



Community-Based Approach to Local Development Project-II

ANNUAL NARRATIVE REPORT

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CONTENTS

Abbreviations and acronyms	2	
Executive summary	3	
Statistical abstract	5	
Chapter 1	Project Background	6
Chapter 2	Establishing partnerships	10
Chapter 3	Development of support structures	18
Chapter 4	Capacity-building	26
Chapter 5	Community projects	31
Chapter 6	Special components	35
	6.1 Methodology replication	35
	6.2 Rural economic development	36
	6.3 Energy efficiency	38
Chapter 7	Knowledge management	40
Chapter 8	Communications and visibility	46
Chapter 9	Advisory and management	54
Chapter 10	Lessons learned and future outlook	56
Annexure		57 - 69

ABBREVIATIONS and ACRONYMS

ARC	Autonomous Republic of Crimea
BSP	Bodies of Self-Organization of Population
CBA	Community-Based Approach to Local Development Project
CDO	Community Development Officer (CBA staff in the region)
CDP	Community Development Plan
CO	Community organization
EE	Energy efficiency component of CBA-II
EU	European Union
KMH	Knowledge management hub
RED	Rural economic development
LDF	Local Development Forum
MoU	Memorandum of Understanding (similar to PA)
MPP	Micro-project proposal
MP	Micro-project (community project)
OC	Oblast Council
OCRC	Oblast Community Resource Centre (same as OIU)
OIU	Oblast Implementation Unit (same as OCRC)
OSA	Oblast State Administration
PA	Partnership Agreement (similar to MoU)
PMU	Project Management Unit (CBA head office in Kyiv)
RC	Rayon Council
RCC	Region Coordination Council
RCRC	Rayon Community Resource Centre
RSA	Rayon State Administration
UADRC	Ukrainian Association of District and Regional Authorities
UNDP	United Nations Development Programme
VC/CC	Village Council/City Council

EXECUTIVE SUMMARY

The second phase of the Community-Based Approach to Local Development (CBA-II) Project commenced with the signing of an agreement between the Government of Ukraine and the European Union (EU) on 31 May 2011. CBA-II is funded by the EU and co-financed and implemented by UNDP, with the support of the Government of Ukraine and in partnership with local executive bodies/bodies of self-governance. The project's total budget is €17 million, with a 98.4 percent contribution from the EU and 1.6 per cent cost-sharing from UNDP. The project's time-frame is four years (June 2011 to May 2015).

CBA-II aims to promote a community-based approach to strengthen the process of participatory governance, to promote the idea of sustainable development and to enhance energy efficiency at local level. To achieve the objectives, the project utilizes social mobilization tools to mobilize local communities and local authorities for joint decision-making, cost-sharing, implementation of community projects and establishment of sustainable mechanisms. The necessary support structures are being established/strengthened to this end. They include community organizations (COs), Local Development Forums (LDFs), Regional Coordination Councils (RCCs) and rayon/regional-level Community Resource Centres (CRCs). The capacity of stakeholders is being built as necessary through training, exposure visits etc. Community projects are used as another tool for capacity-building, with basic needs – namely, health, the environment, energy efficiency, water supply and rural economic development – considered priority areas.

The project is being implemented in all 25 regions of Ukraine. Its target is to cover 200 rayons, 900 Village/City Councils (VCs/CCs) with populations of less than 10,000 people and 900 local communities. Other targets include: 900 COs and 200 LDFs formed; 900 community projects supported; 16000 community members and 2000 state/elected officials trained; 17 cooperatives established; and a knowledge management hub established.

The focus of CBA-II during the first year of its implementation (June 2011 to July 2012) was to lay the foundations for the implementation of concrete project activities. Cumulative achievements indicate that CBA has achieved all but a few targets set forth for the year. The key achievements of project implementation in figures are presented in the statistical abstract and described below.

- **Partnership:** CBA-II was launched massively across the country to ensure adequate transparency about the project, the donor's contribution, the *modus operandi* and so on. In total, 1277 launching seminars were conducted from local to national level. As a result, a partnership for project implementation was established with 24 oblast authorities and the Crimean government, 261 rayon authorities and 1,066 VCs/CCs. With this, all targets related to partnerships were accomplished.
- **Support structure development:** Support structures are the institutional mechanism through which the project's objectives are achieved. During the reporting period, 932 COs were formed/grafted¹ with the participation of 404,465 men and women representing 263,114 households. To facilitate the bottom-up planning process and participatory decision-making at rayon level, 241 LDFs were formed or strengthened, and 22 RCCs were 'grafted' from CBA-I at regional level. To support the function of LDFs and RCCs, 241 rayon CRCs and 23 regional CRCs were created or grafted and strengthened. Thus the target for support structure development was accomplished.
- **Capacity-building:** In a bid to enhance the skill of the human resources involved in CBA-II implementation, a series of training was held to train 90 members of CBA project staff, 15,034 CO executives and 5,225 state/elected officials. The necessary operational manuals and guidelines were developed or updated for use by project staff, state/elected officials and community members. The capacity of 19 resource centres was also enhanced through technical/logistical support. About 100 more resource centres will be supported in the second half of 2012. With this, the basic capacity-building task was accomplished during the reporting period.
- **Community planning:** During the reporting period, 880 COs prepared community development plans. Through a bottom-up planning process, 720 community priorities were mainstreamed into local government planning through joint decision-making at LDF meetings.
- **Micro-projects:** During the reporting period, 546 micro-project proposals were approved for funding. The total cost of these micro-projects was UAH86.3 million (approximately €8.7 million), which was shared by COs (7.7 percent), local authorities (48.9 percent), the CBA Project (41.8 percent) and private sponsors (1.6 percent). Because of strong networking, the project succeeded in mobilizing more resources from local partners than expected, with the result that the project's share of funding was only 41.8 percent, instead of the 50 percent envisioned.

Sectoral analysis of micro-projects indicates that 82.8 percent of them are related to saving energy, 8.6 percent to water supply, 8.4 percent to health and 0.2 percent to the environment. Furthermore, 71.2 percent of these micro-projects are related to schools or kindergartens, 9.4 percent to health facilities and 19.4 percent to the community – for example, street lighting, water supply, waste management. A total of 538,700 people are expected to benefit from these micro-projects.

¹ Grafting takes place when a support structure (e.g. CO, LDF, RCC) developed during CBA-I goes through the process of learning and adopting its structure and governing practices to fit the CBA-II methodology

- **Knowledge management:** Partnerships were established with the National Academy of Public Administration to instruct civil servants about the community-based approach to local sustainable development, and with 20 universities to introduce CBA principles to the curriculum. Lecturers from these universities were provided with the necessary training to start teaching this subject. Students were supported in conducting small research projects on CBA-supported activities. A partnership was also formed with the Ukrainian Association of District and Regional Councils to establish a knowledge management hub and to train elected officials. Various documents on the experience of CBA-I were finalized and published.
- **Methodology replication:** With a view to internalize the CBA methodology, competition-based methodology replication was initiated in 61 rayons during the year. During the reporting period, effort was devoted to shaping the concept, preparing the manual, selecting pilot areas and launching field-level activities. The core of the activities will take place in the second part of 2012 through 2013. Necessary processes were undertaken to establish partnerships with and build the capacity of the rayons to implement the CBA methodology. Under this component, 244 local councils and local communities are expected to benefit. During the year, 230 VCs/CCs and 206 communities became involved in the implementation process.
- **Rural economic development:** CBA-II envisions support to small-scale economic initiatives of rural communities. The main focus is on promoting collective actions that could lead to income generation and employment creation in rural areas. The project is expected to assist small farmers to organize and form cooperatives to bring added value to local products through efficient production, packaging and shared marketing.

Implementation of the rural economic development (RED) component of CBA-II was launched in mid-March 2012 with the recruitment and training of specialists in this subject. By June 2012, experts' opinions were collected, an operational manual was prepared, a national-level working group was established, and seven pilot regions were selected. Major implementation activities will be launched during the second half of 2012.

- **Energy efficiency:** Implementation of the energy efficiency (EE) component in the reporting period was devoted to shaping the concept, preparing the manual and launching activities. Most of the activities will take place during the second half of 2012 through 2013.

The overall objective of the EE component of CBA-II is to enhance local capacity by enabling citizens and local authorities to learn about energy efficiency technologies and use them jointly to solve their energy problems sustainably. This will be achieved by (a) reviewing and improving regional energy efficiency strategies; (b) supporting pilot energy efficiency micro-projects based on introducing micro-scale innovative technology and renewable energy sources; and (c) through awareness-raising campaigns. During the reporting period, existing experience was gathered, an operational manual was prepared, six regions were selected through competition for advance piloting, and 19 regions were selected for normal piloting in energy efficiency.

- **Information and communication:** In the reporting period, 347 media events were organized (including regional, rayon seminars, press conferences etc.), 2789 cases of media coverage were registered, and 123 issues of regional newsletters were disseminated. In addition, 15 donor visits were hosted to show them the project activities going on at the local level, and several exchange visits to and from various countries were undertaken for share information.
- **Financial delivery:** During the reporting period, the estimated expenditure was €7,036,500, of which €3,088,800 actually disbursed and €3,947,700 committed for community projects.
- Implementation of CBA-II during its first year of operation has given rise to some valuable experience for consideration:

Opportunities

- Regional and rayon authorities have started the trend of approving socio-economic programmes in favour of supporting community projects relevant for the CBA methodology;
- Ongoing acceptance of the replication of the CBA methodology offers scope for this strategy to continue on a larger scale;
- Energy efficiency projects are given high priority at local level and should continue;
- The readiness of universities to teach courses on sustainable development and the CBA methodology could be tapped further in years to come.

Challenges

- The government has introduced new rules regarding the construction/rehabilitation of communal infrastructure which slow down the implementation of micro-projects;
- Key national events such as the Euro 2012 football tournament and national elections are expected to affect the pace of project implementation due to a temporary shift of human resources and state budget away from local development.

STATISTICAL ABSTRACT

SN	Activity	Unit	Target All Years	Achievement (June 2011 – July 2012)
1	Partnership agreement signed with regions	Number	25	25
2	Rayons selected and partnership established	Number	200	261
3	Village/City Council selected and partnership established	Number	900	1,066
5	Community organizations			
	COs formed/granted	Number	900	932
	COs legally registered	Number	900	892
	COs enrolled with VC/CC	Number		912
	Household participation/membership			
	Target households	Number		329,927
	Participated households	Number		263,114 (79.7%)
	CO members (total)	Number		404,465
	CO members male	%		42.7%
CO members female	%		57.3%	
6	Local Development Forums (formed/granted)	Number	200	241
	LDF sittings held		-	655
7	Regional Coordination Councils granted	Number	25	22
	RCC sitting held		-	31
8	Community Resource Centres formed/granted	Number	223	269
	Capacity of CRCs strengthened	Number	200	19
9	Human resource development			
	Training conducted	Number	-	1,229
	Participants of the trainings	Number	18000	20,259*
	CO members	Number	16000	15,034*
	Local authorities	Number	2000	5,225*
	Project staff			90
10	Community development planning			
	COs with CDP prepared	Number	900	880
	CDP approved and mainstreamed	Number	900	720
11	Micro-project supported	Number	600	546
	Sectoral distribution			
	<i>Energy efficiency</i>	%	-	82.8
	<i>Water supply</i>	%	-	8.6
	<i>Health posts</i>	%	-	8.4
	<i>Environment</i>	%	-	0.2
	Total cost of approved micro-projects	UAH ml		86.3
	<i>Shared by Cos</i>	%	5	7.7
	<i>Shared by local, rayon, regional authorities</i>	%	45	48.9
	<i>Shared by CBA</i>	%	50	41.8
	<i>Shared by others (private sponsors)</i>	%	0	1.6
	Beneficiary characteristics of approved micro-projects			
	<i>Beneficiary population</i>	Number	-	538,700
	<i>Institutional beneficiary</i>	Number	-	
	<i>School/kindergarten (cum.)</i>	%	-	71.2
<i>Health facility (cum.)</i>	%	-	9.4	
<i>Local communities (cum.)</i>	%	-	19.4	
12	Energy efficiency component			
	Micro-project supported	Number	300	-
	Energy efficiency strategic plans	Number		-
	Supporting technical design development	Number		-
13	Agro/service cooperative developed	Number	17	-
	Economic micro-projects supported	Number	17	-
14	Knowledge management			
	Partnership with academia	Number	10	20
	Curriculum introduced in academia	Number	2	-
	Knowledge hub established	Number	1	1
15	Information campaign and media strategy			
	Media events	Number	-	347
	Media coverage	Number	-	2789
	Publications (websites)	Number	-	1043
	Newsletters	Number	-	123
16	Financial progress (estimated)	Mill. €	17.1	7.0

* Includes approximately 50 percent repetition of participants

Chapter One

Project Background

1.1 Context and commencement

The first phase of the Community-Based Approach to Local Development (CBA) project succeeded in scaling up the community-led approach to local development countrywide. It contributed to strengthening participatory governance, supported and developed local capacities for community-based development and facilitated a collaborative relationship between communities and local authorities. While some progress was achieved in terms of transparency, accountability and quality of public services, there remained room for further improvement and dissemination of the approach.² Some problem areas that warranted urgent attention were:

- *Growing poverty and unemployment among the rural population:* Although Ukraine managed to reduce absolute poverty from 9 percent in 2005 to 4.5 percent in 2009, the poverty level in rural areas remained more than double that of large cities. The unemployment level in villages and small towns was approximately 27 percent. Half of the entire rural population used their private gardens and household plots for subsistence. Challenges they face include small plot size, lack of financial assets, lack of mechanization, high unit costs for factor inputs (such as seeds, stock acquired in small quantities), lack of market access, and the exploitative nature of intermediaries, processors, wholesalers and retailers.
- *Deteriorating living standards in rural areas, declining social services infrastructure and reduced access to social services:* According to the State Statistics Committee (2009), only 30 percent of households in rural areas had access to centralized water supply and sanitation compared to 83 percent of urban households; hot water was available to 30 percent of households in rural areas compared to 88 percent in urban areas; and 50 percent of rural households had a gas supply versus 84 percent of urban households. About one-third of heat-producing and heat-supply-related equipment and systems needed replacement because they were obsolete and extremely inefficient. Unfortunately, the revenue of local governments (small village and towns) remained highly constrained due to a lack of a taxation base and inadequate allocation of central budgets making the local authorities incapable of addressing the issues effectively.
- *Inefficient use of energy:* The amount of energy consumption of the average Ukrainian household is three to seven times higher than the average in Europe. One of the key reasons is that most of the equipment in use is obsolete as it was installed during the Soviet era without any requirements for energy efficiency. Since energy costs now constitute more than half of all residential service costs, any increase in energy prices will lead to a significant increase in the cost of providing these services.
- *The central-level policy and legal frameworks do not provide clear mandates, resources or division of responsibilities for local governments in the area of public service delivery:* Local governments have only a limited ability to determine spending structure and reallocate expenditures within sectors; local civil servants lack capacities in designing local development strategies, planning allocation of resources and reporting to local communities; and there is a lack of a clear mechanism to engage civil society/community members in local decision-making processes.

Considering the above, the Government of Ukraine and the European Union (EU) decided to extend the duration of the CBA Project by four years. On 31 May 2012 an agreement was signed to this end by the First Deputy Prime Minister, Minister of Economic Development and Trade of Ukraine, Andrei Klyuyev, and the European Commissioner for the Expansion of the European Neighbourhood Policy, Stefan Füle.

The second phase of the CBA Project (CBA-II) is funded by the EU and is co-financed and implemented by UNDP, with the support of the Government of Ukraine and in partnership with local executive bodies/bodies of self-governance. The project's total budget is €17.125 million (US\$23.3 million), with a 98.4



² A summary of CBA-I results is given in Annex I. Further details may be found at www.cba.org.ua/one.

percent contribution from the EU and 1.6 percent cost-sharing from UNDP. The project's time-frame is four years (7 June 2012 to May 2015).

1.2 Objectives

The overall objective of the CBA Project is to promote sustainable socio-economic development at local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine.

Specific objectives of the project:

- (1) To promote a community-based approach to local governance and sustainable development by:
 - strengthening the capacity of local communities, local authorities and universities in applying community-led development;
 - integrating participatory mechanisms for local planning and public service delivery into the day-to-day practices of local governments;
 - supporting community-based initiatives for sustainable rehabilitation, management and operation of basic social and communal infrastructure; and
 - promoting small business development in rural areas.
- (2) To enhance energy efficiency at local level by:
 - building the capacity of local communities and local authorities in energy planning and efficient energy use;
 - supporting innovative community initiatives in efficient energy use; and
 - raising public awareness on energy efficiency based on grassroots-level best practices.
- (3) To support the creation of the locally owned and managed repository and network of good practices and knowledge on community mobilization and participatory governance by:
 - documenting and codifying lessons learned and institutional arrangements established during implementation of CBA;
 - establishing a network of knowledge hubs for the creation, analysis and sharing of innovative approaches to community-based development; and
 - supporting academia and other educational institutions in curriculum and capacity development for promoting community-based approaches to local governance and development.

The project will support community-led activities in the following priority areas: *health (local health posts network), the environment, water management, local economic development and energy efficiency.*

1.3 Target results

The following results were envisaged for CBA-II:

SN	Results	Target All
1	Community organizations created/strengthened for local decision-making	900
2	Local Development Forums created/strengthened	200
3	Regional Coordination Councils created/strengthened	25
4	Capacity of Community Resource Centres strengthened	200
5	Curricula developed by universities/training institutions	2
6	Community members trained in CBA methodology	6000
7	Elected/state authorities trained in CBA methodology	2000
8	Micro-projects implemented for improved service delivery	600
9	Community members trained in energy efficiency	10,000
10	Community projects on efficient use of energy implemented	300
11	Knowledge management hub established	1
12	Cooperatives developed for rural economic development	17

1.4 Implementation strategy

The strategic goal of the CBA Project is to build the capacity of local communities and local authorities to participate in joint decision-making processes and to use this capacity for multi-stakeholder cooperation and multisectoral interventions with ensured local ownership of the process. The process is **bottom-up** and involves stakeholders from grassroots, meso and macro level in the process as it moves upward. The CBA

implementation process involves a series of activities and action points that ultimately yield the project's intended results (Annex II).

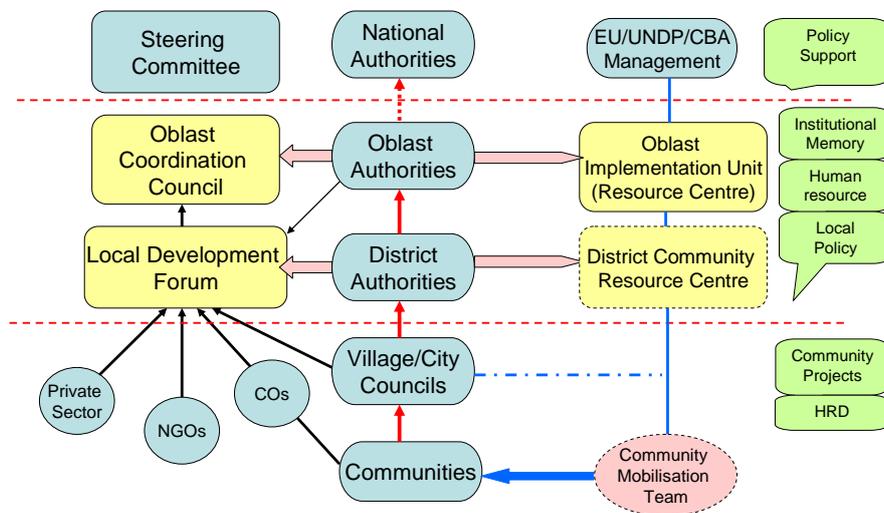
At the national level the project works with line ministries, parliamentary committees, national associations of local councils and other counterparts under overall coordination of the Secretariat of the Cabinet of Ministers (SCMU) of Ukraine. At the regional level, the project cooperates with Oblast State Administrations (OSAs) and Oblast Councils (OCs) (in case of the Autonomous Republic of Crimea (ARC), with the ARC Council of Ministers and Verkhovna Rada of the ARC). At rayon level, CBA partners with Rayon State Administrations (RSAs) and Rayon Councils (RCs). At the local level, partnership is established with village/city councils (VCs/CCs).

Selected rayons, VCs/CCs and local communities form the functional area of the project. Their selection is done through open **competition** based on the level of socio-economic hardship, especially in the area of health, water supply, energy supply and the environment. Through the selection process, CBA reaches the areas/populations of the region/rayon that are suffering most.

Local-level CBA activities are carried out under the framework of **partnership** with the stakeholders. This is based on the willingness and commitment of the partners (communities, VCs/CCs, rayon authorities, regional authorities, academia, associations of local self-government, the private sector) for cost-sharing and joint decision-making.

The project uses a **social mobilization tool** to mobilize stakeholders and create the environment (support structures) for joint decision-making and joint implementation of activities. Community organizations (COs) are formed by the representation of 80 percent or more of the households in the selected community, to reflect a common community vision and implement community priorities. Local development forums (LDFs) are developed at rayon level for joint decision-making, resource mobilization and local coordination. Regional Coordination Councils (RCC) are developed at regional (oblast/ARC) level to monitor CBA activities in the region, to resolve issues related to local policies/procedures, to support programming and for resource mobilization. At the national level there is a steering committee to ensure national-level coordination and advisory support.

Figure 1. Structural framework of the CBA Project



Capacity of the COs is built so that they are able to make joint decisions with local authorities, mobilize resources, implement local priorities and sustain the results. Capacity of the partners (VC/CC, rayon/oblast etc.) is strengthened in terms of human resources to implement the participatory approach promoted by the project. Training, exposure visits, dialogues and small grants (for community projects), appropriate institutional mechanisms etc. are used as tools for building capacity.

Knowledge and experience acquired in the course of implementation will be gathered, analysed and disseminated through a knowledge hub in cooperation with academia and the association of local self-government bodies.

1.5 Project management

The project is managed by UNDP Ukraine under overall guidance of the Country Director and under direct supervision of a Senior Programme Manager. The project is executed by an implementation team with a central body in Kyiv and 25 regional implementation units, one in each region. Oblast Implementation Units (Regional Community Resource Centres, RCRCs) are further supported by oblast authorities in terms of office premises and human resources. Similarly, each rayon partner has deputed one official for coordination and implementation and has established a modest type of district Community Resource Centre (CRC). Together they implement the local component of CBA activities. LDFs and RCCs serve as a guiding body at local and regional level, and the project's steering committee serves as a guiding body at the national level. The CBA management structure is given in Annex III.

