Association of Local and Regional Authorities of Ukraine
- The Association of Cities of Ukraine
- The Association of Small Towns of Ukraine
- The Association of Village and Settlement Councils
- Committee on Agrarian Policy and Land Relations
- Committee on Construction, Urban Development, Housing and Communal Services and Regional Policy
- Committee on Public Health
- Committee on State Building and Local Self-Government
- Committee on Social Policy and Labour
- United Nations Development Programme, Ukraine
- European Union Delegation Office, Ukraine

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

2. In compliance with main goal of CBA-I, the Steering Committee will:

- Advise and provide guidance on project implementation;
- Provide advice on ways to correlate Project activities with relevant state policies so as to tackle local development challenges;
- Review Project progress and ensure consistency and coordination of measures supported under the Project
- Endorse Annual Work Plans of the Project;
- Coordinate and facilitate the participation of line ministries, relevant government and non-government agencies
- Ensure that regional and local authorities are duly informed about the Project and fully authorized to participate.
- Assist in elaboration of draft legislation and other documents related to Project implementation and its coordination with relevant state programmes; preliminarily reviews such documents.

3. The Steering Committee is entitled to:

- Hear regular reports on Project implementation;
- Give endorsement to Annual Work Plans of the Project;
- Provide recommendations for improvement of Project implementation;
- Charge its members with assignments related to drafting of relevant legislation;
- Involve experts from governmental agencies and local authorities, upon consent of their superiors;
- Issue recommendations to local executive and elected institution as per implementation of the Project.

4. The Steering Committee is co-chaired by a Chairperson who is appointed by the Delegation of the European Union and UNDP in Ukraine on a rotation basis.

5. Regular meetings of Steering Committee are held as frequently as needed and at least once a year.

6. Meetings are chaired by Chairperson.

7. Decisions of Steering Committee taken within the limits of its competences have a nature of a recommendation and are obligatory for the review by local governments, as well as other enterprises, institutions and organizations.

8. Organizational, information, technical and financial support to the activities of Project Steering Committee is provided by the CBA Project. Project Management Unit acts as Secretariat of the Steering Committee.

**Annex - IV: Status of CBA Project Implementation Since Inception**

	Oblast	Rayons selected	PA signed	VC/CC selected	PA with VC/CC	Communities selected	Pilot COs			LDF		OCC		RCRC	Trainings				CO planning		MP proposals				
							Created	Registered at VC	Legally Registered	Created	Sittings held	Created	Sittings held		No of trainings	No of participants	CO-members	Local authorities	# CO with CDP	CDP approved at LDF	Proposal prepared	Approved at LDF	Submitted to PMU	Appraised by PMU	Approved by PSC
1	ARC	8	8	40	40	40	41	41	41	8	47	1	7	7	167	1211	1075	136	41	41	45	45	46	46	45
2	Cherkaska	8	8	40	40	42	42	42	42	8	72	1	6	8	50	1150	740	410	42	42	54	54	54	54	54
3	Chernihivska	8	8	38	40	40	42	42	42	8	50	1	5	8	58	1414	1259	155	44	42	49	49	49	49	45
3	Chernivetska	11	11	47	20	47	47	47	47	11	44	1	3	1	36	708	538	170	47	47	50	50	50	50	50
5	Dnipropetrovska	8	8	42	41	42	42	42	42	8	40	1	2	6	60	2771	2448	323	43	42	56	56	56	56	56
6	Donetska	8	8	40	40	40	40	40	40	8	40	1	1	8	58	1363	939	424	40	40	51	51	51	51	51
7	Ivano-Frankivska	9	9	56	56	56	56	56	56	9	36	1	3	5	65	1515	1404	111	56	56	69	69	69	69	69
8	Kharkivska	8	8	41	42	49	42	42	42	8	61	1	3	8	41	886	729	157	43	43	49	49	49	49	49
9	Khersonska	8	8	45	45	45	45	45	45	8	71	1	9	5	94	1508	857	651	45	45	54	54	54	54	54
10	Khmelnitska	8	8	50	47	50	50	50	50	8	58	1	4	3	64	1045	838	207	50	50	58	58	53	50	50
11	Kirovohradska	8	8	45	45	45	45	45	45	8	133	1	5	8	71	1625	1413	212	45	45	53	53	53	53	53
12	Kyivska	9	9	47	47	50	50	50	49	9	53	1	3	9	93	2052	1507	545	50	50	55	55	55	55	55
13	Luhanska	9	9	46	43	46	46	46	46	9	78	1	15	9	56	1349	842	507	46	46	55	55	55	55	55
14	Lvivska	8	8	50	50	50	51	50	50	8	70	1	11	8	45	811	607	204	51	50	57	57	57	57	56
15	Mykolaivska	8	8	44	40	45	45	45	45	8	58	1	4	8	63	1648	1474	174	45	45	61	59	52	52	52
16	Odeska	8	8	43	40	43	45	45	45	8	60	1	7	6	41	734	573	161	45	45	45	45	45	45	45
17	Poltavska	8	8	41	41	41	41	41	41	8	72	1	4	8	69	1140	927	213	41	41	50	50	50	50	50
18	Rivnenska	8	8	41	40	41	49	49	45	8	67	1	3	4	63	1432	1131	301	41	41	64	64	60	60	50
19	Sumska	8	8	42	42	43	43	43	43	8	80	1	6	8	51	1345	1060	285	43	43	49	49	49	49	49
20	Ternopil'ska	9	9	55	55	56	57	57	57	9	74	1	4	9	59	1216	876	340	57	57	63	63	63	63	63
21	Vinnitska	8	8	41	40	45	41	41	41	8	40	1	10	8	179	3102	2455	647	42	43	43	43	43	43	43
22	Volynska	9	9	47	47	47	47	47	47	9	40	1	4	9	61	1755	1466	289	47	47	57	57	57	57	57
23	Zakarpatska	9	9	58	58	58	58	58	58	9	67	1	5	7	103	2227	1964	263	58	58	61	61	61	61	61
24	Zaporizka	8	8	44	37	44	44	44	44	8	111	1	4	8	69	1723	1396	327	44	44	53	53	53	53	53
25	Zhytomyrska	8	8	40	40	40	40	40	40	8	67	1	3	8	60	1637	1147	490	40	40	46	46	46	46	46
	<b>TOTAL</b>	<b>209</b>	<b>209</b>	<b>1123</b>	<b>1076</b>	<b>1145</b>	<b>1149</b>	<b>1148</b>	<b>1143</b>	<b>209</b>	<b>1589</b>	<b>25</b>	<b>131</b>	<b>176</b>	<b>1776</b>	<b>37367</b>	<b>29665</b>	<b>7702</b>	<b>1146</b>	<b>1143</b>	<b>1347</b>	<b>1345</b>	<b>1330</b>	<b>1327</b>	<b>1310</b>