Appropriate management and information systems (MIS) are established to make the stakeholders directly involved in the process of monitoring and assessment of the project activities. They include process, input, output and impact monitoring. The flow of information is bottom-up and participatory.

Various **media outlets** are encouraged to raise public awareness about CBA activities, to ensure transparency.

Chapter Two

Establishing Partnerships

Over the reporting period the project achieved targets by forging partnership with 25 regional authorities, 261 rayon authorities and 1066 VC/CCs. Details of the process are given below.

Establishing formal partnerships with local/regional authorities is essential to formalize the role and commitment of the partners and to provide an official basis to work with COs. The project's targets include partnerships with 25 regional authorities, 200 rayon authorities and 900 VC/CCs.

2.1 Preparation of templates and documents

Various documents (brochures, press briefings, media advisories, slides, video films etc.) were prepared to introduce CBA-II among its stakeholders at all levels. Also, partnership agreement templates (with regional and rayon authorities and with local councils) and applications for rayon authorities and local councils were developed by the project, reviewed and approved by UNDP management. Sample documents are available at <http://cba.org.ua/ua/library/documents>.

2.2 The national launch of CBA-II

The national launch of CBA-II was combined with the closure of CBA-I at a meeting of stakeholders on 22 June 2011. In addition to 20 members of the CBA-I steering committee, 22 stakeholders from various regions attended (see Annex IV).

At the meeting an overview of the results and impact of CBA-I was presented, followed by a description of the need for CBA-II and details on various aspects of the project.



View of National Launching of CBA-II



Deputy Minister Ms. Olha Romanyuk addressing the participants

Ms. Olha Romaniuk, Deputy Minister of Housing and Communal Services, highlighted the importance of the work undertaken within the framework of CBA in rural areas, which often remain beyond the focus of attention of authorities. In addition to renovating infrastructure, the project's main achievement is having activated communities to take joint action and contribute financially.

Ms. Tetyana Matiychyk, CBA focal point from the Secretariat of the Cabinet of Ministers of Ukraine, pointed out the value of the CBA Project in using best practices to promote and support local democracy in Ukraine. She also advised that the scale of CBA should be used to collect information on the Ukrainian experience and best practices, based on which one could formulate relevant policy recommendations in the domain of local governance.

Ms. Mira Didukh, CBA Manager from the EU Delegation to Ukraine, presented the second phase of the CBA Project. She noted that while the project's overall objective remains the same, one of its key tasks in the second phase will be to collect, process and disseminate knowledge on community-based development.

On behalf of beneficiaries from the regions, Mr. Oleksandr Chupryna, Deputy Head of Rivnenska Oblast Council, welcomed support to create agricultural cooperatives to be provided within CBA-II. Mr. Vasyl Hetsko, Head of the Main Department of Economics of Ternopilska oblast state administration, informed participants that the CBA activities were particularly appreciated by communities.



UNDP Country Director, Ms. Ricarda Rieger, addressing the participants

Ms. Ricarda Rieger, UNDP Country Director, summarized the discussions of the meeting. Key conclusions were as follows:

- Closure of CBA-I and initiation of CBA-II was acknowledged by stakeholders.
- Key stakeholders were informed of the results and impact of CBA-I.
- It was agreed to transfer assets from CBA-I to CBA-II.
- Stakeholders were informed about details of CBA-II. The focus on energy efficiency, local economic development, knowledge management and methodology replication was appreciated.
- A suggestion was made to explore the possibility of coordination/linking with government programmes related to the priorities of CBA-II.

Further details about the closure of CBA-I and the launch of CBA-II are available at <http://cba.org.ua/ua/news/847-2011-06-22-14-44-50>.

2.3 Establishing partnerships with regional authorities

Establishing partnerships with regional authorities included two steps: the regional launch of CBA-II and the signing of memoranda of understanding, as described below. During the reporting period, the target of establishing partnerships with 25 regional authorities was fully achieved.

- a) Regional launch of CBA-II:** Regional launch seminars were conducted during June and July 2011, covering 24 oblasts and the ARC. The agenda of the seminar included summarizing CBA-I results, briefing on CBA-II, explaining the terms of partnership for CBA-II, presenting a work plan and announcing the rayon competition.



Jose Manuel Pinto Teixeira, Head of the EU Delegation to Ukraine, and Olivier Adam, UNDP Resident Representative, participated in the regional launch seminar in Odeska oblast. Partnership Agreements was signed with oblast authorities at the meeting.

On average 99 persons attended the seminars, including leaders of oblast authorities, rayon authorities, local councils, other oblast officials and media representatives (see Table 1). From the CBA/UNDP side, each regional seminar was attended by the International Project Manager or Assistant Country Director. In a few cases UNDP and EU managers also participated in the event. Press releases were issued, and press briefings or interviews took place whenever possible.

Table 1. Participants of regional launch seminars

OSA heads/ deputy heads	OC heads/ deputy heads	Other oblast authorities	RSA heads/ deputy heads	RC heads/ deputy heads	Other rayon authorities	VC/CC heads	NGO	Media	Academia	Total
44	38	340	482	449	286	460	107	224	65	2495

Participants of regional launch seminars discussed the results of CBA-I and the perspectives and vision of cooperation with CBA-II. Because of their familiarity with the CBA Project during phase I, the participants did not have any kind of apprehension. On the contrary, they expressed their appreciation and commitment for support to CBA-II (see Box 1).

Box 1. Opinions of regional authorities

“We highly appreciate the great work that we carry out together. It is not so much the money allocated that matters the most for us, but how it is changing the human psychology. People begin to change their way of thinking shaped during the Soviet Union time.” *M. Vyshyvaniuk, Head of Ivano-Frankivska oblast state administration*

“It is difficult to overestimate the importance of experience that we gained in the course of implementation of the ‘Community-Based Approach to Local Development’ project in the Kyiv oblast. Cooperation through partnership is the key to success in all areas of activities. It is especially valuable when communities are involved in such partnerships. Local communities have proven their ability to effectively solve socially significant problems by joining efforts and funds from different sources. The Oblast authorities are willing to continue supporting such initiatives.” *A. Prysjzhnjuk, Head of Kyivska oblast state administration*

“Signing a Partnership Agreement between the ARC Parliament, the government and UNDP is an important step in the development of self-government of the Autonomous Republic of Crimea. Being aware about specific regional problems of ARC, we do see how important these projects are for each territory.” *Volodymyr Kostyantynov, Head of ARC Verkhovna Rada.*

“The CBA Project allowed us to establish partnerships and cooperation based on trust between people and authorities. Moreover, local community leaders learned to manage very complex documentation, and this is undoubtedly a very valuable experience for our citizens.” *Eduard Matviychuk, Head of Odeska oblast state administration.*

Among the frequently asked question were: enquiries about the possibility of allocating more quotas for oblasts, options for partnership with non-pilot rayons, and replication of CBA methodology.

- b) Establishing partnerships with regional authorities:** a Memorandum of Understanding (MoU) was signed with all 25 regional authorities. In general the MoUs were tripartite, involving the regional state administration, regional council and UNDP.

2.4 Establishing partnerships with rayon authorities

Establishing partnerships with rayon authorities comprised seven steps: (a) competition announcement; (b) quota distribution by region; (c) ranking of rayons; (d) selection of rayons; (e) announcement of results; (f) holding rayon-level CBA-II launch seminar; and (g) signing of MoU.

During the reporting period, partnerships were established with 261 rayon authorities (against the target of 200). Of these, 200 were regular interventions and 61 were for replication. Also, 128 of them took part in CBA-I, while 133 joined CBA for the first time. Details of the process are given below, and statistical details are given in Annexes V and VI.

- a) Competition announcement:** In each region, a call for applications for rayon participation in CBA-II was announced at regional launch seminars and through correspondence, and the necessary application forms were distributed to participants of the regional seminar and placed on the CBA website: <http://cba.org.ua/ua/library/documents>.
- b) Quota distribution:** Following the recommendation of the CBA-I steering committee and the provision in the CBA-II project document, a quota of six to 10 rayons was allocated to regions based on criteria such as number of rayons in the region, population of the region, national socio-economic ranking of the region, performance of the region during CBA-I etc. The quotas were made available in two stages – first as regular partnerships (in 2011) and second as replication (in early 2012). In total, 262 rayons were selected for the project. Details of the quota distribution by region are given in Annexes V and VI.
- c) Selection of rayons:** Application forms from 680 rayons were received for partnerships. The applications were analysed and ranked based on criteria such as level of poverty (socio-economic index); access to drinking water; access to medical services; environmental conditions; energy efficiency; willingness of rayon authorities to provide technical and financial support to pilot communities; potential to build up demonstration sites; and results of cooperation within CBA-I.

Based on above criteria, 200 pilot rayons (regular) were selected in 2011, and 62 pilot rayons (replication) were selected in the first quarter of 2012. Among them, 128 were from CBA-I and 134 were new.

Table 2. Selection of rayons for partnership

SN	Activity	Regular	Replication	Total
1	Application received	557	123	680
2	Selected for partnership	200	62	262
	Old (CBA-I) rayons	100	28	128
	New rayons	100	34	134
3	Selected for reserve	76	19	95

* Details by region are in Annexes V and VI

A list of the selected rayons by region is available on the CBA website: <http://cba.org.ua/en/activities/partners>.

Selected rayons are mostly located farther from the oblast centre. Considering 200 rayons as a sample, the average distance of the selected rayon from the regional capital is 97 km, with 75 percent of them lying within the 50–200 km range. This shows that CBA has succeeded in reaching remote parts of the regions.

Table 3. Distance of selected rayons from oblast centres

Distance from oblast center	Number of rayons	%
Less than 10 km	7	3.5
10 ⁺ –25 km	8	4.0
25 ⁺ –50 km	29	14.5
50 ⁺ –100 km	70	35.0
100 ⁺ –200 km	77	38.5
More than 200 km	9	4.5
Total	200	100.0

d) Holding rayon seminars: After the selection of pilot rayons, launch seminars were conducted in each of them with the participation of the head/deputy head of the RSA and RC, relevant departments of the RSA/RC, heads of all VCs/CCs with a population of fewer than 10,000 people, NGOs, local media etc. During the reporting period, 258 rayon seminars were organized (200 regular and 58 replication). An average of 43 people participated in each seminar. Occasionally, senior management from the regions and UNDP also participated in the seminars.



Signing of partnership agreement with Gorodyschenskyi rayon, Cherkaska oblast

e) Signing of MoU: Most of the rayon authorities signed a partnership agreement during the seminar, while in some cases they signed at a later date. In general, the MoU was tripartite across the country, involving the RSA, RC and UNDP. During the reporting period, MoUs were signed with 261 rayons for partnership with CBA-II. One replication rayon in Donetsk oblast opted to quit the partnership due to a lack of budget for cost-sharing.

Table 4. Participation in rayon launch seminar

# of rayon seminars	Participants										
	OSA heads/deputy heads	OC heads/deputy heads	Other oblast authorities	RSA heads/deputy heads	RC heads/deputy heads	Other RSA/RC officials	VC/CC heads and other VC officials	NGO	Media	Academia	Total
258	0	8	110	540	418	2792	5587	1356	436	36	11,283

Box 2. Opinions about cooperation with CBA from representatives of pilot rayons

“Establishment of cooperation with active communities is an important focus in our joint work with the ‘Community-Based Approach to Local Development’ project. It is the active community that is the key to development of the entire rayon.” *V.M. Danylov, Chairperson of Artemivsk RSA in Donetsk Oblast*

“In order to make our project make a real impetus to further development of the community, we, first of all, aim at creation of a capable community, not only at the final outcomes of implementation of initiatives. That is why leadership position and activity of communities are extremely important for us, as is their independence in decision-making from start to finish in implementation of micro projects.” *M.F. Sylenko, Deputy Chairperson of the Gorodnya RSA in Chernihiv Oblast*

“We are surrounded by a host of problems, and their resolution primarily depends on us. It is through participation in the ‘Community-Based Approach to Local Development’ project that we were able to mobilize our own resources, to bring people together in order to solve common problems, and to discover our capacities to solve shared community problems.” *G.E. Rybalchenko, Head of Economic Department of the Bakhmach RSA in Chernihiv Oblast.*

“The common goal of all partners in the Project is to convince people that it is not passive waiting but their own active attitude and participation can lead to positive changes. Participation of the rayon in replication of

CBA methodology opens that opportunity for us. By joint efforts we must disseminate the project's methodology, and not only among pilot communities in our rayon." **Anatoly Molochny**, Head of Lypova Dolyna Rayon Community Resource Centre, Sumy Oblast

"Unfortunately, our community was not selected for participation in the first phase of the project. But nevertheless, we closely followed the implementation of the project in our rayon, learning the methodologies and experience. In 2010, we created an organization which independently implemented its own micro-project to build a water supply line. That activity helped us to become participants in the second phase of the project." **Mykola Lisnenko**, head of the Lypivka CO, Sumy oblast

"Signing Partnership Agreements with the leadership of eight pilot rayons of Crimea launches a big and important four-year cooperation. The aim of our joint work will go beyond solving basic problems of territorial development, to involve communities in this process, to raise their activeness and establish efficient cooperation between communities and local authorities." **Kostyantyn Bakharev**, First Vice Speaker of ARC Verkhovna Rada

"Participation in the CBA Project is an opportunity to consolidate efforts of local communities to solve their most important problems. We benefited from utilizing their potential in first phase of the Project and jointly did a lot for our communities. We are glad to have obtained another opportunity of cooperation with CBA." **T. Korost**, Head of Kotelivska RSA, Poltavaska Oblast

"I would like to assure that we did support this project and will do this in future. The CBA Project gave an impulse to rayon communities for mobilization." **V. Seniv**, Head of Tlumatska RSA, Ivano-Frankivska oblast

"Our main focus is on creating an active and capable community organization. It is important that the CO is proactive and capable to take joint decisions. Only in this case will the micro-project catalyse further development of the community organization." **I. Buzak**, Deputy Head of Koryukivska RSA, Chernihivska oblast

"In partnership with CBA, authorities receive more information about problems of citizens, and the best ways of solving it. On the other hand, we see some quality changes in the communities which start to realize their crucial role in solving local problems." **Vitaliy Kimak**, Deputy head of Sambirska Rayon Council

"We are ready to support those who do not just wait for a miracle, but act. One always has a great respect for the citizens ready to work for improvement of their community's development." **M. Drahanchuk**, head of Sarny Rayon Council

2.5 Establishing partnerships with Village/City Councils

Establishing partnerships with VCs/CCs comprised five steps: (a) competition announcement; (b) ranking of VCs/CCs; (c) selection of VCs/CCs; (d) holding VC/CC-level CBA-II launch seminar; and (e) signing of MoU.

During the reporting period, 90 percent of the target of establishing partnerships with VCs/CCs was achieved. Details of the different steps of the process are given below:

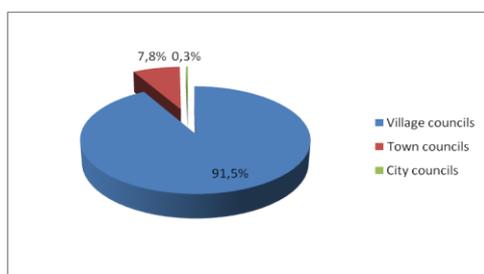
- a) Competition announcement:** The competition for participation of VCs/CCs in CBA-II was announced in each rayon seminar along with competition criteria that included (a) level of problems with basic infrastructure and services with regard to CBA-II priorities; (b) level of socio-economic hardship; (c) willingness to cooperate in and support participatory planning and resource mobilization for micro-projects; (d) satisfactory performance during CBA-I (for CBA-I pilot VCs/CCs only). The participants were supplied with application forms and guidelines.
- b) Selection of VCs/CCs for partnership:** Following the competition announcement during the rayon seminars, interested VCs/CCs sent an application for participation in the competition. A total of 3069 applications were received. They were analysed in light of the above-mentioned criteria and ranked for each rayon. A selection committee comprising of a CBA community development officer in the region, a rayon focal person and headed by a regional focal person reviewed the ranking list and selected the top four VCs/CCs for each rayon, with up to 25 percent in reserve. In total, 836 VCs/CCs were selected for partnership, with 382 VCs/CCs in reserve, for regular partnership, and 230 VCs/CCs were selected for partnership for replication, with 96 VCs/CCs in reserve. In the total of 1066 VCs/CCs selected, 18.9 percent came from CBA-I and 81.1 percent were new (see Table 5). For the purpose of transparency, the results of the selection were publically announced in each rayon by the rayon authorities.

Table 5. Selection of VCs/CCs for Partnership

SN	Activity	Regular	Replication	Total
1	Application received	2807	262	3069
2	Selected for partnership	836	230	1066
	Old (CBA-I) VC/CC	158 (19%)	43 (18.6%)	201 (18.9%)
	New VC/CC	678 (81%)	187 (81.4%)	865 (81.1%)
3	Selected for reserve	382	96	478

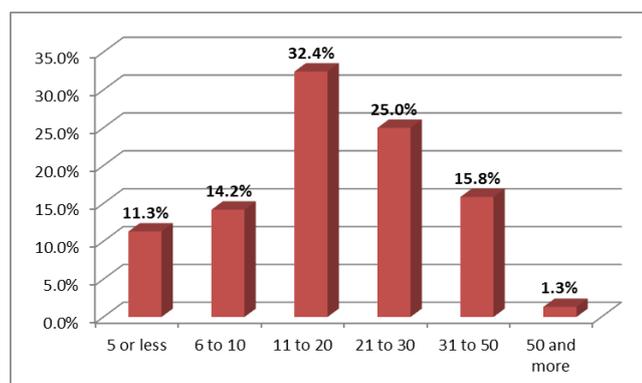
* Details by region are in Annexes V and VI

Of the selected VCs/CCs, 91.5 percent belonged to the category of village council, 7.8 percent were town council/urban-type villages, and 0.7 percent were city councils.



About 42 percent of the 837 VCs/CCs selected for partnership with CBA-II are located in remote parts of the rayons (20–50 km or more from the centre), with 32 percent 11–20 km away. This shows that the project has reached remote areas of the rayons (see Chart 2).

Chart 2. Location of selected VCs/CCs in the rayon*



* Sample size: 837

- c) Establishing partnerships with VCs/CCs:** After the selection of partner VCs/CCs, seminars were conducted in each of them with the participation of the VC/CC head, focal person (and other officials) from the rayon, focal person (and other officials) from the region, local NGOs, local businesses, representatives of local social infrastructures (e.g. schools, kindergartens, health facilities etc.) and interested active people of the community.

During the seminar, details about the effectiveness of CBA-I at local level were shared, often with the help of a film, leaflets and case studies. The process of CBA-II implementation and community selection and the terms of the partnership with VCs/CCs and beneficiary communities were explained. In the reporting period, 994 VC/CC seminars (825 regular and 169 replication) were conducted. An average of 32 people participated in each village seminar.



Signing MoU with Nudyzhen Village Council, Volynska oblast

Table 6. Participation in CBA launch seminars in VCs/CCs

# of VC/CC Seminars	Participants							Total
	Oblast Authorities	RSA/RC heads/ deputy heads	Other RSA/RC officials	VC/CC heads	NGO	Media	Others	
994	210	974	1999	1031	11,056	370	17,128	32,768

Usually, VC/CC heads signed the MoU in the course of the seminar or at a later date. In the reporting period, 1033 MoUs were signed with VCs/CCs (839 regular and 194 replication).



Village Council seminar in Zaporizka oblast

“We saw what our neighbours [CBA-I pilot VC] did, and we are ready to try as well. We are ready to work, and we believe that we can succeed. The Village Council is ready to provide the CO with an office and help them with whatever is in our power.”

S. Bondarenko, Head of VC, Djakovo village, Antratsyivsky rayon, Luhanska Oblast

“It is time to get united for solving our problems. We have to start having faith in our own capacities; otherwise no one will help us. Participation in the CBA Project will give us the chance to prove that we can contribute in bringing development to our village.”

M. Boyko, Head of Kladkivka Village Council, Chernihivska oblast

2.6 Project area distribution

The CBA Project works in all oblasts of Ukraine and the ARC, covering a total of 261 rayons (6–14 rayons per region) and 1066 (836 regular and 230 replication) VCs/CCs (4–5/rayon on average) with a population of fewer than 10,000 people.



Map 1. CBA project area

LEGEND

- = Oblast/Region
- = Rayon
- = Village/City Council

2.7 Partnerships with the private sector

Several meetings were held with Metinvest Holding (a private-sector company) and Donetsk oblast authorities, and understanding was reached regarding possible cooperation among the parties to jointly support micro-projects in selected small cities of Donetsk oblast under the framework of the CBA Project. Therefore, two small cities (acting like rayons) were selected for partnership in Donetsk oblast, and the process of community mobilization was initiated. The company has allocated UAH100,000 for two micro-projects.

Similarly, dialogue was held during October 2011 with officials of Danosha (a private-sector company in Ivano-Frankivska oblast) regarding possible cooperation. It was agreed to have further discussions before a concrete decision on cooperation would be taken. A meeting was also held with Mr. Volodymyr Vorobey, coordinator of CSR Ukraine Community, regarding the possibility of attracting medium-sized agro- companies to sponsor community projects. Possible cooperation on this front is expected during the second half of 2012.

2.8 Experience

As such, no major problems were faced that might hinder the progress of CBA-II during the partnership development process. Nonetheless, the following notable situations were experienced in the course of the CBA-II launch and when establishing partnerships:

- It was a tight schedule to reach all CBA-II launch events. The UNDP Country Office provided support by deputing its senior officials to participate in these events;
- The possibility of slower cooperation from regional authorities was expected. The Secretariat of the Cabinet of Ministers played a coordinating role by informing regional authorities to cooperate with CBA-II;
- Frequently asked questions during seminars included: the possibility of a higher Rayon/Village Council quota; options for partnerships with non-pilot rayons; replication of CBA methodology; and supporting medium-/large-scale alternative energy technology;
- Several non-partner rayons and non-partner communities adopted CBA methodology (during CBA-I), after learning about the project. Not all of them could be accommodated in CBA-II, leading to a waiting list;
- The possibility of establishing partnerships with the private sector exists, but it takes time to develop adequate understanding.

Chapter Three

Developing Support Structures

Over the reporting period, 932 community organizations were formed, 241 Local Development Forums were created, 22/25 Regional Coordination Councils were grafted, and 269 Community Resource Centres were established. Thus the project achieved nearly 100 percent of its target results. Details of the process are given below.

Establishing support structures is one of the important elements of the community-based development approach methodology. Appropriate support structures are developed for participatory decision-making and monitoring at all levels of project implementation. Key support structures include COs at local level, LDFs and CRCs at rayon level, RCCs and CRCs at regional level.

3.1 Development of community organizations

COs are the foundation block for the community-based approach. They enable community members to unleash their potential through collective action. They also help to make governance at local level more participatory.

Development of COs involves (a) selection of pilot communities; (b) assisting the community members to get organized into a CO; and (c) getting the CO formalized. Details of these steps are given below:

a) Selection of pilot community: Following a VC/CC-level seminar, a community selection committee comprising of the VC/CC head, CBA staff and headed by a rayon focal person selected the community to be supported in the VC/CC. The selection was based on key criteria including (a) level of problems with basic infrastructure and services with regard to CBA-II priorities facing the community; (b) willingness of the community to undertake joint decision-making and actions to solve their problems on a collective and self-help basis; and performance during CBA-I (if appropriate).

During the reporting period, 1040 communities were selected for partnership. Of those, 18.5 percent had participated in CBA-I, and 81.5 percent were 'new' communities. A further 738 communities were listed in reserve. This participation by a large number of new communities ensures that the CBA methodology has succeeded in reaching further in society.

Table 7. Selection of pilot communities

SN	Activity	Regular	Replication	Total
1	Selected for partnership	834	206	1040
	Old (CBA-I)	151 (18%)	41 (20%)	192 (18.5%)
	New	683 (82%)	165 (80%)	848 (81.5%)
2	Selected for reserve	690	42	738

* Details by region are in Annexes V and VI

b) Formation of COs: Following the community selection, dialogues were held between the selected communities and the community mobilization team. During the first dialogue, the community members were introduced to the CBA principles and methodology and were motivated to improve their living conditions by following the participatory approach recommended by the project. The communities which accepted the principles of collective action were encouraged to form COs. Each CO elected an executive body (CO management team, COMT), consisting of five members (head, treasurer, secretary and active members).

The existing COs (from CBA-I or otherwise) went through a special assessment before being accepted³ for CBA-II. An assessment of the CO was carried out with the participation of its members to show them its strengths and weaknesses in terms of participation, leadership, governance, micro-project implementation, sustainability of the CO and its activities, coordination and linkage with local authorities and other development agencies. If the assessment score was below a satisfactory level in one or more criteria, the CO was required to make the necessary improvements to become eligible for CBA-II.

³ Called 'grafting' which takes place when a support structure (e.g. CO, LDF, RCC) developed during CBA-I goes through the process of learning and adopting its structure and governing practices to fit the CBA-II methodology



First dialogue with community members in Kyivska oblast



Voting at the general community meeting in Oleksandrivskiy rayon, Kirovohradska



General community meeting in Novomykolaiivskiy rayon, Zaporizka oblast

During the reporting period, 932 COs were created or 'grafted' with the participation of 404,465 men and women (57.3 percent female participation) from 329,927 households, which represented 79.5 percent of the entire households in the communities. COs were formed by an average of 282 households and 433 members. The gender balance of COMTs usually leans towards females.

Table 8. Formation of community organizations

SN	Activity	Regular	Replication	Total
1	No. of COs formed/grafted	810	122	932
2	Household participation			
	<i>Target households</i>	305,076	24,851	329,927
	<i>Participated households</i>	245,338 (80.4%)	17,776 (71.5%)	263,114 (79.7%)
3	Membership	382,338	22,127	404,465
	<i>Male</i>	43%	42.8%	42.7%
	<i>Female</i>	57%	57.2%	57.3%

* Details by region are in Annexes V and VI

- c) Formalization of COs:** The newly formed COs enrolled with their respective VC/CC and went through legal registration with the relevant agencies. The status of a legal entity is essential for the COs to carry out business formally and to open a bank account for financial transactions. This status also makes them eligible to receive grants from national or international agencies.

During the reporting period, 923 COs enrolled with VCs/CCs, and 900 COs received the necessary legal status (see Table 9).

Table 9. Legal forms of COs (grafted and new)

Number	Regular	Replication	Total
A) Enrolled with VC/CC	809	114	923
B) Legally registered	809	91	900
<i>ACMB</i>	0	0	0
<i>Public organization</i>	761	91	852
<i>BSP</i>	28	0	28
<i>Cooperatives</i>	4	0	4
<i>Other</i>	16	0	16
Sub-total	809	91	900

Most COs choose public organization as their legal form. Each legal form has its own specific characteristics and is suitable in a particular context. For example, an association of co-owners of multi-storey buildings (ACMB) is appropriate for multi-storey buildings where one building represents one community. It has financial autonomy to undertake income and expenditures and accept communal property on its balance sheet. The legal status of public organization is relatively open to mobilizing resources from various donors but has limitations in accepting communal property on its balance sheet. Bodies of Self-Organization of Population (BSPs) function somewhat under the control of the local authorities, and a cooperative has several benefits of administrative and financial rights, as it can make a profit and distribute dividends among its members.



Meeting of CO Yasna Polyana's management team (Popivka village)



Participatory assessment of CO, Novogygorivka village, Dnipropetrovska oblast

Box 3. Opinions on community organizations

“The main thing, of course, is not money, but the positive changes we see in other communities. People become more interested in the life of their village. Not indifferent to the initiatives. People are willing to work together...” *O.I. Smashnyuk, focal point at Pervomayske RSA, Mykolayiv Oblast*

“Within the project participation, we began to communicate with the residents much more actively, concerning a particular occasion (and there are plenty of occasions every day), especially when you realize that help is needed, for example, when documents must be sent, someone must be met, costs are to be estimated, or something goes wrong with fundraising, or people must be gathered, letters or charts must be re-written, etc. [...]. We began to communicate with communities of other Village Councils, visit them and consult with them – after all, we have common interests.” *O.L. Demydova, Head of the NGO Dobrobut (Well-Being), Domanivka rayon in Mykolayiv Oblast*

“Representatives of pilot communities in our rayon became considerably more active. They know how to implement a project and work hard possible to make the dreams and plans come true. As authorities, we will be supporting implementation of their initiatives. The CBA Project is not only about improving living conditions but develops capacities of local communities to play an active part in local development. CBA helps form the feeling of confidence in their ability to jointly solve existing problems.”
A. Andrienko, Deputy Head of Lysianska RSA, Cherkaska oblast

“Most important is to overcome the lack of trust among community members. Gradually the trust is born, and people feel support. Everyone participates in the implementation of micro-project: some by contributing money, others – by labour. No one stays apart.” *L. Marynina, head of Tutovytska CO, Rivnenska oblast*

“One of the most challenging tasks for us, the CO management team, is to involve community members to jointly create our Community development plan. We are to organize the process so that people feel allegiance, vote and support the CDP with their financial contributions. It is also a challenge for local authorities of all level: will they be ready to support initiatives conceived in the communities?” *S.Kumpachenko, Head of CO of Shevchenkove village, Cherkaska oblast*

3.2 Local Development Forums

LDFs are created at rayon level and are expected to facilitate dialogue, coordination, planning and decision-making at local level between the oblast and rayon authorities and communities for promoting community-driven local development. Usually LDFs consist of RSA and RC heads, heads of VCs/CCs, chiefs of relevant departments in RSAs/RCs, representatives (focal person) of oblast authorities, and heads of COs formed within CBA.

In the case of CBA-I (old) rayons, existing LDFs were re-initiated (grafted) by adjusting the composition of members, while in the case of new rayons, new LDFs were created under the leadership of the RSA/RC head.

During the reporting period, 241 LDFs were formed or grafted (Table 10), reflecting that all the regular rayons have established a resource centre, while 67 percent of replication rayons have done so. This is because the replication rayons started their activities about six to nine months later than the regular rayons.

Table 10. Formation and grafting of LDFs

Type of rayon	Number	LDF from CBA-I	New LDF	No. of sittings held
Regular	200	100	100	599
Replication	41	19	22	56
Total	241	119	122	655

* Details by region are in Annexes V and VI

Meetings were held regularly to discuss local development issues such as mainstreaming of community plans, mobilizing resources for implementation of community projects, providing guidance and technical backstopping to the COs during community project implementation etc.



Local Development Forum of Dubenskiy rayon, Rivnenska oblast



Local Development Forum of Turkivskiy rayon, Lvivska oblast

Box 4. Opinions on Local Development Forums

“Village communities, at their meetings, must independently choose a problem they want to have solved with the help of our project and with our help, dear village heads. I am asking all representatives of local authorities not to interfere with the communities in making their decision.” *Leonid Zabela, Chairperson of Yemilchyne RSA in Zhytomyr Oblast*

“Recently our rayon established a Local Development Forum. We carefully prepared for its first session. Leaders of public organizations defended their micro projects, asked questions to line divisions of rayon state administration seeking to receive answers and support. The attending leaders of COs and village heads also shared their experiences and reported on their work. Problem issues were resolved in the course of the meeting, co-financing for each of the four projects was planned. It did not matter that the LDF met for the first time, it is more important that it was effective.” *Olena Kuzmenko, focal point, Head of Finance Department at the Kirovohrad RSA, Kirovohrad Oblast*

“Financial support provided by an international project in the crisis times, is doubtlessly important. Local communities do not have a lot of their own money, the rayons here are subsidized. However, the most important thing is that community participation is noticeable here.” *Vladimir Klychnikov, Member of the ARC Supreme Council, during a Local Development Forum in Nyzhniogirsky rayon.*

“The primary role in the project implementation is attached to the community, their perseverance, hard work and their confidence that implementation of such a large project will change the socio-economic situation in the village, improve conditions for medical services, and the village streets will be lighted.” *Head of RSA at LDF meeting (Cherkasy Oblast)*

3.3 Regional Coordination Councils

RCCs are created at regional level with the aim of coordinating and facilitating financing for micro-projects. They serve to disseminate information about the project among officials, monitor the project’s activities in the region and provide consultations on strategic issues of implementing micro-projects. RCCs are chaired by the deputy head of the Oblast State Administration (OSA) or Oblast Council (OC)⁴ and consist of representatives of the rayon administration/council heads, appropriate OSA/OC departments, selected VC/CC heads, COs, NGOs and the private sector.

⁴ In the case of the ARC, the Republican Coordination Council is headed by the speaker of Verkhovna Rada of the ARC.

During the first phase of CBA, 25 RCCs were established in all oblasts of Ukraine and in the ARC. During the reporting period, 22 of them were re-activated to remain functional during CBA-II with the appropriate changes in composition of their members. They held 31 sittings in total. Some regions faced difficulties in reconstituting their RCC because of a change in OSA/OC focal person and changes in RCC members. It is expected that the remaining RCCs will be formed by the third quarter of 2012.



Meeting of Zaporizhka Regional Coordination Council



Regional Coordination Council in Cherkasy



Mykolaiv Regional Coordination Council



Regional Coordination Council, Dnipropetrovska oblast

Most of the sittings held during the reporting period focused on:

- the best ways to arrange effective cooperation with VC/CC heads and communities to implement micro-projects;
- involvement of OSA heads of departments in preparing micro-project proposals and accelerating the approval procedure; and
- organizing how to replicate the CBA methodology and participate in the energy efficiency component of the project.

Box 5. Kherson initiates the practice of holding RCC meetings outside the regional capital

On 26 January 2012 the RCC meeting of Khersonska oblast was organized in Hornostaiivskyi rayon to summarize the joint work on community development. The heads of all nine CBA pilot rayons participated in the council meeting. Opening the meeting, the head of the OSA, Mr. Mykola Kostyak, said: “It is always easier to hold a meeting in the premises of administration. However, this means we are further from people and don’t see how they work and realize their dreams. Seeing with my own eyes how interesting this project to develop this rayon is, I see the scope of holding our Regional Coordination Council meetings outside the regional capital, in the fields.”

Mr. Mykola Kostyak, Head of oblast state administration and heads of rayon state administrations during their visit to community



To accommodate community priorities, 14 (of 25) regional and 134 (of 200) rayon authorities have designed short- to medium-term special oblast support programmes suitable for co-funding community initiatives and being approved by their respective councils (see Table 11). This shows sound evidence of the support of authorities to the CBA methodology and the possibility of their continuing support for community plans in future.

Table 11. Socio-economic programmes of local/regional authorities

SN	Region	Soc-Econ Prog		Period Years	Concrete Budget (UAH million)		Implicit Budget % of MP-cost
		Region	Rayon		Region	Rayon	
1	ARC	0	8	1	0	1.8	
2	Cherkaska	1	9	1-3	0	0	10-90%
3	Chernihivska	0	6	1	0	1.2	broad
4	Chernivetska	0	6	1	0	2	
5	Dnipropetrovska	1	9	1-4	5	1.5	
6	Donetska	0	5	1	0	0.9	
7	I-Frankivska	0	0	0	0	0	
8	Kharkivska	1	6	1-4	0.3	0	10-35%
9	Khersonska	1	0	4	0	0	broad
10	Khmelnyska	1	8	1-4	1.4	0	%
11	Kirovohradska	1	8	1-4	0	3	%
12	Kyivska	0	0	0	0	0	
13	Luhanska	1	0	1-4	7	0	%
14	Lvivska	0	0	0	0	0	
15	Mykolaivska	1	5	1-3	0	1.5	%
16	Odeska	1	8	1-4	0.5	3	
17	Poltavska	1	8	4	1.9	1.5	
18	Rivnenska	0	6	1-2	0	0.9	
19	Sumska	1	9	2	0	3.3	%
20	Ternopil'ska	0	10	1-3	0	2	
21	Vinnyska	1	6	1-2	0.4	0	%
22	Volynska	1	9	1	1.5	1.5	
23	Zakarpatska	0	8	1	0	2.6	
24	Zaporizka	1	0	4	0	0	%
25	Zhytomyrska	0	0	0	0	0	
	Total	14	134		18.0	26.7	

3.4 Community Resource Centres

To facilitate the functioning of LDFs and RCCs, CRCs are established by the partner rayon authorities and regional authorities, which provide premises and depute a focal person. CBA provides logistical facilities as necessary and trains the focal persons. CRCs are important in that they support non-CBA communities in carrying out local development activities in line with the CBA methodology – something considered valuable from the perspective of methodology replication.

“I would like to reiterate the importance of rayon resource centres. They should not only exist on paper, formally, but should be efficient, equipped with staff and well prepared to support communities at all stages of project implementation.”

*Kostyantyn Bakharev,
First Vice Speaker of ARC Verkhovna Rada.*

a) Rayon resource centres: The 261 partner rayons established or grafted 230 resource centres during the reporting period, thereby reaching 88 percent of the target. Of these, 197 belong to regular rayons, while 33 belong to replication rayons (see Table 12).



In addition to providing information about the CBA Project, rayon resource centres display information about other donors' initiatives



Example of an information board in a rayon community resource centre

Box 6. Cherkasy holds a regional contest for rayon Community Resource Centres

On 16–17 January 2012, Cherkasy Oblast Administration visited all nine rayons CRCs in the region. The specially created commission, composed of representatives of the OSA, OC, CBA regional coordinators and independent experts, assessed the effectiveness of rayon CRCs by the following criteria:

- institutional capacity;
- efficiency of work;
- communication activities; and
- activities beyond cooperation with CBA.

According to the mission's conclusions, the Zvenihorodskiy rayon CRC is the best in the region, followed by those of Smilyanskiy and Shpolyanskiy rayons.



b) Regional resource centres: Of the 25 regional authorities, 23 established CRCs (regional implementation units) during CBA-I (except in Kyiv and Crimea, where the centre is located in CBA and UNDP Crimea sub-offices, respectively). For CBA-II, all the CRCs were re-established with the addition of improved logistics and facilities. Some regions decided to move the CRC from outside to inside administration/council buildings or related departments. Some regions added rooms or allocated a larger space for the CRC, while others continued with the same premises from CBA-I.

Rayon authorities established their own resource centres to support CBA implementation. In total, 246 resource centres were formed against target 261 during the reporting period.

Table 12. Creation of Community Resource Centres

	Level of CRC	Target	Total
1	Regional CRC	23	23
2	Rayon CRC (regular)	200	197
3	Rayon CRC (replication)	61	49
	Total	284	269

* Details by region are in Annex V and VI

CBA-II responded with the additional support needed to equip the regional resource centres to make them more effective. To this end, it collected estimates of the support required to strengthen the capacity of the regional resource centres and provided financial support to implement the proposals which included refurbishing the office premises, equipment and furniture. All 19 regions that submitted a proposal received support from the project.

Box 7. Oblast Centre for Regional and Local Development created in Cherkasy oblast

Since the terms and conditions of the MoU between UNDP and Cherkasy OSA for the implementation of CBA stipulate sustainability of the project, the oblast administration decided that after completion of CBA-II the oblast implementation unit should continue to work as an oblast CRC. It would maintain the network of existing rayon CRCs in pilot rayons of CBA, but also extend it to cover all the rayons in the region.

Therefore, the OSA established the Oblast Centre for Regional and Local Development as part of the

administration's structure. Terms of Reference for the centre were prepared and approved, and the appointed head of the centre was selected from the staff members of the OSA's Foreign Relations Department. His/her job description focuses on managing the centre's activities.

Within the last six months, under support of the centre, two rayons received grant assistance from the Kusanone Programme of the Japanese Embassy in Ukraine; several communities received grants from the state fund for local self-government support. Many VCs that were not included in the CBA Project started to create and manage community organizations. The number of projects developed by community initiatives and submitted for competition-based funding to various charitable foundations and programmes increased.

The Head of the Oblast Centre for Regional and Local Development launched a course of lectures on community-based local development for village heads within the framework of a programme to upgrade the qualifications of staff members of bodies of local self-government.

At present, it is the Oblast Centre for Regional and Local Development that assumes a large part of the responsibility for implementing the methodology replication component of CBA in four rayons of Cherkaska oblast. Experts at the centre, together with CBA regional coordinators, conducted rayon and village seminars, presented terms and conditions for participation in the project, the approach to co-financing and bidding procedures etc.

The OSA leadership values highly the centre's achievements and has provided separate premises for it. It has decided to employ a specialist to be in charge of implementation of the replication component, and also to create a powerful information and methodology advisory centre for the rayons.

Chapter Four

Capacity-Building

From June 2011 to July 2012, CBA organized 1,229 trainings for 15,034 community members and 5,225 civil servants/elected officials, nearly reaching the target.

Capacity-building involves such activities as training, exposure visits and other techniques used to enhance skills or transfer knowledge. The purpose is to ensure effective implementation of CBA-II, to enable local communities, local authorities and other partners to adopt and practise the approach promoted by the project. The following capacity-building activities were carried out during the reporting period:

4.1 Preparation of training materials

During the reporting period, eight manuals were prepared/updated and published:

- *Operational manual* (includes a detailed description of the CBA methodology, policies and procedures; meant for CBA staff and focal persons);
- *CO manual* (describes procedures to be followed by community members on CO development, planning, undertaking of priorities, sustainability of efforts);
- *Technical manual* (describes the process of micro-project implementation, sets out a list of all necessary steps to be made by COs to successfully realize micro-project);
- *Manual for participatory assessment* (shows COs how to conduct a participatory assessment);
- *Visibility guidelines* (an instruction on visibility for project personnel developed to ensure appropriate presentation of support provided by the EU and UNDP to the CBA Project);
- *Financial manual* (for COs to learn how to keep accounts and report in the framework of CBA);
- *Energy efficiency manual* (prepared for COs and the CBA team in the region, dealing with CBA's vision on the subject, types of technologies and renewable energy sources that could be implemented with CBA support, implementation procedures etc.);
- *Economic manual* (prepared for COs and the CBA team in the regions, providing CBA's vision on rural economic development, procedures for developing agricultural service cooperatives and credit unions, procedures for implementing economic activities with CBA support etc.);
- Various other training materials were updated/developed for CBA staff, partner authorities and COs. Aiming for a better visual representation of the CBA process and methodology, two kinds of banners were designed, produced and disseminated among regional and rayon CRCs and CBA pilot COs:



Process of CBA implementation



Cycle of community development

Box 8. Village Council heads of Cherkaska oblast learn the CBA methodology

In February 2012, Cherkasy regional centre of re-training of public servants and employees of local governments introduced a course on sustainable development of rural communities and invited CBA regional coordinators to teach practical aspects of community mobilization and local development. The cycle of 20 seminars was completed at the end of April 2012. CBA manuals and training materials are used as training materials.

4.2 Training of project personnel



Mr. Olivier Adam, Ms. Oksana Remiga and Ms. Tetyana Matiychyk, during training of CBA staff

On 9–12 August a four-day training session for all CBA-II regional coordinators (community development officers) was held in Kyiv. The opening of the training session was attended by Mr. Olivier Adam, UN Resident Coordinator and UNDP Resident Representative, Ms. Oksana Remiga, Senior Programme Manager of UNDP, and Ms. Tetyana Matiychyk, CBA Project Coordinator from the the Secretariat of the Cabinet of Ministers, Department for Relations with the Verkhovna Rada and the Regions.

Mr. Adam encouraged the CBA personnel to maintain their tempo and commitment during CBA-II. He thanked the Ukrainian government and the EU for their support to CBA and expressed his readiness to continue UNDP's strong support to CBA in future.

Ms. Matiychyk shared her experience from recent visits to regional launches of CBA-II and assured the participants that the Secretariat of Cabinet of Ministers is ready to extend its support to help implement CBA-II successfully.

Key themes of the training included analysis of CBA-I implementation, CBA-II's vision, strategy and activity plan, the economic and energy efficiency components, replication of CBA methodology and knowledge management. At a later date, the regional coordinators received re-training along with regional and rayon focal persons. In total, 70 project staff received training. CBA staff also took various online corporate courses related to security and specialized courses on finance, results-based management, knowledge management, communications etc.

4.3 Training for representatives of rayon/regional authorities

In the reporting period, 1156 trainings were conducted in 24 oblasts and the ARC for 14,703 CO executives and 4676 representatives of local authorities. The training included such areas as CO management, accounting, planning, micro-project preparation and implementation, PAs and public audit.

Table 13. Trainings organized*

SN	Participants	No. of trainings held			No. of participants**		
		Regular	Replication	Total	Regular	Replication	Total
1	CO executives	1107	109	1216	14,490	1,144	15,634
2	Officials of local/regional authorities				4,439	501	4,940
3	Regional/rayon focal persons	10	3	13	220	65	285
Total		1,117	112	1,229	19,149	1,710	20,859

* Details by region are in Annex V and VI

** including repetition

Another 13 trainings were conducted during October–November 2011 for 220 CBA focal persons from all regions and all partner rayons serving as coordinators of CRCs. The training programme focused on CBA-II's vision, strategy and implementation procedures. The participants learned about grassroots realities, and, as a result, regional teams were able to develop workplans for establishing/strengthening their CRCs.