**Annex - IV: Status of CBA Project implementation Since Inception**

	Oblast	MP completed	Objects handed over	Public Audit					Non pilot COs			Media Events	Media Coverage	Publications at web sites	Newsletters		
				Number of objects	CO members	Non-CO members	LA representatives	Media	Formed	Registered in VC/CC	Legally registered				Issues published	Copies printed & distributed	Copies sent electronically
1	ARC	45	46	45	7858	0	85	36	8	8	8	19	99	26	7	350	87
2	Cherkaska	54	54	54	6417	256	39	0	0	0	0	13	76	20	10	540	560
3	Chernihivska	45	45	45	2474	432	162	41	5	5	5	35	60	24	21	405	496
3	Chernivetska	50	50	50	4337	0	0	0	0	0	0	15	37	10	3	300	240
5	Dnipropetrovska	55	55	55	7131	0	56	0	105	63	63	29	127	9	5	263	0
6	Donetska	51	51	51	4417	143	80	23	39	39	39	19	149	34	3	250	165
7	Ivano-Frankivska	69	69	69	5706	0	49	4	0	0	0	18	224	74	22	2823	521
8	Kharkivska	47	47	47	6393	196	46	2	6	4	3	20	224	53	9	2847	478
9	Khersonska	54	54	54	1587	254	117	16	37	33	31	44	90	34	6	900	700
10	Khmelnitska	50	50	50	2348	0	44	4	4	4	1	14	86	32	5	400	400
11	Kirovohradska	53	53	53	4551	3003	71	44	14	8	10	33	151	65	13	1750	1750
12	Kyivska	55	54	54	4852	1453	146	5	0	0	0	32	191	17	14	1710	991
13	Luhanska	55	55	55	3152	231	263	15	34	27	19	21	176	101	62	13025	1701
14	Lvivska	54	54	54	2615	354	107	6	4	4	3	23	80	32	3	400	34
15	Mykolaivska	52	52	52	2925	1033	86	29	42	40	33	16	84	26	17	5935	1435
16	Odeska	45	45	45	4503	5038	92	8	0	0	0	19	87	35	15	2850	10
17	Poltavska	50	50	50	12477	58	23	0	20	20	9	35	178	48	20	1400	144
18	Rivnenska	49	49	49	9779	670	135	29	6	6	3	32	274	55	21	1880	539
19	Sumska	49	49	49	3102	332	56	5	3	3	3	38	182	50	10	4900	625
20	Ternopil'ska	63	63	63	5107	558	63	5	6	6	4	32	177	45	12	787	421
21	Vinnytska	41	41	41	3301	714	92	12	2	2	2	22	107	32	22	2442	1110
22	Volynska	57	57	57	3106	105	57	0	3	0	0	36	115	44	3	1300	110
23	Zakarpatska	61	61	61	4756	75	108	108	5	5	3	11	86	29	9	2330	2380
24	Zaporizka	53	53	53	13647	53	74	19	15	0	0	27	174	40	41	8835	2086
25	Zhytomyrska	46	46	46	2347	70	175	1	2	2	0	17	208	19	12	2950	523
	<b>TOTAL</b>	<b>1303</b>	<b>1303</b>	<b>1302</b>	<b>128888</b>	<b>15028</b>	<b>2226</b>	<b>412</b>	<b>360</b>	<b>279</b>	<b>239</b>	<b>620</b>	<b>3442</b>	<b>954</b>	<b>365</b>	<b>61572</b>	<b>17506</b>