Training for Rayon resource centre coordinators of Vinnytska, Kirovohradska and Cherkaska oblasts



Training for Rayon resource centre coordinators of Mykolaiivska and Odeska oblasts

Box 9. Opinions of regional/rayon focal persons about the training

“Such trainings are useful in that they improve understanding of the project methodology, provide knowledge and generate ideas. Moreover, they demonstrate standards of event organization at rayon level.” *Oleksandr Zakorchennyj*, Tomashpilskyi rayon

“The training provided us with a lot of useful and interesting information, and I now feel 100% ready to perform as RCRC coordinator.” *V.Sokyrko*, Dolynska RSA

“During this very interesting and lively training we received a lot of interesting information and answers to all the questions.” *Vira Volchenko*, Gadyatskyi rayon

“We received plenty of meaningful and useful information in a very accessible form. I’m positively impressed.” *Vasyl Tymkiv*, Svalyavsky rayon

“It was very useful to learn about updating pages of RCRC on websites and Facebook.” *Ihor Kurinnyi*, Chutivskyi rayon

“Especially interesting was for me the dialogue on dissemination and replication of experiences.” *Natalya Gudok*, Chernihivskyi rayon

“From this training, we will take the received knowledge and skills to our communities. It is there, in our villages and towns, that the huge potential is dormant, and we have to find and untap it.” *Tetyana Terletska*, coordinator of Starosambirskyi rayon resource centre

In some regions, the CBA team was asked by the authorities to launch/support seminars to familiarize local authorities with CBA. This activity proved popular and effective in transferring experience from successful communities (see Box 10).

Box 10. A Regional Implementation Unit’s CBA-II creative workshops

CBA-II creative workshops were launched by Donetsk OIU for community representatives. The main aim of this initiative is to transfer positive practical experience on local development from the source (demonstration CO, demonstration village and rayon CRCs) to other counterparts from COs and representatives of local authorities. In selecting participants for the workshop, the main criteria are willingness and ability to implement the newly acquired knowledge in their community.

The main objectives were to:

- keep abreast of innovations occurring in communities in the course of CBA-II implementation;
- keep rayons and communities in constant operating mode;
- train communities and rayons to analyse, generalize and present their best practices;
- constantly keep the flow of best practices disseminated among communities; and
- create a network of Donetsk oblast communities and rural CRCs on Facebook.

On 13 March 2012 a launch seminar for CBA-II creative workshops was organized for rayon focal points at Donetsk OIU. The participants reviewed the current status of implementation of the CBA-II project in Donetsk oblast and analysed the main mistakes made in the course of preparing micro-project proposals.

A presentation entitled ‘How to organize and conduct a monitoring visit’ evoked the most discussion. Speeches by the Deputy Chairperson of the Krasnoarmiysky District Council, N.A. Maslo, and Head of the Mykolayivsky Vidrozhennya NGO, V.O. Dimitrova, accompanied by a demonstration video, helped the participants analyse a case study.

In May 2012 a seminar for CO heads (with a site visit to a CO) included:

- how to maintain permanent activity in a community;
- how to ensure high-quality public control over the work by a contractor;
- how to ensure good reporting;
- how to organize and conduct a monitoring visit to a community project;
- how to create a CO page on Facebook; and
- a CO’s experience of the optimal organization of a micro-project implementation process and reporting.

In March 2012, three cluster trainings were organized for over 60 focal persons from oblasts and rayons selected for partnership with CBA within its replication component. The training agenda included an overview of the theoretical and practical aspects of social mobilization, the micro-project cycle, monitoring and evaluation, and public relations. Participants also learned about the mechanisms of joint planning and the role of each of the structures created for this purpose: LDFs and RCCs. Each training included a visit to a community, allowing focal persons to meet with organizations who had already undertaken several projects and witness their results. Visits to exemplary rayon CRCs demonstrated best practices of their work and inspired each rayon focal person to create a vision of his/her future CRC.

“For me cooperation with the CBA Project represents a milestone in my professional life: coordinating replication of the community-based approach in Cherkasy region, I will get the opportunity to work directly with people and help them improve their living conditions. This training enabled us to upgrade our communication skills, and we will now use them more efficiently in our work with communities.” *Ms. Olha Bondar, CBA coordinator from Cherkasy Regional State Administration*



Ihor Dyatlov, Head of Mykolaiivska Oblast Council, attended training for 17 coordinators of rayon CRCs of Mykolaiivska and Odeska oblasts. Opening the event, he mentioned:

“Having travelled around the region, having spoken to the local citizens, I became persuaded of the efficiency of such an approach. The most important element of CBA activities is a community’s self-organization and development. Now, when we are planning expenditures from the oblast budget for renovation of a certain object, we take into account whether the local community is engaged in this project.”



Cluster training in Zaporizya, 20–22 April 2012



Cluster training in Odesa, 27–29 March 2012

Box 11. Best practice of a rayon CRC: Bashtansky rayon CRC

In the first phase of CBA, Bashtansky rayon of Mykolaivska oblast was not selected to become a pilot. Nevertheless, the idea of mobilizing communities for cooperation with local government sounded very interesting to the authorities; therefore, the decision was taken by heads of the RSA and the RC to closely follow the process of CBA implementation in Mykolaiivska oblast, and make an effort to replicate it. Thus, employees of the RSA participated in CBA trainings and learned all the processes of the community-based development approach. The process of forming COs was launched at grassroots level. To replicate the CBA approach, an LDF was created in October 2010 and included leadership of the RSA and RC and heads of 19 COs.

With a view to enhancing cooperation with organized communities and attract more donors funding, a rayon CRC (officially the Investment Department) was created. It was staffed by four employees, and UAH110,000 was allocated to equip it. According to Ivan Rubskyi, Head of Bashtanska RSA, in two years this investment had paid off with UAH2 million of investments for social projects.

In 2011, Bashtansky rayon was selected to become a pilot for CBA-II. The advanced state of the Bashtansky rayon CRC distinguishes itself among other CBA pilot rayons, and it was presented as a best practice of establishing and running a CRC during trainings for 61 replication rayons held in March–April 2012.

4.4 Training of community organization executives

During the reporting period 1,216 trainings were organized to train CO executives and representatives of local councils. The courses included such areas as CO management; community planning; drafting micro-project proposals; micro-project implementation; reporting to CBA on micro-project implementation; participatory assessment of COs; public auditing and handover. A total of 15,634 CO executives and 4,940 representatives of local authorities took part, of which 61.7 percent were female and 38.3 percent male.



Training on community planning in Reniyskiy rayon, Odeska oblast



Training on participatory assessment in Pustovarivka village, Kyivska oblast

Box 12. Opinions of CO training participants

“We especially appreciate the project’s training sessions, which presented complex issues in a simple, accessible and understandable way for every village resident.” **Vadym Gorpynych**, head of the Zubkivchany NGO in the village of Zubkovychi, Olevsk rayon, Zhytomyr oblast

“I am grateful to you for the invitation to the first training on NGO management for representatives of the Rayon Department of Justice and the state registrar. It considerably accelerated some of our actions on registration of public organizations.” **Yuri Prokopets**, head of the Sinhurivka Village Council, Zhytomyr rayon

“The most important thing for us is those skills and knowledge that enable us to work together in the future, to unite people around different issues ...” **A.D. Kryzhanovska**, head of the Oberig Katerynky NGO, Mykolaiv oblast



Training for community management teams, Zhytomyrska oblast



Training in Bashtanka rayon CRC, Mykolaiivska oblast

Box 13. Opinions of CO training participants

“After the trainings we have a clear picture about community organization, its structure, goals and capacities. We did have an intuitive understanding before, but only after the training do we feel full confidence to run the organization.”

Head of Dovira CO, Donetska oblast

“Such trainings are very important for us. It is here that we receive answers to all the puzzling questions and learn from the experience of more successful communities.”

Iryna Stomachenko, head of Korzhi VC, Baryshivskiy rayon, Kyivska oblast

Chapter Five

Community projects

From June 2011 to June 2012, 546 micro-projects were approved for funding, reaching 58 percent of the target. Of these, 82.8 percent were related to energy saving/efficiency, 8.4 percent to health facilities, 8.6 percent to water supply, and 0.2 percent to the environment.

To support the improvement of living conditions in rural areas, strengthening participatory governance and enhancing energy efficiency, CBA supports the implementation of community 'micro-projects' through small grants based on equity, feasibility, sustainability and cost-sharing criteria. The following key sub-activities took place in this regard:

5.1 Community planning and mainstreaming of plans

After creating a CO, community members prioritize the problems of their village they want to solve. Through training, CO members are familiarized with the need for and process of participatory planning and the bottom-up planning process. The CO members identify their development needs, set priorities and prepare a conceptual proposal called a community development plan (CDP). When it is approved by the VC/CC, it is submitted to the LDF for review and approval. CDPs from various communities are discussed at the LDF meeting, and the most appropriate plans are approved along with recommendations for an allocation from the rayon budget.



Community planning in Lyubomylskiy rayon, Volynska oblast



Community planning, Reniyskiy rayon of Odeska oblast

During June 2011 to June 2012, 880 COs defined priorities in their CDPs. In total, 850 CDPs were approved at VC/CC level, and 720 of them were approved at LDF sittings.

Table 14. Community Development Plans*

SN	Details	Unit	Regular	Replication	Total
1	CDPs prepared/granted	No.	809	71	880
2	Sectoral distribution of top priority				
	<i>Energy saving</i>	%	75.3%	n.a.	75.3%
	<i>Water supply</i>	%	12%	n.a.	12%
	<i>Health</i>	%	11.8%	n.a.	11.8%
	<i>Environment</i>	%	0.9%	n.a.	0.9%
3	CDPs approved at VC/CC level	No.	787	63	850
4	CDPs approved at LDF level	No.	671	49	720

* Details by region are in Annex V, VI

The majority of problems prioritized for cooperation with the CBA Project are devoted to energy saving (replacing windows and doors, replacing or repairing heating systems, street lighting etc.), followed by water supply (repairing or renovating water supply systems) and health care (repair of health facilities, purchasing medical equipment etc.).

CO members established the priority for their plans based on such criteria as *intensity* of need (80 percent or more of households considered it the highest priority), *feasibility* (the micro-project is simple enough to be implemented within the capacity of the CO members), *resource availability* (willingness of donors, community members and local authorities to support the priority), and *sustainability* (the beneficiary community should be able to sustain the object/services created under the project).

5.2 Approval of micro-project proposals

During June 2011 – June 2012, 677 COs developed micro-project proposals and had them approved by their LDF. Of these, 626 were sent to CBA for the necessary appraisal, and 546 were approved for funding by CBA. A typical proposal includes a set of documents such as technical documentation, cost estimates with proposed cost-sharing, a letter of commitment from stakeholders, protocols of decisions made at various times, the CO's statute, bank account details, micro-project proposal, the result of a participatory assessment and/or maturity index, sustainability mechanisms etc.

Preparation of micro-project proposal, Rivnenska oblast



Table 15. Implementation of micro-projects

	Activity	Regular	Replication	Total
1	Micro-project proposals submitted by COs	625	1	626
2	Micro-project proposals approved for funding	546	0	546
4	Micro-projects completed (works done)	51	0	51
5	Public audit conducted	44	0	44
6	O&M funds established	482	0	482
7	Handover completed	25	0	25

* Details by region are in Annex VII

The total cost of the approved micro-projects was UAH86.3 million (about €8.7 million), which was shared by partners as follows:

- Community organization UAH6.7 million (7.7%)
- Village/city councils UAH9.9 million (11.5%)
- Rayon authority UAH29.1 million (33.8%)
- Oblast authority UAH3.1 million (3.6%)
- CBA Project UAH36.1 million (41.8%)
- Private sector UAH1.4 million (1.6%)

Sectoral distribution of the approved micro-projects is as follows:

- Energy saving 82.8%
- Water supply 8.6%
- Health 8.4%
- Environment 0.2%

The approved projects are expected to benefit more than 538,700 people (293,300 men and 245,400 women). In terms of institutional beneficiaries, the distribution of 546 approved micro-projects is as follows:

- Schools/kindergartens 71.2%
- Health facilities 9.4%
- Local communities 19.4%

5.3 Implementation of micro-projects

All the micro-projects approved were put into the process of funding/implementation, which includes signing a grant agreement between the CO and UNDP and releasing the first tranche of funds into the beneficiary CO's bank account. Signing the grant agreement at CO's general meeting develops a strong sense of ownership and accountability among the CO members regarding the resource utilization and timely completion of the work.



Tender in Verkhnya Jablunka village, Lvivska oblast

Following the release of the first tranche of funding, the CO starts the process of necessary preparation for implementation. It forms a functional group and a tender committee, and announces a tender to select a contractor. The best bid is chosen by the CO, and a contract is signed for implementation of the micro-project. As the implementation proceeds, a quality supervision committee monitors the work from time to time. When the work, reporting and verification are completed, the total grant amount is released in three tranches.



Implementation of an energy-saving project in Novoselivske village of Luhanska oblast allows children to play indoors without needing to wear warm clothes



5.4 Post-completion activities

The issue of sustainability of the object created or repaired through the micro-project was ensured at the outset by getting the COs and relevant local authorities to reach mutual agreement on jointly carrying out operation and maintenance. Of the 546 micro-projects approved up to June 2012, 482 had a sustainability arrangement built-in. By June 2012, 51 micro-projects had been completed, 44 of which publicly audited and 25 handed over to the relevant department.

Box 14. Opinions on micro-project implementation

“We have for a long time worked on making our dream a reality. The Hryshyne outpatient clinic welcomes us with comfort, new windows and doors. This is only our first major step in the development of our village, and we took it thanks to cooperation with the EU/UNDP project ‘Community-Based Approach to Local Development’.” *L.M. Nagorna, Chairperson of the Yednist NGO, Hryshyne rural local community, Krasnoarmiysk rayon, Donetsk oblast*

“We did not even believe that our water supply line could be repaired – the pump started to malfunction, and the villagers had to collect water from other streets. But participation in phase II of the CBA Project gave us hope that our problems would finally be resolved. Support was promised by both the Ustynivka Rayon State Administration and the Rayon Council, as well as by private entities. Most importantly, Dymytrove residents themselves actively raised funds for the project co-financing, not being limited to 5 percent.” *G.D. Bondar, Chair of the Dymytrove Village Council, Ustynivska rayon, Kirovograd oblast*

“Different situations emerge in the course of implementing a micro-project, and problems cannot be ruled out. Therefore, at certain points, it is very effective to monitor implementation performance. Besides, inspections are carried out in the presence of a contractor’s representative, and this makes it possible to point out shortcomings and influence the process, correcting any errors.” *O.I. Kharchenko, Project Facilitator from Domanivka RSA, Mykolayiv oblast*

Box 15. Community participation in the sustainability of completed projects: Cherkaska oblast

Renovating communal infrastructure – schools, kindergartens or water supply systems – through joint efforts of communities, authorities and business is a big achievement for a rural area. But once it is accomplished, the question of maintenance and sustainability arises.

According to Ukrainian legislation and CBA practice, the renovated object with its newly created value is handed over to the owner (usually the village council or rayon council), and the community which took the initiative and carried out the renovation loses the legal right to control its maintenance and use. Cherkasy oblast succeeded in finding a mechanism to preserve the community’s role in continuing to operate and maintain the renovated object, as follows:



Before the community starts to prepare a micro-project proposal and mobilize resources of local citizens and businesses, the CO's leadership agrees its role in the further maintenance of the object with the object's owner. At the beginning of the micro-project cycle, the CO and the object's owner sign a Memorandum of Cooperation on the sustainability of the object. The Memorandum regulates the joint action for the sustainable use of the object. Attached to it is the preliminary cost estimate of expenses to be contributed by each party for sustainable maintenance.

This Memorandum constitutes a reason for creating an Operation and Maintenance Fund in the CO. The Fund is created at the beginning of the project cycle, giving the CO the opportunity to start

collecting modest contributions from the early stage of cooperation. The collected funds are usually kept in cash or in the CO's bank account and are readily accessible if needed.

In addition to financial conditions, the Memorandum also determines obligations as regards joint maintenance of the object and, in particular, the community's participation.

Once signed, the Memorandum is displayed on the CO's information board, and its implementation is regularly reviewed at the general community meetings. As needed, the community meeting can approve changes to the cost estimate attached to the Memorandum.

Such a mechanism of joint operation and maintenance allows for the more efficient, transparent and sustainable use of funds for running infrastructure.

5.5 Experience

The procedure of preparing micro-project proposals took longer than expected, due to changes introduced into Ukrainian legislation. According to Article 31 of the Law 'On regulation of city construction' and Regulation #560 of the Cabinet of Ministers (dated 11 May 2012) on approval of construction projects, projects related to the construction of new buildings, repair and renovation require special approval. The time-frame of approving project documentation is up to 30 days, and of approving budgets/cost estimates is up to 15 days. If amendments to the project proposal are recommended, it should undergo another round of assessment. The second approval process might take up to 15 days. Therefore, if micro-project proposals had to undergo several rounds of assessment, the process was often delayed.

The contractor also needs to get approval for a licence and a work permit. These two conditions take a significant amount of time. As a result of these new rules, the implementation of micro-projects may experience significant delays.

Chapter Six

Special Components

CBA-II envisions three additional dimensions over CBA-I – namely, methodology replication, rural economic development and energy efficiency. The first year of CBA-II was used to lay the foundation for implementation of these components. Details about their specific status is given below:

6.1 Methodology replication

Implementaton of the methodology replication component in the reporting period was devoted to shaping the concept, preparing the manual, selecting pilot areas and launching field-level activities. The core of the activities will take place in the second half of 2012 through 2013.

CBA-II envisions that the community-based development methodology will be gradually internalized into the national framework of local development. From this perspective, there is a provision for capacity-building support to competent partners at regional/local level. According to the project document, the action period for this component is from the 14th to the 42nd month of the project.

Under the CBA methodology replication component, it is expected that oblast and rayon focal persons will be intensively involved in model implementation, with technical support and backstopping from the CBA team. Grants for community projects are based on special cost-sharing, with local/rayon/regional authorities contributing 70 percent of funding, the CBA Project 25 percent (with a maximum ceiling of US\$2600) and COs 5 percent.

A major part of this activity will be carried out during the second half of 2012 and in 2013. During the reporting period, the following activities were undertaken and results achieved:

6.1.1 Selection of regions and rayons: In November 2011, a competition was organized for all the regions to participate in methodology replication. The competition was based on demand and commitment as reflected by:

- the existence of a special social-economic programme in the region that allows implementation of the CBA methodology;
- a decision by the oblast to replicate the CBA methodology;
- availability of a budget for replication;
- the existence of a CRC;
- deputation of suitable staff to implement the replication;
- the region's performance during CBA-I implementation;
- the region's performance so far in CBA-II implementation; and
- special factors such as disasters, particular hardship etc.

Twenty regions participated in the competition, with 129 rayons recommended by them for selection. After the applications were reviewed, the 62 rayons approved to pilot CBA replication were as follows:

Table 16. Regional distribution of rayons for methodology replication

SN	Region	Rayon quota	SN	Region	Rayon quota	SN	Region	Rayon quota
1	ARC	0	10	Khmelnyska	2	19	Sumska	3
2	Cherkaska	4	11	Kirovohradaska	4	20	Terpnopilska	4
3	Chernihivska	0	12	Kyivska	2	21	Vinnyska	0
4	Chernivetska	2	13	Luhanska	4	22	Volynska	4
5	Dnipropetrovska	4	14	Lvivska	4	23	Zakarpataska	2
6	Donetska	2	15	Mykolaivska	3	24	Zaporizka	3
7	Ivano-Frankivska	4	16	Odeska	3	25	Zhytomyrska	0
8	Kharkivska	0	17	Poltavska	3		TOTAL	62
9	Khersonska	2	18	Rivnenska	3			

The process of selecting replication rayons followed the same procedure as selection of the main pool of pilots. The main selection criteria were the same as for the pilot rayons. However, priority was given to selecting new rayons which had not participated in CBA-I or CBA-II and rayons from the CBA-II reserve list.

Of the selected rayons, 28 participated in CBA-I, and 34 were new. A further 19 rayons were selected for a reserve list (see Table 2).

6.1.2 Establishing partnerships with rayons: During the reporting period, 58 launch seminars were held in selected replication rayons, and 61 partnership agreements were signed, reaching the target set. One rayon in Donetsk oblast decided to quit due to a lack of budget for cost-sharing.

6.1.3 Establishing partnerships with VCs/CCs: As described in Section 2.5, a competition was launched in each selected rayon to select VCs/CCs, and 230 (out of the target of 244) were selected, thereby reaching 94 percent of the target. Partnership agreements were signed with 194 of them during the reporting period.

6.1.4 Developing support structures: As described in Chapter 3, various types of support structures were developed during the reporting period:

- 206 communities (of 244 target) were selected through competition;
- 122 COs were formed (of target 244), 91 of which were registered legally and 114 were enrolled with the relevant VC/CC;
- 41 LDFs were established; and
- 49 CRCs were established.

6.1.5 Capacity-building: As described in Chapter 4, various activities were implemented to build the capacity of stakeholders in the replication pilot areas. In particular:

- methodology replication guidelines were prepared for project staff and partner authorities;
- project staff and focal persons of the replicating rayons were trained how to implement replication; and
- community members and representatives of local authorities were provided with training and exposure visits. Training included areas of CO management, planning, project implementation etc.

6.1.6 Community projects: As described in Chapter 5, activities were initiated to support COs to implement micro-projects. Since the CBA methodology is process-oriented and requires COs to be mature before undertaking planning and micro-project activities, and since the replication activity was initiated during early 2012, not many COs reached the stage of implementing micro-projects by the reporting period. In total, 71 COs prepared CDPs by July 2012, of which 63 were approved by their respective VCs/CCs and 49 were approved by their respective LDFs.

6.1.7 Communications and visibility: During the reporting period, 22 media events took place in four oblasts, and 120 items of media coverage were traced in 14 oblasts. Three regions brought out newsletters, and 73 articles appeared on partners' websites about replication activities.

6.2 Rural economic development

Under the rural economic development (RED) component CBA-II envisions supporting small-scale economic initiatives of rural communities. The main focus is on promoting collective actions that could lead to generating income and creating employment opportunities in rural areas. The project is expected to assist small farmers to become organized and form cooperatives to bring added value to local products through efficient production, packaging and shared marketing.

The envisioned duration of the RED component of CBA-II was from the eighth to the 30th month of the project. It was launched in mid-March 2012 with the recruitment of a specialist to coordinate activities, and the following activities were carried out during the reporting period:

6.2.1 Staff recruitment: A small-business development officer was recruited and trained.

6.2.2 Manual preparation: A manual on the RED component of CBA was developed, reviewed and made ready for publication.

6.2.3 Expert mission: In March 2012 CBA helped to organize the mission of an expert on local economic development from the UNDP Bratislava Regional Centre, Mr. Nick Maddock. The visit took place on 26–30 March 2012 and included meetings in the Ministry of Agricultural Policy, Institute of Economic Prognosis, the USAID Agro Invest Project, the Committee on Agrarian Policy and Land Relations of Verhovna Rada, the Secretariat of the Cabinet of Ministers, CIDA Agriculture-Insurance Sector Development, the Union of Agricultural Service Cooperatives, the Association of Farmers and Landowners, the UNDP sub-office and stakeholders in the ARC. The mission provided information on RED and a set of recommendations for CBA (see Box 16).

Box 16. Conclusions and recommendations from the RED expert mission

1. Cooperatives: The business environment for forming anything other than service cooperatives in Ukraine is not conducive, and, unless there is a change to taxation law, it is unlikely that ‘marketing’ cooperatives will emerge or prosper. While valuable in the sense that they provide farmers with access to equipment and machinery that they could not afford individually, service cooperatives are not normally the main basis for cooperation. Clearly, it means that the benefits from improved input and output prices cannot be realized.

If, however, a change in taxation law were a prospect which improved the environment for marketing cooperatives, a financial analysis of the feasibility of such cooperatives should be made before they are advocated or support given to their formation. This would potentially address:

- sub-sectors, farm size and cooperative size where agricultural cooperation is likely to be feasible, defining the type of farmers (in terms of farm size, market access, turnover, farm income and other factors as appropriate) which, in terms of incentives and other factors, would be most likely to join, and obtain commercial benefits from, marketing cooperatives;
- from which sources farmers are likely to derive financial gains from cooperation. In the course of doing this, the opportunities for deriving economies of scale in input supply and output marketing would need to be assessed and the scale of the gains estimated; and
- assessing opportunities for, and the feasibility of, investments by cooperatives, including those in agro-processing, cold storage, bulk milk storage and refrigeration, packaging and transportation and other areas outside primary production.

2. Extension: If it were to be agreed that an Extension Referral Centre would be beneficial, obvious questions would arise about the institutional base for such a centre. A number of options exist, including one of the agricultural universities or the Association of Extension Providers. These bodies provide potential partners for actions in this area, and, in addition, may be advocates for such an approach. As such, an early assessment of their potential interest in, and support for, such an initiative could be beneficial.

3. Exploiting rural–urban linkages in rural and regional development: Proposals for exploiting rural–urban linkages which explicitly envisage labour movement out of rural areas are likely to raise strong opposition. The arguments deployed are often substantially based on nostalgia and notionally cultural factors and, typically, take a static view. The dynamic effects on overall growth and on the rural and urban economies are not recognized, with rural–urban labour movements viewed with alarm in terms, variously, of labour shortages in rural areas, cultural change as the population urbanizes, age structure in rural areas, and the disappearance of small farms.

As a result, substantial advocacy is likely to be needed before such an approach would be accepted. There are nonetheless substantial research findings in this area which can be used to back up any proposals. It is also likely that any pilot urban hub would need to be self-selecting, since proactivity is likely to be essential.



Mr. Nick Maddock with Mr. Kaletnik, Head of the Committee on Agrarian Policy and Land Relations of Verhovna Rada

6.2.4 Formation of a working group: Following the recommendations of the CBA-II Steering Committee expressed during its first meeting on 15 December 2011, a working group on local economic development was formed, including representatives of key relevant governmental and non-governmental institutions (see Annex VIII).



UNDP Deputy Country Director Ms. Elena Panova addressing the first meeting of the working group on rural economic development

On 30 March 2012 the first meeting of the working group was organized in the UN building and chaired by Ms. Elena Panova, UNDP Deputy Country Director.

The meeting was attended by key stakeholders and practitioners in the area, including from the Ministry of Agricultural Policy, the Institute of Prognosis and Forecasting of the Academy of Science of Ukraine, the Union of Agricultural Service Cooperatives, the State Fund for Farm Support, the Association of Farmers and Private Landowners and several specialized universities etc.

The group discussed the need to promote and

support agriculture service cooperatives to achieve the objective of CBA. Among the key findings of the working group meeting were that:

- rural citizens have quite a low level of knowledge regarding opportunities for small-scale economic activity in rural areas, and especially regarding the moratorium on land sales and the consequences of its abolition;
- rural citizens' specific mentality should be taken into account when implementing the RED component of CBA-II; and
- special attention should be paid to the sustainability of any cooperatives created.

6.2.5 Selection of regions: Seven regions were selected for piloting RED in the first phase: Ternopilska, Kirovohradska, Sumska, Donetska, Mykolaivska, Cherkaska, and Chernivetska. The selection was based on such criteria as the level of rural unemployment, the contribution of agriculture to the regional GDP, rural population in the region, national socio-economic ranking of the rayon, prevalence of agricultural service cooperatives in the region, performance of the region in implementation of CBA-II, competence of CBA staff in the region, and whether or not the region receives other social support (such as for energy efficiency) from CBA.

6.2.6 Future course of action: Major implementation activity under RED will take place in the second half of 2012 and through 2013. It includes development of two agricultural service cooperatives per region, capacity-building, planning, implementation of micro-projects etc.

6.3 Energy efficiency component

Implementaton of the energy efficiency (EE) component in the reporting period was devoted to shaping the concept, preparing a manual and launching activities. The major part of the activities will take place during the second half of 2012 through 2013.

The overall objective of the EE component of CBA-II is to enhance local capacity by enabling citizens and local authorities to learn about energy efficiency technologies and use them jointly to solve their energy problems in a sustainable way. This will be achieved by reviewing and improving regional energy efficiency strategies, supporting pilot energy efficiency micro-projects based on introducing micro-scale innovative technology and rewevable energy sources, and through awareness-raising campaigns.

In an attempt to assist citizens in rural areas to achieve the vision of energy efficiency through collective action, CBA-II will provide technical and financial assistance to Ukrainian authorities and rural communities so that they can improve the energy situation in their community. Key support will include:

- development of an energy efficiency strategy at regional level;
- advocacy/motivation for psychological preparedness to come together and to act together;
- training, roundtables, workshops and exposure visits to raise awareness and develop skills;
- establishment of institutional mechanisms (for joint decision-making and collective actions); and
- seed grants for implementation of community initiatives.

According to the project document, the action period for this component is from the eighth to the 47th month of project implementation. During the reporting period, the following activities were carried out to achieve the intended results:

6.3.1 Staff recruitment: An energy and environmental expert was recruited and trained.

6.3.2 Manual preparation: A manual on the EE component of CBA was developed, reviewed and made ready for publication.

6.3.3 Taking stock of experience on energy saving: An expert was recruited to support the development of a detailed action plan for the EE component of CBA-II – namely, to analyse the existing situation in the area of energy strategy development in the region; to identify gaps in light of national energy efficiency policy and CBA experience; and to draw recommendations for CBA actions in support of improving the energy efficiency strategy of the regions.

During the expert's mission, three roundtables were organized with regional authorities in Dnipropetrovsk (22 March), Kirovograd and Cherkasy (23 March). On 29 March, a study visit was organized to Pereyaslav-Khmelnyskiy in Kyivska oblast. During the roundtables, discussions mainly focused on raising the energy efficiency of social infrastructure in rural areas as well as the use of renewable sources of energy.

Through a desk review of documents, field visits, roundtables and expert interviews, a set of recommendations was drawn up to be included in the final concept of the EE component. The main findings of the research are as follows:

- At the national level in the realm of energy efficiency priority is given to large-scale solar and wind energy. Solving problems with thermo modernization and improving heating systems are delegated to local level.
- Regional or/and local programmes created to solve problems of energy efficiency at the regional level are not completed. The authors of regional and local programmes do not include an analysis of possible technical solutions for each object in a micro-project. The lack of technical support/expertise in the regions and lack of initiatives from local communities causes risks for the final result of the micro-project. This problem is exacerbated by the lack of interest from the State Agency of Energy Efficiency and Conservation.
- At the community level, there is lack of information about modern technologies and knowledge on how to use them. A lack of financing is also one of the most urgent problems.

6.3.4 Selection of pilot areas: Two types of pilot areas to implement the EE component were envisioned: 'advance pilots' with an energy strategy and awareness-raising elements, and 'normal pilots' without a strategy and less focus on awareness-raising.

'Advanced piloting' will work beyond implementing micro-projects on energy efficiency and renewable energy, and approaching the issue of energy saving from the strategic point of view. Six regions selected for such activity will be provided grants for the following activities:

- updating/improving the existing energy strategy;
- preparing technical documentation for advanced energy efficiency micro-projects;
- implementation of up to eight micro-projects with a CBA grant equivalent to US\$20,000 each;
- documentation and dissemination of lessons learned, and advocacy.



'Normal piloting' will be executed in 19 regions, where selected communities will be eligible to receive CBA support for implementing initiatives on renewable energy technologies through micro-projects. A competition will be conducted to allocate a quota of up to six micro-projects per region, with each grant worth US\$20,000.

The cost-sharing arrangement in both cases will be the same: CBA 70 percent, local authorities 25 percent and community 5 percent.

In April 2012, all regional authorities were invited to participate in the competition for advanced piloting, based on the following criteria:

- level of diversification of renewable energy sources;
- level of per capita CO₂ emissions;
- level of commitment of the regional authorities to promote and support energy efficiency in rural areas (including through renewable energy sources);
- level of realization of such plans under the programme in the past;
- level of technical capacity (expertise) of the regional authority to pursue an energy efficiency vision;
- existence of analysis of 'local/renewable energy sources' appropriate for rural areas;
- existence of a list of budget objects with technical and maintenance information; and
- performance of the region in implementing the CBA methodology.

Twenty regional authorities participated in the competition, of which the following six oblasts were selected: Ivano-Frankivsk, Dnipropetrovsk, Zaporizhia, Lviv, Zakarpattia, and Kharkiv.

6.3.5 Taking stock of experience: In joint collaboration with the UNDP Bratislava Regional Centre, a prototype workshop was organized on 26–27 April 2012 in Odessa with the aim of learning about possible innovative technologies and renewable energy sources that would be affordable for common families in rural areas. The workshop participants included national/international experts, private companies, academics, students, CO members and state officials.

6.3.6 Future outlook: The major activities of the EE component are expected to take place in the second half of 2012 to 2013.

Chapter Seven

Knowledge Management

Concrete foundations were laid to establish a knowledge management hub at the Ukrainian Association of District and Regional Councils. Also, partnerships were established with 20 universities (target: 10) to introduce a curriculum on sustainable development and the community-based approach. This achieved the target. A series of activities were initiated during the reporting period.

National-level application of the community-based approach to local development methodology produces a tremendous effect on the local development process. To make the best use of knowledge gained and lessons learned, the knowledge management component of CBA activities aims to document and systematize the regional experience and lessons learned; to introduce the community-based approach to specific courses of higher education; and to transfer the Ukrainian experience to the target audience in other countries. Details on these activities are given below.

7.1 Knowledge management hub

The sustainability of CBA results and the scale of replication of the community-based development methodology greatly depend on accessibility of knowledge and expert/advisory support and the quality of information channels between communities, authorities, business, experts and researchers. To meet the huge demand for information and experience related to CBA, the establishment of a knowledge management hub (KMH) was envisioned. The KMH will focus on collecting and systematizing the existing knowledge about the CBA methodology and Ukrainian best practice of applying the community-based development approach to make it available for potential and actual partners/users.

The overall objective of the activity is to support the creation of a locally owned and managed repository and network of good practices and knowledge on community-based development and participatory governance.

To ensure national ownership and sustainability of this initiative, an MoU was signed on 2 December 2011 with the Ukrainian Association of District and Regional Authorities (UADRC) with the purpose of establishing a KMH and cooperating on building the capacity of elected authorities across the country. To this end, during the first quarter 2012, several meetings were held with the representatives of UADRC, agreement on cooperation was reached and visions about priorities of cooperation were discussed. The following activities have been planned/initiated:

- defining pilot users (*accomplished*): 25 regional CBA resource centres and 25 regional representations of UADRC; 50 rayon CRCs; CBA focal points from OSAs/OCs; and MGSDP municipal support units;
- recruitment of staff for KMH: knowledge manager and IT specialist (*accomplished*);
- capacity-building for KMH personnel (*accomplished*);
- set-up of office (*office established, equipment procurement in process*);
- development and testing of web portal (*planned for third quarter of 2012*);
- training of pilot users (*third quarter of 2012*);
- collection, systematization and placement of primary knowledge (*third and fourth quarters of 2012*); and
- KMH information campaign (*fourth quarter of 2012*).

7.2 Partnerships with academia

Within the framework of its knowledge management component, the CBA Project plans to establish a network of academic institutions from all regions of Ukraine to build capacity in terms of teaching about local sustainable development with the participation of citizens. Activities to this end include curriculum development, small-scale research, internships, linkages with local communities etc. The following activities were carried out in this respect:

- a) Work plan for academia:** A roundtable was held with representatives from 24 academic institutions on 27–28 October 2011. Together with the CBA team, the participants developed a work plan for 2012. Among the defined areas for cooperation are:

- introducing a course on sustainable social development;
- internships in CBA regional offices for students who research related topics; and
- support for research in the area of sustainable community development through small grants and competitions for students' papers.

b) Signing of MoU: During the reporting period, MoUs were signed with 20 academic institutions with a view to cooperate on three components: teaching a course on sustainable development, student internships in the CBA regional implementation units, and a competition for students' research papers.

	Oblast	University
1	Cherkaska	Cherkasy State Technological University
2	Chernihivska	Chernihiv State Technological Univeristy
3	Dnipropetrovska	Dnipropetrovsk National University of Railway Transport Named After Academician V. Lazayan
4	Donetska	Donetsk State University of Management
5	Kharkivska	Kharkiv National Academy of Municipal Economy
6	Kharkivska	Kharkiv National Economic University
7	Khersonska	Kherson State Agricultural University
8	Khmelnyska	Khmelnyskiy University of Management and Law
9	Kirovohradska	Kirovohrad National Technical University
10		Kirovohrad Institute of Human Development of the Open International University of Human Development "Ukraine"
11	Kyivska	State Higher Educational Establishment 'Vadym Hetman Kyiv National Economic University'
12	Luhanska	Volodymyr Dahl East Ukrainian National University
13	Lvivska	Lviv Polytechnic National University Institute of Humanities and Social Sciences
14	Mykolaivska	Mykolaiv State Agrarian University
15	Poltavska	Poltava State Agrarian Academy
16	Rinvenska	University of International RelationsInternational University of Economics and Humanities named after Academicial Stepan Demyanchuk
17	Rivnenska	National University of Ostog Academy
18	Sumska	Sumy State Univeristy
19	Zakarpatska	Uzhgorod National University
20	Zaporizka	Tavria State Agrotechnological Univeristy

d) Launching cooperation with CBA in academic institutions: Following the roundtable, a series of presentations were held in academic institutions by regional coordinators to present the CBA Project to the faculty and outline possible areas of cooperation. Details about launching the partnerships between CBA and academic institutions can be found in Box 17.

e) Support to conference: Support was provided to organizing a national conference entitled 'The Social Dimension of Sustainable Development: Local Solutions to Global Problems', held in Chernihiv State Technological University on 2 November 2011. Details are available in Box 18.

f) Training module preparation: A training module on social mobilization was prepared for the use of NAPA. The module will be used along with five other training modules (on decentralization, strategic planning etc.) being developed by MGS DP and SDC/Skat-DESPRO. The module includes such areas as:

- the concept and application of the social mobilization approach;
- case studies Of social mobilization programmes in Europe and the Commonwealth of Independent States;
- success factors;
- cost–benefit analysis;
- the myth of social mobilization; and
- the scope of the social mobilization approach in Ukraine.

g) Student internship in regional resource centres: In the first quarter of 2012, three students undertook traineeships in three CBA regional offices. As part of their internship ToR, they conducted small-scale research in the field, wrote research articles and/or essays, drafted success stories about COs etc. It is planned that a collection of the best articles and essays will be published at the end of 2012.

h) Support for research on community-based development: With a view to encouraging students to research aspects of community-based development, CBA launched a competition for students' scientific papers on the subject. A collection of the best papers will be published, and their authors will be invited to participate in a summer school on sustainable development, scheduled for August 2012. The full text of the announcement is available at: <http://cba.org.ua/ua/news/announcements/1129-l-r>.

CBA also supports *ad hoc* initiatives of partner universities to organize events and conduct research on sustainable development through community participation. In this context, organizational and financial support was provided to the team of Sumy State University to conduct research on the impact of CBA-II activities on the social capital in the region.

Box 17. Launching cooperation between CBA and academic institutions

In Zaporizhzhya, cooperation between **Zaporizhzhya National University** and the CBA Project was launched at a roundtable on ‘Sustainable Local Development: Methodology and Social Practice’ held on 27 December 2011. One of the first joint activities foresees the introduction of a course on sustainable local development into the teaching programme and preparation of teaching materials that combine theoretical and practical aspects. For more information, please see: http://www.rada.zp.ua/news_out.php?2111.



On 14 December 2011 a presentation of the CBA Project was held at **Ostrozka Academy** (Rivnenska oblast). During the event, leadership of the Academy signed an MoU marking the first step of cooperation with CBA.

The coordinator of cooperation with CBA from Ostrozka Academy, Mr. Andriy Rybak, noted the importance of the partnership: “The CBA Project offers new opportunities for the students in the framework of cooperation; we plan to organize trainings and seminars for representatives of

community organizations and training for personnel and introduce the new course on sustainable social development”. For more details, see: <http://www.oa.edu.ua/ua/info/news/2011/12-15-2>.



On 7 December 2011 a launch event was held at the **Donetsk State University of Management** marking the beginning of cooperation between CBA and the university. The meeting was opened by the Deputy Rector, Ms. V. Tokareva, who emphasized the importance of the cooperation for the region. During the event, a course on sustainable social development was presented to the faculty and the fourth-year students who will receive additional opportunities to research the area of community participation in sustainable local development. Several students will also have the opportunity to have an internship in the CBA regional offices.

On 8 October 2011, three CBA communities in Luhansk hosted a study visit for 28 Master’s students specializing in Administrative and Project Management at **Volodymyr Dahl University, Luhansk**, to learn about best practices of community mobilization and multisectoral partnerships.



On 21 November 2011 a roundtable was held at **Poltava Agrarian Academy** to discuss cooperation with CBA. In particular, a course on sustainable social development will be introduced at the academy from September 2012. CBA also opens up the possibility of internships in its regional offices for the students researching related subjects. A video of the roundtable launching cooperation between the CBA Project and **Poltava Agrarian Academy** can be viewed at: <http://www.facebook.com/photo.php?v=10150475279226810>.

Box 18. Local solutions to global challenges of sustainable development



The national conference on ‘The Social Dimension of Sustainable Development: Local Solutions to Global Problems’ was opened by the Rector of Chernihiv Technical University, Mr. Shkarlet, who emphasized the value of sustainable development as a research subject.

Dean of the faculty of Social Work, Ms. Tetyana Syla, spoke about organization of cooperation and knowledge management for sustainable development. She also mentioned that as a result of two years of cooperation with CBA, 22 students went through internships in CBA offices in various regions of Ukraine and benefited from access to grassroots-level activities.

Through the CBA Project, Chernihiv Technical University became a member of the Baltic Universities Programme and actively cooperates with foreign universities in the domain of sustainable development.

A presentation by CBA focal point from the Chernihiv OSA, Ms. Gurok, gave participants the opportunity to assess the practical results of cooperation between citizens and authorities within the framework of CBA.

An Associate Professor, Ms. Tambovtseva, from Riga Technical University used a Skype conference call to present her research results on corporate social responsibility and its application in practice.

Group discussions mainly focused on various dimensions of sustainable development, its social, economic and ecological components, and social mobilization as an efficient tool for sustainable development.



Presentation on cooperation with CBA at the Tavriya National University of ARC



Presentation of a course on sustainable social development and discussion on the priorities of cooperation with CBA in Luhansk National University, 14 February 2012

Box 19. Research on ‘The Impact of CBA Project Activities on Social Capital in the Sumy Region’

In January 2012 Sumy State University launched the research project ‘The Impact of CBA Project Activities on Social Capital in the Sumy Region’ carried out by a group of researchers from the university. Using survey methodology, the research intends to reveal the impact of community-based development activities on social capital in the region. The main hypothesis to be tested is that the level of social capital of those Ukrainian communities which participated in the CBA Project increases due to participation. The methodology of the research included both surveys and experimental economics. The level of social capital will be measured before participation in CBA-II and after completion of micro-projects.

UAH6000 was allocated by the CBA Project for this purpose, allowing interviews to be conducted in 60 villages. As of the end of March 2012, the first round of interviews with the main group had been completed, and the interviews with the control group were in progress. The second round of interviews is planned after the completion of micro-projects in each community.

- i) Linking Ukrainian academia to the global debate on sustainable development:** Under the CBA Project, eight universities were involved in the national awareness-raising campaign on Rio+20, namely: Chernihiv State Technological University, Poltava State Agrarian Academy, Kherson Agrarian University, Uzhhorod National University, Kharkiv National Economic University, Cherkasy State Technological University, East Ukrainian National University and Sumy State University.

Each of these universities will organize Sustainable Development Days featuring open lectures, presentations, student debates and other initiatives. Finals of inter-regional debates will be organized at Sumy State University during the 'Economics for Ecology' conference scheduled for 27–30 April 2012.

- j) Training of trainers:** On 30–31 May 2012 in Kyiv CBA conducted training for 20 professors from 13 partner universities who will teach a separate course or module on sustainable social development. The main aim of the training was to present the theoretical and practical aspects of the community-based approach to local development methodology used by the CBA Project, and to show how experience could be disseminated in cooperation with academia.



Interaction between professors and community members in Zhytomyrska oblast

In the course of the training, a visit to the community of Studenytsya village of Zhytomyrska oblast was organized with the aim of demonstrating practical results of implementing the community-based approach. Community activists presented the results they achieved in cooperation with the project, answered questions and shared their plans for further CO activities.

7.3 Knowledge sharing

Sharing and dissemination of knowledge is the key priority of the CBA-II knowledge management component. Responding to frequent requests, CBA often hosts or participates in information-sharing visits. In the reporting period, the following visits and events took place:

- a)** On 12–17 March, Jaysingh Sah, CBA International Project Manager, undertook a mission to UNDP Armenia to streamline the efforts of the Ministry of Territorial Administration (MTA) in resource mobilization within the framework of the EU Pilot Regional Development Programmes (PRDP) instrument.

Box 20. Results of knowledge-sharing mission to Armenia

UNDP Armenia has successfully established the methodology of participatory approach through the project 'Enhanced Support for Rural Development' (ESRD) in the Lusadzor community of Tavush region. There is a proposal to scale up this approach to other communities in the vicinity.

UNDP Armenia has also supported the MTA to develop a regional development programme which is at the stage of final understanding between the MTA and the EU. With a proposed budget of US\$7 million, this project is expected to come into implementation from 2013. It aims to focus on economic development/employment and education/skills development in the region and capacity-building of the MTA.

To formulate recommendations, methods such as desk review, community visits and meeting with government authorities and donors (EU Delegation, World Bank, International Monetary Fund, USAID, Asian Development Bank, GIZ etc.) were used.

Key recommendations include:

- shifting the approach from intensive, supply-driven support to process-oriented cost-sharing;
- creating synergy with government and other donors' programmes to mobilize resources; and
- building human resources based on the Ukrainian experience.

- b)** On 16 March 2012 a presentation of CBA-II and a field visit was organized for a group of College of Europe students majoring in EU regional policy. Their interest lay in observing the results of EU aid to Ukraine. The group visited Kornalovychi village of Lvivska oblast, where at the general community meeting its activists presented an overview of their CO's activities and demonstrated the results of two micro-projects on improving health care services and saving energy in the school.



The visitors were impressed by the proactive approach of the people: *“Together they implement the impossible. The efficiency of the CBA Project is visible primarily in people’s eyes, shining with the desire to further develop their community,”* said one student from Poland.

- c) On 21 March 2012 a study visit from a Belarus delegation was hosted by the Donetsk OIU of the CBA Project in the framework of the international technical assistance project ‘Energy Efficiency: Solving the Problems Together’. The visit aimed at reinforcing the partnership between citizens and local authorities so as to enable them to jointly conceive and implement energy efficiency projects in the rural areas of Belarus based on the Ukrainian experience. The group of visitors included representatives of local communities and governments, as well as employees of social organizations.



In addition to the presentation at the Donetsk OIU, a field visit was organized to two communities in Krasnoarmiyskyi rayon. In Lysivka village, the CO demonstrated the results of two micro-projects. In Mykolaiivka village, members of the Renaissance CO revealed some of the recipes for success of a CO and explained how they managed to raise over UAH900,000 in funds.

- d) An intern from France, Ms. Daria de Lastours, joined the CBA team from January to June 2012, and orientation and field visits to Mykolaiivska oblast were organized to familiarize her with the CBA methodology and its implementation. She undertook a small research project and prepared a paper on the joint planning aspect of CBA project implementation, a summary of which is given in Annex IX.
- e) By invitation of the European Journalism Centre, Ms. Ganna Yatsyuk, CBA communications and monitoring specialist, participated in the seminar ‘The State of the European Neighbourhood Policy’, held in Brussels on 14–16 May 2012, to share the CBA experience with European journalists. She presented the CBA Project to journalists from 15 European countries (including media such as BBC, *Gazeta Wyborcza*, Czech TV, Fygello, FAZ etc.). This international seminar covered the EU’s relationship with its neighbouring countries and its commitment to the European Neighbourhood Policy. The project was presented in the experts’ plenary discussion on Ukraine–EU relations (discussing political and economic ties, the EU perspective for Ukraine, trade and investment relations, cultural and social cooperation). The panel was moderated by Gareth Harding, Director of the Missouri School of Journalism’s Brussels programme. Other panellists included representatives of the European Commission and Ukraine’s Department for Relations with the EU in the Ministry of Foreign Affairs. This presentation served a good purpose of promoting the CBA ideology beyond Ukraine.

7.4 Policy recommendations

Preparations were made for initiating policy dialogue on CBA-related issues during the reporting period. In this respect, the results of research conducted in 2010 by the International Center for Policy Studies was published for wider circulation as a discussion paper. This study assesses the existing legislative and institutional conditions and obstacles to community-based local development. The English version of the publication is available at: http://cba.org.ua/images/stories/CBA_ENG.pdf.

The CBA Project supported UADRC for development of policy recommendations on BSPs. The first draft of the policy recommendation was presented at a roundtable of professionals and policymakers held in May 2012. The draft is in the process of improvement following suggestions from the participants. The recommendations aim to expand the role of BSPs and enhance their administrative and financial capacities.

Chapter Eight

Communications and Visibility

The project succeeded in raising the visibility of CBA activities and its key donors, the EU and UNDP, in the regions. The role of national counterparts at regional and local levels was also highlighted. This was made possible due to 347 media events, 2789 items of media coverage, 123 issues of newsletters and 15 visits by donors and partners.

The CBA Project aims to maximize the level of transparency of its implementation, and strives to involve the media to inform the public about its milestones. The following activities took place during the reporting period in this regard:

8.1 Media events

Opportunities for organizing public/media events occurred in terms of rayon seminars, openings of micro-projects and partner/donor visits. Media events at local and regional levels were often organized by coordinating with authorities at the relevant level. Very often the press departments of OSAs/OCs played a significant role in inviting the media and coordinating the event. In total, 347 media events took place during the reporting period (see Table 17).

Table 17. Media events and coverage (June 2012)

SN	Activity	Regular	Replication	Total
1	Media events	325	22	347
2	Media coverage	2,669	120	2,789
3	Newsletters	120	3	123

* Details by region are in Annexes V and VI

- a) During Ukrainian Fashion Week, on 19–20 March 2012, supermodel Dji Dieng, Rocco Leo Gaglioti (Fashion News Live), Stumik Icewater and Donny Cash of Wu-Tang Clan, Marcia Favre and DJ Laris Alexander visited the local government of Kharkov to discuss the UNDP water project and promoted the issue of clean water for the population. As a result of a special charity event, about UAH32,000 was raised to be donated to the community of Kunje village in Kharkivska oblast for its project to solve its water supply problem.



"It was a great honor to have had the occasion to an open discussion with the Kharkov Regional Representative in regards of the water project supported by all the artists," said Dji Dieng.

- b) The CBA Project was invited to participate in EU Energy Week, organized in the framework of the European Village on 18–23 June 2012. CBA presented its achievements on implementing energy-saving and energy efficient projects in rural communities, and displayed the concept and scheme of the 'advanced' energy efficiency component to be implemented within CBA-II.



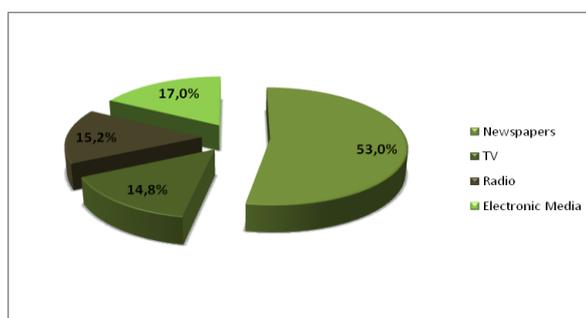
To reflect the visions of young community members on energy efficiency, a competition of posters and slogans was held for pupils in 5 -11 years. The best works were exhibited during EU Energy Week on 23 June. Selected posters have been published on the CBA website at <http://cba.org.ua/ua/news/announcements/1149--q-q>.



8.2 Media coverage

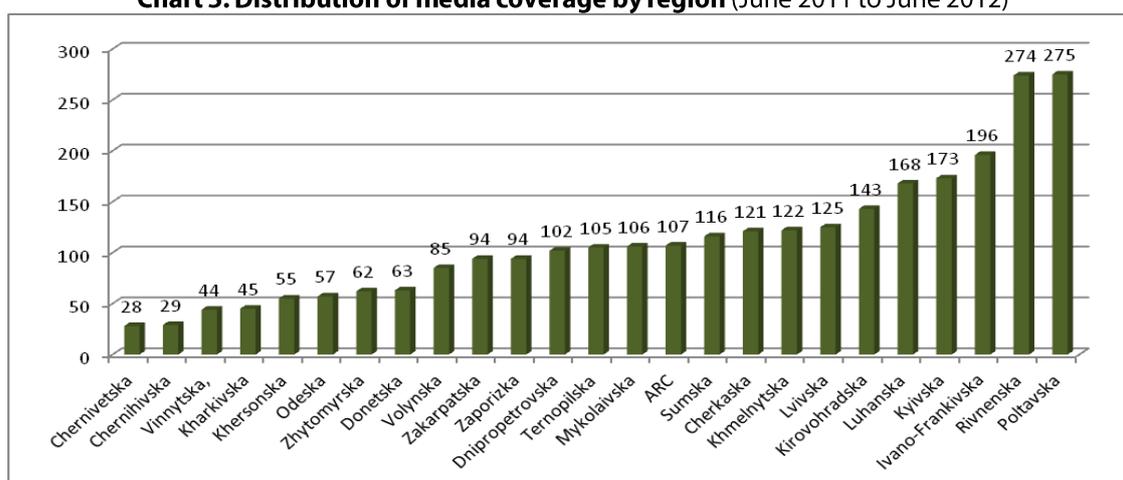
During the reporting period, 2789 items of media coverage were traced. Based on the trend during the first 12 months of the reporting period, the majority of media coverage occurred through newspapers (53 percent), followed by electronic media (17 percent), radio (15.2 percent) and TV (14.8 percent). For details, see Annexes V and VI.

Chart 4. Media coverage distribution (June 2012)



During the reporting period, the most media coverage was recorded in Poltavaska, Rivnenska, Kyivska, Ivano-Frankivska and Luhanska oblasts. Chart 5 shows the distribution of media coverage by oblast. Key factors for the regional variations were limited staff resources (in six regions, CBA has only one Community Development Officer) and the level of interest in CBA activities from authorities and journalists.

Chart 5. Distribution of media coverage by region (June 2011 to June 2012)



In addition to the regular and social media, CBA uses other available means of disseminating information. In particular, websites of partner oblast/rayon authorities were linked, where possible, to disseminate information about CBA such as tenders, media events or CBA newsletters. The cooperation of the communications departments of these authorities was appreciated. During the first 10 months of the reporting period, 1047 cases of publications on partners' websites were noted.

8.3 CBA in social media

The CBA page on Facebook was launched at the end of August 2011, allowing for real-time reporting and instant access to information about partners' activities. After the special training module for coordinators of rayon CRCs, 28 rayon CRCs created pages on Facebook and actively use them to publish and exchange information. Thus, a virtual network of rayon CRCs has been created. A list of the Facebook pages is given in Annex-X.

8.4 Newsletters

To disseminate information about the project among stakeholders, potential participants and a wider public audience, regional implementation units published regular newsletters. As of June 2012, 123 issues of newsletters were published in 22 regions. They were disseminated both electronically (3921) and as printed copies (16,425) according to the distribution lists which included regional administrations, regional councils, rayon administrations and councils, VCs/CCs, local communities, local media and NGOs.

Table 18. Distribution of CBA regional newsletters (as of June 2012)

SN	Issues	Regular	Replication	Total
1	Publications on websites	973	73	1046
2	No. of issues published	120	3	123
3	No. of copies printed and distributed	16,330	95	16,425
4	No. of copies sent electronically	3908	13	3921

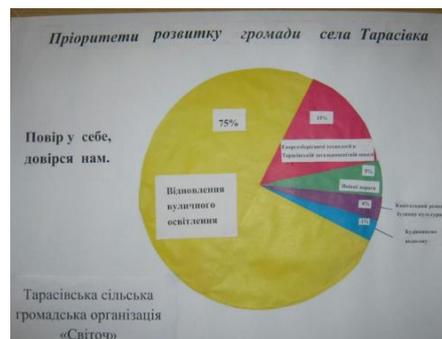
* Details by oblast are in Annexes V and VI

8.5 Communications and visibility in community organizations

CBA pilot communities are encouraged to apply the same principles of transparency in their actions, and regularly inform members of their organization about each step taken by the CO management team. Thus, each CO installs an information board where key information and announcements are displayed.



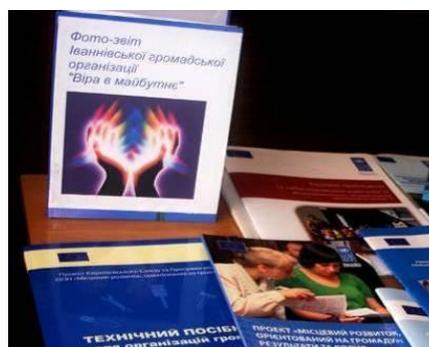
Information boards in community organizations (Maryivka village, Mykolaiivska oblast)



Information about decisions taken at community meetings is often presented in the form of drawings visualizing the figures – for example, on community development priorities



In addition to basic information, success stories and certificates, the Nadiya CO put on its information board an envelope for proposals from CO members (Luhanska oblast)



The Faith in the Future CO (Ivanivka village, Ivano-Frankivska oblast) published its photo report and proudly places it with other CBA publications and manuals

8.6 Donor/partner visits

Regional/local-level visits were organized for donors/partners during the reporting period to familiarize them with the CBA process and results. Such visits also empower local communities and enhance their confidence to keep undertaking community activities together. Some of the events are as follows:

- **Head of EU Delegation visits Odessa:** On 15 July 2011 Mr. Jose Manuel Pinto Teixeira, Head of the EU Delegation to Ukraine, and Mr. Olivier Adam, UN Resident Coordinator/UNDP Resident Representative in Ukraine, participated in the Odessa regional launch seminar. During the event the results of the first phase of the CBA Project were summarized, and the vision for CBA-II was presented. A tripartite agreement between Odeska OSA, Odeska OC and UNDP was signed.
- **UNDP Resident Representative visits Kyivska oblast:** On 17 July 2011 Mr. Adam also participated in the regional launch seminars in Kyivska oblast and signed a Partnership Agreement between UNDP, Kyivska OSA and Kyivska OC.
- **CBA Coordinator of SCMU visits regions:** Ms. Tetyana Matiychyk, Head of Unit, Department of Cooperation With Verkhovna Rada and the Regions, CBA focal person from the Secretariat of Cabinet of Ministers of Ukraine, participated in four regional launch seminars in Ternopil'ska, Khmelnytska, Kharkiv'ska and Poltav'ska oblasts.
- **UNDP Resident Representative visits the ARC:** On 22 July 2011 Mr. Olivier Adam attended a ceremony for the official signing of a Partnership Agreement between UNDP, Verkhovna Rada of ARC and the Council of Ministers of ARC. On behalf of the ARC, the Agreement was signed by Mr. Konstantinov, Chairman of the ARC Supreme Council, and Mr. Burlakov, First Deputy Chairman of the ARC Council of Ministers.
- e) **UNDP Resident Representative visits Western regions:** From 29 August to 2 September 2011 Mr. Olivier Adam, Mr. Vasyl Tolkach, Project Manager, and Mr. Sergei Volkov, Senior Programme Manager, visited Volyn'ska, Ternopil'ska, Khmelnytska, Chernivetska and Ivano-Frankiv'ska oblasts. During his visit, Mr. Adam met with heads of OSAs, OCs, RSAs and RCs to summarize results of the first phase of CBA and to outline perspectives of further cooperation during CBA-II.
- f) **UNDP Resident Representative visits ARC:** On 15 September 2011 Mr. Adam and Kostantyn Baharev, First Deputy Head of Verkhovna Rada of ARC, participated in a sitting of the Republican Coordination Council organized in Dzhankoj. During the sitting, Partnership Agreements between UNDP and eight selected rayons were signed.
- g) **Head of EU Delegation and various European ambassadors visit Odeska region:** On 1–2 October 2011 Jose Manuel Pinto Teixeira, Head of the EU Delegation to Ukraine, together with the ambassadors of the UK, H.E. Leigh Turner, and Greece, H.E. Georgios Georgountzos, visited one of the CBA pilot communities in Odeska oblast.



On meeting with teachers, students and community organizers of Banivka (360 households), the Head of the EU Delegation remarked: *“If Ukraine were run like CBA micro-projects and their local organizations, the country would be well placed to join the EU. These EU/UNDP projects, which have improved the living conditions in over 1000 Ukrainian villages, are a perfect example of strong community initiative, ownership, effective management and financial accountability.”* With support from the EU through a UNDP-implemented project, the community improved energy saving in the local school by replacing 100 windows and five doors.

h) UN Mission Team visits various regions of Ukraine: On 24–27 October 2011 Mr. Olivier Adam and other members of United Nations agencies visited the regions of Chernihivska, Sumska and Kharkivska to observe United Nations activities including CBA.



UN Resident Representative meets with community members and observes the results of a community project in Cherecha Sloboda, Sumska oblast

During these visits they met senior leaders of regional authorities, city councils and academia and visited the CBA community. The members of UN agencies included Ms. Yukie Mokuo, UNICEF Representative; Mr. Manfred Profazi, IOM Chief of Mission; Ms. Ruth Krcmar, Counter Trafficking Programme Coordinator, IOM; Mr. Kees de Joncheere, WHO Representative, Head of Country Office; and Ms. Nuzhat Ehsan, UNFPA Country Director for Ukraine, Bulgaria, Bosnia and Herzegovina.



i) On 31 January 2012 Mr. Oliver Adam visited the Kirovohradka OIU and met with CBA staff and Ms Svitlana Lobanova, focal point from the OSA, to discuss the progress of community development initiatives in the region. Guests also visited the photo exhibition on CBA-I results.

j) On 15 March 2012 the Donetsk Regional Association of Local Governments held its board meeting in Artemivsk. The meeting was chaired by the Head of Oblast Council, Mr. Fedoruk, and included the visit to Artemivsk rayon CRC where the best practice of community development initiatives was presented.



k) On 27 April 2012 the Country Director of UNDP Ukraine, Ms. Ricarda Rieger, participated in the opening of the

international conference on sustainable development 'Economics for Ecology', organized by Sumy State University with support from the CBA Project. Over 150 students and young researchers from over 15 countries came to Sumy on 27–30 April to present findings of their research on sustainable development.



Ms. Rieger encouraged participants to accelerate the transformation to sustainable development and making economies 'green' now: *"The more we postpone the transformation, the higher will be the cost. In the medium and long term, new lifestyles, production and consumption patterns will emerge by necessity."* She also mentioned that Ukraine has the potential to become a regional leader and drive the change to sustainable development.

The conference also hosted the final of an inter-regional debate on sustainable development between students' teams from eight universities in Ukraine: Chernihiv State Technological University, Poltava State Agrarian Academy, Kherson Agrarian University, Uzhhorod National University, Kharkiv National Economic University, Cherkasy State Technological University, East Ukrainian National University and Sumy State University.

Debates were organized in each of these universities in the framework of a national awareness-raising campaign held before the global conference on sustainable development known as 'Rio+20'. Two teams from Chernihiv Technological University, one team from Kharkiv Economic University and one team from Sumy State University reached the final. The Kharkiv team came second, and the winner was decided by the jury unanimously: the Sumy State University team.

Pictures from the opening of the conference and debates are available at <https://picasaweb.google.com/108202663309480216183/EconomicsForEcologyConferenceAndDebateSumy2728April2012>, and videos of the debates are available at: <http://www.facebook.com/development.edu/videos>.

- 1) On 18 May 2012 in honour of Europe Day Mr. Jose Manuel Pinto Teixeira visited Vinnytsia oblast along with the ambassadors of Austria, the UK, Denmark, the Netherlands, Romania and Sweden, as well as representatives of the embassies of the Czech Republic, Germany, Slovakia and Slovenia.



The agenda of the EU representatives' visit included various celebrations and learning about a number of projects supported by the EU including the CBA Project.

The delegation met with the community of Selysche village in Tyvrivsky rayon and activists from the Selysche CO who presented the organization's development and activities, showing the results of community actions such as illuminated streets, a heated kindergarten and a renovated cultural centre. The head of the Selysche CO, Natalia Postupaylo, noted

that after participating in the CBA Project the community “came alive”, started working, found new donors and successfully implemented several more projects.

The head of the village, Valery Slobodian, thanked all the European people, particularly the ambassadors, for their help and emphasized that the community would continue its institutional development and was ready to share its experiences with others. The members of the delegation appreciated the results achieved by the community members. Mr. Teixeira said that he was extremely impressed by how effectively the community had used the opportunity not only to receive European funds but also the European experience. He said: *“In this community I’ve seen democracy in action!”*



- m)** On 25 May 2012 Mr. Olivier Adam visited Mykolaiv oblast, where he met with government officials of the oblast and Maryivka village community. Mr. Adam also visited Bashtansky rayon CRC.



During his meeting with the First Deputy Head of the Mykolaiv Regional State Administration, Gennady Nykolenko, and the Head of Mykolaiv Regional Council, Igor Diatlov, Mr. Adam discussed the results and prospects of cooperation between Mykolaiv oblast and UNDP Ukraine in different spheres of activity, including human development, sustainable community development and oblast prospects in United Nations social projects, promotion of local governance reform and social responsibility of businesses.

In the community of the village of Maryivka he observed the energy-saving measures installed at a school. Head of the CO, Larysa Lutskyna, said: *“Collaboration with the CBA Project has become a happy start for us. It has opened the borders of opportunities. Through our public organization, The Agency for Rural Development, we have gained access to useful information and knowledge. In our work all parties win, and all receive the benefits. Thus, we all are working together to realize our community development plan.”*



During his visit to Bashtansky rayon, Mr. Adam visited the CRC established at the initiative of the rayon authorities for closer cooperation with communities and donor fundraising. The Head of the Bashtansky RSA, Ivan Rubskyi, said: *“The main achievement of our cooperation with EU/UNDP and directly with the CBA Project is that we have managed to mobilize local communities of the rayon that are able to work together and solve common problems from their own efforts and with the help of the local authorities. We became interested and learned the methodology and experience of the project in 2010 through*

the creation of the LDF and the CRC. Thus, once we signed the Partnership Agreement with the CBA Project, community organizations have been registered and started their work in all 19 village councils of the rayon.”

- n)** On 30 May 2012 Mr. Jose Manuel Pinto Teixeira, as well as ambassadors of Finland, Latvia, Lithuania and representatives of the embassies of Estonia, Austria, Slovakia, Poland, France, the Netherlands and the UK, visited the school in the village of Kostiantynivka in Perovsky village council in the framework of the CBA Project.



The EU and UNDP representatives were warmly welcomed at the school. They observed the school premises and saw the works completed by the CO. Mr. Teixeira expressed his satisfaction with the well-organized work of the village community.

"Our objective today is just to put new windows in the school, but in fact the community is doing much more. Such projects constitute the stage of democratic management which cultivates European values. When we arrived the students greeted us in three languages – Russian, Ukrainian and Crimean Tatar. You have shown your appreciation of ethical values and tolerance. We have assured that all the activities of the community organization are transparent. I believe in the successful future for the community and the village if you continue your work," he said.

- o) On 27 July, 2012 Mr. Andrew Rasbash, the Head of Operations of the EU Delegation in Ukraine, paid a working visit to the community of the village Univ (Peremyshlyansky rayon) and the community of the village Kornalovychi (Sambirsky rayon). The purpose of the visit was to get acquainted with the results of cooperation of communities with the joint EU/UNDP "Community Based Approach to Local Development - II" (CBA).



During his visit to communities Mr. Andrew Rasbash, together with the members of community organizations and their partners from rayon and village authorities learned about the successful results of energy efficiency micro-projects completed in the school of the village Univ and improvement of health services at the rural health post of the village Kornalovychi. Activists of community organizations presented their successes in the frame of abovementioned micro-projects and told about other community initiatives that not only would develop and strengthen the community but also contribute to improving of lives of common people.

Analyzing their successes the community organizations gained additional portion of energy for implementation of next micro-projects in their communities. It should be noted that communities self-organized and jointly defined the development priorities of their villages in support of the CBA Project. With financial assistance of the EU and co-financing from local budgets, communities have already started to implement their second micro-projects in accordance with development plans: energy saving in schools (village Kornalovychi), and installation of street lighting (village Univ).

Chapter Nine

Advisory Support and Management

The CBA Project is under the direct management of UNDP. UNDP ensures quality of management, resource utilization and timely achievement of results. Partners and donors independently monitor the implementation of the project, and regional/local authorities provide feedback for effective implementation of the initiative. The following actions took place during the reporting period in respect of project management:

9.1 Closure of CBA-I

Various documents (such as the final financial report, detailed narrative report, updating of information on Atlas etc.) were prepared and submitted to UNDP and the EU in the context of closing the CBA-I Project.

9.2 Project registration

The process was registered with the Ministry of Economy and Trade of Ukraine. The Secretariat of the Cabinet of Ministers and partner regional authorities provided the necessary support to register CBA-II.

9.3 Annual workplan

The annual work plan for 2011 and 2012 prepared by the CBA Project were approved by UNDP management. In the course of project implementation, necessary revisions to the work plan took place.

9.4 Personnel management

Most of the CBA-I staff continued their tenure with CBA-II. Some of the old staff left during the work period, while additional staff members were recruited for new components of CBA-II. Difficulties were faced in finding a competent specialist in the energy sector and the RED sector. As a result, the vacancy was announced many times.

9.5 Procurement and asset management

In the reporting period, a vehicle was purchased for the Crimean unit, and air conditioners were installed in vehicles of all regional offices. New computers and furniture were purchased for additional staff. Old, damaged equipment and furniture were replaced with new ones.

9.6 Synergy with other donors/initiatives

On 24 January, SPM Oksana Remiga, IPM Jaysingh Sah, CDS Olena Ruditch and Denis Poltavets participated in a meeting with representatives of Erste-Bank to discuss possible synergy in the context of the RED component of CBA. Following this meeting, an interaction session was organized for the representatives of Erste-Bank from Ukraine and its HQ with CBA communities and local authorities in Chernivetska oblast.

9.7 Advisory support

Advisory support was received from the Secretariat of the Cabinet of Ministers and the EU Delegation Office from time to time. Meetings with them were held in person or communications made electronically as necessary.

9.8 Steering Committee meeting

On 15 December 2011 the first meeting of the CBA-II Steering Committee took place in the office of the EU Delegation to Ukraine, involving representatives of the Secretariat of the Cabinet of Ministers, Ministry of Regional Development, Ministry of Economy, Ministry of Agricultural Policy, Ministry of Health etc.

The meeting was chaired by Mr. Jose Roman Leon Lora, Head of Section II of the EU Delegation to Ukraine, and Elena Panova, Deputy Country Director of UNDP. CBA management presented the results and achievements of CBA in 2011 and the work plan for 2012. Visions from the regions on the community-based development approach were presented by Anatoliy Rybak, Deputy Head of Cherkasy OC, and Vasyl Holets, Deputy Head of Ternopil OSA.



Participants in the meeting supported the idea of closer cooperation between the CBA Project and relevant ministries and recognized that “the CBA Project is gaining national importance, in the scope and scale of its activities.”

Minutes of the meeting can be downloaded from: <http://cba.org.ua/library/documents?lang=ua>.

9.9 Financial management

During the reporting period, the estimated expenditure was €7,036,500. This includes €3,088,800 as actual disbursement and € 3,947,700 committed for community projects. Details are given in Table 19 below.

Table 19. Project budget and expenditure by item, June 2011 to July 2012

SN	Activity	Total Budget		Expenditure		Committed		Total Delivery	
		Euro '000	US\$ '000	Euro '000	US\$ '000	Euro '000	US\$ '000	Euro '000	US\$ '000
1	Human resources	3511.302	4777.3	1139.1	1622.6	487.205	617.167	1443.28032	1979.1
2	Travel	92.232	125.5	13.3	18.9	12.1572	15.400	27.0522	36.6
3	Equipment & supplies	97	131.9	60.1	85.6	0	0	59.45	84.7
4	Local office	1016.3	1382.7	445.9	635.2	276.078	349.719	696.940242	949.2
5	Other costs & services	265.124	360.7	99.8	142.2	0	0	95.928	136.6
6	Others								
a	Seed grant (social/communal)	4357.8	5929	960.3	1356.1	2,842.97	3,561.405	3533.4496	4545.0
c	Seed grant (energy efficiency)	5190	7061.2	0	0	0	0	0	0.0
d	Seed grant (small business)	474.81	646	0	0	0	0	0	0.0
e	Approach internalization	367.5	500	0	0	0	0	0	0.0
f	Curriculum development	96	130.6	0	0	6.432	8.000	6.432	8.0
g	Training/visits	177.5	241.5	125.3	178.2	11.578	14.400	134.9846	190.2
h	LDF/RCC/Review meetings	225	306.1	41.3	58.8	23.209	25.200	58.5812	75.6
i	Capacity of CRCs	70	95.2	7.1	10.2	23.179	28.830	30.31732	39.0
j	Knowledge management	64.992	88.4	22.8	32.4	6.633	8.250	29.391	40.7
7	Contingency & Administrative	1120.389	1524.3	173.8	289.8	258.261	323.986	428.106623	565.9
	Total	17,125.95	23,300.40	3,088.8	4,430.0	3,947.70	4,952.36	6,543.91	8,650.67

Chapter Ten

Lessons Learned and Future Outlook

10.1 Taking stock of experience gained

Implementation of CBA-II during its first year of operation has given rise to some valuable experience for consideration, which could be summarized as follows:

Opportunities

- The majority of regional/local stakeholders were found to have recognized the value of the methodology of a community-based approach. As a result, there is a high degree of cooperation and willingness among several regional/rayon partners to replicate the CBA methodology with modest financial support and sound technical guidance from the project.
- A trend has occurred among regional and rayon authorities to approve socio-economic programmes and allocate budget to support community projects.
- Energy saving is the highest priority among regional and local partners and is expected to dominate other priority areas.
- Creation of the national-level working group on the project's RED component promises to be useful for synergy with activities of the Ministry of Agriculture and other related institutions.
- Training for focal persons of replication rayons is expected to be a sound tool in handing over to them the community-based development methodology and allowing them to show a high degree of motivation and independence of action.
- Creation of the Knowledge Management Hub at the Ukrainian Association of District and Regional Councils offers promising scope for the sustainability of knowledge management.
- Academic institutions were found to be enthusiastic about studying the CBA methodology in the context of sustainable development, giving rise to independent research on this issue.
- Excellent cooperation was received from partners at all level. The Secretariat of the Cabinet of Ministers was very effective in guiding the process of implementation.

Challenges

- New rules have been introduced by the government regarding construction/rehabilitation of communal infrastructure. It includes final approval of technical documents from a specific commission, approval of the contractor and permission for the work. These rules are expected to slow down implementation of micro-projects.
- Key national events such as the Euro 2012 football tournament and national elections are expected to affect the pace of project implementation due to a temporary shift of human resources and state budget away from local development.

10.2 Outlook for Year 2

The following activities will be carried out from July 2012 to June 2013 within the proposed annual work plan:

- Target of communal/social infrastructure-type micro-projects will be achieved.
- Implementation of methodology replication will be in full swing.
- Implementation of the energy efficiency component will be in full swing.
- Full-scale implementation of the rural economic development component will take place.
- The knowledge management component will be fully operational.
- Training of community members and local/regional authorities will continue.
- Partnerships with academia will show results through teaching and research.
- Dissemination of information and knowledge-sharing activities will gain momentum.

Annex I. Summary of CBA-I results

The first phase of the CBA Project operated from December 2007 to 6 June 2011 with a budget of EUR13.5 million. During this period, the Project helped over 1000 Ukrainian communities to improve their living condition through collective actions and partnership with local authorities to realize community initiatives such as energy conservation in schools and kindergartens, renovation and purchase of equipment for medical centres, and water supply.

To achieve the set objectives, CBA partnered with 25 regions, 209 rayons and more than 1100 local councils (village/city councils with populations of fewer than 10,000 people). It mobilized 418,000 men and women from over 1100 rural communities and got them organized into 'community organizations' (COs) which are founded on norms of good governance. These COs served as a good starting point for local development that is based on the aspirations of the people.

A total of 1776 trainings and other capacity-building activities in various aspects of sustainable local development were organized for rural activists and representatives of local councils, and civil servants underwent training. As a result, the community members identified local priorities in the form of a community development plan (CDP) that became an integral part of the local development plan and served as a basis for developing micro-projects.

COs implemented 1303 micro-projects, of which 59.1 percent prioritized energy saving in local schools and kindergartens, 21.1 percent repairing local outpatients' clinics and procuring necessary medical equipment, and 14.4 percent laying out or repairing water supply systems, while 4.5 percent purchased school buses, and 0.9 percent implemented environmental projects. The average cost of a community micro-project was UAH150,000.

To finance community projects, about UAH 91 million was spent from EU/UNDP resources, and a further UAH88 million was allocated by local authorities as parallel financing. In addition, the beneficiary communities themselves mobilized resources of above UAH14 million, and the private sector invested around UAH3 million.

The CBA methodology contributed to qualitative enhancement of local government, an increase in trust towards authorities and the establishment of effective cooperation between communities and authorities. The key instruments of the methodology are established structures that ensure regular dialogue in joint decision-making.

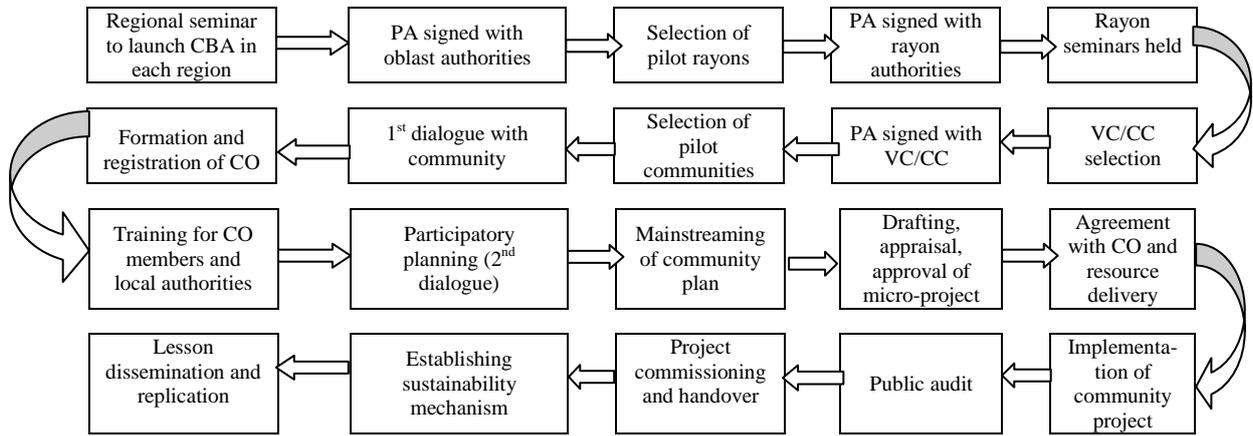
United by a common goal of community development, local residents become an active partner of local authorities and bodies of local self-government and contribute to sustainable local development. Community self-organization has led to improvements in citizens' quality of life. They assess the prospects of their community development as positive. Community members working on community projects experience growth in self-reliance.

Oblast coordination councils and Local Development Forums are a platform for discussing local priorities. They also assist in the coordination of activities of communities, authorities and businesses as partners in project implementation.

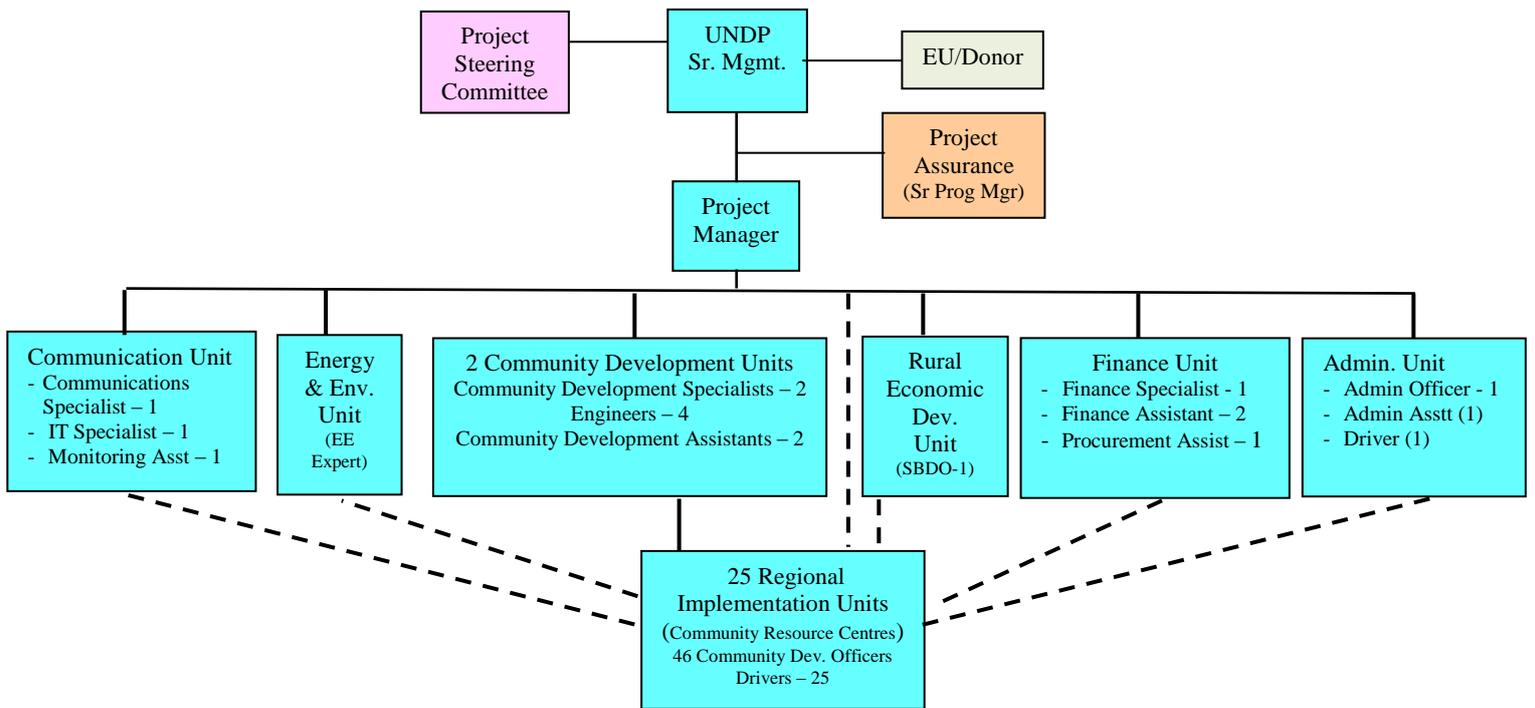
Oblast and rayon Community Resource Centres provide valuable informational support to communities seeking self-organization and looking for partners to fulfil joint initiatives. These centres accumulate the experience gained and information about potential donors and help communities to implement other initiatives beyond the CBA Project. These organizations help to reproduce the community-based development approach model in non-pilot communities.

Both communities and authorities assess these structures as highly effective; they are willing to support their work in the future and give a positive prediction of their sustainability.

Annex II. Implementation process



Annex III. CBA management structure



Annex IV. Key participants in national launch of CBA-II

(a) Representatives of CBA Steering Committee

1	Secretariat of the Cabinet of Ministers of Ukraine	MATIYCHYCK Tetyana	Head of Unit, Department Of Cooperation With Verkhovna Rada And The Regions, CBA Coordinator from SCMU
2	Ministry of Housing and Communal Services	ROMANYUK Olga	Deputy Minister
3	Ministry of Regional Development and Construction	PANASYUCK Fedir	Director of Department on Local Self-Governance, Interregional Cooperation and Administrative-Territorial System
4	Ministry of Economy	VOLOSHYN Yuriy	Head of the Sector of System Projects of International Financial Organizations, Department of International Technical Assistance and Cooperation with International Financial Organizations
5	Ministry of Education and Science, Youth and Sport	DAVYDOVYCH Alla	Main Specialist, Unit of General and Secondary Education Forecasting, Department of Pre-school and Secondary Education
6	State Agency on Energy, Efficiency, and Energy Conservation of Ukraine	ILYASOV Valeriy	Deputy Director, Department of Economic Policy
7	State Agency on Energy, Efficiency, and Energy Conservation of Ukraine	YAKOVLEV Pavlo	Main specialist, Unit of International Cooperation
8	Foundation for Local Self-Government under the President of Ukraine, Secretariat of Ukraine's Delegation in the Congress of Local and Regional Authorities of Council of Europe	<i>Representative</i>	
9	Ukrainian Association of Local and Regional Authorities	TSYBYTOVSKYI Serhiy	Main Specialist On Legal Policy Of Secretariat Of Association
10	All-Ukrainian Association of Local Governments/Association of Cities of Ukraine	PARKHOMENKO Volodymyr	Directory of Analytical Center
11	All-Ukrainian Association of Heads of Village and Settlement Councils	VELCHYNKYJ Mykola	Head of Executive Direction
12	Verkhovna Rada Committee on State Building and Local Self-Government	MALYUGA Anzhela	Head of Secretariat
13	Verkhovna Rada Committee on Social Policy and Labour	SAMOYLIK Yulia	Main Advisor
14	Department of Scientific and Educational Development of Rural Areas	ZAYETS Valentyna	Head of Unit
15	Ukrainian Union of Rural Communal Infrastructure UKRSILCOMUNGOSP, Ministry of Agricultural Policy	KHOMENKO Volodymyr	Head of Unit
16	Delegation of the European Union in Ukraine	DIDUKH Miroslava	Project Manager from Delegation of European Union in Ukraine
17	UNDP in Ukraine	RIEGER Ricarda	Country Director
18	UNDP in Ukraine	BERDIYEV Berdi	Assistant Resident Representative
19	CBA Project	SAH Jaysingh	International Project Manager
20	UNDP in Ukraine	PANOVA Elena	Deputy Country Director

(b) Participants from oblasts

1	Cherkaska OSA	KULYK Maya Olehivna	Deputy Head of the Department of External Affairs and European Integration
2	Chernihivska OSA	HUDOK Natalia Olehivna	Head of Investment Department of Main Economic Department
3	Chernivetska OSA	KURENNOY Serhiy	Head of Department of External Relations
4	Dnipropetrovska OC	MAYETNYI Oleksandr	Head of Unit of Local Self-Government
	Dnipropetrovska OSA	DEMCHYK Oleksandr Ihorovych	Representative
5	Ivano-Frankivska OSA	LYSTVAN Mykhailo Yosypovych	Main Specialist, Department of External Economic Relations and Investment
6	Kharkivska OSA	KARTYSHEV Serhiy Viktorovych	Deputy Head of Main department of External Economic Relations and Investment
7	Khersonska OSA	KOTENKOV Vasyl Mykhailovych	Deputy Head
8	Khmelnyska OSA	KHOMENKO Maria Vasylivna	First Deputy Head of Main Department of Economic
9	Kirovohradska OSA	LOBANOVA Svitlana Vasylivna	Deputy Head of Main Department of Economic
10	Kyivska OSA	LYTVYN Vladislav Volodymyrovych	Head of Department of Foreign Investments and Special Economic Areas

11	Luhanska OSA	ATYUSHKIN Yuriy Anatoliyovych	Head of Department of European Integration
12	Lvivska OSA	RUDNYTSKYY Stepan Vitaliyovych	Deputy Head of Organizational Department
13	Mykolaiivska OSA	MURAKHOVSKA Lyudmyla Petrivna	Head of Unit, Department of Economic
14	Odeska OSA	TKACHENKO Oleksiy Oleksandrovych	Main Specialist, Department of European and Regional Policy
15	Poltavska OSA	ORLOV Dmytro Vadymovych	Head of Department of External Relations
16	Rivnenska OC	CHYPRYNA Oleksandr Petrovych	Deputy Head of Oblast council
17	Sumska OC	HONCHAROV Yuriy Olehovych	Advisor of Head of oblast council
18	Ternopil'ska OSA	GETSKO Vasyl Volodymyrovych	Head of Main Department of Economic
19	Vinnytska OSA	GYZHKO Andriy Pertrovych	Head of Main Department of Economic
20	Volynska OC	YATSENYUK Alla Stanislavivna	Head of Unit of Budget, Economic Policy and Project Activity
21	Zakarpatska OSA	TERELYA Viktor Ivanovych	Deputy Head, Main Department of Agrarian and Industrial Development
22	Zhytomyrska OSA	GRADOVSKYI Viktor Mykhailovych	Head of Unit of External Relations, Main Department of Economic

Annex V. Details of CBA-II activities by region (regular) – July 2012

Oblast	Rayons selection			PA signed by rayons	Rayon seminars	VC/CC selection			VC/CC level seminar	PA signed by VC/CC	Community selection			CO Formation						LDF				RCC sittings	Training		
	# of rayon selected	CBA-I rayons	New rayons			# of VC/CC selected	CBA-I VC/CC	New VC/CC			Community selected	CBA-I communities	New communities	COs formed/granted	COs enrolled at VC/CC	CO legally registered	Target HH	Participated HHs	Total Members	LDF grafted from CBA-I	New LDF formed	Total LDF	LDF sittings		Number of Training	CO-members (with repetition)	Authorities (with repetition)
ARC	8	5	3	8	8	32	9	23	35	32	32	9	23	32	32	32	13734	12172	41637	5	3	8	8	1	45	1060	193
Cherkaska	9	3	6	9	9	38	3	35	35	39	38	4	34	38	38	38	10481	10153	11813	3	6	9	37	2	48	153	122
Chernihivska	6	3	3	6	6	25	3	22	25	25	25	3	22	25	25	25	13470	12122	26869	3	3	6	21	2	31	205	18
Chernivetska	6	6	0	6	6	24	6	18	24	24	24	5	19	24	24	24	19505	19324	19505	6	0	6	12	0	18	288	15
Dnipropetrovska	9	3	6	9	9	38	6	32	39	39	39	5	34	39	39	39	5859	2879	7484	3	6	9	27	3	48	575	166
Donetska	10	4	6	10	10	42	4	38	45	41	40	4	36	41	41	41	28158	24022	23885	4	6	10	24	0	52	977	536
I-Frankivska	9	5	4	9	9	36	6	30	36	36	36	6	30	42	42	42	7320	5927	5936	5	4	9	15	2	57	662	175
Kharkivska	6	2	4	6	6	26	4	22	26	24	26	4	22	24	24	24	1224	1053	1053	2	4	6	21	1	18	192	32
Khersonska	8	4	4	8	8	32	7	25	32	32	32	7	25	32	32	32	6679	5583	15676	4	4	8	32	1	48	349	246
Khmelnytska	8	5	3	8	8	32	8	24	32	32	32	6	26	32	32	32	12393	10354	11077	5	3	8	24	1	35	296	93
Kirovohradska	8	4	4	8	8	33	8	25	35	33	33	8	25	35	35	35	8524	4992	13402	4	4	8	29	2	45	511	104
Kyivska	6	3	3	6	6	24	6	18	24	24	24	6	18	24	24	24	11768	9974	10020	3	3	6	25	1	30	632	184
Luhanska	9	3	6	9	9	36	4	32	36	36	36	4	32	36	36	36	20917	14987	21154	3	6	9	20	2	56	380	108
Lvivska	8	5	3	8	8	38	8	30	38	38	38	8	30	38	38	38	17418	11298	11682	5	3	8	19	2	31	781	150
Mykolaivska	9	4	5	9	9	36	5	31	39	39	39	2	37	39	39	39	11633	7016	7993	4	5	9	23	2	42	585	131
Odeska	8	2	6	8	8	32	4	28	32	32	32	2	30	32	32	32	9147	7078	8511	2	6	8	15	4	35	359	111
Poltavska	8	3	5	8	8	33	8	25	33	33	33	7	26	33	33	33	8770	7541	19219	3	5	8	25	3	42	740	233
Rivnenska	8	4	4	8	8	32	8	24	32	32	32	6	26	32	32	32	14357	12166	18431	4	4	8	44	1	40	833	290
Sumska	9	5	4	9	9	38	10	28	40	38	38	9	29	38	38	38	6879	6476	6476	4	4	8	30	3	27	644	157
Ternopil'ska	9	5	4	9	9	37	5	32	37	37	37	5	32	37	37	37	12865	12694	33822	5	4	9	29	2	35	409	178
Vinnitska	6	4	2	6	6	33	7	26	11	30	28	6	22	6	6	6	3309	704	744	4	2	6	10	1	18	251	95
Volynska	9	5	4	9	9	41	8	33	42	42	41	7	34	39	39	39	9892	9892	21386	5	4	9	13	2	33	335	59
Zakarpatska	9	5	4	9	9	36	8	28	37	37	37	8	29	37	37	37	35815	29149	29230	5	4	9	27	2	54	1074	324
Zaporizka	9	5	4	9	9	36	12	24	36	36	36	18	18	36	36	36	2158	2012	5725	5	4	9	28	2	160	1707	438
Zhytomyr'ska	6	3	3	6	6	24	2	22	24	26	24	2	22	24	23	13	9680	2520	3825	3	3	6	12	1	16	213	68
Total	200	100	100	200	200	836	158	678	825	839	834	151	683	810	809	799	305076	245338	382338	100	100	200	599	41	1107	14490	4439

Annex V continued ...

Oblast	As of July 2012							As of June 2012					
	RCRC			2 nd dialogues	CDPs			# media events	# of media coverage	# Publications on partner websites	Info bulletin		
	RCRC grafted	New RCRC	Total		# of CDPs	CDPs approved VC/CC	# approved by LDF				# issue	# hard copies	# el. Copies
ARC	5	3	8	32	32	32	32	11	107	44	4	180	4
Cherkaska	3	6	9	38	38	38	38	8	101	52	2	150	110
Chernihivska	3	3	6	25	25	25	23	9	29	13	4	73	97
Chernivetska	6	0	6	24	24	24	20	1	28	39	4	200	100
Dnipropetrovska	3	6	9	39	39	39	38	11	90	7	2	0	68
Donetska	4	6	10	41	30	28	28	12	60	29	0	0	0
I-Frankivska	5	4	9	36	36	36	36	11	192	51	10	1175	212
Kharkivska	2	4	6	28	26	24	2	8	45	16	4	182	3
Khersonska	4	4	8	32	28	35	26	13	55	21	0	0	0
Khmelnyska	5	3	8	32	32	32	32	11	121	64	3	720	56
Kirovohradska	4	4	8	33	33	33	33	17	135	30	3	350	350
Kyivska	3	3	6	24	24	24	24	60	150	52	6	1110	29
Luhanska	3	6	9	37	37	36	36	16	164	78	5	4290	145
Lvivska	5	3	8	30	37	37	30	11	114	42	3	800	3
Mykolaivska	4	5	9	39	39	38	38	12	106	32	19	3055	603
Odeska	2	3	5	32	32	18	2	10	56	19	0	0	0
Poltavska	3	5	8	33	33	33	33	14	270	64	4	490	120
Rivnenska	4	4	8	32	29	32	32	21	263	91	4	376	253
Sumska	5	4	9	38	38	38	38	12	116	31	2	350	10
Ternopilska	5	4	9	37	37	37	30	11	98	50	7	153	185
Vinnyska	4	2	6	6	8	6	6	5	44	11	6	425	175
Volynska	5	4	9	41	45	41	41	9	73	33	3	120	197
Zakarpatska	5	3	8	37	37	37	37	11	93	39	4	1050	1050
Zaporizka	5	4	9	36	36	36	10	12	84	25	12	630	12
Zhytomyrska	3	3	6	24	16	24	0	9	62	40	9	630	126
Total	100	97	197	806	809	787	671	325	2669	973	120	16330	3908

Annex VI continued...(as of June 2012)

Oblast	# media events	# of media coverage	# Publications on partner websites	Info bulletin		
				# issue	# hard copies	# el. Copies
ARC	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Cherkaska	2	20	12	0	0	0
Chernihivska	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Chernivetska	0	0	0	0	0	0
Dnipropetrovska	0	12	0	0	0	0
Donetska	0	3	0	0	0	0
I-Frankivska	0	4	4	1	25	10
Kharkivska	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Khersonska	0	0	0	0	0	0
Khmelnytska	0	1	3	0	0	0
Kirovohradska	4	8	4	0	0	0
Kyivska	15	23	9	1	40	2
Luhanska	0	4	9	0	0	0
Lvivska	0	11	6	0	0	0
Mykolaivska	0	0	1	0	0	0
Odeska	0	1	0	0	0	0
Poltavska	0	5	0	0	0	0
Rivnenska	0	11	5	0	0	0
Sumska	0	0	0	0	0	0
Ternopil'ska	1	7	11	0	0	0
Vinnitska	0	0	0	0	0	0
Volynska	0	0	0	0	0	0
Zakarpatska	0	0	0	0	0	0
Zaporizka	0	10	9	1	30	1
Zhytomyrska	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Total	22	120	73	3	95	13

Annex VII. Micro-projects: status as of June 2012

	Target number of MPPs	# MPPs Approved by LDF	# MPPs sent to CBA	MPPs Approved by CBA	Cost Sharing of Approved MPs (thousands, UAH)						Sectoral Distribution of Approved MPPs					Beneficiary Population (thousands)			Beneficiary Institution			
					COs	VC/CC	Rayon Authority	Regional Authority	Private sector	CBA	Total	Health	Energy saving	Water Supply	Environment	Total	Total	Male	Female	Hospitals	Schools/kindergartens	Community
ARC	32	32	27	23	313056	945255	965431	130395,00	30764	1799024	4183925	2	18	3	0	23	30,2	14,3	15,9	2	18	3
Cherkaska	38	35	35	24	245372	933368	344561	146231	296189	1634060	3599781	3	21	0	0	24	30,1	13,7	16,4	3	13	8
Chernihivska	25	23	23	20	319816	104900	1658873	0	0	1537411	3621000	3	16	1	0	20	17,9	8,5	9,4	4	14	2
Chernivetska	24	20	5	1	15431	0	72523	0	0	80200	168154	0	1	0	0	1	2,4	1,2	1,2	0	1	0
Dnipropetrovska	39	37	31	30	271063	921498	909309	837686	66092	2199780	5205428	1	29	0	0	30	38,4	17,7	20,7	1	18	11
Donetska	42	30	30	30	264362	1247367	1262389	0	50000	2343582	5167700	4	24	2	0	30	63,1	28,9	34,2	4	22	4
I-Frankivska	36	36	36	32	350938	156684	2420491	0	0	2511615	5439728	4	25	3	0	32	46,8	20	26,8	4	25	3
Kharkivska	24	21	21	19	198646	435627	838651	0	0	1385678	2858602	3	15	0	1	19	19,4	9,6	9,8	3	13	3
Khersonska	32	30	26	23	219353	1131384	668678	0	0	1802659	3822074	1	16	6	0	23	19	8,6	10,4	1	16	6
Khmelnyska	32	22	25	21	373418	312811	2320571	0	273635	1663604	4944039	0	20	1	0	21	16,1	7,2	8,9	0	19	2
Kirovohradska	33	23	23	21	238010	453078	1179400	0	137415	1614370	3622273	2	19	0	0	21	25,3	11	14,3	2	19	0
Kyivska	25	23	23	20	165984	191712	1143883	0	206875	1545422	3253876	4	16	0	0	20	18,3	8,3	10	4	15	1
Luhanska	36	30	30	30	412203	358435	3776912	0	134187	2349845	7031582	4	25	1	0	30	42	19,4	22,6	4	22	4
Lvivska	38	31	31	31	292130	406808	2240777	0	43000	2097599	5080314	2	29	0	0	31	31,4	14,3	17,1	2	27	2
Mykolaivska	36	36	23	21	419861	380580	1253618	0	41688	1635132	3730879	1	15	5	0	21	26	11	15	1	15	5
Odeska	32	17	11	11	157340	298163	600230	0	0	879504	1935237	0	8	3	0	11	15,5	6,6	8,9	0	8	3
Poltavska	33	34	34	29	302900	248670	1409155	1230603	26170	2192835	5410333	1	21	7	0	29	24,6	12,3	12,3	1	15	13
Rivnenska	32	26	24	21	253920	172098	1509234	0	0	1630630	3565882	1	19	1	0	21	26,9	12,6	14,3	2	18	1
Sumska	31	29	24	21	1213926	1014505	774950	199310	0	1515129	4717820	0	13	8	0	21	9,1	4	5,1	0	6	15
Ternopil'ska	37	30	30	28	553517	58212	2090286	0	84841	2219551	5006407	1	26	1	0	28	22,1	10,6	11,5	1	26	1
Vinnyska	33	7	7	4	26697	35803	172072	0	29160	239945	503677	0	4	0	0	4	1,7	0,8	0,9	0	2	2
Volynska	41	41	41	37	349653	335175	1770150	791200	0	2561290	5807468	6	31	0	0	37	20,3	8,9	11,4	7	28	2
Zakarpatska	36	36	39	25	302656	1304198	1388091	0	68617	1925400	4988962	2	22	1	0	25	37,1	17,6	19,5	4	19	2
Zaporizka	36	27	26	24	274523	439191	1326203	0	191875	1709334	3941126	1	19	4	0	24	33,2	15,2	18	1	10	13
Zhytomyrska	24	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	827	676*	625*	546	6656531	9901999	29127573	3058799	1353555	36103104	86201561	46	452	47	1	546	539	246	293	51	389	106

* excludes one MPP from replication community

Annex VII continued...

	Operation and maintaince funds	Works done	Public audit conducted	Handover
ARC	27	1	0	0
Cherkaska	48	3	3	3
Chernihivska	20	0	0	0
Chernivetska	0	0	0	0
Dnipropetrovska	39	10	0	0
Donetska	28	4	4	4
I-Frankivska	0	0	0	0
Kharkivska	0	0	0	0
Khersonska	4	2	2	0
Khmelnyska	4	1	0	0
Kirovohradska	22	1	1	0
Kyivska	20	3	3	0
Luhanska	23	0	0	0
Lvivska	30	10	10	10
Mykolaiivska	10	0	0	0
Odeska	35	5	9	5
Poltavska	5	0	0	0
Rivnenska	33	0	0	0
Sumska	26	2	2	2
Ternopilska	21	0	0	0
Vinnytska	0	3	0	0
Volynska	0	0	0	0
Zakarpatska	41	3	8	0
Zaporizka	25	3	2	1
Zhytomyrska	21	0	0	0
Total	482	51	44	25

Annex VIII. Working Group on Rural Economic Development: list of participants

1	UNDP Ukraine	Ms. Elena Panova	Deputy Country Director
2	Delegation of the European Union to Ukraine	Mr Jose Roman LEON LORA	Head of Operations Section 2
3	UNDP Bratislava Regional Centre	Mr. Nick Maddock	Rural Development Adviser
4	Delegation of the European Union to Ukraine	Ms. Mira DIDUKH	Project Manager of CBA from EU Delegation
5	UNDP Ukraine	Ms. Oksana REMIGA	Senior Programme Manager
6	CBA Project	Mr. Jaysingh SAH	International Project Manager
7	Ministry of Agrarian Policy and Food	Ms. Natalia HINEVSKA	Deputy Director of Department of Scientific Support to Agricultural and Rural Development
8	Verkhovna Rada Committee on Agrarian Policy and Land Relations	Mr. Oleh KHOMENKO	Deputy Head of the Secretariat of the Parliamentary Committee
9	Institute of Economy and Forecasting of the Academy of Science of Ukraine	Ms. Liubov MOLDAVAN	Director, Centre for Agrarian Reforms
10	Institute of Economy and Forecasting of the Academy of Science of Ukraine	Ms. Olena BORODINA	Head of Department on Economics and Politics of the Agrarian Reform
11	Poltava Regional League of Cooperative Unions	Mr. Vladyslav HONCHARENKO	Head
12	Union of Agricultural Service Cooperatives	Mr. Vitaliy LVOV	Vice-President
13	Association of Village and Town Councils	Mr. Mykola FURSENKO	Board Member
14	State Fund for Farm Support	Mr. Mykola STRYZHAK	Director-General
15	Association of Farmers and Private Landowners of Ukraine	Mr. Vasyl KUNYTSKYI	Director-General
16	UKOOSPILKA (Ukrainian Union of Cooperatives)	Mr. Mykola LUDVICHUK	First Deputy of Board Director
17	National Association of Credit Unions of Ukraine	Mr. Yuriy BEZKLUBYI	Legal Specialist
18	National Association of Agricultural Advisory Services of Ukraine	Mr. Roman KORINTS	President
19	National joint stock company UKRAGROLEASING	Mr. Mykola DATSENKO	Director of Department of Technical Development
20	Information and consulting centre AGRO TAVRIA/Tavriyskyi State Agro-Technological University	Mr. Volodymyr TERNOVSKYI	Deputy Head
21	Zhytomyr National Agro-technological University	Mr. Vitaliy ZINOVCHUK	Professor
22	CBA Project	Ms. Ganna YATSYUK	Communications and Monitoring Specialist
23	CBA Project	Mr. Vasyl KONONENKO	Small Business Development Officer
24	CBA Project	Ms. Olena RUDICH	Community Development Specialist
25	CBA Project	Mr. Denis POLTAVETS	Community Development Specialist

Annex IX. Impact of the CBA methodology on development planning at local level – summary of research by Daria de Lastours

Context. UNDP noticed a lack of capacity in Ukraine between authorities and communities to jointly plan, budget and implement local development strategies. Consequently, the Community-Based Approach to Local Development (CBA) Programme aims to strengthen participatory governance through a development planning methodology – a plural process based on partnerships between local and national authorities, international organizations (UNDP, EU) and inhabitants to undertake micro-projects. This is a dialogue process, sharing needs and answers, working on a mix of both a bottom-up approach (with local communities’ project proposals) and a top-down approach (with their incorporation into the local development plan and their agreement as a priority by the Local Development Forum, i.e. at rayon level).

Project. CBA was created in Ukraine by the European Commission and co-financed and implemented by UNDP. It launched its first phase of activities in September 2007, targeting all 25 regions of Ukraine – 24 oblasts and the Autonomous Republic of Crimea – covering more than 200 districts, 1000 village/city councils and more than 1000 local communities. CBA’s second phase began in June 2011 and will last four years until June 2015, covering nearly 900 village/city councils in these 25 regions

Goal and findings of the research. To evaluate this development planning methodology, questionnaires were sent to inhabitants and to local authorities in four different oblasts (Mykolaiv, Luhansk, Chernihiv and Khmelnytski) plus the Autonomous Republic of Crimea. We noticed different points due to CBA’s methodology on development planning.

- CBA succeeded in involving people in the programme’s methodology. We noticed that a large share of inhabitants were well aware of development planning and also wished to take part in this governance process. More than 95 percent of the inhabitants who filled in the questionnaires said they knew that their CO had a development plan. And 80 percent of them took part in making it. The population’s willingness to participate has increased ‘significantly’ (according to 33 percent of respondents) or at least ‘somewhat’ (45 percent), but only 2 percent of the inhabitants think that ‘nothing has changed’. According to local authorities, the political will to introduce participation has been noticeable since 2008 (62 percent).
- In parallel with micro-projects, other minor projects are organized by populations due to rayon Community Resource Centres (CRCs). It means that the development planning methodology is well understood and replicated. There is an undeniable change for populations organizing themselves to participate in local governance, in cooperation with local authorities. Even if most of the COs (68 percent) and local authorities (75 percent) reported that there were similar initiatives such as micro-projects before CBA, they underlined a huge contribution of local authorities being helpful and active in the field (77 percent). That shows to what extent the development process is carried forward and implemented in cooperation with them, and this point is essential to ensure real governance and sustainable development.
- But even if inhabitants reported an increase in trust for local authorities, they also consider that the most important value of a CO is “to contribute more to public authorities and in local decisions”. That means that the most important shift that this development methodology has brought is in showing people that they have to organize themselves on their own if they want things to improve and change, and that they should not wait for someone to help them without participating in local decisions. Things are going even faster with CBA-II; through word of mouth people are coming to visit former CBA-I micro-projects as examples to understand the methodology.
- Some COs have developed their own initiatives, such as free volunteer work proposed by the inhabitants or giving more donations than requested. Only 21 percent of the sample said that they had not participated in any additional initiative during the micro-project. That shows to what extent the planning methodology relies on the population’s daily involvement. UNDP expects this behaviour and commitment to remain after micro-projects are completed.
- Successful implementation of micro-projects with CBA support significantly increases the level of knowledge and of self-confidence of community members. Testimonies show that a feeling of strong organization motivates community members to start other initiatives in parallel or after completing micro-projects. Thus, they apply for grants from other donors or/and participate in regional competitions. The CBA Project aims to encourage inhabitants to adopt the development planning methodology, to make them able to deal with local decisions and new projects on their own.

Recommendations

- As the local authorities pointed out in the questionnaires, if a lack of budget allocations was noticed, COs are also facing a lack of private partners. The involvement of the private sector is often considered as a solution to always relying on the State. Does the project benefit from partnerships with enterprises? Local Development Forums should offer the possibility for COs to be in contact with this sector (donors, enterprises). It might be helpful in a long-term approach to ensure further autonomous micro-projects.
- Before the 2015 project deadline, CBA should find tools and advancements to ensure sustainability of the project’s methodology. There is a real need to lead local authorities to commit for the future, such as continuing to finance CRCs, for instance. The COs should remain proactive, but they need the State to make commitments. As an example, roads are always the first priority according to people, followed by water supply installations. But they are too expensive for CBA micro-projects. CBA should at least be a relay between inhabitants and national authorities to ensure they take into account larger projects in the future.

Conclusions

Of course all COs are not equally effective with their micro-projects and development planning. It depends on the village council's involvement. But CBA aimed to establish very strong partnership links between inhabitants (to raise money, for planning, budget etc.) but also in their interactions with local authorities. Planning was carried out jointly between deputies and the national level, but now COs are considered the most able to establish their priorities for each year. Now CBA should spread this methodology among new populations and micro-projects but also ensure its sustainability.

Annex X. Rayon Community Resource Centres on Facebook

1. Hadyatskyi rayon community resource centre
2. Tysmenskyi rayon community resource centre
3. Chutivskyi rayon community resource centre
4. Semenovskiy rayon community resource centre
5. Bashtanskyi rayon community resource centre
6. Kotelevskyi rayon community resource centre
7. Luhanskyi oblast resource centre
8. Dubenskyi rayon community resource centre
9. Lohvytsky rayon community resource centre
10. Sarnenskyi rayon community resource centre
11. Horodenkivskyi rayon comm. resource centre
12. Zastavnivskyi rayon community resource centre
13. Baryshivskyi rayon community resource centre
14. Turkivskyi rayon community resource centre
15. Malovyskivsky rayon community resource centre
16. Zvenihorodkyi rayon community resource centre
17. Sokyryanskyi rayon community resource centre
18. Ljubomylskyi rayon community resource centre
19. Kobelyatskyi rayon community resource centre
20. Novomykolaivskyi rayon community resource centre
21. Oleksandrivskyi rayon community resource centre
22. Velykopysarivskyi rayon community resource centre
23. Poltavska oblast community resource centre
24. Renijskyi rayon community resource centre
25. Chutivskyi rayon community resource centre
26. Svativskyi rayon community resource centre
27. Burytskyi rayon community resource centre
28. Krasnohradskyi rayon community resource centre

Among the most visited tabs of the CBA Facebook page were: the wall (1597 views), photos (71), information about the project (61) and links (47). Please see the Table below.

Key statistics on the most visited tabs on the CBA Facebook page

Tab	Number of views
Wall	1597
Photos	71
Information	61
Links	47
Events	23
Videos	17
Friend Activity	16
Past Events	6